SUSTAINABLE HERITAGE TOURISM PLANNING IN ETHIOPIA: AN ASSESSMENT FRAMEWORK

by

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Abstract

How does a community or local government decide if tourism is appropriate for a heritage site? And, how can that site be conserved while benefitting the local community? Focusing on the first step of the tourism planning process, the situation assessment, this research refined a situation assessment framework, applied the framework to a case study, and tested the utility of that framework in determining the potential for sustainable heritage tourism of archaeological sites in Northern Ethiopia. The research found that the heritage sites in question had low to medium potential for tourism development. However, the baseline information was changed when a NGO decided to participate on behalf of the community, increasing the scores to a medium potential for tourism development. Recommendations were made to the community and NGO pursuing tourism, and the framework was analyzed for strengths and weaknesses, concluding that the framework accurately represented the situation assessed.

Keywords: Sustainable tourism; heritage tourism; community based tourism; planning; cultural heritage management; archaeology

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Chapter 1: Introduction

Research rationale

In developing countries, where many heritage sites have only been catalogued but not evaluated for tourism potential, how does a community or government decide if tourism is appropriate for that site? And, how can that site be conserved while benefitting the local community?

Sustainability in tourism planning has been avidly discussed for over 20 years (Loulanski & Loulanski, 2011). Indeed, many recommendations have been proposed for incorporating sustainability principles into tourism planning processes (Grybovych & Hafermann, 2010). However, the recommendations proposed are often theoretical and are not tested in case settings (Loulanski & Loulanski, 2011). Focusing on the first step of the tourism planning process, the situation assessment, one finds that there is very little literature on academic methods or procedures for evaluating a site for tourism. Local and regional governments wishing to determine whether tourism development is appropriate have few tools with which to assess, plan and implement heritage tourism programs in a sustainable fashion. In an effort to address these concerns, this research provides and tests the utility of a heritage tourism assessment framework via a case study of heritage tourism potential in Ethiopia.

Case study introduction

The case study was conducted in the Shewit Lemlem rural area in the Eastern Tigrai region of northern Ethiopia. Shewit Lemlem is a Tabia; a local government formed of a few villages in proximity to one another. In Ethiopia the levels of government are: Zone (Province/State), Woreda (Region), Tabia (City/ District), Kushet (Small town/ multiple neighbourhoods), and Got (small neighbourhood).

In previous fieldwork conducted by SFU archaeology professor Dr. Catherine D'Andrea, a number of significant archaeological sites were found in the Shewit Lemlem area (D'Andrea, Manzo, Harrower, & Hawkins, 2008). The archaeological sites include rock paintings, a site of rock engravings, and the remains of historically significant monumental buildings located in and around a church compound.

These findings encouraged the residents of Shewit Lemlem to consider using the sites as the basis for tourism development opportunities. The initial thinking was that the sites had the potential to bring sustained benefits to the local community struggling with very low incomes and deteriorating soil quality for subsistence farming. This study was undertaken in the context of the community wanting to gain an appreciation of what tourism potential existed, and how it might be best captured.

Research objectives and questions

The objective of this research is to develop a sustainable heritage tourism situation assessment framework, and test its utility in the context of a rural development project in Ethiopia.

The specific research questions related to this objective are:

1. *What principles and criteria can effectively guide the assessment and planning of heritage sites for sustainable tourism purposes in rural and developing regions?*
2. *Under what circumstances should sustainable heritage tourism be pursued in this case study?*
3. *What modifications are necessary to apply this framework to other heritage tourism contexts?*

Research approach

The research follows a sequence of investigative steps to answer the posed questions. These include: a literature review, case study data collection, data analysis, discussion of planning and management implications, and concluding summary of lessons learned that may be transferable to other contexts. Key concepts and theories explored in the literature review relate to principles of sustainable tourism, heritage tourism, cultural heritage management, strategic planning, and community participation in planning. These perspectives inform the methods section, which identifies a set of principles and criteria framing the assessment of heritage tourism development potential in the case study region.

The research uses a modified version of the criteria suggested by (Wurz & van der Merwe, 2005) to guide the case study data collection process. Their Heritage Asset Sensitivity Gauge (HASG) focused on criteria related to market appeal, cultural

significance and site vulnerability. The modified framework adopted in this study incorporates an added community involvement dimension, which assesses the community's willingness to participate and manage the project.

The findings report on the application of the framework and the outputs from the case study fieldwork. The discussion follows with recommendations for Shewit Lemlem, as well as insights into the utility of the assessment framework and ways of making it transferable to other rural heritage tourism contexts. Finally, the concluding section outlines areas for further research and elaborates on the potential for increased collaboration and planning in the field of heritage tourism.

Research significance

This research contributes to the rarely investigated sustainable tourism discourse of methodologies for heritage tourism assessment, the first step recommended in most planning processes. In many developing regions, community members are infrequently consulted in assessments of tourism potential (Tosun, 2000). However, by integrating their capacities and perspectives into the assessment framework, community members can become more empowered to shape or veto tourism plans and opportunities. By assessing the level of community capacity, readiness and interest in tourism development, planners may be better able to implement a more collaborative and locally rooted planning and development processes. This research incorporates this critical component into the assessment framework.

Report Structure

This study is divided into five chapters. The first chapter introduces the research, and chapter 2 outlines the background literature and theory framing the research. In chapter 3 the methods are described and the case study is introduced in greater detail, and chapter 4 presents the findings of the research. Finally chapter 5 discusses the results in the context of the case study, discusses the assessment method, presents the limitations, and discusses the conclusions and suggestions for further research.

Chapter 2: Literature Review

The following literature review describes the context, intent and processes of sustainable tourism, heritage management, and planning. It places particular emphasis on outlining the critical components of the situation assessment framework developed and used in this research.

Tourism concepts and definitions

Tourism, sustainability and sustainable tourism

The UN definition of tourism is "*the act of visiting a location outside one's usual environment for less than a year, for any reason other than to be employed"* (UNWTO, 2008). This broad and all encompassing definition of tourism hints at its enormous size and impact on the global economy. Inbound tourism is one of the world's major categories of trade (UNWTO, 2011a). Including transport, global export income from inbound tourism was close to US$ 3 billion a *day* in 2010. Compared to other export industries, tourism is 4th, topped only by fuel, chemicals and automotive products (UNWTO, 2011a). Over the past 50 years, the tourism industry has seen steady growth, relatively unaffected in the long term from economic downturns (UNWTO, 2011a). Up from the approximately 675 million international tourism arrivals in 2000, the 2010 annual arrivals hovers around 940 million, with 1.6 billion arrivals predicted for 2020 (UNWTO, 2011a).

Given these growth projections, tourism can significantly shape local economies, as well as create a range of significant environmental and social effects on host regions. Not all of these effects are good or wanted (Blackstock, 2005). In order to reduce the potential for unwanted effects and increase opportunities for positive outcomes, the planning process must include sustainability principles.

Shaped by the oil crisis in the 1970's, defined by the 1987 WCED Brundtland report, confirmed by the 1992 Rio summit and Agenda 21, and moulded into the economic, environmental and social pillars, sustainability principles have been debated over the past 20 years and can be applied in almost any discipline (IISD, 2010). At its most basic, sustainability implies survivability, enabling an organism, an idea or a business to continue to exist. However, sustainability is more than simply surviving; it

implies constant improvement, as opposed to simply existing above some imaginary threshold (Rogers, Jalal, & Boyd, 2008). Added to that basic definition is Brundtland's widely quoted idea of inter-generational equity, suggesting that sustainable development should "meet the needs of the present generation without compromising the ability of future generations to meet their own needs" (Brundtland, 1987). (Munasinghe, 1993) further defined the concept by outlining the three pillars of sustainability: economic, ecological and social-cultural. This addition to the definition shifted the often-slanted application of sustainability to ecological concepts, to one accounting for all three imperatives. Many studies assume that the concept of sustainability is a constant, or universally agreed upon; it is not (Mowforth & Munt, 2009). To clarify its use in the context of this work, sustainability is framed by the following underlying conditions:

- Equity and fairness between all people- between the rich and poor, and current and future generations;
- A long-term outlook- beyond the next electoral cycle, the next market bell, the next generation or the next century; and
- Systems thinking- looking at the planet as an interconnected ecosystem (IISD, 2010).

Globally, an increasing number and range of tourism organizations are embracing and encouraging sustainable practices, as seen in the UN World Tourism Organization, which has spearheaded many sustainable tourism initiatives during the past two decades (UNWTO, 2005). An entire journal, the Journal of Sustainable Tourism, is dedicated to the study of sustainable tourism, but yet as with the definition of sustainability, the interpretation of the term sustainable tourism is continually debated. This research will use the following definition of sustainable tourism, written by the UNWTO and echoing the principles above:

> Sustainable tourism minimizes impacts on environmental resources, respects and conserves the socio-cultural authenticity of host communities, and provides long-term economic benefits to all stakeholders, through the informed participation of all stakeholders, consensus building and monitoring impacts, to provide a meaningful and satisfying experience to tourists (UNEP and WTO, 2005).

Other types of tourism

Sustainable tourism is but one term used to describe the traits of tourism activities. In the context of this case study, the terms: cultural tourism, ecotourism, community-based tourism, pro-poor tourism, and rural tourism also could be used. However, the following section identifies why they were not selected to convey the nature of the tourism opportunity being examined.

Cultural tourism

Cultural tourism describes a tourism experience where an outside person wishes to experience another culture, and the experience may or may not include historical aspects (Du Cros, 2001). Cultural tourism focuses on living cultures, such as the people of the Omo valley in Ethiopia. Explained in greater detail below, cultural heritage tourism and cultural tourism are not the same term. Cultural tourism was not selected given much of the research focuses on *current* cultural practices and not historic cultures or physical places (Greg Richards, 2007).

Eco-tourism

Eco-tourism is most commonly defined as a nature-based activity, which promotes education and preservation, while benefitting the community and respecting local culture (Fennell, 2001). The most commonly cited definition is that of Ceballos-Lascurain (1983): “Travelling to relatively undisturbed or uncontaminated natural areas with the specific objective of studying, admiring, and enjoying the scenery and its wild plants and animals, as well as any existing cultural manifestations (both past and present) found in these areas” (van der Merwe, 1996). The term, however, has frequently been used incorrectly to describe any sort of nature-based activity (Jones, 2005). Given the misuse of the term, and its greater focus on the natural aspect as opposed to the historical and cultural aspect, this tourism term was not selected for this research.

Pro-poor tourism

Pro-poor tourism is similar to sustainable tourism in that it does not describe a particular attraction, but refers to an approach to development that ensures operations generate net benefits for the poor (Ashley, Roe, & Goodwin, 2001). Commonly used as

a tool for development, it is generally thought that the growth of the tourism industry creates more unskilled labour for the country's poorest citizens (Wattanakuljarus & Coxhead, 2009). Two main criticisms of this form of tourism are: the outside definition of poor, and the top down method of planning which may or may not include community collaboration. Pro-poor tourism was not selected as the framework for this research given the criticism of the use of the term 'poor' as a colonial First World outlook (Mowforth & Munt, 2009). However, the underlying concept of benefit transfer to disadvantaged locals is one that will influence this research.

Community-based tourism

Community-based tourism (CBT) refers to tourism that is located in a community, is either owned, operated, or generating benefits for the local community, and participation of community members is a part of the planning process (Blackstock, 2005; Hall, 1991). CBT is a term that can be used in conjunction with others. For example, community-based ecotourism would imply a community management structure of an ecotourism product (Jones, 2005); or, community-based cultural tourism would imply again a community management structure of a current cultural occurrence. While collaboration and community engagement will be discussed in the context of planning in this research, it is not the main descriptor or the sole focus of the tourism activity, and therefore was not chosen as a framework for this research.

Rural tourism

Rural tourism is defined by its location. The tourism activity takes place in a rural area, the activity is non urban in character and function, and reflects the history and environment of the area (Lane, 1994). Examples include historic sites, and agricultural interpretation. Rural tourism has been touted as a method for rural development and the achievement of greater development goals (Sharpley & Roberts, 2004). In this case however, while the archaeological sites are in a rural area, the sites are too specific to one area and do not represent the whole rural area. The sites are also clearly historical in nature, and not a typical rural activity. For these reasons, rural tourism is not the best framework for this research.

Archaeotourism

Archaeotourism or archaeological tourism refers simply to the travel to archaeological sites by tourists (Wurz & van der Merwe, 2005). While this term does apply to the present case study, it was not selected because archaeological sites also fall under the umbrella of heritage tourism, which is a more common term in both the tourism and cultural heritage management fields.

The preceding tourism niches all have peripheral relevance to this research, but are not central to its focus. Heritage tourism and sustainable heritage tourism, on the other hand, are the most relevant and provide the background for the guiding frameworks used in this study. These terms and their context are discussed in the following sections.

Heritage tourism

Heritage tourism is "tourism centred on what we have inherited, which can mean anything from historic buildings, to art works, to beautiful scenery" (Yale, 1998, p. 21). The word heritage describes the tourism offering, and broadly means any site dealing with inheritance. A more applied definition explains that heritage tourism is "a phenomenon that focuses on the management of past, inheritance, and authenticity to enhance participation and satisfy consumer motivations by evoking nostalgic emotions; its underlying purpose is to stimulate monetary benefits for its various constituencies such as the museums, historic houses, festivals, heritage hotels and other stakeholders" (Chhabra, 2010, p. 5).

Similar to sustainable tourism, an academic debate continues as to what exactly the definition of heritage tourism includes. One author sums up the debate by stating that "the core elements of heritage tourism centre on economics, emotions, motivations, inheritance, past, common (shared), authenticity, and participation" (Chhabra, 2010, p. 4). Much of the research recognizes that heritage is the umbrella term used for three different categories of heritage tourism: natural, cultural and built (Poria, Butler, & Airey, 2003). The World Heritage Convention (WHC), an arm of the United Nations Educational, Scientific and Cultural Organization (UNESCO), however, uses only two terms to categorize heritage: natural and cultural.

In both cases, natural heritage is defined in the same manner. Natural heritage refers to:

- "Natural features consisting of physical and biological formations or groups of such formations, which are of outstanding universal value from the aesthetic or scientific point of view;
- Geological and physiographical formations and precisely delineated areas which constitute the habitat of threatened species of animals and plants of outstanding universal value from the point of view of science or conservation; and
- Natural sites or precisely delineated natural areas of outstanding universal value from the point of view of science, conservation or natural beauty" (UNESCO, 1972)

An example of a natural heritage site would be Simien National Park in Ethiopia, which was inscribed on the World Heritage List for its unique natural landscape, flora and fauna ("Simien National Park - UNESCO World Heritage Centre," 2011).

Whether cultural heritage includes or excludes built heritage within the cultural category is the debate. In the academic case described by (Poria et al., 2003), cultural heritage is intangible and includes the activities that occur within the built heritage, but are recognized as being separate from it. Alternatively, the WHC defines cultural heritage as:

- "Monuments: architectural works, works of monumental sculpture and painting, elements or structures of an archaeological nature, inscriptions, cave dwellings and combinations of features, which are of outstanding universal value from the point of view of history, art or science;
- Groups of buildings: groups of separate or connected buildings which, because of their architecture, their homogeneity or their place in the landscape, are of outstanding universal value from the point of view of history, art or science; and
- Sites: works of man or the combined works of nature and man, and areas including archaeological sites which are of outstanding universal value from the historical, aesthetic, ethnological or anthropological point of view" (UNESCO, 1972).

An example of a cultural heritage site as defined by WHC, is the newly inscribed Konso Cultural Landscape in Ethiopia, which was recognized for its fortified settlements and its living cultural traditions ("Konso Cultural Landscape - UNESCO World Heritage Centre," 2011).

Built heritage, when not considered a part of cultural heritage, refers to historical urban and rural structures or elements, and not the activities taking place inside them ("ISCSBH," 2011). For the purpose of this research, the word heritage will be used on its own as an umbrella term, and will describe natural, cultural and built heritage.

Before elaborating on the definition of sustainable heritage tourism, the following section introduces the context of heritage tourism, which is based on the discipline of cultural heritage management.

Heritage Context

Heritage tourism and heritage management

Heritage tourism is "fundamentally different from that of general tourism" (Garrod & Fyall, 2000, p. 684). This fundamental difference stems from the institutions that manage heritage (Jamal & Kim, 2005). Heritage is commonly managed by a separate agency engaged in cultural heritage management (CHM), also referred to as cultural resource management, or cultural heritage stewardship. Often a branch of the government, this agency is tasked with protecting the significant assets of a nation's history and prehistory.

In heritage management, the ultimate goal is conservation, and less emphasis is placed on the visitor or community (Du Cros, 2001; Garrod & Fyall, 2000). Cultural heritage management is guided by strategic plans, which often do not include interpretation (Du Cros, 2001). On the other hand, heritage tourism maintains a focus on monetizing the heritage place while fostering appreciation for it (McKercher, 2002).

One conceptualization of the relationship between these two mindsets is to consider them to be at opposite ends of a continuum, where one pulls against the other. On one side is commoditization and on the other side is preservation (McKercher & Du

Cros, 2002). Heritage management professionals have been tasked with conservation as their main goal, which is often at odds with financial, educational and participatory goals (Garrod & Fyall, 2000). This curatorial approach often leads to financial difficulties, which may in turn compromise the protection of the heritage (Poria et al., 2003). The heritage and tourism branches of any given government have been known to work in complete isolation of one another, impeding the development of sustainable tourism practices (Wurz & van der Merwe, 2005).

In a perfect world there would always be enough funds to protect heritage sites, but typically scarce resources limit our ability to protect, and funds must be earned from multiple sources. A balance between the overtly curatorial approach of some in cultural heritage managers, and the overly commoditized approach of some heritage tourism developers is critical for protecting heritage resources. An overly commoditized approach may simplify a complex culture to icons or simple images, which do not convey the complexity of the whole story. This is especially true in the developing world where trade-offs between managing the resource and attracting tourists often favour tourist revenue over resource protection (M. Li, Wu, & Cai, 2008; Millar, 1989).

The development of trails in tandem with heritage sites in rural areas is common. Best practices exist to ensure that environmental resources such as local flora will be protected when the development of trails occurs. Proper trail management includes outlining and maintaining a constant trail; dissuading users from going off the trail; and replanting native plants as necessary (McNamara & Prideaux, 2011).

Protecting the heritage resource is not the only outcome of heritage tourism; it can change the lives of community members. The following section outlines the advantages and disadvantages of heritage tourism to hosting communities.

Benefits and challenges of heritage tourism

The specific benefits that a community can accrue through tourism are largely tied to economic growth (Dearden & Rollins, 2008), specifically revenue and employment (Chhabra, 2010). The revenue from the tourism industry can fund the upgrade of local infrastructure such as health care and water access (Sebele, 2010). The jobs created are often large in number, as tourism is labour intensive, and the jobs are often unskilled allowing for more local employment (Mitchell & Coles, 2009). Tourism

jobs can create supplemental incomes for family members, and can create a multiplier effect benefiting the other businesses in the area of the tourism attraction.

Tourism also has the ability to link industries such as agriculture and fisheries to supplementary incomes, and can help stabilize an industry (Mitchell & Coles, 2009). The growth of micro businesses, often owned by women, has been tied to tourism (Getz & Carlsen, 2005). The availability of funds from tourism revenues also enables the heritage sites to make the repairs necessary for conservation. In many cases, the funds may not have otherwise been available (Garrod & Fyall, 2000).

To ensure that the tourism development is sustainable it must also be long lasting. The product must be able to continue in perpetuity, the financing structure must not be based solely on government grants, and the revenue structure must have a plan to become self-sustaining (Chhabra, 2010).

Heritage tourism also has specific social benefits. A main social benefit comes from the external and internal importance put on the cultural resources. This increased importance and recognition of a site can result in subsequent protection and/or increased funding (Kiss, 2004). By gaining popularity as a tourism attraction, the cultural resource is effectively gaining an external champion supporting the importance of this aspect of heritage in the eyes of the local government (Kiss, 2004). In some cases, heritage tourism can also increase local pride, especially in the eyes of the younger generation (Hipwell, 2007). Finally, heritage tourism can be a forum for cultural exchange where both the host communities and the visitors learn about their respective cultures (Dearden & Rollins, 2008).

Tourism, however, has challenges that could outweigh any benefits to a community. The demonstration effect and the cessation of traditional cultural practices are two large negative social impacts of heritage tourism (Buckley, Pickering, & Weaver, 2003; Choi & Sirakaya, 2006). The demonstration effect refers to the local community beginning to emulate or idealize the practices of their visitors, by means of clothing, food and drink and actions towards one another (Buckley et al., 2003). The exposure to other cultures may cause the local population, especially the younger generation to de-value to the traditions of their parents in favour of the trends brought over from the tourists. The influx of tourists may also have a significant impact on language (Dearden & Rollins, 2008). As community members begin to recognize the employment opportunities of tour

guiding or interacting with tourists, community members may push their children into English language speaking programs beginning a generational change in language. This challenge may not be as prevalent in Ethiopia, as students are already instructed in English in secondary school (Bureau of African Affairs, 2011).

A further social impact to the local culture can arise after the tourism product has been well established. The local community can become dependent solely on tourism, and the power begins to shift from the host community welcoming the visitors in, to the tourists demanding more services (Dearden & Rollins, 2008). This power shift can result in eroding the profitability of the local businesses and jeopardizing the standard of living of the local people. An additional power shift has been recorded where those employed in tourism are quickly escalated to the upper middle class, widening the gap between the poor and the rich (Hipwell, 2007). Tourism has also been known to disregard the traditional uses of the land, and to restrict access of local people (Mitchell & Coles, 2009). Finally, tourism is known to indirectly support begging cultures in places where tourists give regularly and bring items for locals, especially children (Dearden, 1991). Begging has been recorded as a negative aspect of the tourist experience, and is considered a negative social change on local communities (Dearden, 1991; Gössling, Schumacher, Morelle, Berger, & Heck, 2004).

If left unchecked, these impacts on the social and environmental fabric of a community render any tourism development unsustainable. However, through incorporating sustainable practices and collaborative planning, these challenges can be acknowledged and minimized in order to maximize the benefits earned by the community.

Sustainable heritage tourism

As described above, sustainable tourism strives for financial stability, environmental protection and creating benefits for the local community. In the context of heritage tourism, the goals of sustainability can be integrated into protecting the heritage site, and creating a financially self-sustaining operation. Heritage tourism does not always meet the economic, environmental or social aspects of the three pillars of sustainability (Chhabra, 2010). Heritage tourism often fails on the economic pillar and

the social pillar, and by way of the economic pillar failing, the environmental resource is no longer protected. In other words, while based on conservation, heritage tourism often lacks the necessary funding or business model to maintain operations, and the communities are not always the recipients of the benefits of the operation (Garrod & Fyall, 2000; Poria et al., 2003). Sustainable heritage tourism can mitigate the challenges that tourism necessitates, as well as being the middle ground between absolute preservation, a mindset of some heritage managers, and zero protection, a mindset of some tourism developers (Bramwell & Lane, 2008; McKercher & Du Cros, 2002).

Some level of use will commonly be the most sustainable management strategy for a heritage site, given mandates for public access (McKercher & Du Cros, 2002; Poria et al., 2003). The 'pay for use' logic is often applied to heritage management as a form of financial management, so that funds collected from any public visitor aid in the upkeep of the site. Where some heritage managers might prefer that there be no level of use, the definition of sustainable tourism outlines that a resource is used, but in a sensitive manner. The concept of sustainability also connotes that future generations are of equal importance to our current generation, so that if sensitive use is possible, all generations should be able to learn from heritage sites. Thus, by using the term sustainable heritage tourism, this research combines the concepts of heritage conservation with the sustainability goals of:

- Financial stability,
- Social impact minimization,
- Sustainable use of the site, and
- Community benefit maximization.

The previous sections have defined the key terms, situated the research in the context of sustainability, tourism and heritage studies and have outlined the meaning of sustainable heritage tourism. The following section will elaborate on the planning research and address the question of how; how do we plan for sustainable heritage tourism?

Planning, governance and collaboration

Planning is a method for achieving an end, or a detailed formulation of a program of action (Merriam-Webster, 2011). While this dictionary definition may seem simple, the process of planning is not. Heritage, tourism and community planning each have a multitude of methods, shaped from years of practice and academic research. In heritage planning, international charters have heavily influenced the development of planning methods, while in tourism and community planning, public participation and collaboration methods have been changing the way plans are made. The following section elaborates on the planning processes used in each context, and describes the step in the planning process, situation assessment, which will be examined in greater detail in this research.

Heritage planning

The planning process for cultural heritage is different from that of community or tourism plans, as it typically involves plans mandated by a heritage branch of the government, or the UN (Garrod & Fyall, 2000). If a heritage site is of universal and international importance, the highest honour is to be listed in the UNESCO World Heritage List. The World Heritage Centre maintains the list, and is advised by two bodies: the International Council on Monuments and Sites (ICOMOS) for physical heritage, and the International Union for the Conservation of Nature (IUCN) for natural heritage (UNWTO, 2011a). These two bodies are the international sources for rules, regulations and best practices in heritage management. Upon acceptance to the list, the site managers must create a plan to manage the resource and the visitors to that site. This plan guides both the conservation practices and the growth of tourism (Landorf, 2009).

Best practices for heritage management and planning stem from a few classic documents. One is the Burra Charter (Deacon, 2006). The Charter outlines the sequential steps to follow for heritage tourism planning such as: location selection, community participation, change management, significance, interpretation, documentation and monitoring. Another generally accepted guide for best practices is the ICOMOS International Cultural Tourism Charter (ICTC). It highlights the need for a balance between conservation and a meaningful tourism experience (Deacon, 2006). The ICTC charter also emphasizes that local community involvement and benefits

returning to the community are important tenants of a cultural heritage site (ICOMOS, 1999).

Site management plans can also include specific tourism elements such as revenue management. The organization collects the revenue can have large ramifications on the likelihood of the local community (Nelson, 2004). Whether it's an external NGO, the local level government, or a committee or council reporting to the local government, the money should be managed transparently, and used for democratically agreed upon projects.

Heritage planning as well as tourism planning have both come to embrace community participation as a main tenant in best practices of planning for management of heritage sites. However, institutional differences also appear in these planning processes especially with respect to issues related to financing and ensuring community benefit. The disconnect between heritage planning and tourism planning often occurs when heritage planning fails to account for the market preferences and the fierce competition for tourist dollars, while the tourism development side often lacks an understanding of a fragility of a given site (McKercher & Du Cros, 2002).

Tourism and community planning

Where heritage planning begins with the goal of conservation and protection, tourism planning has a history in business and begins with the goal of profit. While not always for the single entrepreneur, profit can be collected for the country or community (Currie & Wesley, 2010).

Tourism planning can occur at the national, regional, destination or community level, or it can also occur at the single organization level, owned by any size of business. An often used process for either of these situations is the strategic plan. A strategic plan outlines the vision, mission and the high level tactics to achieve the shared goals. A strategic plan is based on the descriptive process of planning as well as the analytical capacity of those involved (Soteriou & Coccossis, 2010).

Community planning refers to planning only at the local community scale, often a municipality or district. In this case, planning is a process for decision-making where the outcome betters a community; more specifically, planning refers to the allocation of land,

resources and services to secure the physical, economic and social well being of communities (“Planning Is...,” 2011).

Both strategic planning and community planning have very similar high-level steps. Where planning processes often differ is in the level of involvement of key stakeholders and the members of the community (Grybovych & Hafermann, 2010).

Community empowerment in planning

Collective action refers to groups of people working together to achieve shared benefits for the community (Jules Pretty & Ward, 2001). Similarly, collaboration is "a process of joint decision making among key stakeholders about the future of [a problem] domain" (Gray, 1989, p. 227). Tourism planning models began incorporating sustainability ideas in the early 1990s suggesting higher levels of community participation and collaboration as a key best practice (Gunn, 2002; Inskeep, 1988). Following these recommendations, tourism planning models began using the terms: integrative, responsible, comprehensive, balanced, collaborative, participative and inclusive, to describe planning processes that adhere to sustainability principles and empower local communities (Grybovych & Hafermann, 2010).

In a summary of recent research on best practices in cultural heritage and tourism, (Loulanski & Loulanski, 2011) maintain that local people should be involved in the planning process from the inception, participate in all stages, and should be a primary concern for all other stakeholders; that planning discussions should include defining community values and whether heritage resources should be made available to the public; and that local people’s participation should be supported by the levels of government through training and financial support. Further best practices outline that in order for the key stakeholders to effectively work together, the relationships built among these stakeholders must be considered partnerships. McCool (2009) describes the attributes for effective planning partnerships as: representative, owned by all stakeholders, operating in a learning atmosphere, acknowledging power relationships, and maintaining access to knowledge.

However, collaboration and partnerships become more complicated when implemented (Mowforth & Munt, 2009). Community involvement is not as simple as recording the number of community members who participated in a consultation

process. Pretty and Hine (1999) explain that in practice, there is a typology of participation ranging from: passive, to consultative, bought, functional, interactive, self-mobilization. In many past tourism planning processes, local people were merely passive participants in processes where outside experts told stakeholders what had already been decided for them (Mowforth & Munt, 2009). For the most part, these have been replaced with more inclusive processes in which stakeholders participate in the functional, interactive, or even self-mobilization levels, and locals are included in discussions, decision-making, or even the facilitation of the process (Grybovych & Hafermann, 2010).

Social capital

Social capital affects the nature of collective action; it is a measure of the relations between group members, or the extent to which people relate positively with one another (Jones, 2005). More specifically, social capital refers to "features of social organization such as networks, norms and trust that facilitate coordination and co-operation for mutual benefit" (Putnam, 1995, p. 67). This definition encompasses both networking and group relationships, which are further defined by bonding and bridging social capital, as well as the values and norms that can influence individual's ability to work as part of a group (Putnam, 2001). Bonding refers to the exclusive actions of strengthening ties within the group, and bridging refers to the inclusive actions of extending outside the community or institution (Putnam, 2001).

When managing a common resource, the amount or polarity of social capital can have an effect on the way resources are managed. Jules, Pretty and Ward (2001) explain that "[social capital] captures the idea that social bonds and social norms are an important part of the basis for sustainable livelihoods," (p.210) and that social capital is "central to equitable and sustainable solutions to local development problems" (p.209). Furthermore, this relationship between social capital and sustainable management is causal, where a high level of social capital is considered a necessary component of successful collective management (Jones, 2005).

The information sought when researchers are trying to determine social capital include an individual's participation in formal organizations, their connections in informal networks, as well as an individual's feelings of trust, reciprocity, and solidarity (Grootaert, 2004; Krishna, 2004). A key aspect in determining social capital is an understanding of

the institutions, be it formal or informal, within the community. The levels of membership density in organizations and the levels of trust within a community are two key elements of determining social capital (A. D. Mitchell & Bossert, 2007). (Putnam, 2001) explains that trust facilitates participation and cooperation in groups, which also facilitates economic and institutional development.

Another element of social capital relevant to planning is the management structures of the groups in a community. In order for a community to share the benefits from sustainable heritage tourism, an institution must exist, or be created, to manage the revenue and to spend it equally and democratically (K. Simpson, 2001). Adding to this aspect of egalitarianism is the gender make up of leadership positions in the groups within a community. Women's voices need to be heard in the decision-making processes for collective managed processes like that of a sustainable heritage tourism endeavour to be successful in the long term (Momsen, 2002).

Governance

Community participation and governance are two sides of one coin. "Governance, well integrated and synchronized on all levels, is a critical factor for assuring sustainability" in heritage tourism planning (Loulanski & Loulanski, 2011, p. 851). The planning process exists on many scales, and is governed by different organizations: local, regional or national government, private corporations, or NGOs. These governing institutions can be informal networks or formalized governments.

Tourism is frequently a top-down and outsider run industry in developing world contexts (Tosun, 2000). The emergence of collaborative policymaking is considered to be part of a broader shift in the role of the state from a neo-liberal role as a "provider" to that of an "enabler" (Vernon, Essex, Pinder, & Curry, 2005, p. 327). (Burns, 1999) expresses these governmental roles as the Rightist or 'tourism first', where the planners assume that tourism benefits will trickle down to the community members as a part of the multiplier effect, and the Leftist or 'development first', which gives the community a voice, increases participation and direct employment.

One must also recognize that no plan is perfect, and no plan can be made with knowledge of all information and all possible alternatives. Represented by the concept of 'bounded rationality', organizational decision making is an iterative process limited by the

decision-making agents and their political leanings, values and principles, resulting in adequate, but not theoretically optimal outcomes (Currie & Wesley, 2010; Eisenhardt & Zbaracki, 1992).

Heritage tourism is unique in that the assets and sites are mostly owned and managed by the government. Therefore a private developer would not be directly involved in the management of the site. While planning also can influence the private tourist attractions through by-laws and subsidies, these types of attractions are infrequently related to heritage, and will not be discussed in this research. The fact that heritage is considered the property of the national government in most countries, and in Ethiopia (*Proclamation No. 209/2000: Research and Conservation of Cultural Heritage*, 2000), is of great importance to this research as the planning methodologies used do not assume an outside corporation will be running the planning process, but that the process should include all stakeholders.

Heritage tourism planning

As seen from the research in planning, social capital, institutions and social capital, there is much to consider in a planning process with multiple stakeholders. McKercher and Du Cros (2002) present a planning framework that acknowledges both the heritage goals and the tourism goals of a given process. Their framework is very similar framework to a strategic tourism planning process (Soteriou & Coccossis, 2010), and a community planning process (Hodge & Gordon, 2007). Whether the planning process was written from the perspective of the community, a strategic level, or with heritage tourism in mind, the steps involved follow a typical planning process (K. Simpson, 2001). Given the similarities, this research will use the planning framework described in the context of heritage tourism. The following planning framework by McKercher and DuCros (2002) will be used in this research to describe the heritage tourism planning process:

1. "A realistic assessment of the current situation, including an internal and external analysis
2. Consultation
3. The establishment of a mission or vision
4. The identification and selection of the most feasible options
5. Establishment of quantifiable and assessable goals and objectives
6. The creation of action plans to achieve the goals and objectives (budgets, programs, projects, actions)

7. Establishing an evaluation and feedback mechanism to monitor achievement of the plan's objectives" (K. Simpson, 2001).

This research will focus on the first step in the planning process, the situation assessment.

As mentioned above, the planning process is a shell, or a series of steps; the process itself is neither sustainable nor unsustainable. What makes the outcomes sustainable or not are the methods chosen to attain the outcomes of each step. The methods chosen for consultation, or to identify options, will dictate how sustainable the outcomes of the planning process are. Simply put, if the methods are not sustainable, the outcomes will not be sustainable. It is the methods that differ between community planning, strategic planning and other sorts of planning such as heritage tourism planning. In certain cases in strategic planning, a method for situation assessment is often used where information is not collected on environmental or social aspects, but only financial. This method will render information that will enable the rest of the planning process to occur, but it will not produce a sustainable result (Mintzberg, 1994).

The methods selected to accomplish each step must be sustainable. In this research, the situation assessment will be based upon sustainability principles, so the baseline information includes environmental and social information, as opposed to simply financial information. The planning process used here by McKercher and DuCros (2002) incorporates community empowerment into the methods proposed for each step, and recognizes the governance issues. This method will be discussed in greater detail below.

This section described the larger planning context for sustainable heritage tourism planning, and outlined a suggested planning process. Governance and community empowerment are two important issues in planning, and the literature presented here is the basis for the modifications discussed in the methods section. The following section describes the step of the planning process that this research examines in greater detail: the situation assessment.

Situation assessments

First step of the planning process

The planning process begins with an assessment of the current situation (McKercher & Du Cros, 2002). Also known in various planning and management contexts as an environmental scan, situation analysis, community conditions survey, audit or feasibility analysis, this step establishes the background information that will be used to make decisions in the rest of the planning process (Hodge & Gordon, 2007; Soteriou & Coccossis, 2010). In a tourism business context, a feasibility analysis is "a process of collecting and analyzing data prior to the development start-up, evaluating the development's feasibility, and then using knowledge thus gained to formulate the business plan itself" (Currie & Wesley, 2010, p. 381).

The feasibility literature comes from the business realm, where it is assumed that one or more entrepreneurs own the venture, and their main goals are increasing profitability and market share. These goals do not apply to the current situation, as the heritage sites are 'owned' by the government, and are used and are culturally 'owned' by the local people. The method, however, of a feasibility study is still relevant, as the heritage tourism site will operate to make a profit, albeit that profit will be redistributed to the local community. Best practices for a feasibility analysis include: flexibility, goal alignment, accommodating multiple objectives, and sharing information in a useful manner (Currie & Wesley, 2010).

This first step in the planning process is critical, as the funding for the project and the heritage site may not be secured. The community, or an outside stakeholder such as an archaeologist, may suggest the initial idea for tourism, with neither entity being the funding partner. In a developing country like Ethiopia, the funding partner is likely to be the regional or federal government, through indirect foreign aid, direct foreign aid to the project at hand, or an outside source such as an NGO or educational partner (M. C. Simpson, 2008). Because of the outside funding source, this initial planning step is especially important to solidify the opportunity. If the planning process goes ahead without funding, and the funding never comes through, the significant time invested by all stakeholders in the process may result in decreased participation in the future.

There is little academic research on this first step in the planning process in regards to heritage and heritage tourism (Stubbs, 2004). One loose framework was proposed but not tested by Stubbs (2004) to evaluate an urban built heritage site for its ongoing sustainability, including such principles as climate change, social inclusion and employment created by the heritage project. Landorf (2009) presented a series of criteria for the situation analysis stage of World Heritage site planning, including: tangible heritage, intangible heritage, land use and ownership, demographic characteristics, economic characteristics, economic benefits, heritage tourism activities, capacity of infrastructure, visitor details and integration. The more of these aspects addressed in the site management plans, the more sustainable the heritage tourism (Landorf, 2009). This lack of academic research in heritage tourism situation assessment frameworks may be due to the proprietary nature of heritage consulting, and the need for these businesses to guard their methodologies for internal use only.

In the governmental, and NGO 'grey literature' there are multiple examples of situation assessment frameworks being applied and becoming the catalyst for the remainder of the planning process. The National Trust for Historic Preservation (NTHP) for example, offers a heritage tourism assessment service, where the methods being followed closely reflect those listed in the academic literature (National Trust for Historic Preservation, 2012a). Specifically: the process they proposed had a planning steering group with community representatives, and the community at large was also consulted; the professionals assessed the market as well as the uniqueness of the attraction; and recommendations were given on how the community can develop tourism given the challenges (National Trust for Historic Preservation, 2012a). In the case of St. Augustine, Florida, the NTHP completed their assessment in 2003, recommending that tourism could be developed and enhanced through better signage, an investment in their visitor's centre, and additional development of living history sites (National Trust for Historic Preservation, 2003). Years later, those suggestions are in place, and St. Augustine is gearing up for their 450th anniversary celebrations in 2015 (National Trust for Historic Preservation, 2012b). Similar examples of these types of community tourism assessments are also found in Canada on the provincial level with such programs as the Community Tourism Foundation and the Community Action Plan Process (Ministry of Jobs, Tourism and Innovation, n.d.).

The key benefit of spending time on this first step is in clearly addressing whether tourism is the best answer for the problem at hand (McKercher & Du Cros, 2002). The situation assessment can lead to a recommendation of 'no-go' should the analysis indicate the market would not be interested, the heritage site is too fragile, or the community is against the idea.

Rapid rural appraisal

The goal of the situation assessment is to gather information to make a recommendation for future planning. This type of research is very similar to a methodology called Rapid Rural Appraisal (RRA), used in the realm of development studies. As opposed to the outside development experts using rigid time-consuming questionnaires, the RRAs enabled "outsiders to gain information and insight from local people and about local conditions, and to do this in a more cost-effective and timely manner" (Chambers, 1994, p. 957). This method has been used in field research and analysis in many areas including: agriculture and irrigation; natural resources such as forestry, fisheries and wildlife management; health and nutrition; and disaster relief (Chambers, 1994). The main methods used in a RRA are semi-structured interviews, observation and secondary sources (Chambers, 1994). After collecting the RRA data, the researcher would analyze off site and report on the conclusions, often only in an academic journal.

While the methods used in an RRA are quite similar to the approaches that are used to conduct situation assessments, there are differences. The RRA is a one step process, which elicits information largely without the purposeful engagement of all stakeholders. The heritage tourism planning process on the other hand is an iterative multi-step process, which feeds the information from the situation assessment to the community members and government stakeholders to allow the group to come to a consensus decision on the management strategy to pursue. As mentioned above, community members should be involved in the planning process from the very beginning to ensure a more sustainable outcome. In the RRA process, the focus is on the researcher's conclusions, assuming that they are the only step of a process. Heritage tourism planning however, integrates the opinions of the community into the assessment, but then also feeds the assessment back to the community for further action.

Situation assessment framework and modifications

Among the few examples of academic research on situation assessments for tourism and heritage tourism, was a framework by Wurz and Van der Merwe (2005). The authors created a set of criteria called the Heritage Asset Sensitivity Gauge (HASG) to determine whether to pursue tourism of a heritage site. Their work was based on the work of two previous authors. Du Cros (2001) first introduced the relationship between site robusticity (the fragility of the heritage site), and the market appeal of the site by creating a matrix with these two concepts as the axes. Expanding upon this framework, McKercher and DuCros (2002), created a list of criteria for a situation assessment for heritage tourism, which they tested on heritage sites in Hong Kong. Finally, based on these assessment criteria, Wurz and Van der Merwe (2005) created an expanded set of criteria to explore the possibility of a heritage tourism initiative in South Africa. Their three main categories of criteria were: market appeal, cultural significance and site vulnerability.

The HASG was a good fit for this research's case study given the framework's basis on heritage tourism, and the incorporation of some sustainability principles. The criteria presented in the framework were based on international perspectives, such as the International Cultural Tourism Charter. The framework also provided descriptions for each of the criteria to encourage consistent application, and a likert scale of 0 to 3 was used to quantify the results. Through equal numbers of questions in each section, the HAGS attempted to balance the interests of tourism and heritage management.

Modifications

While some sustainability principles were incorporated into the framework, it did not include enough of the local community perspective, and certain modifications to the framework were necessary. As mentioned above, in order for an outcome to have the chance at being sustainable, the method used must be based on sustainability principles.

The first changes necessary was to remove references to South Africa, as the HASG assessment was written for the country of South Africa. These criteria were rewritten, and the assessment framework was renamed the Sustainable Heritage Tourism site assessment (SA).

Table 1 Summary of modifications to the HAGS

HAGS section name	SA section name	Changes
Market Appeal	Market Appeal	
Cultural Significance	Heritage Significance	Name changed to "Heritage significance"
Site Sensitivity	Site Sensitivity	Re-coded the Likert scale
	Community Involvement	4th Section added: Community Involvement

The SA was then adjusted to address a scoring issue apparent in the 'site sensitivity' section of the HAGS framework. As initially configured, the HAGS assigned the highest score to assets that high market appeal, as well as high fragility. A highly fragile site is not the most suitable for tourism- it is the exact opposite. This scoring system was counter to the suggestions of McKercher and DuCros (2002). The 'site sensitivity' scoring system was realigned to reflect the McKercher and DuCros approach.

The SA was also modified to address a gap in the HASG approach. The HASG did not adequately address the sustainability principles identified in the research, specifically those associated with social dimensions of sustainability. As described in the literature review, community participation is key to the success of sustainable heritage tourism development. The 'cultural significance' (herewith referred to as: 'heritage significance') section of the SA is written from an outsider's perspective without considering the opinions and capacity of the community. Wurz and Van der Merwe (2005) acknowledge that: "the involvement in participatory conservation and consequent empowerment of local communities... would increase the level of sustainability in archaeotourism" (p.15). However, they see participation and community involvement as a consequence of the management practices pursued. It was my contention that community capacity and readiness should be assessed so as to ensure an appropriate fit with tourism, as well as to help assess the extent to which the community has the capacity and/or willingness to own and/or manage the operation. To address this gap, ten indicators were added to represent the community's readiness and willingness to participate in tourism. These were included in an assessment section referred to as 'community involvement'. Many of the criteria in this section were based on work by

McKercher and DuCros (2002) who wrote: “no assessment is complete without assessing the skill, resources and capabilities of the people involved and the resources available to them” (p.183). One of the most important indicators in this section is whether tourism desired by the community, and whether they wished to host tourists. As indicated on the SA, if either of these criteria is found to be 0, indicating that there is no support for tourism, the project should not go forward. These criteria outweigh all of the others, and should be seen as a condition to be met before analyzing the other criteria.

The SA addresses sustainability principles related to financial stability through the market appeal criteria, heritage conservation concerns in the site sensitivity section, and community benefits and impacts in the community involvement portion of the framework (see the methods section).

A further necessary change to the HASG pertained to the collection of information. Wurz and Van Der Merwe (2005) proposed that researchers apply their assessment framework without conducting formal interviews or interacting with local officials or the community. While the SA framework’s information requirements could have been collected without the use of primary data, I felt that it would be more comprehensive and rooted in the circumstances of the case, if it included in-situ engagement with local informants. I felt that their involvement would help validate observations, impressions and empirical evidence collected. It was felt that this approach would subsequently produce results that were more reflective of the multiple stakeholders in the region. Without such engagement, it would be more akin to Rapid Rural Appraisal, where the level of participation as per Pretty and Hine's typology (1999) would only be a uni-dimensional or one-way consultation. All situation assessments are subjective in nature, with the outcomes reflecting the view(s) of the person(s) conducting them (McKercher & Du Cros, 2002). By incorporating local stakeholders, the assessment reflects the voices of others as well as those of the researcher. This has the potential advantage of increasing ownership of the overall assessment amongst those most affected by the outcomes of such evaluations, while incorporating sustainable tourism best practices (Tosun & Timothy, 2001).

This improved framework adds to the small body of academic knowledge on assessment frameworks in heritage tourism, and provides a methodology for situation

assessment that incorporates sustainability principles, increasing the chance the resulting development will also be sustainable.

Conclusions

The preceding literature review helped frame this study's focus and intent by:

1) Contextualizing sustainable heritage tourism within other key concepts of tourism, sustainability, sustainable tourism, heritage tourism, and heritage management;

2) Identifying many of the strategic challenges confronting the development of this type of tourism;

3) Identifying the best practices for collaboration and community participation in the planning process; and

4) Establishing the planning framework most relevant to sustainable heritage tourism, and the methods related to situation assessment.

Chapter 3: Case Study and Methods

The literature review identified the key principles and criteria necessary for evaluating the potential of a heritage site for sustainable tourism. Building on that literature, this methods section outlines the components of the situation assessment framework employed in this research, the methods employed to capture its data, and the case study context in which it was used.

Methods

A situation assessment framework guided the collection of information necessary to begin the planning process. The utility of this framework and the amendments to it are tested in a case study. Factors explored in the case study are informed by a combination of secondary literature review, semi-structured interviews, a focus group, and field observations. In combination, this multi-method approach helped enrich the depth and breadth of data collected, and triangulated the validity of the case study findings (Decrop, 1999). The following sections outline the framework, the modifications to the framework, and the methods used to conduct the case study.

Sustainable Heritage Tourism Situation Assessment (SA)

As mentioned in the literature review section, the SA has four sections: Market Appeal, Heritage Significance, Site Sensitivity and Community Involvement. The following tables include the criteria used in this research, based on the work of Wurz and Van der Merwe (2005). The new section, Community Involvement, is the additional section added to reflect sustainability principles.

Market Appeal

	Criterion	Explanation	(0)	(1)	(2)	(3)
1	Scenic ambience & setting appeal	Natural splendour & environmental integrity associated with asset	Degraded environment lacking any relation to original setting	High degree of modification but not totally degraded	Some degradation detracting from ambience & setting	Outstanding quality retaining ambience of original setting
2	Prominence as national icon	Uniqueness & representivity of universal qualities (e.g., Stonehenge or Robben Island inspire poets, writers & archaeologists)	No uniqueness	Local prominence	Some National prominence	Universal uniqueness
3	Place evocativeness (ability to tell a good story)	History can be brought to life & made relevant for visitors by evoking significant feelings & happenings	None	Vague notions contribution to evocativeness	Associations with local folklore	Local & nationally well known folkloric & literary
4	Potential for packaging with other nearby tourism products	Accessibility & setting allow combination with other tourist experiences (e.g., hiking, abseiling, game viewing, festivals, routes, spiritual pilgrimages) in same vicinity (50 km), either combined with difference products or bundled in themed packages	None	One fixed natural &/or cultural assets	Many fixed natural &/or cultural assets	Natural &/or cultural assets, activities & events (routes)
5	Appeal for special spiritual needs or uses	Integrity & intactness accommodate tourists need for deeper existential connection to spiritual meaning of heritage (roots, nostalgic experiences)	Integrity & intactness do not allow interpretation or connection	Integrity & intactness allow low degree of connection	Integrity & intactness allow a medium degree of connection	Integrity & intactness allow a high degree of connection
6	Tourism profile of region as national magnet	Extent to which region is known for heritage & other tourist activities	Unknown	Local reputation	Nationally celebrated	Internationally famous
7	Potential to generate new income	Potential for development to generate new economic income & spin-offs for local community in terms of multiplier effects	None	Uncertain	Limited	Significant new income & stimulation of related income-generating activities
8	Potential public/private financial	Potential for development to attract public or private financial support	None	Official commitment	Application for public funds lodged	Public/private funding approved

	support					
9	Cost of access	Regional connectivity &/or road-to-site access & proximity to major tourism market	Secondary/provincial gravel road >50 km to nearest town	Provincial gravel road >50 km to nearest town	Tarred road >50 km to nearest town	Within 100 km of metropolitan hub
10	Number of site amenities	Presence of facilities (e.g., ablutions, pathways, site information) on or near the site. List total	0	1	2	>3

Heritage Significance

	Criterion	Explanation	(0)	(1)	(2)	(3)
1	Aesthetic significance of asset	Beauty in terms of attributes such as form, scale colour, texture, design & technical integrity	None	Some form & composition attributes	Noteworthy form & composition attributes	Distinctive form or composition attributes; design & technical integrity produce exceptional asset
2	Experiential significance surrounding landscape	Extent to which natural setting (landscape form scale, colour, smells, texture) enhances visitors experience	Environmental setting damages experience	Conflict between landscape & asset spoils experience	Proximity of degradedness & degree of landscape change detracts from cultural heritage	Pristine environment provides optimum experience
3	Historical significance	Extent to which asset demonstrates continuing association with past cultural practices & historical events, phases, periods or activity regardless of intactness of asset	None	Vague/ local historical connection	Strong national significance	Major international & national significance
4	Educational value & potential	Potential (e.g., for accessing indigenous knowledge & context & associations of asset) for interpretation & transformation into educational, easily understandable information bytes & setting can be used to facilitate learning experience (Primary would be an	None	Some information relevant to primary & secondary learners; setting does not facilitate a	Information highly important to primary & secondary learners; setting facilitates learning	Information highly important to primary, secondary & tertiary learners; setting facilitates learning experience

		academic visitor, a secondary visitor would be a non-academic, and a tertiary visitor would be a person not interested in history)		learning experience	experience	
5	Social significance	Strong/ special social/cultural association with particular community or cultural group (e.g. importance to community's sense of place, focus of group's spiritual, political, national or other cultural sentiment & use for/ association with important events)	None	Few members of local community value sense of place	Local community values significance but place not associated with any events	Local community honours place as central to its identity, uses it for important events
6	Scientific value	Importance as intact benchmark. Reference site/ type of feature, providing evidence of past human cultures unavailable elsewhere with potential to yield substantial information contributing to understanding of cultural history	None or ruined	Some significance but site not intact	Moderate significance & intactness	Universal significance due to high intactness & meaning
7	Uniqueness	Evidence of artistic, technical achievement, defunct custom, way of life or process, unusually accurate or unique evidence of a significant human activity	Common (everywhere)	Fair number of similar sites	Few similar sites; moderately uncommon	Unique
8	Indigenous spiritual significance	Links with local sacred indigenous awareness & customs	None	Some but links severed	Spiritual links weakly maintained	Major significance widely maintained through spiritual practices
9	Significance as potential national unifying socio-cultural symbol	Symbolic value that helps build common identities, reinforcing national myths & cultural symbols	None	Some but unexploited	Limited, some exploitation	Major, widely exploited
10	Significance as representing a type (style, structure)	Exemplifies particular style, technology, high creative/ technical achievement, culmination of particular style, principal characteristics of particular class of cultural heritage	None	Some	Noteworthy	Archetypal distinctive representation

Site Sensitivity

	Criterion	Explanation	(0)	(1)	(2)	(3)
1	Risk of natural damage (list total)	Vulnerability to physical damage by natural elements (wild animal, entry/ interference, atmospheric, fire, water)	5 or more	3-4	1-2	None
2	Risk of human damage	Capacity to withstand damage by humans	Unprotected, easily damaged	Poorly protected	Well protected	Fabric cannot be damage by humans
3	Current level of irreversible damage	Amount of natural & human damage already sustained	Irreparable damage	Some repairable, some irreparable damage	Limited repairable damage	Original pristine condition
4	Potential negative impact of high visitation on fabric of asset	Potential of high visitation to impact adversely on physical (e.g., by trampling) & social (by experiential authenticity) environment	High impacts	Some impact	Little impact	No impact
5	Potential negative impact of high visitation on social	Potential of high visitation to introduce new value systems, causing large sections of communities to become dependent on tourism, possibly leading to loss of self-reliance & traditional activities	High potential	Some potential	Low potential	No potential
6	Level of guidance provision	Trained guide present to guarantee physical production & experiential authenticity	No intention to provide guiding	Expresses intention to provide guiding	Tour operator or expert guides	Local guide trained & employed
7	Level of site management plan initiation	Degree to which site management plan is initiated	No plan	Plan initiated	Plan in approval process	Site plan approved
8	Regular monitoring and maintenance	Frequency with which the heritage organization monitors and maintains the site	Never	Knowledge of the site, but no resources	Visits have historically taken place	Visits occur regularly
9	Number of exposure monitoring &	Measures may include regular site impression, fencing, boardwalk, notification, site supervision, visitor	None	1-2	3-4	5 or more

	protection measures in place	number recorded				
10	Number of stakeholders actually/ potentially involved/ consulted	Stakeholders include ARCCH, Ministry of Tourism, local community, local tourism authority, funding agency	1	2-3	3-4	5 or more

Community Involvement

	Criteria	Explanation	None (0)	Low (1)	Medium (2)	High (3)
1**	**Desire for involvement**	The extent to which the local community expresses the desire to become involved in heritage tourism (McKercher and DuCros, 2002)	Not interested in heritage tourism	Indifferent to heritage tourism	Mild interest in heritage tourism	Clear and positive interest in heritage tourism
2**	**Desire for hosting tourists**	The extent to which the local community is interested in visitors in their community (McKercher and DuCros, 2002)	Not interested in outsiders visiting the community	Indifferent to outsiders visiting	Some reservations about outsiders	Happy or excited at the prospect of outsiders
3	**Skills of individuals involved**	The type of skills present in the community as they relate to tourism (McKercher and DuCros, 2002)	No applicable skills for tourism	Knowledge of trails and way-finding	Knowledge of trails, site history and cultural significance	Knowledge listed in Medium as well as foreign language training
4	**Institutions in local community**	The number and activity frequency of the community groups in the community (Mitchell and Bossert, 2007)	No community groups	Inactive groups	Up to five community groups active	More than 5 community groups spanning various types of skills
5	**Gender split in positions of power**	The number of women leaders within the community (Momsen, 2002)	No women leaders in community groups or elected positions	Unofficial women leaders	One or two women in elected positions	Three or more women in elected positions
6	**Institutions capable of handling**	The existence of groups with the structure to share resources among all members (Mitchell and	None	Existence of group with closed	Existence of group, open to all, but has not	Existence of group, open to all, already

	profits collectively	Bossert, 2007)		membership	has resource before	sharing resources
7	**Amount of money/resources available locally**	The amount budgeted for tourism or heritage protection at the community level (McKercher and DuCros, 2002)	None	Approximately 1-15% of the investment	Approximately 15-50% of the investment	Approximately 50-100% of the investment
8	**Social capital**	The amount of social capital estimated in the community as defined by (Grootaert et al., 2004; Pretty and Ward, 2001; Jones, 2005)	None	Bridging only	Bonding only	Bonding and Bridging
9	**Local political importance of tourism**	The extent to which local authorities list tourism as a priority (McKercher and DuCros, 2002)	None	Infrequently listed as a mechanism for development	Mid level priority	High priority
10	**Ownership and stakeholder relationship established**	Whether the ownership of heritage assets is protected by law (McKercher and DuCros, 2002)	Ongoing disputes of heritage ownership	Ownership not agreed upon	Ownership supported by law	Ownership supported by law, and enforced

**= If either of these criteria are 0, the tourism project should not go forward, as these criteria are conditions that must be met.

Case study

A case study method was chosen to test the utility of the SA framework. The case was chosen based on the availability of an undeveloped heritage site in the proximity of a community, as well as opportunistic circumstances related to academic support for my work. Case studies have been criticized as a methodology for a number of reasons: theoretical knowledge is seen as more valuable than case knowledge; generalizations cannot be made from case studies; case studies are only useful for generating hypotheses; and researcher biases are more prevalent. However, Denzin & Lincoln (2011) argue that case studies produce more valuable knowledge as human affairs cannot be reduced to predictive theories and universal rules; that case studies are useful as stand alone studies; and that experience has shown case studies tend to falsify preconceived notions as opposed to verifying them.

A case study is the preferred method when the questions being asked are exploratory 'how' and 'why' questions, and the problem being addressed can improve future practice (Merriam, 1988; Yin, 1994). In this case study, the 'how' question refers to how this community can evaluate whether heritage tourism should be pursued, and why this given framework should be used. And, the outcome of this question will produce a set of criteria that can improve future practice. Furthermore, a case study is "particularly appropriate for examining the dynamic process-oriented nature of collaborative planning processes" (Selin & Beason, 1991). Given that a situation assessment is the first step in the planning process, a case study is a way to examine the beginning of this process.

Case study research tends to be qualitative in nature, and involves multiple techniques of data collection. Cases can be selected randomly, for their extreme nature, their critical nature, or for the goal of explaining a paradigm (Denzin & Lincoln, 2011). This current case was selected to "develop a metaphor or establish a school for the domain that the case concerns" (Denzin & Lincoln, 2011, p.309) in keeping with the goal of explaining a paradigm. In short, a case study was chosen as the method to evaluate the framework, as the research questions were exploratory, the questions asked are not seeking universal rules but specific knowledge, and that the desired outcome is to produce a framework for use in similar cases.

In order to build this case study, information was gathered from secondary sources, semi-structured interviews, a focus group and observation.

Secondary literature

In order to gather the data necessary for the market appeal portion of the framework, it was necessary to gather additional secondary data from the key informants involved with Ethiopia's tourism industry. Additionally, in order to better understand the governance framework in Ethiopia, it was necessary to create an organizational profile of the governmental entities involved, and their processes for new site development (Strati, 2000). Further secondary data, such as government reports, and tourism marketing materials were also collected. Many of the documents were not the most recent version, as the most recent versions were still a work in progress. For the tourism statistics specifically, the available data were very focused on the capital region only, and had little information about travel within the country.

Semi-structured interviews

Semi-structured in-depth interviews were used to elicit information from key informants. These interviews entailed a set of questions used to guide and focus the data collection process. They were often open-ended and helped the researcher listen to and "follow the train of thought" of the respondents, allowing for follow-up questions to deepen understanding (Westwood, 2007, p. 294). These types of interviews are most effective in situations where the exact areas of inquiry are malleable, and there is reason to build rapport and trust with the interviewees (M. C. Simpson, 2008). Semi-structured in-depth interviews are relatively effective in gathering qualitative data, and can lead to areas for follow-up (Westwood, 2007). The purpose of the interviews was to elicit information along the three main lines of inquiry: archaeology and heritage management, tourism, and community participation in economic development and tourism. These themes guided the interview process. Frequent areas for follow-up within the interview included descriptions of tourist profiles, and the current processes for heritage site management. The interview process engaged the key stakeholders in a consultative manor and supplied the data needed to complete the situation assessment. Please see appendix 2 for the interview questions.

Interviewees were selected at all of the possible spatial scales: the national (Addis Ababa), regional (Mekele), city (Adigrat), and rural (Shewit Lemlem) levels. The respondents were chosen based on the recommendations of Dr. Catherine D'Andrea, Ato[1] Habtamu Mokenen, an archaeologist and government representative who acted as interpreter, and the first interviewees in Addis Ababa, using the snowballing technique (Warren & Karner, 2004). The interviewees were individuals deemed to be particularly knowledgeable in certain knowledge fields: tourism, archaeology and heritage, and local issues. Specifically, the interviewees were selected from the archaeological or heritage branch of the government, the tourism branch of the government, travel and tourism companies, the local government and local community members. The categories of respondents reflected the key stakeholders involved in heritage tourism. For each organizational category, a minimum of three respondents was sought. Respondents were no longer sought out when each of the lines of inquiry had been addressed within the category. In certain categories, such as regional or municipal government, the number of employees limited the number of potential respondents. The respondents and their respective stakeholder groups will be discussed in more detail in the case study.

The interviews took place in English where possible, and were simultaneously translated into English by Ato Habtamu from Amharic or Tigrinya languages in most cases. The interviews took place with the researcher, Ato Habtamu acting as translator, and the respondent. More than half of the interviews took place primarily in English. All interviewees voluntarily agreed to participate in the interviews after being informed, and agreeing with, the purpose and intent of the study. The researcher took notes of the responses, and when permitted, recorded the interview for transcription at a later time. A total of 43 respondents were contacted over the course of the field season in June 2010 (Table 2).

[1] Ato is Amharic for Mr., and Weizero/ Weizerit is Amharic for Mrs./Miss

Table 2: Interviewees

Organization	Number
Government (Fed)	8
Government (Reg)	3
Government (Mun)	6
NGO	7
University	3
Tour Company	5
Local	9
Church	2
TOTAL	**43**

Given that the information sought spanned three very different categories (heritage, tourism and community participation in planning), few respondents had answers for all questions. The most robust information collected pertained to the organizational structure and management of heritage in Ethiopia. Many respondents knew a great deal about the system, and what they wanted to change.

As an outsider to the community and country, the researcher needed to speak to additional respondents to gain an in depth understanding of the context, specifically at the Federal level. Gaining an understanding of the different Ministries and their roles required additional interviewees. A local researcher may be able to speak to fewer respondents in each of the stakeholder categories.

Focus Groups

Focus groups sessions are often used in tourism planning contexts to engage specific groups of stakeholders in information communication and collection processes. They are frequently used to engage local residents in planning processes that may affect their communities (Westwood, 2007). As a qualitative method of data collection, focus groups are particularly helpful in eliciting information from groups of stakeholders who may benefit from hearing the opinions of others participating in the sessions (Warren & Karner, 2004). In this research, one hour-long focus group was held with five influential members of the community, as determined by the community to help identify and discuss potential tourism assets in their village, opinions on tourism's utility to them, and local institutional capacity. The leader of the Tabia selected the focus group members. A

random sampling was not possible as the leader requested to choose the members of the focus group. The focus group make-up was a challenge, as the members were likely not representative of the entire community but were influential community members themselves.

The questions asked during the focus group were a shortened version of the key informant questionnaire. The focus group encouraged the sharing of ideas among members of the group, as opposed to the interviews, which did not enable respondents to discuss and change their answers. The focus group produced responses that were public opinions as opposed to private opinions. This can be seen as both a challenge and a positive outcome. One might infer that personal opinions may differ from public opinions, but the results of this focus group were also compared against what individual community members responded in their interviews. The focus group results could also be a positive outcome as the influential members of the community have all agreed on a certain question, such as whether tourism is welcome in their community.

Observation

Personal observations were used to support, challenge, and enhance the interpretations of the interviewee and focus group attendee remarks (Angrosino, 2005). Observation can build the depth of case studies by drawing out insights concerning the meanings behind what was said, the interactions that happened, and the background context of what is transpiring (Denzin & Lincoln, 2011). Watching, and listening carefully in situations other than the interviews can provide important information regarding the daily life, social relationships and social structures of a community (Neuman, 2010; Warren & Karner, 2004). One of the strengths of observation is that it allows the researcher to interact passively in situations where direct participation may not be welcome. Some disadvantages of observation include not being able to ask those involved for clarification, or to build upon the information collected (G Richards & Munsters, 2010). In this case study, observation was used in determining criteria such as the prominence of the site as a local or national icon, where posters, postcards and photos were inputs to determining whether this site was known. Observation was also used to determine the degree of physical beauty of the site, as observations of other sites served as comparison for the ones in question. Another example of observation

was in determining the democratic nature of the local institutions, where observations helped create a more complete picture than the numbers allowed.

Data Analysis

The data were collected during a 5-week field visit to Ethiopia in June 2010. As in many developing country contexts, the challenges of adjusting to Ethiopia's environmental, cultural, language, health, and resource availabilities shaped the ability of the researcher to collect and interpret the data needed for the project. The time period, however, was adequate for the collection of the necessary information.

For the most part, the interviews were granted easily with the help of the local officials and Dr. D'Andrea, but background information such as supply and demand statistics were much more difficult to gather. When such documents were available, they were usually in written in Amharic, the language used by the Federal government in Ethiopia. Being a foreigner, the researcher had to deal with not only language barriers, but also cultural differences, in order to ensure that data could be collected. A purely logistical difference involved adjusting to calendar dates and daily time measures used in Ethiopia. The Ethiopian calendar is based on the Julian calendar, which has 12 months of 30 days, and a 13th month of 6 days, as well as an additional day every 4 years as per the Julian calendar. For example, this research began on Ginbot 24, 2002, which is June 2, 2010. And so, documents dated with 2002 were the most recent. A further cultural difference to learn was the local time. At 6 am, or sunrise in rural areas, time starts from 'zero'; meaning 7am would be 1 o'clock in the morning, 8 am would be 2 o'clock in the morning and so on until 6pm, which is 12 o'clock in the morning. At 7pm, the time changes to 1 o'clock in the evening, or 'at night'. Many interview times were set at 3 o'clock in the morning, or 9 am faranji (Amharic word for foreigner) time. Albeit this timing challenge, local respondents were almost always on time for the scheduled meeting.

Other challenges in data collection included the sporadic availability of electricity in remote locations, as well as personal illness suffered by the researcher. Both of these factors made recording pertinent observations and quickly writing interview transcriptions difficult. Albeit these challenges, the process was able to produce useful findings.

The data were collected from an outsider's perspective and might dwell on information that may seem mundane or obvious to Ethiopians. However, as an outside researcher, all information was relevant. Gaining a good appreciation of the local community's context was important to understanding the potential for sustained heritage tourism activity in the area. Throughout this process, the researcher also recognized that she is a Canadian and not a local, and while trying to be objective, she was subject to her own worldviews and education. My work is meant to be an informational input into a larger planning process, where the local stakeholders can reassess any unintentional value or judgments offered by the researcher (Bramwell & Lane, 2008).

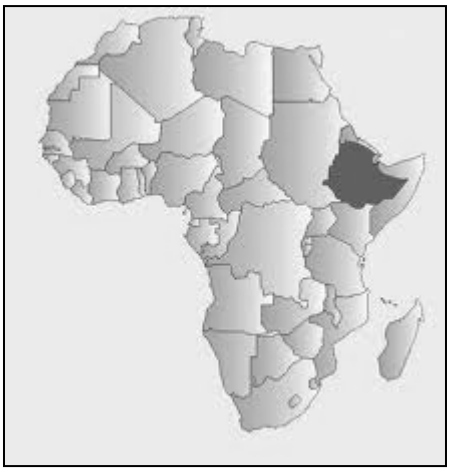
Case study

Ethiopia

Ethiopia is a landlocked country in the Horn of Africa with a population of approximately 83 million (Figure 1) (World Bank, 2010). More than 80 % of the country's population continues to practice subsistence agriculture, and unfortunately almost 40% of the population lives below the international poverty line of US$1.25 per day (Carillet, Starnes, & Butler, 2009; UNICEF, 2010). The government has been stable and democratically elected for almost 20 years, and primary exports are agricultural goods, specifically coffee (Bureau of African Affairs, 2011).

Ethiopia is culturally diverse with more than 84 languages spoken. Forming about half of the population, the three major sociolinguistic groups are: Amhara, Oromo and Tigrayan (Carillet et al., 2009). The federal government operates in Amharic and English, and the language spoken in the northern region where this research was undertaken is Tigrinya.

Figure 1: Ethiopia

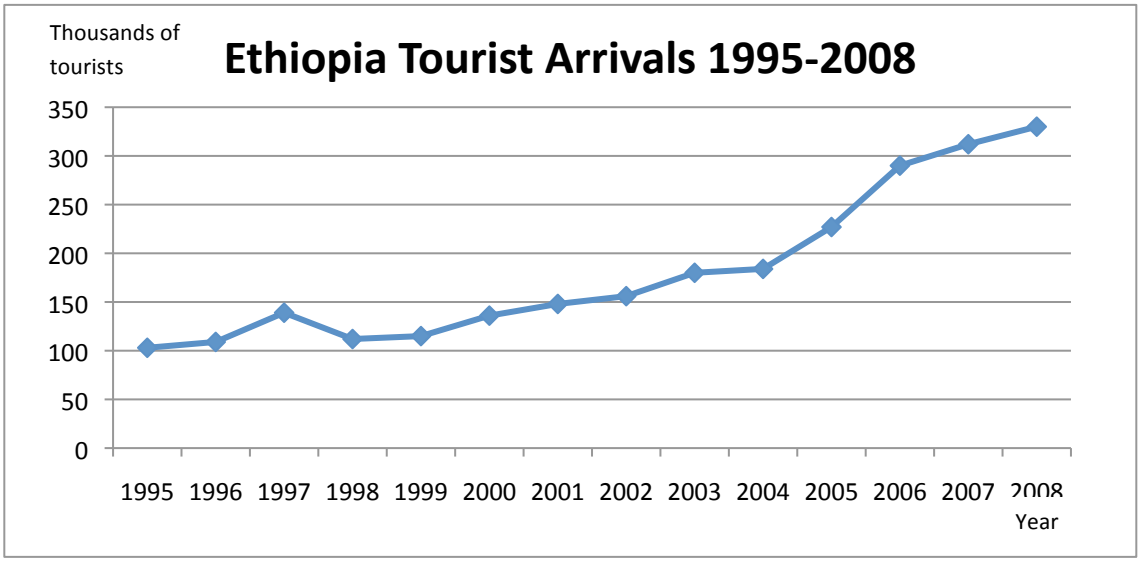


Tourism in Ethiopia

Tourism is Ethiopia's third largest foreign exchange export after coffee and oil seeds (World Bank, 2006). Estimates for the contribution to Ethiopia's economy ranges from 2% of GDP for direct impacts (not including indirect impacts), to 6.3% in 1999, and 4.3% in 2005 (Ministry of Finance and Economic Development, 2005; Pro Poor tourism, 2004; World Bank, 2006). Tourism is acknowledged by the government to be a strategy for poverty reduction and economic development (Ministry of Finance and Economic Development, 2005).

While tourism is increasingly important within the country, compared to other African nations, Ethiopia is small player. Ethiopia's tourist arrivals were approximately 0.6% of the African market in 2006 (Mitchell & Coles, 2009). The most popular African destinations include Tanzania and Kenya (Carillet et al., 2009). Albeit Ethiopia's small hold on the market, their growth rate has been steady (see figure 2). With 330,000 tourists arriving in 2008, Ethiopia has seen an annual growth rate of 10.1% from 1991 to 2008, which is higher than the African average in a similar time period, implying Ethiopia is gaining a portion of the African market share (Mitchell & Coles, 2009; UN Data, 2011; World Bank, 2006). Estimates for 2011 arrivals are 482,000, and arrivals for 2012 are forecasted to reach 683,000 (World travel and tourism council, 2011).

Figure 2: Ethiopia arrivals 1995-2008

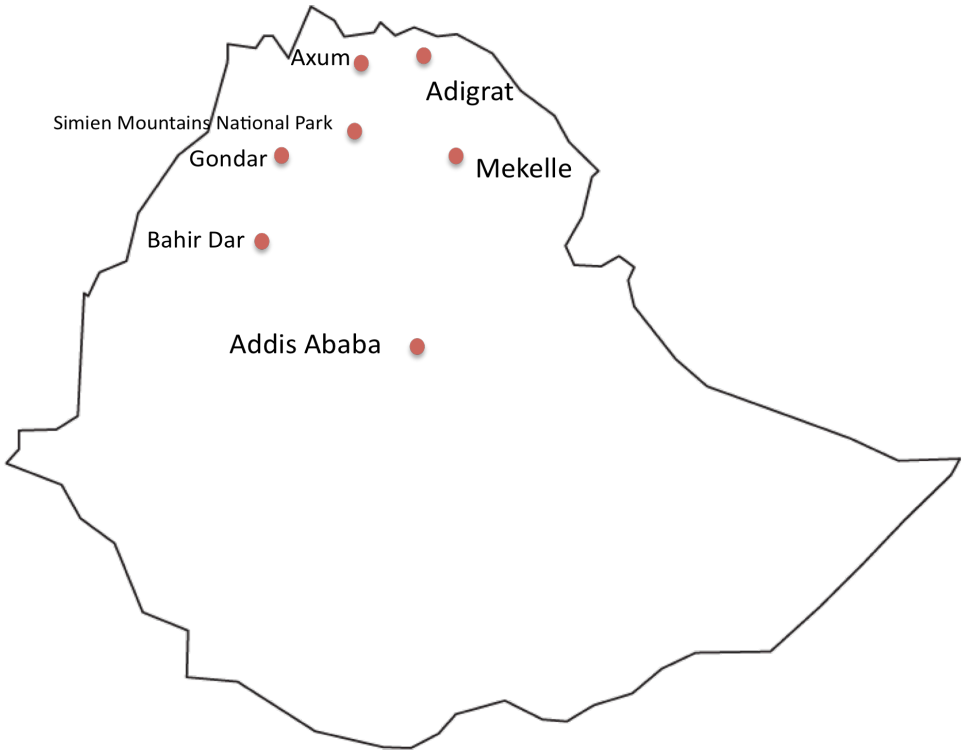


(UNWTO, 2011b).

Ethiopia is known for remarkable rock-hewn churches and related cultural practices that have survived for hundreds if not thousands of years (Carillet et al., 2009). This focus on history is seen in some of the imagery chosen by Ethiopia to represent its tourist offerings, including slogans such as the 'cradle of civilization', and the 'home of Lucy' (Altabachew, 2001). Ethiopia has also used a slogan aiming to describe its climate: 'Thirteen months of sunshine', where the 13 refers to the Julian calendar used in Ethiopia. Many of the cities in Ethiopia receive little rain and have temperature ranging only from 18 to 25 degrees Celsius.

Two tourism routes are promoted in the country: the Northern route and the Southern route. The Northern route, or the historic route, is the most popular and includes sites such as: the stelae of Axum, the churches of Lalibela, the monasteries and churches of Bahir Dar and Gondar, and the unique ibexes and monkeys of the Simien National Park (see figure 3) (Frost & Shanka, 2002). The Southern route, or the cultural route, includes visiting the Konso, Mursi, Oromorate, Karo and Dorzae people and their villages. This focus on the historical route differentiates Ethiopia from many other African countries who focus on nature-based or cultural tourism (Walle, 2010). By doing so, Ethiopia's main competitor for built heritage tourism is Egypt.

Figure 3: Northern tourist route



Ethiopia currently has nine world heritage sites listed with UNESCO: Axum, Lalibela, Fasil Ghebbi, Harar Jugol, the valleys of the Awash and the Omo, Tiya, Konso, and Simien National Park (WHC, n.d.). The latter is now classified as a 'threatened site'. These World Heritage sites are the basis for tourism and related funding in the country.

Tourism in Ethiopia, however, does have some significant challenges. The nation is still trying to change public perception of drought and starvation associated with the country, which began with campaigns in the 1980s (Walle, 2010). While the country still lacks arable land and many are in need of food aid, the situation has improved since that time. Service standards, hotels and reliable transportation are additional challenges faced by the industry (Altabachew, 2001).

The transportation aspect of tourism has been improving. Airline travel with Ethiopian Airlines is becoming increasingly popular globally and within the country, with an average annual growth rate from 2003 to 2010 at 17% (Ethiopian Airlines, 2010).

Increasingly, conference and business visitors are able to visit other regions such as Lalibela or Axum in the short time available after their work is completed.

Institutions

In Ethiopia, food aid programs involve a large portion of the population. The UN World Food Program runs food-for-work programs, which requires locals to participate in projects that benefit the community in exchange for food aid. One of the most common programs is called the Productive Safety Net Programme (PSNP), which is a food-for-work program whereby work is tied to watershed management, allowing close to 8 million people access to food at all times of the year (Atsebeha, 2010; Heinlein, 2010). The Employment Generation Scheme, predates the PSNP having started in 1997, and accomplished the same task of community development work such as road building and terracing. Critics claim that this program was often behind schedule, and was limited in terms of households reached (Devereux, 2000). Most men participate in these programs when projects are started in their Tabia. These programs facilitate interactions between the Kushets, which are often half a day's walk apart from each other. Some of the men participate in food-for-work up to 5 days a week to earn enough food for their family.

The University network must also be recognized. In Ethiopia, a young person can qualify to attend university at no cost if they obtain a high enough score on their grade 12 exams. When admitted to University they are assigned to a school on the basis of the program they wish to pursue and a random allocation. Purposefully, students are shipped to schools across the country, and are introduced to many different cultures. Students returning home from University during the rainy season commonly teach their families about the different customs and traditions they have learned. Many students maintain lifelong friendships with students from different regions (Pers. Comm. Habtamu). In reference to tourism, there is also a tourism training program at the University of Addis Ababa called the Cultural Tourism and Training Institute (CTTI).

Institutions such as the Food-for-Work programmes, and the University network are both opportunities for social cohesion and community cooperation. The fact that these institutions have worked successfully shows the willingness of the local people to participate in large-scale activities that require the cooperation of all participants.

Tourism activities also require the cooperation of an entire community to care for the resource, and collectively share in the benefits.

Governance and Stakeholders

At the federal level, the formal organization mandated to protect heritage in Ethiopia is called the Authority for Research and Conservation of Cultural Heritage (ARCCH), and sits within the Ministry of Culture and Tourism. The regional bureau of ARCCH is operated in the Tigrai's regional capital, Mekele. Also within the Ministry of Culture and Tourism is the tourism branch, which deals with marketing, development and management of tourism sites.

The stakeholder groups with an interest in tourism include: municipal, regional and federal governments including both the heritage branch and the tourism branches of the government; the tourism businesses located in the capital region and any locally operating tourism businesses or other businesses in the local area; non-governmental organizations (NGOs) that could participate in development through a tourism activity; and the local people living near the site. Other organizations such as universities, educators, and religious organizations also have a vested interest in tourism development

Study site

This research takes place in two locations: Shewit Lemlem and Adigrat. Shewit Lemlem is a local government called a Tabia located in the rural area to the north of the city of Adigrat (see figure 4). In Shewit Lemlem there are multiple archaeological sites. In this study, three are examined in more detail: the Amba Fekada rock art, the Ende Teckle Haimanot churchyard ruins, and the Dahane engravings. In Adigrat, there is no specific site in question, but it is considered a supporting site to those in Shewit Lemlem.

Ethiopia has a multi-layered form of governance. From a hierarchical top-down perspective, they include national, regional, and zonal levels. Zonal levels include woreda, tabia, kushet, and got. Gots are very small areas, akin to a small neighbourhood or rural areas consisting of only a few hundred people. Kushets are villages, sometimes consisting of two gots. In this study, the research focused on sites with the following layers of government and governance structures (Table 3).

Table 3: Study site levels of governance

Name used to describe site community	**Shewit Lemlem**			**Adigrat**
Site Name	*Amba Fekada 1 rock art*	*Enda Teckle Haimanot churchyard ruins*	*Dahane engravings*	
Country	Ethiopia	Ethiopia	Ethiopia	Ethiopia
Region	Tigrai	Tigrai	Tigrai	Tigrai
Zone	Eastern Tigrai	Eastern Tigrai	Eastern Tigrai	Eastern Tigrai
Woreda	Gulo Makeda	Gulo Makeda	Gulo Makeda	Ganta Afeshun
Tabia	Shewit Lemlem	Shewit Lemlem	Shewit Lemlem	Adigrat
Kushet	Dahane	Adi-Gedom	Dahane	Adigrat
Got	Dahane	Menebeti	Dahane	Adigrat

Figure 4: Location of study sites

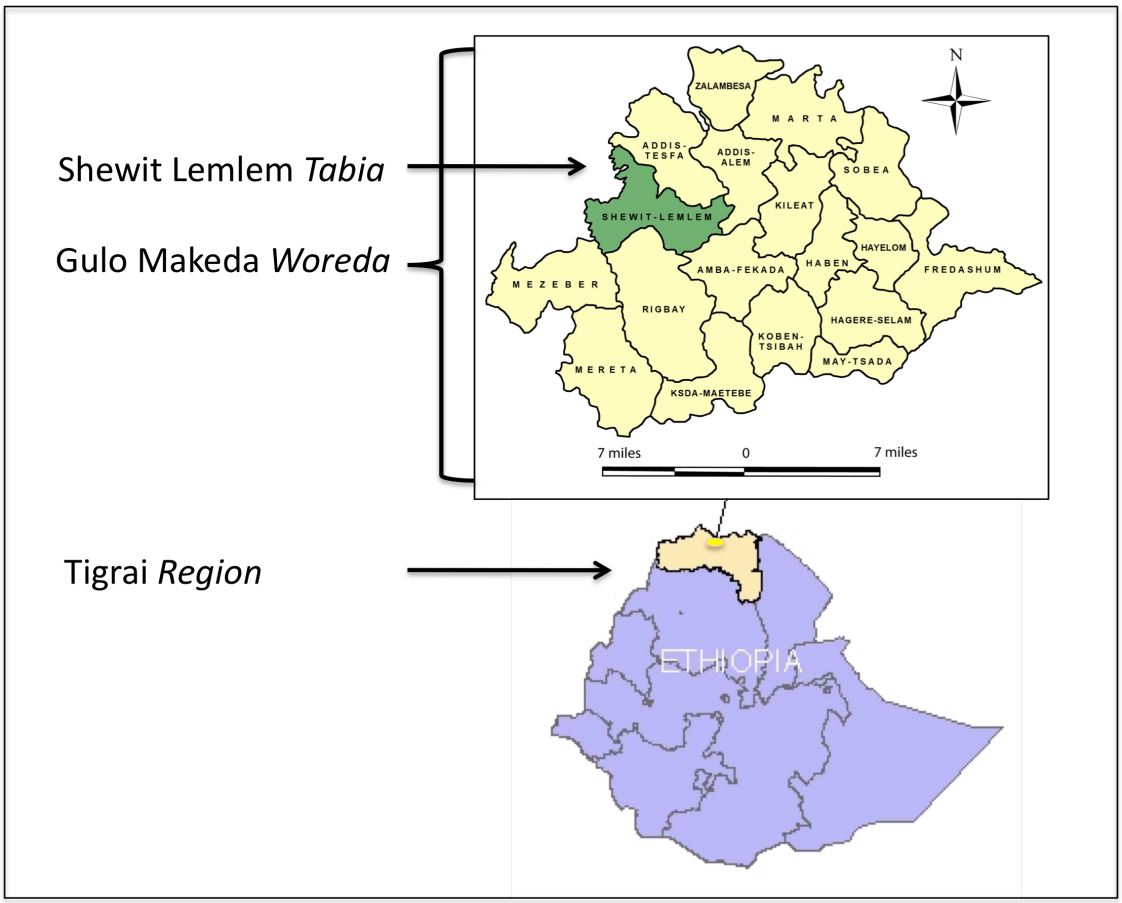


Figure 5: Road location of study sites

Administratively, most activities related to the local community take place at the Tabia level. In this study, when the words local or community are used, the researcher is referring to the Tabia of Shewit Lemlem.

The study site also includes the city of Adigrat (pop. 70,000), located a half hour's drive from the rural area of Shewit Lemlem. Adigrat acts as a transportation hub for the region. The main highway in the region brings tourists through Adigrat to other popular sites showcasing rock-hewn churches and the stele of Axum. The city has a number of small hotels, restaurants and bars, but has few attractions for tourists. Some visit the Italian war cemetery and the oldest church in Adigrat. In terms of infrastructure, there is a hospital in the city, community centers with meeting rooms, and Internet cafes.

Amba Fekada 1 rock art

An archaeologically significant site of rock paintings is found on the slope of a small mountain called Amba Fekada, located in the foothills of an Ethiopian village named Dahane (D'Andrea, 2005; D'Andrea et al., 2008; Meressa, 2006). Both the mountain and the site of rock art are called Amba Fekada (also known as Amba Focada in the literature). The rock paintings depict dynamic scenes of hunters with spears and bows and arrows, abstract human figures, attacking felines, and a ploughing scene (see figure 6). To date, this is the only clearly defined ploughing scene in rock art in the Horn of Africa (Brandt, 1984). Well preserved, the rock art images are clearly visible and the location provides a clear vantage point to view the valley below. No supportive tourism infrastructure is associated with the rock art site.

Figure 6: Amba Fekada 1 rock paintings

Enda Teckle Haimanot churchyard ruins

The ruins are located within the churchyard walls and are thought to be a part of a former town known as the Ona Adi archaeological site (D'Andrea et al., 2008). Many architecturally interesting elements remain, such as the column fragment in Figure 7.

Figure 7: Enda Teckle Haimanot ruins

Dahane engravings

The engravings are located in a naturally formed rock shelter; a slab of rock leans diagonally across another standing rock to form a shaded area. In the interior, there are many engravings of crosses, both modern and a few hundred years old (see figure 8) (D'Andrea, 2005).

Figure 8: Dahane engravings of Ethiopian crosses

Chapter 4: Findings

Introduction

This research endeavours to answer three research questions:

1. *What principles and criteria can effectively guide the assessment and planning of heritage sites for sustainable tourism purposes in rural and developing regions?*
2. *Under what circumstances should sustainable heritage tourism be pursued in this case study?*
3. *What best practices and lessons can be learned from the application of these principles and criteria, and what modifications are necessary to apply this framework in other heritage tourism contexts?*

The first research question was addressed via the literature review and presented as a modified version of the Wurz and Van der Merwe (2005) framework (here called the SA). Answers to the second research question are organized and presented in the context of the SA, and elaborated on in discussion and recommendation sections of Chapter 5.

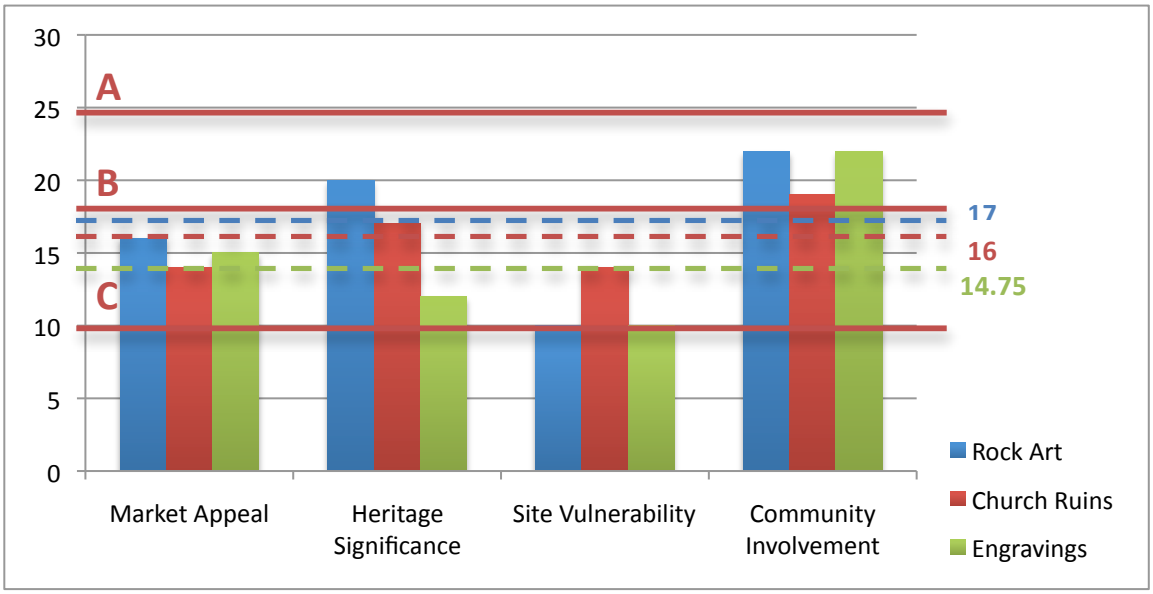
SA assessment findings

Three archaeological sites in the Shewit Lemlem Tabia were suggested for as potential tourism development sites: the Amba Fekada 1 rock art site, the ruins found in the Enda Teckle Haimanot church enclosure, and a site of engravings in a rock shelter. The researcher conducted her SA assessment for all three sites using the criteria indicated in the model framework (Appendix 1). The SA has four sections, where there are ten criteria in each category. Each criterion is given a score from 0 to 3. The totals are calculated for each category, and the average of the four categories is taken to create an overall score for the site. The results for each site and each category are provided in Appendix 2. The average scores for each site are then compared against a grading system proposed by Wurz and Van der Merwe (2005). A site with a total average score of over 25 is accorded an A level grade and is considered best suited for tourism. These sites likely already have tourists seeking out the site and are highly esteemed by local people. A site with a total average score of 18 to 25 is considered a B

level site and is appropriate for tourism development, but with limitations. These sites may require more promotion than the A level sites, but are still robust enough to withstand tourist traffic. Sites scoring between 10 and 18 are designated C grade sites, and have low tourism development potential. A C site would have difficulty attracting a large enough tourist volume on its own. Those sites receiving grades below 10 are not suited for tourism development (Wurz and Van der Merwe, 2005).

As figure 9 suggests, the Amba Fekada rock art had the best overall score of 17, followed by the churchyard ruins at 16, and the engravings at 14.75. All of these scores fall in the C range as designated by Wurz and Van der Merwe (2005).

Figure 9: Results of the SA for three sites



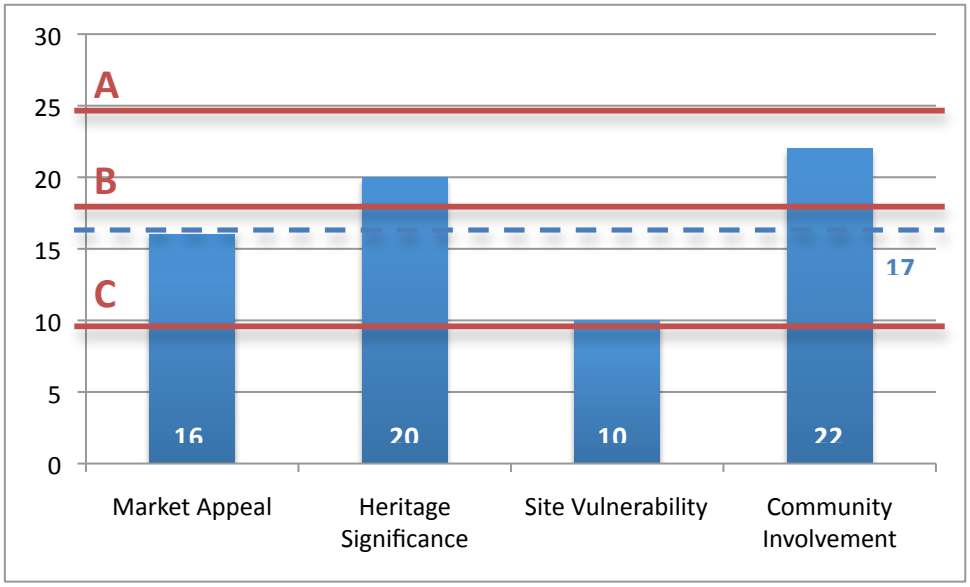
Therefore, as standalone sites, all three of these archaeological sites have low potential for standalone tourism development.

For several reasons, the remainder of this section elaborates on the results of the Amba Fekada rock paintings site. First, the churchyard ruins is not a site that could not be managed on a community-wide basis because it is owned and managed by the Orthodox Church. The church has its own management structure and agreements with the community, which is outside the scope of this research. Due to the fact that the benefits are collected for the church, this site is not suited for tourism that can be collectively managed.

Second, the engravings are a similar tourism product to the rock paintings, and the term rock paintings can encompass engravings (Deacon, 2006). For this reason, much of the information collected for the rock paintings was also used to inform the engravings assessment. To avoid repetition in the reporting of results, the Amba Fekada rock paintings will be used to demonstrate the application of the SA.

To summarize the results for the Amba Fekada rock paintings (see Figure 10), the site is historically and scientifically significant, and the community strongly supports tourism and has the potential institutional capacity to manage tourism, but the site is quite vulnerable, with only mid level market appeal.

Figure 10: Amba Fekada 1 rock paintings assessment results



The following paragraphs will outline the four areas of the assessment in greater detail and identify some key quotes and observations that provided the basis of selecting the answers in the assessment framework.

Market Appeal

While there are 10 criteria for assessing market appeal, they can be lumped into specific thematic categories or 'lines of inquiry'. The three lines of inquiry in the market appeal section were: site development, funding, and tourism product development.

Site development

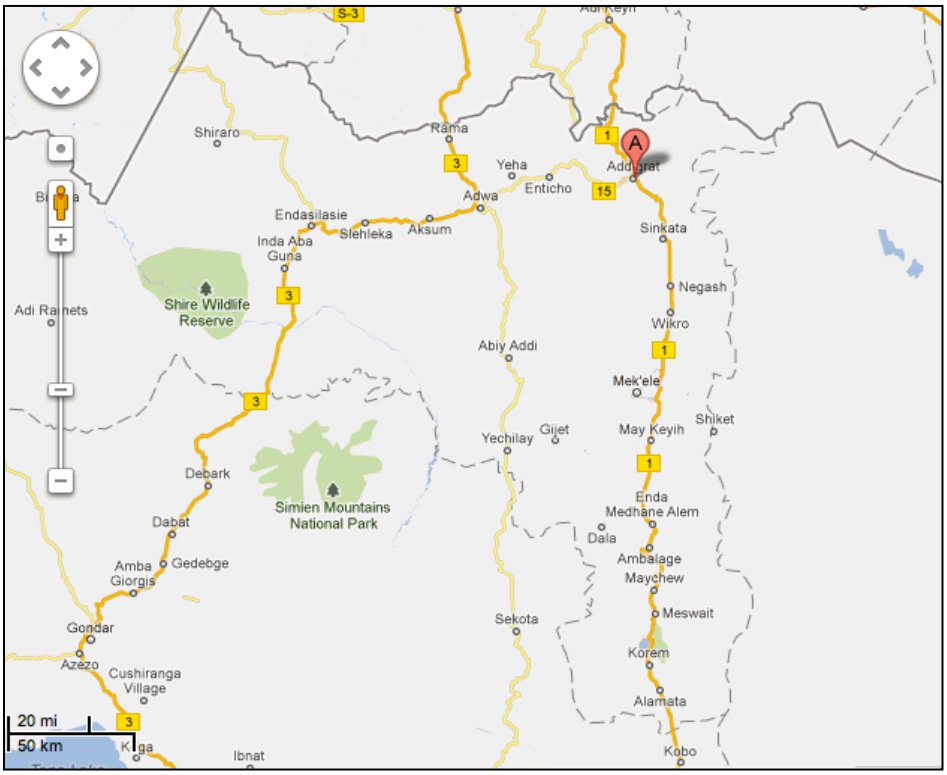
The criteria: cost of access (MA9) and the number of site amenities (MA10), focused on questions about the site development. In terms of access, the city of Adigrat is where a tourist would hire a car, or continue with their private transport to the sites in question. The main road, and the best quality tarred road in the region, taking tourists, or any traveller, from Mekelle to Axum is through Adigrat. A secondary route from Mekele to Axum not passing through Adigrat does exist. However, it is a secondary road, and takes anywhere from a couple of hours to multiple hours longer due to poor quality and potential livestock traffic on the road (figure 11). While Adigrat is well positioned as a rest stop on the main road, many of tourism professionals interviewed did not think the tours stopped there.

> "Tourists sometimes stop in Adigrat for lunch, but few overnight there. There is a water problem there." (Key informant 15)

> "People don't stop in Adigrat, the just drive from Mekele to Axum, the Ghiralta churches are popular. They pass over it, most of the time, there's not anything to do there." (Key informant 14)

> "The tourists don't have time to stop in Adigrat." (Key informant 1)

Figure 11: Road map of Northern Ethiopia



Funding

The criteria: the potential to generate new income (MA7), and the potential for public/ private funding (MA8) dealt with potential revenue from markets and funding organizations. From a local community income generation perspective, many key informants spoke in only general terms about ways in which the community could benefit economically from such a development:

> "[The locals] should have some sort of organization to protect the site, as long as they protect they site, the tourists should pay directly to them ", "If [the site] is controlled by the government, a certain % should go to the community. " (Key informant 11)

> “The three main ways that the community should participate is through awareness of the importance of these sites, through training of how to care for these sites, and through creating economic benefits from the sites.” (Key informant 18)

However, paying directly to the community brings up the question of who owns the heritage. In terms of specific methods of local income generation, several higher government-level informants mentioned handicrafts production as the main means for sharing the benefits. In terms of project funding, key informants explained there was little to be had, and the processes for securing funds for any tourism or cultural project were:

> "At the federal level, the budget is given from the government, then also from IMF, USAID, World Bank" (Key informants 2 and 3)

> "[At the federal level, heritage tourism] projects only go forward if development funding is secured." (Key informant 1)

One supportive funding organization mentioned in 2010 was the Ethiopian Sustainable Tourism Development Project (ESDTP). Among many other project objectives, the ESTDP offered a grant-matching program for tourism service improvement. Up to a maximum of $50,000 USD, the ESDTP matched the investment of a private organization to train their employees in international tourism service standards.

Tourism product development

Several criteria were used to assess tourism product development potential. The criteria included: scenic ambience and setting appeal (MA1), prominence as national icon (MA2), place evocativeness (MA3), potential for packaging with other nearby tourism products (MA4), appeal for special spiritual needs (MA5), and the tourism profile of region as national magnet (MA6) dealt with the tourism product development line of inquiry.

When respondents were asked about the region and the products and experiences that could be 'bundled' with a rock paintings site, most explained that the Northern tourist route was the most popular among tourists, for example:

> "The Northern route is the most popular," and "Rock hewn churches are the most popular attraction." (Key informant 44)

> "In Northern Ethiopia, they come to see history, and anything related to it: stelae, monuments, rock churches." (Key informant 18)

When asked about rock paintings as a draw for tourists in Ethiopia, whether any rock paintings exists as a national icon, and what they knew of this type of attraction,

most tourism professionals were able to name either Harar or Dreda. However, most were wary of using rock paintings as a standalone attraction:

> "In Harar, there is a rock art site visited by tourists, but it is not the draw of the site. There is also Sedano and Dire Dawa." (Key informant 15)
>
> "Nobody talks about rock art, but it's very important archaeological evidence." (Key informant 11)
>
> "Maybe the Japanese would be interested [in visiting rock art]." (Key informant 44)
>
> "I don't know if rock art can attract tourists, the sites are not well known; but if they are developed to include a rest place where people can sit and enjoy the art, then maybe it can become popular." (Key informant 1)

Conversely, another tourism professional mentioned, "in my experience, tourists get 'churched out'," (Key informant 12) and the availability of another product would be a desired change in Ethiopia.

Extra information was needed to address criterion 'MA6' which dealt with the 'tourism profile of the region', as relevant statistics for tourist arrivals in Adigrat were not available. The most recent statistics for tourist arrivals in Ethiopia listed annual arrivals for 2008 to be 330,000 tourists. There were distinct categories within those arriving in Addis Ababa (Ethiopia's capital): transit, conference, business, visiting friends and relatives, and vacationers. Addis Ababa acts as a transit hub for Africa, where passengers often stay one night before boarding another flight. In the past, these passengers were given tourist visas. This tended to inflate and inaccurately portray the actual number of tourist arrivals (Mitchell and Coles, 2009). On a five-year average, the size of the vacationing tourist market was only about 29.5% of all tourist arrivals (see table 4).

Table 4: Ethiopia Arrivals by type 2001-2005

	2001	2002	2003	2004	2005	Average
Total Arrivals	148,438	156,327	179,910	210,000	227,298	
Business	17.90%	20.95%	20.95%	20.27%	20.24%	**20.06%**
Vacation	27.68%	31.56%	31.56%	28.94%	27.83%	**29.51%**
Transit	11.60%	12.87%	12.87%	20.47%	21.80%	**15.92%**
Conference	3.61%	6.79%	6.79%	6.93%	7.21%	**6.27%**
Visiting Relatives	10.05%	11.37%	11.37%	10.17%	9.56%	**10.50%**
Not stated	7.60%	16.46%	16.46%	14.35%	13.48%	**13.67%**
Other	21.56%					

Source: (UN data 2011; Ethiopian Tourism Commission as quoted in World Bank, 2006)

Based on a reputable report by the Overseas Development Institute and confirmed by key informants in this research, these numbers may not accurately reflect tourist arrivals (Mitchell and Coles, 2009). Two tourism professionals in particular estimated the conference tourists to be closer to 50% of the arrivals (as opposed to 6% reported above), further corroborating the fact that the vacationing tourists may not be the largest category of arrivals.

Based on their estimates, the vacation market size was decreased to about 22% of tourism arrivals. Table 5 shows how the data collected in this research were used to estimate that 5250 tourists stopped in Adigrat in 2008. It is felt that this is a conservative but realistic estimate of tourism travellers who potentially could accesses the heritage site if an appropriate attraction was established.

Table 5: Estimates of Adigrat market size

Estimates of market size based on 2008 tourist arrivals			**Sources**
Total Arrivals 2008		330,000	(UNWTO, 2011)
Vacationers	22.13%	73,029	(World bank 2006; Mitchell and Coles, 2009; Respondents 9 and 10)
Going North	80%	58,423	Respondent 13
Drives while going North	30%	17,527	Respondent 14
Stops in Adigrat	30%	**5,258**	Respondents 1, 13, 14, 38

When asked about the tourist profile of potential visitors to the region, several of the tourism professionals interviewed offered their impressions.

The typical foreign tourist was thought to be from Europe or the UK primarily, followed by Americans and Canadians, then Europeans from Germany or the Nordic nations. They suggested that tourists stayed in the country from 7 to 16 days depending on whether they were flying or driving, or going to the Northern route, the Southern route, or both. The size of travelling groups varied widely, but most identified the travellers as being well educated, and well read with their tour books and previous research (Key informants 1, 12, 13, 14, 15 and 40). Finally, one respondent went further to say that the tourists were looking for "a sense of discovery" when they came to Ethiopia (Key informant 14). A study by Walle (2010) found similar countries of origin, but not in the same order; the study's top five countries of origin were: Germany, USA, UK, France and Denmark.

A respondent also explained in regards to Ethiopia's strategic advantage over other countries, that:

> "Unlike most African countries, Ethiopia has concrete evidence of history, instead of just oral history. We have inscriptions and stelae, in Lalibela the churches are amazing [in the Northern circuit]. The cultural tour [the Southern circuit] is more like other African countries, but the historical part is unique. Except for Egypt." (Key informant 14)

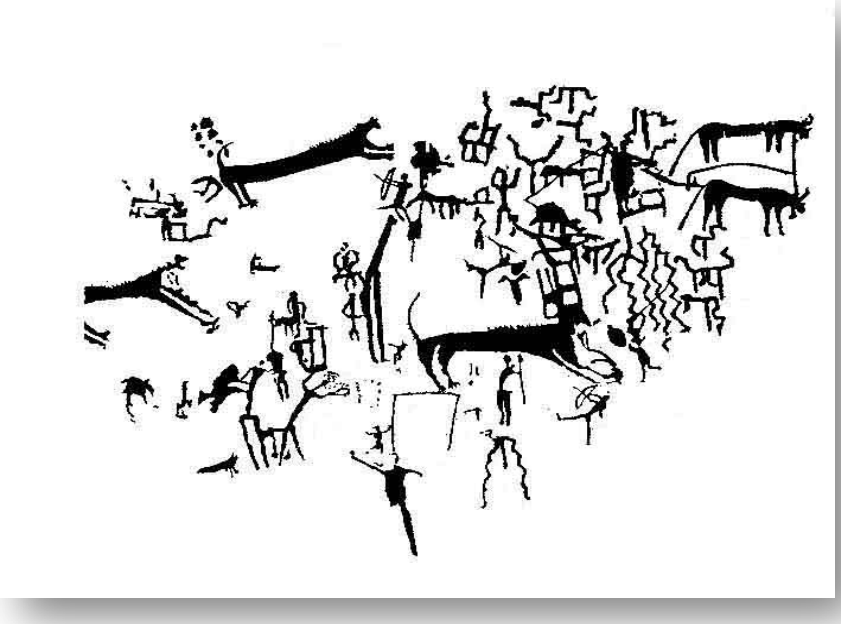
Heritage Significance

The heritage significance component of the assessment framework focussed on information about the importance and significance of the heritage site to the scientific world, the local communities and the tourism market. The lines of inquiry in this section of the assessment related to: historical significance, social significance, and tourism site significance.

Historical significance

The following criteria provided the foundation for assessing the site's historical significance and tourism potential: (HS3), scientific value (HS6), uniqueness (HS7), and significance as representing a type (HS10). Data for scoring these criteria were gathered from secondary sources from the archaeologists who had previously reported on the site.

Figure 12: Reproduction of the Amba Fekada 1 rock paintings



(Mordini, 1941)

The Italian archaeologists Mordini (1941) and Graziosi (1941), who first wrote about the site, explained that the entire drawing represents two contemporary and related scenes of warriors protecting the workers of the field (see figure 12). The human

figures and the felines symbolize a hunting scene (left) while the oxen depict an agricultural scene (right). Meressa (2006) describes the scene similarly, but in three parts (left to right): three attacking felines, naturalistic and semi naturalistic human figures defending, and a plough with humpless ox. Naturalistic refers to the resemblance of the painting to the real life object, and is applicable to animals, man and plants (Willcox, 1984). The figures were created using a dark red pigment and the flat wash technique (Meressa, 2006). The style of the drawings can be classified as the earliest phase of *Dahthami style proper,* where the drawings have schematic elements, and some animal traits are elongated (Meressa, 2006).

Rock paintings are notoriously difficult to accurately date, but the oxen depicted can be used to estimate an age of the drawing. The oxen, or specifically the humpless cattle (*Bos taurus*), existed prior to the introduction of the humped zebu (*Bos indicus)*, a different species, which appeared in the Horn of Africa by the 2nd century A.D. (Marshall, 2000). Pastoralists have existed in the area since 2000 B.C., however, several professionals (Brandt, 1984; D'Andrea, 2005; Phillipson, 1993) propose that the panel is from the early Aksumite period (200 B.C.-A.D. 200). This ox and plough scene is the only known surviving ox and plough drawing identified in the Horn of Africa (D'Andrea, 2003; Brandt, 1984).

From a tourism perspective, the uniqueness of the ox in the rock paintings, and the ability of the ox to suggest a date of the paintings help in the interpretation and story telling for the site. Uniqueness is always a favourable trait for tourism resources, and can increase the market appeal. Additionally, an ecological story can be told of the felines in the painting. Lions or large felines no longer inhabit Northern Ethiopia, demonstrating the long-term environmental and climate changes on predators in the area.

Social significance

The criteria: indigenous spiritual significance (HS8), and social significance (HS5) dealt with the social significance line of inquiry. In terms of a spiritual or social significance, there was little connection between the local people and the site of the rock paintings. One local community member was able to recite an oral history about the rock paintings, stating that the rock paintings were created in the 6th century, when King Kalabe ruled the area (Key informant 35). Another local community member stated:

"The rock paintings dates to the old testament. It is interesting and strange that people in that time have the skill to paint in such a way." (Key informant 28)

Other community members did not know the history of the site (Key informants 36 and 37). The location of the site was known among many, as children and farmers were able to point tourists in the direction of the site. The community members interviewed also did not mention any events that were held at the site, but it has been used as a place of shaded rest to survey the fields.

Site tourism significance

The criteria: aesthetic significance of the asset (HS1), experiential significance of the surrounding landscape (HS2), educational value and potential (HS4), significance as a unifying icon (HS9) addressed the site's tourism significance. From the researcher's observations, the site and the surrounding area were compared with other personal experiences in Ethiopia. I viewed it as a moderately nice place to observe the valley below, given the unobstructed views of the valley below with the shade provided by the overhanging rock. The paintings are faded and difficult to see clearly from further than 2-3 meters away, but are interesting to examine, and have the potential for story telling that involves historic references.

The site's potential for becoming a national icon is limited. The lion is already a national icon already embedded with much meaning. It would be difficult and probably ill advised to try and use the rock paintings lion as a substitute for already existing images. The awareness of rock paintings among tourists and Ethiopians is also low, as one respondent put it:

"Rock art in Ethiopia is the most neglected subject, no attention." (Key informant 11)

The rock paintings site (and all three sites) was also compared against the criteria for the World Heritage sites, and it did not qualify. The World Heritage Site criteria includes:

- "to represent a masterpiece of human creative genius;
- to exhibit an important interchange of human values, over a span of time or within a cultural area of the world, on developments in architecture or technology, monumental arts, town-planning or landscape design;
- to bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living or which has disappeared;

- to be an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history;
- to be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change;
- to be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance." (WHC, 2011).

The rock paintings site, while unique and representing an important time in history, is not a masterpiece or an outstanding example, nor is it connected with traditions, beliefs or artistic works of universal significance.

Site Sensitivity

The site sensitivity component of the assessment framework examined the impacts tourism had or could have on the site and its management. The lines of inquiry in this section included: damage and risks, involvement and sensitivity, and site management.

Damage and risk

The criteria associated with this theme included: risk of natural damage (SS1), risk of human damage (SS2), current level of irreversible damage (SS3), and potential negative impact of high visitation on fabric of asset (SS4). Rock paintings sites are known to be fragile (Deacon, 2006), and this case is no different. Two respondents explained the potential tourist impact on the site:

> "Some tourists use chemical spray [on the rock art], and a flash is damaging even if it's outside." (Key informant 11)

> "Threats to rock paintings include bats (feces and wings brushing the walls), weather, and humans (vandalism)." (Key informant 5)

The use of chemical spray to bring out the pigment in the paintings, as well as throwing water on the paintings creates permanent damage. The site is currently damaged to the left side of the paintings, where a bullet is lodged in the rock from the war in the 1990s. Rock is also flaking off above the paintings. The rock paintings are located on a ledge that is somewhat sheltered from direct sunlight, but is easily accessible for people or livestock to touch or damage.

Involvement and sensitivity

Dimensions of involvement and sensitivity assessment criteria included: the level of guidance provision (SS6), the potential negative impact of high visitation on social (SS5), and the number of stakeholders actually/potentially involved/consulted (SS10). At the time of this assessment, no formal tour guiding systems were in place in the community, but most community members were aware of the site, and could direct a tourist to the site. In Adigrat there was also a tour-guiding training program in place, and youth were receiving training in traditional instrument use as well as handicraft development. No apparent demand to visit the rock art with tour guides was evident. However, the topic of tour guiding came up frequently with the respondents:

> "The best way for the community to become involved is through training and employing local guides directly." (Key informant 15)
>
> "In general there is not enough language training for tour guides which prohibits young people from becoming guides." (Key informant 43)
>
> "The oldest tour guiding certificate is offered by CTTI Cultural Tourism and Training Institute. Guides in Addis [are expected to] have this designation" (Key informant 14)
>
> "Trained and professional guides are lacking at world heritage sites. So is proper interpretation." (Key informant 17)

English language training and a desire amongst young people to leave the rural community once they have learned English were barriers to providing local tour guide service. Impacts on the community included infringements on the privacy for local residents near the sites, competition for revenue among locals, or competition for hosting the tourists. The mitigation for these potential impacts is outlined in the discussion.

In terms of quantifying the number of stakeholders involved, this criterion derived from the Wurz and Van der Merwe (2005) version, which assumed that it was only the researcher filling out the framework without consulting the local people. The method or the SA suggested a change to the methodology, requiring the researcher to interview respondents from each stakeholder group. Through conducting these interviews, the stakeholders became involved in the process and aware of the potential for future planning.

Site management

Several site management assessment criteria were used in this appraisal. These criteria included: level of site management plan (SS7), regular monitoring and maintenance (SS8), number of exposure monitoring and protection measures in place (SS9) dealt with the site management line of inquiry. After speaking with the respondents in the field of heritage management, it became clear that there were very few site management plans in place for heritage in Ethiopia, and none at this site.

> "The only site management plans that exist for World Heritage sites are for Simien Mountains and in Harar." (Key informant 17)

The plan for Lalibela, the largest tourist attraction in Ethiopia, was currently underway in 2010, with the other World Heritage sites to follow. At the regional or local levels of government, there are no site management plans, including the rock paintings site in question.

The respondents suggested that the monitoring necessary for a rock paintings site would be minimal:

> "With rock paintings, it is usually minor cleaning that is necessary, conservation to slow the fading process." (Key informant 5)

They indicated that an appropriate site management plan would include such aspects as identifying a clear boundary for the site, establishing an appropriate maintenance schedule, and clarifying the duties of the stakeholders in maintaining that site.

Community Involvement

As suggested earlier, a community involvement section was added to integrate social sustainability principles into the assessment framework. This section reports on community perspectives of tourism and hosting visitors, the capacity of local institutions and community members, and the ownership implications of local heritage resources. The three lines of inquiry guiding this section were: community support of tourism, community capacity, and heritage ownership.

Community support for tourism

The criteria used to assess community support for tourism included: desire for involvement (CI1), and desire for hosting tourists (CI2). Almost all respondents in the local area were in favour of tourism, as well as hosting people in their community. The distinction between tourism and hosting was made to encourage respondents to think about the fact that the tourists would be walking through their community and near their homes in order to access the site. Some of the responses were:

> "I have heard of the usefulness of tourism from the radio, [and] I have heard of the example of Egypt and their heritage. It is important to protect, and I have seen the amount of income possible." (Key informant 27)
>
> "In the past there was a language barrier between the tourists and us. We didn't know why they had come, we just gave a nod/ greeting. But now we're starting to realize that tourists can supply income and they would be welcomed here to share culture." (Key informant 28)
>
> "We are mandated to act on the behalf of the best interest of our community and we feel tourism is in our best interest." (Key informant 20)

While a few residents expressed doubt about some of the proposed benefits of tourism, all were favourable to the idea. The cultural sharing brought up by Key Informant 28, was also echoed in personal observations. Local people appeared keen to host any tourist, and wanted to learn about the tourist's culture and their reasons for visiting. The community seemed prepared to share their culture with tourists, and expected the tourist to share their own culture with them.

Community Capacity

The community capacity assessment examined several criteria: skills of individuals involved (CI3), institutions in local community (CI4), gender split in positions of power (CI5), institutions capable of handling profits collectively (CI6), amount of resources available locally (CI7), social capital (CI8), and local political importance of tourism (CI9).

For the assessment of the capacity of local institutions, much information was gathered from printed documents, and interviews /focus group with the local people. Out of a total population of 4026 people in the Shewit Lemlem Tabia, there are 929 households recorded (about 4.33 people per household). With 217 Tabia council

members in 2010, over 5% of the population was active in the management of the local area. Almost half (108) of the council members in this Tabia were women. An executive council is chosen from among the council members, and they are given a stipend to regularly work on Tabia matters. The council members can be asked to join one of the following committees to work on projects: agricultural development, finance and economic development, education, health, and security (police). There is also a league for youth and women, which is chaired by non-council members. Activities are planned through the Tabia administration, with a Kushet and Got Chair (often the same person) reporting to the Tabia administrators.

The specific development goals of the region are managed through the Woreda, and executed by the Tabia. In speaking with the Tabia secretary, it was clear that in their 5-year plan specific goals had been laid out that committees are tasked to execute. The main elements of the Shewit Lemlem 5-year strategic plan include:

- Poverty/ Agriculture:
    - Determine how many farmers are below the poverty level and how many have moved above the line in the past 5 years.
    - (The poverty line is measured by $2 US per day per person, including children. So a household of 9 needs to earn more than $18 per day to not be considered poor)
- Education:
    - Ensure all children aged 7 and older are enrolled in school
- Health:
    - Prevent disease as opposed to treatment
- Gender Equality:
    - Increase the number of women participating in Tabia matters to above 50%
- Environment:
    - Continue preserving the environment, while focusing on project relating to reforestation and water conservation
- Resident rights:
    - Increase awareness of the obligations of democracy

Based on this analysis, the integration of tourism into this community would lead to the provision of some resources to carry out the aforementioned activities. Aside from the formal civic system of governance, the Orthodox Church institutions are also very strong. The Menebeti Got celebrates the holy Trinity Saint's day, and has a large membership for this association within the community. St. Peter's day is also celebrated,

as it is associated with Tekle Haimanot, the namesake of the local church. Each church is named for a Saint, and when that Saint's day arrives, either once a month or once a year, the corresponding Saint's day organization gathers for prayers and celebration. Each Got also has a chosen Saint that they celebrate, and again there is an association in charge of brewing *sua* (an alcoholic drink) and preparing the *injera* to eat. Also organized through the church are funeral feasts. When a family member dies, the funerals are often extravagant, and many animals are killed for the feast. Planning the feast, and mourning the deceased, takes much planning, and the funeral association comes together to help purchase the necessary animals and prepare the food. Local activities and organizations show that the community has the capacity to collectively plan for activities, to maintain local traditions, and to share resources among the community.

Markets are important institutions in rural Ethiopia. Each Tabia has multiple markets occurring on different days, but commonly only one main market is held in a Tabia. To reach the market, residents may have to walk for hours, or longer if the load being carried by donkey is particularly heavy. While at the market, residents commonly stay for the day to sell as much as they can and buy anything they may need while exchanging news and maintaining acquaintances. There is no formal organization managing the market, but for some items like livestock, there may be a small charge to bring them to the market in the hopes of a sale. This charge is collected by the livestock manager, and may be given to the Got where the market takes place or to the Tabia. Markets such as this show that entrepreneurial spirit exists within the region, and that fees or taxes are common concepts.

At the local level, consensus based decision-making has been followed in the past, and high levels of involvement lead to the discussion of all types of policy:

> "People are used to getting involved in the different kind of meetings, and giving their ideas." (Key informant 17)

Consensus decision-making is important for the overall planning process and any proposed tourism development, as the community would need to discuss the potential recommendations and actions.

To investigate the extent to which social capital existed in the community (CI8), three local residents were interviewed. While not a comprehensive in its coverage, the interviews focused on gaining the direction in which social capital appeared to be

heading. Based on these limited interviews, it appeared that all of the interviewees were interested in participating in tourism and welcoming foreigners to their community. Two of the three respondents participated in Tabia decisions through council meetings, or aiding various committees. The other respondent was interesting in participating in Tabia meetings but was restricted by an injured leg. All respondents visited their family members outside of their Kushet Dahane, and visited them between 2 and 5 times a week. These visits to other Kushets were for festivals through the church, market days, Tabia meetings, collecting food aid, and working in the food-for-work program. All three respondents expressed trust in their fellow Dahane residents, and two of the three indicated that they trusted everyone in the Tabia. The local interpreter assured the researcher that these responses were not given out of politeness, but were the true feelings of the local people. The respondents expressed pride in the possibility of hosting a foreign person, and they were keen to hear about the outside world (Key informants 35-37). These responses, combined with the interviews of 6 local residents, and researcher observations led to the selection of bonding and bridging social capital in the framework. Specific observations included the number of social organizations such as youth and women's groups, activities through the church, and the camaraderie and constant communication observed between the local people. A greater amount of social capital can lead to planning decisions that are reflective of more people within the community, and is also thought to be a necessary element of successful collective management (Jones, 2005).

Heritage ownership

The criteria: ownership and stakeholder relationship established (CI10) deals with the heritage ownership line of inquiry. The law in Ethiopia defines the ownership of heritage, but the policy for management is constrained by resource unavailability. The respondents explained:

> "Legally, it is the ARCCH, the ARCCH is given the power of ownership. It is public property. But this doesn't mean that they are going to control everything. ... the actual ownership is the Tabia" (Key informant 18)

> "Cultural heritage is government property, but because of a lack of resources, the government focuses only on the most important. The others are only protected by the local people." (Key informant 11)

> "Cultural heritage is owned by the government and should be managed by the Tabia level." (Key informant 1)

The law states that heritage is the property of the nation, but it does not state what level of government should enforce the law, or provide the resources available to carry out the enforcement. This ambiguity should be rectified with the new proposed law, which was being reviewed in 2010.

> "The new proclamation has proposed three levels of heritage in Ethiopia: national, regional and local. The regions will be able to nominate sites they think are of national importance, and they will be looked after by the Federal ARCCH. Otherwise they will be left to the local communities." (Key informant 17)

Also affecting the management and ownership of heritage was a restructuring process of the Ministry of Culture and Tourism. The process was called Business Process Reengineering (BPR), and it changed how the ARCCH and other branches of the Ministry were organized. A newly created branch of the Federal ARCCH may be the key to future heritage tourism developments in Ethiopia. The Development branch of the Federal ARCCH is mandated to develop sites for tourism by undertaking such activities as: brochure creation, signage, road building, and creating buildings for food and beverage sales. The site would eventually be handed over to the community after the Federal ARCCH developed it for tourism.

Findings not captured in the framework

A few topics that deserve mention but were not captured in the SA framework included: larger scale governance systems; the distribution and use of tourism benefits; and the marketing of tourism products.

Like many federal governments, the Ethiopian Tourism department and the Cultural Heritage departments have few formal or informal communication systems. Respondents felt that instead of working in isolation, heritage tourism should be seen as being part of a collaborative partnership between both institutions.

"Between culture and tourism in the Ministry, the link is weak now" (Key informant 41)

Another governance issue that arose during the interviews was the extreme amount of power wielded by those who received international funding. At times, locally based NGOs received funding directly from international agencies, as opposed to the heritage or tourism ministries. This caused the ministries to be forced to wait and see what the outside organization would fund before they committed to any projects of their own.

A topic not fully captured in the framework was the economic and equity issue of sharing the benefits of tourism. A few key quotes questioning how tourism benefits should be shared included:

> "In Lalibela, millions of birr are being spent on airports and tourism infrastructure, but the benefits go to the church." (Key informant 11)
>
> "The revenue collected must go through the local government, which can use it for running health centres or schools. A special agreement would be necessary for the Tabia level to keep the revenue from tourism as opposed to then handing it over to higher levels of government. For example in Axum, they hand the money over to the regional level, but the region returns a portion of the revenue on the basis of the amount of tourists that visit that year. The community *should not* control the direct revenue from the rock art, but they should be involved in other roles that can generate revenue like handicrafts. Training can be provided to create a handicraft that imitates the rock art." (Key informant 1)
>
> "While community-based tourism is a good concept, the idea isn't really part of the government's "checklist", ensuring that the benefits return to the community aren't an indicator of a good government." (Key informant 7)

These quotes allude to the fact that many of the heritage sites in Ethiopia are church owned and managed; that some stakeholders feel the community should not be allowed to manage and earn revenue from tourist sites; and that while aware of tourism practices which share benefits with the local community, the use of these strategies are not required. These are significant hurdles to overcome in planning for sustainable heritage tourism.

Another main issue not captured in the framework was the process of product development and planning. Many of the tour operators expressed that they did not really have a process for collecting information on sites newly developed for tourism. In one

case, a tour operator (Key informant 13) explained that they collected their information on any new sites from their tour guides. However, there was no formal time or way of sharing the information. Additionally, this operation had just seen a major turnover in their staff, and the new employees had little knowledge of what was new in the field.

Observations during and post 2010: TESFA

Tourism in Ethiopia for Sustainable Future Alternatives (TESFA) is a local NGO, which shares the same sustainable and community oriented tourism principles as expressed in this research. TESFA started operating in the late 1990s with the goal of creating diversified livelihoods for locals through community tourism (TESFA, n.d.). During the 2000's TESFA created a successful trekking route in the Lalibela region, directly employing locals and creating additional income for 11 communities. The concept of TESFA is simple, the tourists hike from one community to the next for about 4 to 6 hours each day, guided by an English speaking local. They are provided with a lunch, interpretative services, rest stops, and overnight accommodation in lodges made in local styles. Each lodge is owned and managed by the community. Each hosting community participates in the allocation and management of income gained from the visitors. Examples of what the funds have been used for include: a grain shelter, subsidizing food purchases, and micro loans.

During the 2010 field season, TESFA was already conducting assessments of potential lodge sites for their trekking routes in the Tigrai region. Employees of TESFA visited the archaeological sites described in this research, and by 2011, they decided to build a lodge near the top of the Amba Fekada mountain (Pers. Comm. TESFA employee) TESFA was building on that site, and hiring personnel to manage, guard and cook for the lodge in 2011. Local guides will also be trained to direct tourists from the site to places of interest including the rock paintings site, the churchyard ruins and the engravings identified in this research.

Chapter 5: Discussion

To answer the second research question pertaining to whether sustainable heritage tourism should be pursued in the case study, and if so under what circumstances, this section places the results of the assessment into a broader context. It also answers the final research question concerning potential modifications to the assessment framework that will create a more valuable planning tool.

Discussion of assessment results

The results of the assessment showed that the Amba Fekada 1 rock paintings site is not an ideal candidate for a standalone tourism development. The other sites of the Enda Teckle Haimanot churchyard ruins and the Dahane engravings were even less suited for tourism development. This is primarily due to the lack of protection, monitoring, maintenance and planning for the sites, and only a mid to low level market appeal, albeit a high level of community support and capacity. These results would have led to multiple recommendations including creating a steering committee, and strengthening ties with Adigrat businesses and creating a tour guiding association. However, the situation that was assessed changed.

Changes to the situation assessed

The NGO TESFA changed the baseline situation for the local community. TESFA has increased the market appeal of the sites by adding them into a larger tourism experience; the sites are one stop on a longer trek. In terms of the SA, TESFA has increased the market appeal score by 5 points, creating an overall score of 18.25, placing the Amba Fekada 1 rock paintings in the B category. As opposed to the C category, the B sites have a lower risk associated with development, and are considered to have a medium potential for tourism development.

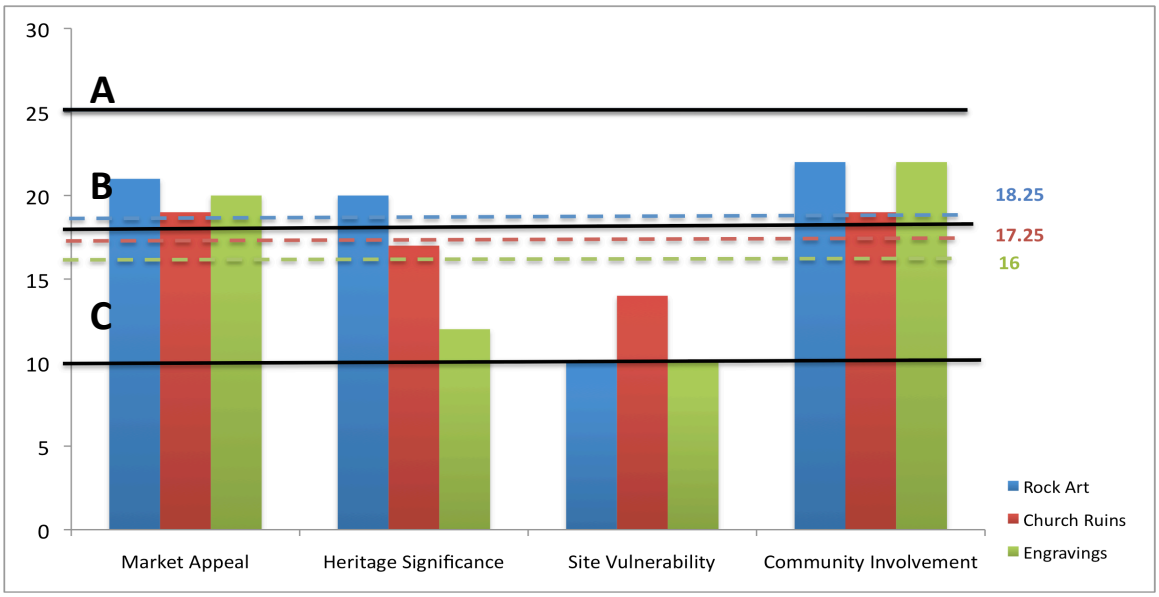


Figure 13: Findings including TESFA

Additionally, by TESFA coming into the picture, the residents of Shewit Lemlem did not have to create their own management structure, tour guiding association, or directly incur any costs for site maintenance, as this is channeled through TEFSA. Given that TESFA is a non-profit charity, with the proceeds going back to Shewit Lemlem, this situation is a win-win. TESFA has created a more attractive tourism package and instituted a management structure sitting external to the Tabia government. The Tabia government would participate jointly with TESFA in the management of the lodge and the local government will handle the profits.

TESFA has changed the situation and has enabled the development to proceed without as many challenges. Without TESFA, the sites could still have been developed, but residents would have faced difficulties. However, with TESFA, the profits are not going to one entrepreneur, but the community, and the community benefits from a stronger tourism experience, international marketing, and a revenue management structure.

The following paragraphs will discuss the results with and without the changes brought on by TESFA's involvement.

Market appeal

Tourism is a business. Without a clear consumer demand for this type of product, as well as greater consumer awareness of these types of heritage resources, the sites would have difficulty attracting tourists on their own. Additionally, the locals attach limited cultural value to the sites, and this makes the development of compelling and authentic story lines about each site problematic.

The market appeal not only depends on the cultural attributes of the sites, but also the supporting amenities available in the area, namely Adigrat. The lack of tourism development and infrastructure in Adigrat hindered the potential for these rural sites. Adigrat is the location where a tourist would overnight and the tour company would restock. The city lacks reliable water or electricity supplies needed to service tourists. As a result other further locations such as Mekele or Axum are more desirable.

However, the challenges of a low market appeal and a lack of amenities have been improved through the development efforts of TESFA. The archaeological sites no longer need to be the main attraction, but are an added feature to a longer journey. The sites do not need to attract the tourists on their own merit, but have been bundled into a trekking trip where they are but a few of many sites experienced as part of a larger package. Through these efforts, TESFA has increased the market appeal of the sites, and commenced marketing them as part of a larger and more impressive lodging experience. Furthermore, visitors are conditioned to not expect amenities such as electricity or potable tap water to be readily available at all sites during their tours. This reduces pressure for costly development at the sites.

Heritage significance

The sites are quite significant in terms of their uniqueness, contribution to the understanding of the past, and as an example of a particular style, but overall the score was reduced to a medium level because of their lack of social or spiritual significance, and their lack of potential to become a national icon. This high level of scientific significance is what spurred the conversations about tourism development. However, McKercher and Du Cros (2002) suggested one should ask the following about any potential tourism development: “Is tourism an end in itself, or is it a means to another end?” By this, the authors mean that only heritage resources of strong appeal for

tourists, that are robust enough to accommodate visitors, and that can be positioned uniquely and attractively in the marketplace should be considered for development as tourism attractions. In other words, the significance of the site alone cannot make up for the other factors. They recommend "caution must be used if tourism is used as a justification for the pursuit of other objectives, such as desire to conserve assets further, protect them from demolition, or as a means to getting assets listed on a heritage registry." (p.184).

Social significance cannot be fabricated, but it can be revived within the community. One of the respondents was an elderly person who was the only person who had a story to tell in relation to the rock paintings site. This story has seemingly been lost to the younger generations, and could be a way of connecting with their past. This increased connection would aid any tourism development, as the locals would be more aware of the history of the site and its value to their community and visitors.

Site sensitivity

Measuring the sensitivity of a site is very important in determining whether it should be used for tourism. In this case, the rock paintings were structurally secured, but due to the open nature of the site, were at risk of damage should high numbers of tourists begin visiting the site. Rock paintings in general are very sensitive to human exposure, and is only suited for low levels of controlled visitor attention (Deacon, 2006).

To increase the scores on the site sensitivity section, a site management plan including tactics for preservation and protection would need to be in place to ensure that human contact would not harm the site for future generations.

Community involvement

In many cases, policies for cultural heritage management and heritage tourism call for the engagement of community stakeholders in the planning and management process (ICOMOS, 1999). Putting that recommendation into practice can be challenging. This research identifies a method for engaging communities in the planning process, where community members have been given the voice to veto tourism development. Should the local community have expressed that they did not want visitors coming into

their village, or that the sites were too sacred to share with others, this would have taken precedence over the other factors listed in the framework. This part of the framework is in keeping with recommendations of authors like Loulanski & Loulanski (2011) who suggest early and consistent participation from community members.

The study's findings suggest that community members were positive, if a little sceptical, towards tourism, and the community had a democratic local government with the capacity to manage tourism revenues generated for community purposes. These findings, combined with the process of primary data collection involving the local community, have laid the groundwork for the planning process to begin. This method however, is not complete without returning the results back to the community. An extended executive summary will be translated into Tigrinya for the local officials to keep on file and to further discuss among themselves. This assessment can then become the launching point for further local planning discussions as per the strategic planning process.

As outlined in the literature review, the process for heritage tourism planning includes:

1. "A realistic assessment of the current situation, including an internal and external analysis
2. Consultation
3. The establishment of a mission or vision
4. The identification and selection of the most feasible options
5. Establishment of quantifiable and assessable goals and objectives
6. The creation of action plans to achieve the goals and objectives (budgets, programs, projects, actions)
7. Establishing an evaluation and feedback mechanism to monitor achievement of the plan's objectives" (McKercher, and DuCros, 2002, p. 195)

This research has outlined a methodology and conducted the first step, the situation assessment, and has begun the consultation process, which will continue with the submission of this report. Plans and assessments face a number of challenges on the road to implementation. Factors that might inhibit implementation include a lack of funding, a lack of the technical skills needed for implementation, technical impossibilities that arise, and a lack of political support (Y. Li, Lai, & Feng, 2006). In order to encourage the implementation and discussion of this report, a representative from TESFA will be asked to discuss the report verbally with those in the Tabia of Shewit Lemlem, and that the results could be reflected in the next Tabia-level 5 year strategic plan (see Summary

Report in Appendix 3). The continuation of the larger planning process will be also be encouraged through conversations between the Tabia, TESFA, and the archaeologists working in the area.

Recommendations for the Shewit Lemlem community

The goal of the assessment was to determine if tourism should be pursued, and if so, under what circumstances. Overall the assessment suggested that the sites had low potential for tourism development. Because of this, a standalone development would unlikely attract steady visitors to warrant investment in time from the community. However, as mentioned above, the addition of an external NGO to the situation changed the assessment from a low potential to a medium potential endeavour. The following paragraphs will outline a number of recommendations for the local community, working together with TESFA, to implement in light of the tourism development being pursued.

Site Management

In keeping with sustainability principles, the heritage site and the local environment must be conserved for future generations and protected from harm. A site management plan, including conservation tactics, is necessary for the site. Through the assessment process, it was found that there are no site management plans for small sites in Ethiopia, and that rock paintings sites in general are quite vulnerable to human impacts. The site management plan should identify the roles and responsibilities for all appropriate stakeholders. It should include protection measures for the site, and a monitoring process to ensure the protection remains intact and to report any threats to the site (Landorf, 2009).

The rock paintings site especially is in need of protection from livestock and from visitors touching the paintings. As part of a site management plan, a small fenced enclosure should be created to surround the rock art. This small fence should be quite short, in order not to block the painting, but its main purpose would be to keep livestock from rubbing up against the images, and to cause visitors to stand back a few feet from the paintings.

A system for monitoring the site should be established with bi-monthly reports kept on file of any damage or occurrences relevant to the maintenance of the site. This highly depends on the will of those living closest to the sites to check on them on a voluntary basis.

Finally the site management plan should be discussed at the Tabia level and included for review every 5 years with the overall strategic goals. In so doing, the site management plan will be framed and discussed in the same arena as the overall goals for the community (Landorf, 2009).

Tour guiding

Even though TESFA is proceeding with tourism initiatives in the case study areas, there is still the possibility of tourists arriving to visit the sites separate from TESFA. These individual tourists should be escorted to the sites and a fee should be collected for the local community. A guiding protocol would ensure that the potential negative implications of tourism are minimized, and the site's heritage integrity is maintained. A suggested protocol might include: a schedule of those available to guide tourists to the site, suggested ways of interacting with the tourists, and copies of a brochure or interpretation of the archaeological sites.

The community must also keep in mind that TESFA is a separate entity from the Tabia, and their objectives many change. Close communication between both groups is necessary, and the TESFA manager should attend the Tabia meetings to ensure communication is kept up. The dependence on an external entity should be recognized, and future plans for the NGO should be shared with the community on a regular basis.

Mitigating negative community impacts

A number of potential negative impacts from tourism development were identified in the assessment that should be minimized in order for a sustainable form of heritage tourism to happen in the case study area.

As mentioned by Buckley et al. (2003), the demonstration effect is a large potential negative impact on host communities. The de-valuing of local culture, and the preference of foreign culture over their own could negatively change the community. For

example, as observed by the researcher at other heritage sites in Ethiopia, begging has rewarded locals and it has become a part of their daily lives. In order to minimize these impacts, the community should agree upon two main aspects: the trail and money management.

In terms of the trail, only one route should be used to walk to the rock paintings site and engravings. Maintaining the same trail causes less erosion, less environmental damage, and maintains consistency for the locals and guides (McNamara & Prideaux, 2011). Soil erosion is a problem in the region, and care should be taken to ensure that the pathway only crosses a farmer's field if absolutely necessary.

In terms of financial management, the tourists should only give money to the local guide and no one else, and the local guide will give the revenue to the TESFA manager, who is held accountable through his employment agreement to properly manage the revenue. The revenue should be kept at a local level as opposed to the Regional or National level to ensure that the local community can directly benefit from the burden of tourists in their area (Nelson, 2004). This revenue sharing model at the local level will also prevent only a few individuals profiting from the tourists and creating a widening gap between the rich and the poor (Hipwell, 2007).

Furthermore, locals are not to accept tips from the tourists for picture taking, the tourists must give all revenue to the local guide. On a busy rural trekking route in northern Thailand, over 5000 tourists pay the locals for posing for photos. This has begun a begging trend, and has been recognized as an official way that locals earn revenue from tourists (Dearden, 1991). Begging however, is also noted as a decreasing overall satisfaction in the tourist experience, and is an unwanted impact of tourism for the local community (Dearden, 1991; Gössling et al., 2004). In another African context, begging was shown to be supported and encouraged indirectly through tour guide recommendations to bring school supplies, food or clothing for the local children (Gössling et al., 2004).

The positive impacts from tourism also should be encouraged. Increased awareness and knowledge of these sites, as well as an increased sense of ownership and pride, are positive impacts that can be amplified through public recognition and praise (Hipwell, 2007). Education of the local community can start organically through the local guides sharing knowledge with family and friends, but can also stem from

information evenings held in or around the lodge for the local people to learn more about the archaeological sites. Local recognition in the press in Adigrat or regionally or by visits by local officials offering praise, are both ways to raise the profile of the sites, and to solidify local commitment to protection.

Following these recommendation will encourage the development of tourism that follows the tenants of sustainability: environmental and heritage protection, community involvement and benefit transfer, and economic longevity. While few businesses can operate in perpetuity, maintaining a long-term outlook and robust financing structures will ensure the community an additional income for generations to come.

Assessment method discussion

The goal of the assessment was to determine if tourism should be pursued, and if so, under what circumstances. The assessment suggested that there was low potential for tourism development of the three archaeological sites, and the recommendations outlined the hurdles to be overcome by the community and TESFA as it proceeds with their initiatives at these sites.

In general terms, the assessment achieved its goal. As Currie and Wesley (2010) explained, the situation assessment is used to analyze information before development, and to evaluate the project's feasibility. This situation assessment allowed for the information related to the current situation to be displayed in a clear manner, and for recommendations based on the results to be made. Additionally, the assessment was clearly able to show community support for tourism development and to determine whether tourism is possible given the information (McKercher & Du Cros, 2002).

It must be pointed out however, that this framework records but a snapshot in time. The results are most useful directly after the investigation period. In this case, due to academic constraints, this report was not made available to the community until much later. This could inhibit the uptake of the report into the ongoing planning process. Future applications of this framework should plan for a 6 months time frame from data collection to final report to ensure that the information remains current.

This situation assessment method could be improved by incorporating two other elements: weighting and triangulation of the assessment. The framework did not assign different weights to individual criteria and therefore assigned each of the criteria equally. The veto power, however, of the first two criteria in the community involvement section is akin to weighting. Weights could have been applied to various criteria to reflect their greater importance, such as the ease of access, or the historic and scientific value. Weights could have led to a result where if the community support and motivation were given a higher weighting, the overall scores would have risen up unto the B range. Additionally, if a lower rating was given to the criterion expecting amenities already to be present at the site, the market appeal would have has less of an impact on the overall score.

The local community and all stakeholders could have also been surveyed to determine their preferred weighing of the various criteria. A simple method to determine the relative weights of each criterion is to ask the participants via a survey to indicate their perceived importance of each criterion on a Likert scale from 1 to 5. Each criterion would then have a weight score, which would then be multiplied against the score chosen for each criterion. A more involved method is called the Analytic Hierarchy Process (AHP) (Saaty, 2005), used in tourism research to assign weights to criteria. The criterion is assigned an integer value (e.g. 1,2,3) in reference to the other criteria in the same level of a decision-making hierarchy. The same is repeated for each level of the hierarchy. The resulting scores of each criterion are created through calculating the eigenvector of a pairwise comparison matrix (Deng, King, & Bauer, 2002). The advantages of the AHP lies in the precise nature of the weights assigned to each criteria and the ability to discuss the criteria in a hierarchical fashion.

The assessment method could further be improved through a convergent or triangulation design, which involves data being gathered concurrently, or in one phase, by multiple researchers (Denzin & Lincoln, 2011). In the case of this assessment, having multiple researchers consider the interview results and fill out the assessment would make the responses more appropriate and objective. Ethiopian and Canadian archaeologists familiar with the project could have filled out this assessment to compare and eliminate researcher bias. An average of the scores of the multiple researchers could have been used to create an overall average for each site in question.

The assessment also had a number of strengths and weaknesses in the individual criteria.

Strengths and weaknesses of the criteria

The strengths of this framework come from the distinct sustainable development themes and criteria it addresses. The graphical comparison between categories was useful to summarize the findings, and the category and criteria grading system offered a means of comparing the relative status of the sites on specific themes. The scores also were helpful in making comparisons from one site to another.

Two elements of the assessment led to the successful representation of the local people's sentiment. First, if any of the topics were to fall below the 'C' or 10 points line, the project would become unsuitable for tourism and should not be developed. Additionally, should the community have indicated they did not want tourism to occur, this would have taken precedence over the other results and led to a decision not to develop. The method used in the application of this framework involved the local people, and placed extra value on their opinion of tourism development, as per sustainable heritage tourism practices (McKercher and Du Cros, 2002).

In applying the framework, a number of weaknesses also became apparent. The first ambiguous criterion was in the Market Appeal section, MA10, which asked how many outhouses, pathways or interpretation were available at the site. The assessment is designed to assess sites not yet developed for tourism, and therefore it is unlikely that any amenities would be associated with an undeveloped site. A site should not be considered less desirable if there are no amenities associated with it.

Within the Market Appeal section, criteria 6 and 7 (Tourism profile of region as national magnet, and Potential to generate new income) did not specifically require a calculation of the potential market size. In order to plan for future tourists, it is necessary to collect data, or estimate the size of the potential market (National Trust for Historic Preservation, 2012a). This estimate was included in this research, but the criteria should be changed to ask for this key piece of information.

In the Site Sensitivity section, criteria SS4 and SS5, assumed that by answering one question could take the place of a complete social impact assessment or an environmental impact assessment. During the consultation phase of the planning

process proper impact assessments should be conducted. This would involve the community filling out a questionnaire, such as the Social Capital Assessment Tool (SOCAT) or the Social Capital Integrated Questionnaire (SOCAP IQ) by the World Bank, as opposed to a smaller subset of questions (The World Bank, 2011).

And finally, in the Community Involvement section, the criterion: ownership and stakeholder relationship established (CI10) did not truly capture the essence of the difficulties of who owns the heritage. There was no place to accurately represent the complications of a church owned site in the assessment.

Limitations

This research was applied in a case study, which precludes the results from being generalized to any other heritage tourism case. The method however, was found to be effective in guiding decision-making and information gathering, and would be highly useful to other cases where sustainable heritage tourism is being proposed for rural sites. One limitation of the method was the focus group selection in the local community. The community chose the participants, which resulted in an all male group comprised of primarily clergy members. A community is not a homogenous 'block' as Blackstock (2005) puts it, and by only surveying a small portion of the community, it is not possible to gain a true idea of all of the sentiments in the community. One way to potentially gain a wider subset of the community is to have multiple focus group sessions engaging a diverse range of household members to participate.

Another limitation of this research is the fact that one researcher applied the framework, which may bias the results. The experiences had by the researcher as a visitor in Ethiopia may have framed the interpretation of the answers given and the findings presented.

A final limitation involves being able to replicate the results without access to appropriate financial, technical and human resources. In an Ethiopian context, applying the framework without external funding would have made such an assessment challenging if not impossible.

Future research

Future research for this case study could include a follow-up study to determine the extent to which the information collected in the SA process was employed in subsequent planning stages at the Tabia level.

TESFA also provides a unique opportunity to explore sustainability principles in action. A study of their sites, the impacts on the community and the environments would provide a very good case study of sustainable tourism. It would be particularly interesting to see how programs evolved over time, how collected revenues were distributed into community supporting sustainability initiatives, and the extent to which these tourism developments made positive effects on community members' daily lives.

This research was the second application of a set of criteria, and they were also adapted to the situation at hand. More research is needed to verify the relevance of these criteria to sustainability planning contexts, and identifying key dimensions and criteria that merit future focus in such investigations.

In a more general sense, future research for sustainable heritage tourism planning should involve standardized criteria for governance so that comparisons can be made between sites. These criteria could be launching off point for a Delphi study of tourism and sustainability professionals to discuss the utility of each of the individual criteria.

Conclusions

The objective of this research was to seek out and refine an appropriate situation assessment framework, apply the framework in the context of a case study, and to test the utility of that framework in determining the potential for sustainable heritage tourism. The specific research questions related to these objectives were:

1. *What principles and criteria can effectively guide the assessment and planning of heritage sites for sustainable tourism purposes in rural and developing regions?*
2. *Under what circumstances should sustainable heritage tourism be pursued in this case study?*

3. *What best practices and lessons can be learned from the application of these principles and criteria, and what modifications are necessary to apply this framework in other heritage tourism contexts?*

The first research question was answered through the literature review and the methods section. Sustainable heritage tourism planning is a process for developing heritage for tourism while following sustainability principles. In defining this term, the principles influencing the assessment framework were introduced. The methods section then elaborated on the specific criteria and the modifications needed to ensure the framework followed the sustainability principles.

Through conducting this research, I learned that the disciplines of planning, heritage, and tourism all have very similar planning frameworks, but few methods for implementation (Loulanski & Loulanski, 2011). Theoretical discussions are frequent in heritage tourism, but analysis of tools and frameworks is few and far between. My research has minutely filled this gap in research with a methodology that was tested and can be applied in a number of rural or developing world contexts.

The second research question was addressed through the application of the framework to a case study, and the presentation of the results in the findings section. The discussion then outlined specific recommendations for the case study based on the assessment results. The recommendations for the case study concluded that each of the heritage sites low potential for tourism development. However, with the creation of the TESFA lodge in the vicinity of the sites, factors such as the lack of tourist demand for rock paintings improved the scores for the site. The site however, even if not developed for tourism on its own, still needs to be protected through a site management plan. Additionally, a tour guiding procedure needs to be created for future social impacts to be mitigated.

In applying the framework and discussing the recommendations for the local community, I learned that a framework only shows you one portion of the true situation. It is impossible to capture every aspect of a living community. This framework however, did an adequate job of representing a situation in a summarized numerical form, and enabled comparisons and decisions to be made from the data.

The third research question was answered in the discussion section with an examination of the strengths and weaknesses of the assessment framework. Overall, the framework created an accurate representation of the situation at hand, but there were elements that were not captured by the framework. Specific suggestions were made to improve the framework. For example, the method was oversimplified in certain areas, and needed to have additional interview questions to fill in criteria such as social capital in the SA.

Through analyzing the framework I learned that individual criteria could be discussed for eternity; no single criterion will fit a given situation perfectly, and no situation will fit the criteria perfectly. The benefit of a tool such as the SA is that the framework creates a process to synthesize information into categories for comparison and to tell a coherent story from the results.

This research hammers home a key message that seems to remain buried in the realms of tourism and cultural heritage management. Just because a heritage site is not commercially viable does not make it less significant, and similarly, just because a site is significant does not imply that it should also be developed for tourism (McKercher and Du Cros, 2002). The opposite of this suggestion likely occurs because of the infrequent communication between the heritage and tourism branches of government. Simple ideas to improve the situation include relocating the branches to the same floor in any building, and creating high-level mandates for interaction between the departments.

Finally, a second key message from this research comes from the sustainability field. Community participation is a key aspect of the sustainability, and through research such as this, the tourism, planning and heritage disciplines are given a method to incorporate sustainability principles into practice.

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Appendix 1: Questionnaire

Lines of Inquiry:

Market Appeal

Tourism product development MA1, MA2, MA3, MA4, MA5, MA6

Funding MA7, MA8

Site development MA9, MA10

Heritage Significance

Historical significance HS3, HS6, HS7, HS10

Social significance HS5, HS8

Site tourism significance HS1, HS2, HS4, HS9

Site sensitivity

Damage and risk SS1, SS2, SS3

Involvement and sensitivity SS4, SS5, SS6, SS10

Site management SS7, SS8, SS9

Community Involvement

Community support of tourism CI1, CI2

Community analysis CI3, CI4, CI5, CI6, CI7, CI8, CI9

Heritage ownership CI10

Questions:

Market Appeal

Tourism product development

MA1 Do you think the surrounding area of the site looks like it did when the site was created?

MA2 Do you know of any places in Ethiopia that runs a tour to sites of rock art? (if so, where)

MA2 Do you think rock art can be a tourist attraction?

MA2 Do travelers have much awareness of rock art in Ethiopia?

MA2 Do travelers associate rock art with Ethiopia?

MA3 Is this site featured in folklore, traditional history or literature?

MA4 Is there usually any flexibility in a tourist's itinerary to add on sites?

MA4 Do tourists stop in Adigrat?

MA4 What other tourist attractions or events take place in the area of the site?

MA5 Could tourists connect and better understand their roots or history with rock art?

MA5 Do you know anything about the rock art, what it means, or what you think it means?

MA6 Are tourists interested in seeing and learning more about rock art?

MA6 Is the northern region known nationally for tourism? Internationally?

MA6 What are the most popular attractions for visitors to this region?

MA6 What is the estimated number of visitors to the northern region of Ethiopia in a typical year?

Funding

MA7 What types of services would visitors need in order for rock art exhibits to be popular?

MA7 How should the community be involved in [rock art] tourism?

MA7 Would this tourist attraction need any supporting development?

MA8 How does a site go about getting protection?

MA8 Is there potential for financial support (public or private) for developing the site?

Site development

MA9 How many of tourists pass through Adigrat?

MA9 How often do you see tourists?

MA9 How is the quality of the road?

MA9 Is it a busy road?

MA10 Is there any supporting infrastructure for tourists around the site?

Heritage Significance

Historical significance

HS3 Does this site have historical significance on the local, national or international level?

HS6 What is the scientific value of this heritage asset?

HS6 Does it provide substantial information to understand history?

HS7 How unique is this site in the region, country and continent?

HS10 Does this site represent a type, style or class of heritage?

Social significance

HS5 What do you know about the site, is it important to you?

HS5 Is this site used for any local events?

HS8 What does the rock art mean to you, is it linked to any traditions you have?

Site tourism significance

HS1 Do you think the rock art is impressive or beautiful?

HS2 Do you think the area surrounding the site makes the tourist visit better?

HS4 Is this site suitable for a learning experience about local knowledge and archaeology?

HS9 When you think about the places in Ethiopia you would like to share with foreigners, is this site one of them?

HS9 Do you think this site could be on a postcard?

Site sensitivity

Damage and risk

SS1 Is this site vulnerable to damage from: wild animals, human interference, atmospheric, fire, or water?

SS2 Naturally, (without man made structures) how well protected is the site?

SS3 How much damage has this site already sustained?

Involvement and sensitivity

SS4 How can humans damage this type of site?

SS5 What changes would tourism have on the community?

SS6 Does a tour guiding association already exist in the community?

SS6 How should the community be involved in tourism?

SS10 Who knows about the sites in the community? How are they involved in their management?

Site management

SS7 Is there a site management plan for any of the resources in community?

SS8 Are the sites in the community monitored and maintained on a regular basis?

SS9 Has the site been modified to help protect it, and what modifications have been done?

Community Involvement

Community support of tourism

CI1 Are you interested, not interested, or do you not care about tourism in your community?

CI2 How do you feel about outsiders coming into your community, would you want to invite them into your home?

Community analysis

CI3 Do you have a job outside of your Got/ Kushet? What do you do for this job?

CI4 What community groups and associations exist in the community?

CI5 How many women participate in the Tabia administration?

CI6 What institutions exist that already manage tourism, or could manage a tourism operation?

CI7 Are there any resources (funding, labour or construction materials) available for tourism development?

CI8 How much do you trust your neighbors? (Social capital)

CI8 Do you trust people outside of the community? (Social capital)

CI8 Do you visit with people within your community? (Social capital)

CI8 Do you visit people outside of your community? (Social capital)

CI9 How important is tourism among the Tabia's/ Region's/Nation's other goals?

Heritage ownership

CI10 Who owns the heritage in Ethiopia? Who owns/ manages local heritage sites?

Appendix 2: Assessment results

Market Appeal

	Criterion	Amba Fekada	Churchyard ruins	Engravings
1	Scenic ambience & setting appeal	2	1	2
2	Prominence as national icon	1	1	0
3	Place evocativeness (ability to tell a good story)	1	2	1
4	Potential for packaging with other nearby tourism products	3	3	3
5	Appeal for special spiritual needs or uses	1	1	1
6	Tourism profile of region as national magnet	3	3	3
7	Potential to generate new income	2	0	2
8	Potential public/private financial support	0	0	0
9	Cost of access	3	3	3
10	Number of site amenities	0	0	0
	TOTAL	**16**	**14**	**15**

Heritage Significance

	Criterion	Amba Fekada	Churchyard ruins	Engravings
1	Aesthetic significance of asset	2	1	1
2	Experiential significance surrounding landscape	3	2	3
3	Historical significance	3	2	1
4	Educational value & potential	2	2	1
5	Social significance	1	3	1
6	Scientific value	3	2	1
7	Uniqueness	3	2	1
8	Indigenous spiritual significance	0	0	1
9	Significance as potential national unifying socio-cultural symbol	1	1	1
10	Significance as representing a type (style, structure)	2	2	1
	TOTAL	**19**	**17**	**12**

Site Sensitivity

	Criterion	Amba Fekada	Churchyard ruins	Engravings
1	Risk of natural damage (list total)	1	1	1
2	Risk of human damage	1	2	1
3	Current level of irreversible damage	1	0	1
4	Potential negative impact of high visitation on fabric of asset	1	2	1
5	Potential negative impact of high visitation on social	1	1	1
6	Level of guidance provision	1	3	1
7	Level of site management plan initiation	0	0	0
8	Regular monitoring and maintenance	1	3	1
9	Number of exposure monitoring & protection measures in place	0	1	0
10	Number of stakeholders actually/ potentially involved/ consulted	3	1	3
	TOTAL	**10**	**14**	**10**

Community Involvement

	Criteria	Amba Fekada	Churchyard ruins	Engravings
1	Desire for involvement	3	3	3
2	Desire for hosting tourists	2	2	3
3	Skills of individuals involved	2	2	2
4	Institutions in local community	3	3	3
5	Gender split in positions of power	3	3	3
6	Institutions capable of handling profits collectively	3	1	3
7	Amount of money/resources available locally	0	1	0
8	Social capital	3	3	3
9	Local political importance of tourism	1	1	1
10	Ownership and stakeholder relationship established	2	0	2
	TOTAL	**22**	**19**	**22**

Appendix 3:
Research Summary for the Shewit Lemlem Community

This research presents an assessment framework for local and regional governments to evaluate whether tourism development is appropriate for local heritage sites. Given that archaeological and heritage assets are managed by the various levels of government on behalf of the local people, heritage sites developed for tourism can bring sustained benefits to a local community struggling with very low incomes. This assessment framework, called the Sustainable Heritage Tourism Situation Assessment, incorporates sustainability principles and includes participation of the local residents, reflecting the UN World Tourism Organization (2005) sustainable tourism definition: "Sustainable tourism minimizes impacts on environmental resources, respects and conserves the socio-cultural authenticity of host communities, and provides long-term economic benefits to all stakeholders, through the informed participation of all stakeholders, consensus building and monitoring impacts, to provide a meaningful and satisfying experience to tourists". (See Appendix 1 for more about tourism in Ethiopia).

The assessment framework was tested in the Shewit Lemlem Tabia, located in the Tigrai zone, Eastern Tigrai region, and Gulo Makeda Woreda. The heritage sites were previously identified by archaeology professor Dr. Catherine D'Andrea in her fieldwork (D'Andrea et al., 2008). The archaeological sites included:

- **Amba Fekada 1 Rock Paintings:** depicting dynamic scenes of hunters with spears and bows and arrows, abstract human figures, attacking felines, and a ploughing scene. To date, this is the only clearly defined ploughing scene in rock art in the Horn of Africa (Brandt, 1984).
- **Dahane Rock Shelter Engravings:** located in a naturally formed rock shelter; a slab of rock leaning diagonally across another standing rock to form a shaded area. In the interior, there are many engravings of crosses, both modern and a few hundred years old (D'Andrea, 2005).
- **Enda Teckle Haimanot churchyard ruins:** The ruins are thought to be a part of a former town known as the Ona Adi archaeological site and are located within the churchyard walls (D'Andrea et al., 2008).

Methods

To fill out the assessment (see Appendix 2 for the full framework), interviews were held with key stakeholders in archaeology, tourism and the local community. One focus group was

held with the local community, and observations by the researcher were also used to fill out the assessment.

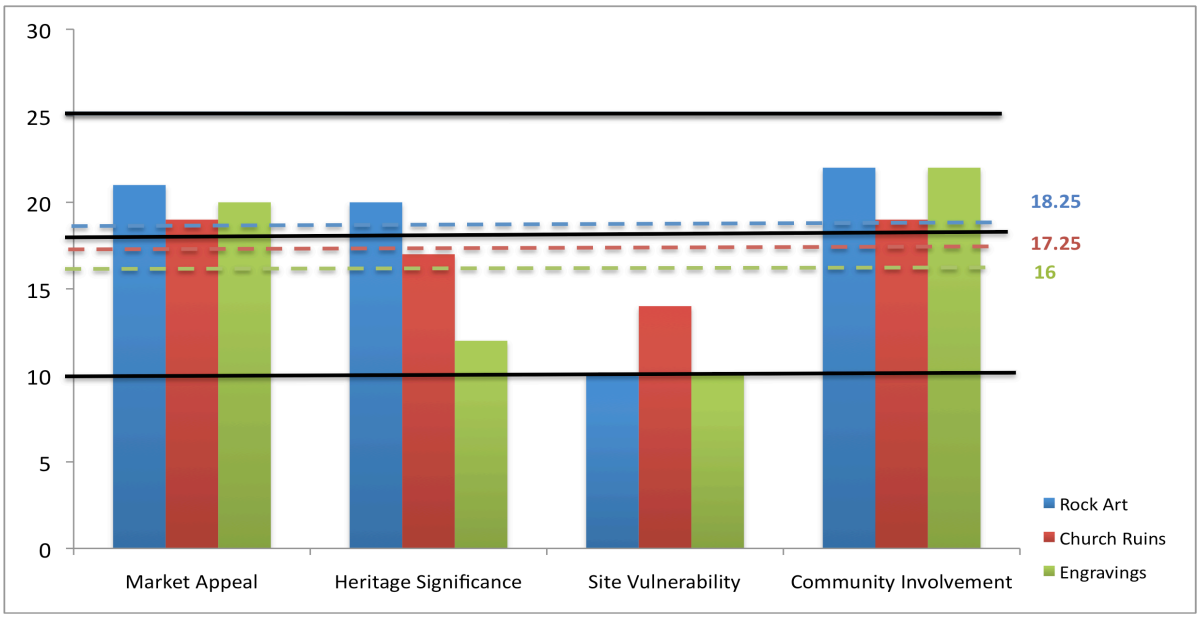
Organization	Number of interview respondents
Government (Federal)	8
Government (Regional)	3
Government (Local)	6
NGO	7
University	3
Tour Company	5
Local	9
Church	2
TOTAL	**43**

The SA has four sections, with ten criteria in each category. Each criterion is given a score from 0 to 3. The totals are calculated for each category, and the average of the four categories is taken to create an overall score for the site. The average scores for each site are then compared against a grading system proposed by Wurz and Van der Merwe (2005). A site with a total average score of over 25 is accorded an A level grade and is considered best suited for tourism. These sites likely already have tourists seeking out the site and are highly esteemed by local people. A site with a total average score of 18 to 25 is considered a B level site and is appropriate for tourism development, but with limitations. These sites may require more promotion than the A level sites, but are still robust enough to withstand tourist traffic. Sites scoring between 10 and 18 are designated C grade sites, and have low tourism development potential. A C site would have difficulty attracting a large enough tourist volume on its own. Those sites receiving grades below 10 are not suited for tourism development and should not be pursued (Wurz and Van der Merwe, 2005). It is also important to note that should the local community not be in support of tourism development, the scores are considered null, and the development should not be pursued.

Results

In this community, a non-profit organization called TESFA (Tourism in Ethiopia for Sustainable Future Alternatives) was also included in the assessment. TESFA was building a tourism-related product in the region, and would be managing tourism resources on behalf of the community, given their non-profit status. The following graph shows the results of the three heritage sites evaluated with the Sustainable Heritage Tourism Situation Assessment framework:

the rock paintings scored an average of 18.25 (B level), the ruins scored 17.25 (C level), and the engravings scored 16 (C level).



Recommendations

The goal of the assessment was to determine whether tourism should be pursued, and if so, under what circumstances. Overall the assessment suggested that the sites had low to medium potential for tourism development. The following are a set of recommendations for the community so that going forward, the sites can be developed in a sustainable way.

Site Management

A site management plan, including conservation tactics, is necessary for the site. Through the assessment process, it was found that there are no site management plans for small sites in Ethiopia, and that rock paintings sites in general are quite vulnerable to human impacts. The site management plan should identify the roles and responsibilities for all appropriate stakeholders. It should include protection measures for the site, and a monitoring process to ensure the protection remains intact and to report any threats to the site (Landorf, 2009).

The rock paintings especially are in need of protection from livestock and from visitors touching the paintings. As part of a site management plan, a small fenced enclosure should be created to surround the rock art. This small fence should be quite short, in order not to block the painting, but its main purpose would be to keep livestock from rubbing up against the images, and

to ensure visitors do not touch or spray water on the paintings The fencing should not obstruct the images and under no circumstances should cement be applied to the rock face around the paintings.

A system for monitoring the site should be established with bi-monthly reports kept on file of any damage or occurrences relevant to the maintenance of the site. This highly depends on the will of those living closest to the sites to check on them on a voluntary basis. Finally, the site management plan should be discussed at the Tabia level and included for review every 5 years with the overall strategic goals. In so doing, the site management plan will be framed and discussed in the same arena as the overall goals for the community (Landorf, 2009).

Tour guiding

Tourists could arrive at the site outside of the activities of the TESFA. These individual tourists should be escorted to the sites and a small fee of 10 birr should be collected for the local community. A tour guiding protocol is suggested to ensure that the local community members know what to do should a tourist arrive. A suggested protocol might include: a schedule of those available to guide tourists to the site, and copies of a brochure or interpretation of the archaeological sites.

Trail Management

In terms of the trail, only one route should be used to walk to the rock paintings site and engravings. Maintaining the same trail causes less erosion, less environmental damage, and maintains consistency for the locals and guides (McNamara & Prideaux, 2011). Soil erosion is a constant problem in the region, and care should be taken to ensure that the pathway only crosses a farmer's field if absolutely necessary.

Revenue Management

In terms of money management, the tourists should only give money to the local guide and no one else, and the local guide will give the revenue to the TESFA manager, who is held accountable through his employment agreement to properly manage the revenue. While there is no individual monetary benefit for guiding the visitor to the site, it should be seen as an honour to lead the visitors to the site. The revenue should be kept within the Tabia, where the local government can determine what they would like to use the funds for. Some examples include

proving food subsidies through lower prices on grains, repairing dams and water sources, or building a grain shelter.

Furthermore, locals are not to accept tips from the tourists for picture taking, the tourists must give all revenue to the local guide. Begging has been recorded to decrease overall satisfaction in the tourist experience, and is an unwanted impact of tourism on the local community (P. Dearden, 1991; Gössling et al., 2004). In another African context, begging was shown to be encouraged indirectly through tour guide recommendations to bring school supplies, food or clothing to give directly to the local children (Gössling et al., 2004).

Knowledge Sharing

Increased awareness and knowledge of these sites, as well as an increased sense of ownership and pride, are positive impacts that can be amplified through public recognition and praise (Hipwell, 2007). The local guides and those who know about the heritage sites should bring their friends and family to visit the site, and share what they know about them. It is important for the younger generation to know why these sites are important and why they should be conserved.

Conclusions

This assessment has provided a methodology to assess local heritage sites for their tourism potential. All sites fell within the range of development potential, where some were higher than others. The recommendations were given to the local community to suggest a more sustainable way of managing the heritage tourism development.

[Attachments- References and Assessment framework]