

CHAPTER THREE

RESEARCH DESIGN, RESEARCH METHODOLOGY AND SELECTION OF CASE STUDIES

*“Research is about enquiry, about discovery,
about revealing something that was
previously unknown”
Finn et al., (2000, p. xv).*

3.1 Introduction

The purpose of this chapter is to connect the theoretical paradigms to the strategies of inquiry and methods for collecting empirical data in order to answer the aim and objectives of the research (section 1.2) in a meaningful way.

3.2 Research design

The research design answers the question of what type of study will be undertaken in order to provide answers to the research problem. According to Mouton (2001, p. 55) “a research design is a plan or blueprint of how you intend conducting the research”. In the same way that the research problem, aim and objectives of the research guide the research in a particular direction, an appropriate, well-planned research design will also guide the research process.

The emphasis of the research was on the development of a framework to monitor the sustainability of CBE ventures in southern Africa¹ and to test its applicability in a field setting. In order to achieve this aim, the study made use of a mixed method approach. The research was both exploratory and descriptive in nature and made use of a multiple case study research design.

3.2.1 Mixed method

It is generally recognized that all research methods, both quantitative and qualitative, have limitations, and that by triangulating data sources researchers could seek convergence across qualitative and quantitative methods. The mixed methods approach was found to be suitable, since two methods could be combined to maximize the strengths and minimize the weaknesses of each method. It was felt that one method could help develop or inform the other (Guba & Lincoln, 1994; Finn *et al.*, 2000; Creswell, 2003). A mixed method approach utilizes the advantages of both quantitative and qualitative paradigms.

¹ For the purposes of this study southern Africa is composed of all the SADC (Southern African Development Community) countries, namely, Angola, Botswana, the Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, United Republic of Tanzania, Zambia and Zimbabwe.

Philip (1998, p. 273) states that “researchers should think beyond the myopic quantitative-qualitative divide when it comes to devising a suitable methodology for their research, and select methods – quantitative and qualitative or a combination of the two – that best satisfy the needs of specific research projects”.

A concurrent triangulation approach was selected as the appropriate mixed methods approach. This approach was selected to enable the researcher to utilize different methods in an attempt to confirm, cross-validate or corroborate findings within the study. This method uses quantitative and qualitative methods as a means to offset the weaknesses inherent within one method with the strengths of the other method. In this case the quantitative and qualitative data collection is concurrent (Creswell, 2003, p. 217). Where a combination of methods is used in the same study, this is referred to as triangulation.

3.2.2 Exploratory and descriptive design

According to Mouton (1996) the aim of exploratory studies is to establish facts, to gather new data and to determine meaningful patterns or themes in a relatively unknown research area, hoping to gain new insight into the phenomenon being researched. Babbie (2007, p. 88) claims that “[e]xploratory studies are most typically done for three purposes: (1) to satisfy the researcher’s curiosity and desire for better understanding, (2) to test the feasibility of undertaking a more extensive study, and (3) to develop the methods to be employed in any subsequent study”. It was hoped that this study would meet all three of the stated criteria of exploratory research by satisfying the researcher’s curiosity for a better understanding of the sustainability of CBE ventures in southern Africa through constructing an evaluation framework utilizing indicators, applying the framework and subsequently determining the utility of the framework for future application. To date, very little research has been done on the application and utilization of indicators for establishing the sustainability of CBE ventures. It was hoped that in the absence of a substantial knowledge base this study would generate insights into this method by utilizing an exploratory research design. Babbie (2008, p. 98) states that exploratory studies are valuable and essential whenever a researcher is breaking new ground, and that exploratory studies almost always yield new insights into a topic of research.

This study was not only exploratory in nature but it also built on the knowledge base regarding CBE in southern Africa through providing detailed descriptions of the investigated cases in terms of the indicators that formed part of the evaluation framework. It therefore also had a descriptive nature. Babbie (2007, p. 89) explains that “[a] major purpose of many social scientific studies is to describe situations and events. The researcher observes and then describes what was observed”.

3.2.3 Case study research design

The primary research strategy of this study is that of the case study. Yin (2009, p. 2) states that “case studies are the preferred strategy when ‘how’ and ‘why’ questions are being posed, when the investigator has little control over events, and when the focus is on a contemporary phenomenon within some real-life context”. This study used multiple exploratory and descriptive case studies based on the criteria mentioned above:

- Curiosity about **how** sustainable the CBE ventures in southern Africa are
- Realization that the researcher has **little control over** CBE ventures
- A viewpoint that the reality in this **real-life context** will contribute uniquely to the knowledge base of the research phenomenon and the assessment of sustainability of CBE ventures in future

A case study research design is preferred for the examining of contemporary real-life situations that cannot be manipulated by the researcher. One of the unique strengths of case study research is its ability to deal with a wide range of evidence collected in a variety of ways (Stake, 2000; Henning, 2004; Yin, 2009). This study made use of data collected through interviews and questionnaires, participant observations, secondary data documents and occupancy statistics, water tests and global positioning systems. The methods for the collection of this data will be discussed in Chapter 5.

A more technical definition of case study research is given by Yin (1994, p. 23) which states that “[a] case study is an empirical inquiry that: Investigates a contemporary phenomenon within its real-life context; when the boundaries between phenomenon and context are not clearly evident; and in which multiple sources of evidence are used.”

This research sought to measure the sustainability of the present-day phenomenon of CBE ventures operating in southern Africa, through the collection of a variety of both primary and secondary data sources, where the CBE ventures could not be separated from their context within the community.

3.2.3.1 Case study specific research design elements

The research design is the logical sequence that connects the empirical data to the research question, aims and objectives and ultimately through to the conclusions. According to Yin (2009, p. 27) there are five important components of research design that need to be addressed for case studies, namely:

1. a study’s question
2. its propositions, if any
3. its unit(s) of analysis
4. the logic linking the data to the propositions
5. the criteria for interpreting the findings

Each of these components will be clarified here.

Study question: The fundamental question that was asked in this study was: “How can the sustainability of community-based ecotourism ventures be monitored to provide performance indicators to aid effective management?”

Propositions (plan of action): In order to investigate the sustainability of CBE ventures as stated, it was important to first select the cases that would be investigated. Since no comprehensive list on CBE was available, an inventory of CBT ventures first had to be compiled. An important part of this inventory compilation was the establishment of an accurate spatial reference of position for each venture using the information collected. This inventory was then subjected to a spatial selection in order to refine the ventures that could feasibly be visited. Two primary criteria for this refinement were used, namely (1), safety and security concerns (personal safety) and (2) no further than 2 000 kilometres from the researcher’s permanent place of residence in Benoni, just outside Johannesburg in the Republic of South Africa (related to cost). The spatial selection was done using Geographical Information System (GIS) software, namely ArcGIS 9.2. The above refinement excluded a number of CBT ventures. The manager of each of the remaining ventures was subjected to a telephonic interview, the results of which were used firstly to find out which CBT ventures could be categorized as CBE ventures and secondly, to classify the CBE ventures into the six predetermined types. A random selection was done on the resulting CBE ventures in each type. The sustainability of the selected case studies was then established by applying a constructed evaluation framework making use of a number of data collection instruments that are discussed in Chapter 5. The data collection instruments were all selected to provide data for the constructed evaluation framework which is also discussed in Chapter 5.

Units of analysis: The specific unit of analysis that was investigated in the study was the six selected CBE ventures in southern Africa. One case was selected from each of the six CBE types differentiated earlier in Chapter 2 (section 2.7.1).

Logic linking the data to the propositions: The logical linking of the data collected was firstly used for the selection of the case studies that were investigated and secondly for establishing the sustainability in terms of the constructed evaluation framework.

Criteria for interpreting the findings: The criteria for interpreting the findings of the study were established through the use of pattern matching across the cases investigated in terms of the constructed evaluation framework.

3.2.3.2 Case record and cross-validation report

As this research made use of multiple case studies, a case record and a cross-validation report (also referred to as a cross-case analysis) were compiled in order to present data in a systematic way (Merriam, 1991; Yin, 2009). The case record was used to present and organize

all the data collected into a comprehensive package for recording the findings and facilitating analysis (Merriam, 1991), while the cross-validation report indicated similarities and differences in the research results of the cases that were compared. The case records for each case study investigated are presented in Chapter 6 while the cross-case analysis is presented in Chapter 7. The cross-validation report assists in providing baseline data for future investigations of CBE ventures in southern Africa.

3.3 Ethical research design considerations

The importance of considering ethical questions during research cannot be over-emphasized. This is confirmed by Banister *et al.* (1994, p. 173, as cited in Finn *et al.*, 2000, p. 36) who state that “ethical concerns must be part of the fundamental design of any research project”. Important ethical concerns had to be taken into consideration during the study. Methods proposed by Finn *et al.* (2000) and Babbie (2007) were used to address these concerns as described below.

Informed consent and voluntary participation: All participants of the research gave their consent to take part in the study. Before conducting any interviews or questionnaires, and before visiting any of the selected case studies, the researcher informed all participants of the aims of the research, what the research would involve for the participants, as well as the envisaged duration of the interviews and questionnaires. The participants were also informed of what would happen with the results once they had been collected. Only once this was done, verbal consent was sought before continuing with the data collection. Where interviewees did not want to be part of the study or refused to give consent, their decision was respected and the interview terminated and another interviewee selected. The contact details of the researcher were also left with the manager or owner at each site where a case study would be done so that participants could contact the researcher should any queries or problems arise later.

Confidentiality and anonymity: A researcher has the responsibility of protecting participants from harm – not only physical harm, but discomfort and embarrassment as well. Confidentiality is about protecting the individual from harm when the research results are made public. The personal details of the respondents have not been released by the researcher and will remain confidential. The results of the research will also be alluded to in aggregate form so that individual responses cannot be distinguished. In an attempt to further protect the participants in the specific case study investigations the names of the participants were not collected. Anonymity was thus assured.

3.4 Phases of the research

In order to achieve the aim of the study, namely to develop a framework to monitor the sustainability of community-based ecotourism ventures in southern Africa and to test its applicability in a field setting, the investigation was divided into two phases:

- The first phase involved selecting the case studies for further investigation. This comprised the compilation of an inventory of CBT ventures in southern Africa, which was scrutinized to establish which CBT ventures may be categorized as CBE. The final part of this phase of the research involved the classification of the CBE ventures into types and the random selection of one case study in each type for further investigation.
- The second phase of the research involved the development of a framework to monitor the sustainability of community-based ecotourism ventures in southern Africa and to test its applicability in a field setting. One case study in each type of CBE was used to test the applicability of the framework.

This chapter further discusses the methods and results of the case study selection phase of the research. Chapter 4 presents the results of the telephonic interviews, while the second phase of the research is discussed in Chapter 5.

3.5 Data collection methods for the case study selection

Before the development of a framework to monitor the sustainability of community-based ecotourism ventures in southern Africa could begin, it was necessary to compile a list of the CBT ventures in southern Africa which could serve as the population (N) from which the case studies could be selected. The first phase of the study as mentioned above involved all the research steps and procedures that needed to be undertaken for the selection of the final case studies. The steps in this process had to be carried out sequentially in order to refine the selection process. The methods and the results of the selection process will be discussed in the remainder of this chapter. Figure 3.1 provides a diagrammatic representation of the steps followed for the selection of case studies for further investigation.

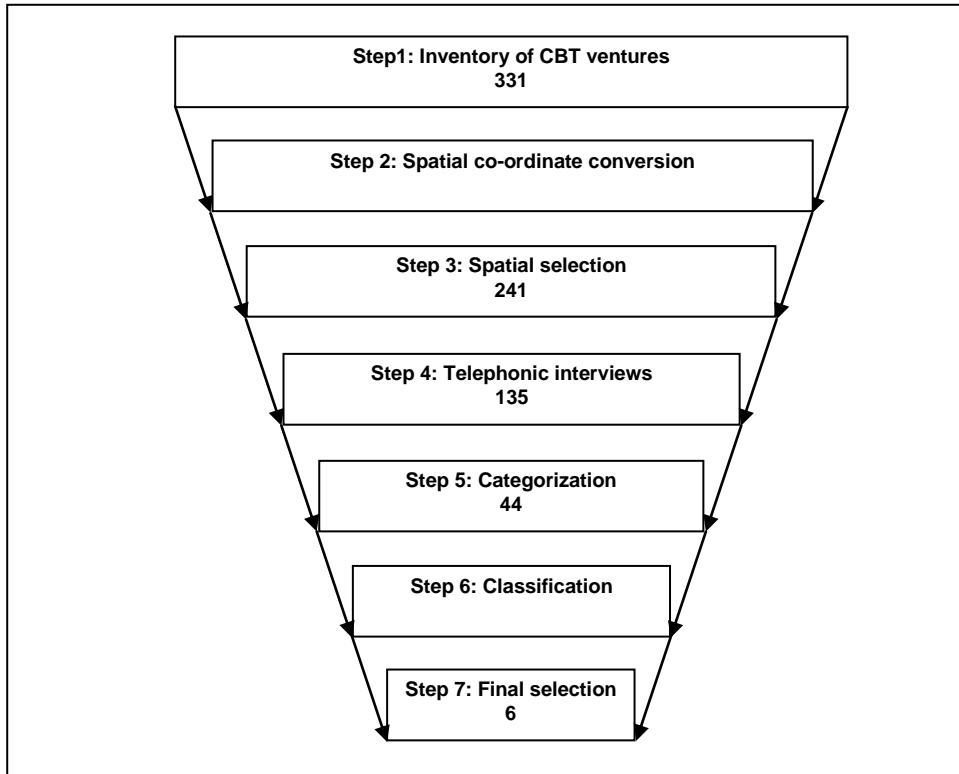


Figure 3.1: Steps followed in the selection of case studies for the field testing of the evaluation framework for monitoring the sustainability of CBE ventures in southern Africa

3.5.1 Step 1: Compiling an inventory of community-based tourism ventures in southern Africa

The first objective of the study was achieved by the compilation of an inventory of all the southern African CBT ventures. The population (N) from which the case studies for further investigation were selected was compiled from the results of four separate sets of data collected. The four sets of data collected were:

USAID Directory (2001): This directory entitled the '*Natural Resource Based Community Tourism Directory*' was published by The Regional Tourism Organization of Southern Africa (RETOSA) in 2001. This directory was funded by the US Agency for International Development (USAID) through the RAPID (Regional Activity to Promote Integration through Dialogue and Policy Implementation) project. It is stated in the directory that "[a]lthough for many people the special characteristics of community tourism will be to stumble upon them as they wander down unknown tracks and byways, for the communities, a more secure future lies in improving the quality of their product and increasing the number of visitors" (RETOSA, 2001, p. 3). The aim of the directory was to provide a list of CBT ventures so that they could be better marketed in order to increase their visitation, making them more economically sustainable and viable over the long term. The information for the directory was collected through interviews, brochures, published articles and Internet research that took place between April and September 2001. The directory was available through RETOSA, but there were no other notable initiatives for marketing the

directory. This directory lists 116 CBT ventures in 10 southern African countries (Botswana, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Tanzania, Zambia, and Zimbabwe). No ventures were identified in the other SADC countries (Angola, the Democratic Republic of Congo, Madagascar, Malawi, Mauritius and Seychelles). The directory was obtained in hard copy from the RETOSA offices in Midrand, South Africa.

RETOSA Database (2006): According to RETOSA (2009) “[t]his directory was created in order to promote community-based tourism businesses in southern Africa”. Spenceley (2008) explains that this initiative was undertaken as a result of the collaboration of the WTO, RETOSA and the Netherlands Development Organization (SNV). The objective of the initiative was to use the information collected to develop an online CBT enterprise directory that would help the enterprises reach tourists and tour operators internationally and thereby improve their market access. The website is available at www.community-tourism-africa.com. This directory lists 207 CBT ventures in 12 southern African countries. The database of 207 CBT ventures was obtained in digital format from the RETOSA offices in Midrand, South Africa (November 2006). Of the 207 ventures listed, 160 ventures had not appeared on the 2001 directory list (see Table 3.1 and Figure 3.2.)

Trade shows and exhibitions (2006 & 2007): In an attempt to expand the list of CBT ventures, four southern African trade shows and exhibitions were also visited. The four trade shows and exhibitions that were visited included two Getaway shows (September 2006 & August 2007) and two Tourism Indabas (May 2006 & May 2007). The Getaway show is hosted by a premier travel monthly publication by the same name, while the Tourism Indaba “is one of the largest tourism marketing events on the African calendar and one of the three ‘must visit’ events of its kind on the global calendar. It showcases the widest variety of southern Africa’s best tourism products and attracts international visitors and the media from across the world” (Tourism Indaba, 2009). During these four trade events, 41 CBT ventures were identified through informal discussions, brochures and exhibits, 20 of which had not been listed in either the 2001 directory or the 2006 database.

Internet searches (2007): In an attempt to gain a comprehensive inventory of CBT ventures in southern Africa, Internet searches were undertaken as a final measure to compile an up-to-date inventory (August 2007). Google searches were conducted using the search items ‘community tourism’, ‘community based tourism’ and ‘community ecotourism’. Besides taking into account the results yielded by the Google searches, another online site was also searched for CBT ventures. The site ‘Open Africa’ “is a pan-African collaborative movement. The website’s vision is to link the splendours of Africa in a network of job creating conservation oriented tourism routes from Cape to Cairo” (Open Africa, 2009). The results of these Internet searches yielded 58 CBT ventures of which 35 had not been obtained by any of the three previous data collection exercises.

Data verification: In an attempt to verify the resultant list of CBT ventures, the contact details and the spatial co-ordinates for all 344 CBT ventures were collected. Spatial co-ordinates were

assigned to each of the 344 identified ventures using information obtained from the directory, database, brochures and Internet searches. The co-ordinates were plotted using Mapsource 6.10.2 software using three base map layers (African Maps, Southern African Street Maps and the South African Topo Rec series). The co-ordinates were plotted using the method described in the Mapsource user manual (Garmin, 2005). All 344 ventures were assigned spatial co-ordinates. On using the collected contact details and the spatial co-ordinates for each venture it became evident that some of the ventures had changed names over the listing periods, from the initial lists in 2001 until the final collection of ventures in 2007. Consequently, 13 CBT ventures were removed from the inventory list because they were listed under two names with the same contact details and/or spatial co-ordinates. In cases where ventures had changed their names, the newer or most recent name was used for the final inventory, e.g. Mier Community Lodge was changed to !Xaus Lodge.

The resultant inventory of CBT ventures is made up of all the ventures that could be traced in southern Africa (from May 2006 until the end of August 2007). The results of the various inventory collection processes are tabulated and illustrated in Table 3.1 and Figure 3.2. A total of 331 ventures were identified. The inventory of the 331 ventures together with their geographical coordinates is included in Appendix A.

Table 3.1: Inventory of community-based tourism ventures in southern Africa

Country	USAID Directory	RETOSA Database (new additions)	Trade shows (new additions)	Internet (new additions)	TOTAL
Botswana	20	0	1	6	27
Lesotho	4	3	2	0	9
Madagascar	0	7	0	0	7
Malawi	1	7	0	0	8
Mauritius	0	1	0	0	1
Mozambique	3	5	0	1	9
Namibia	22	14	1	8	45
South Africa	17	90	15	16	138
Swaziland	1	5	1	2	9
Tanzania	20	7	0	0	27
Zambia	8	7	0	2	17
Zimbabwe	20	14	0	0	34
	116	160	20	35	331

South Africa is clearly dominant in terms of the number of CBT ventures, with 138 (41.69%) of the CBT ventures being identified as falling within South Africa. Other prominent countries in decreasing order are Namibia with 45 (13.60%), Zimbabwe 34 (10.27%), Botswana 27 (8.16%), Tanzania 27 (8.16%) and Zambia 17 (5.14%). Countries with significantly fewer identified CBT ventures are Lesotho 9 (2.72%), Swaziland 9 (2.72%), Mozambique 9 (2.72%), Malawi 8 (2.42%), Madagascar 7 (2.11%) and Mauritius 1 (0.30%). No CBT ventures were identified in the SADC countries of Angola, Democratic Republic of Congo (DRC) and Seychelles. The decade long political instability and warfare in Angola and the DRC could be the reason for no CBT ventures in those countries, while the tourism product in Seychelles may be considered to

be of an exclusive nature, with communities there having very little or no say over developments.

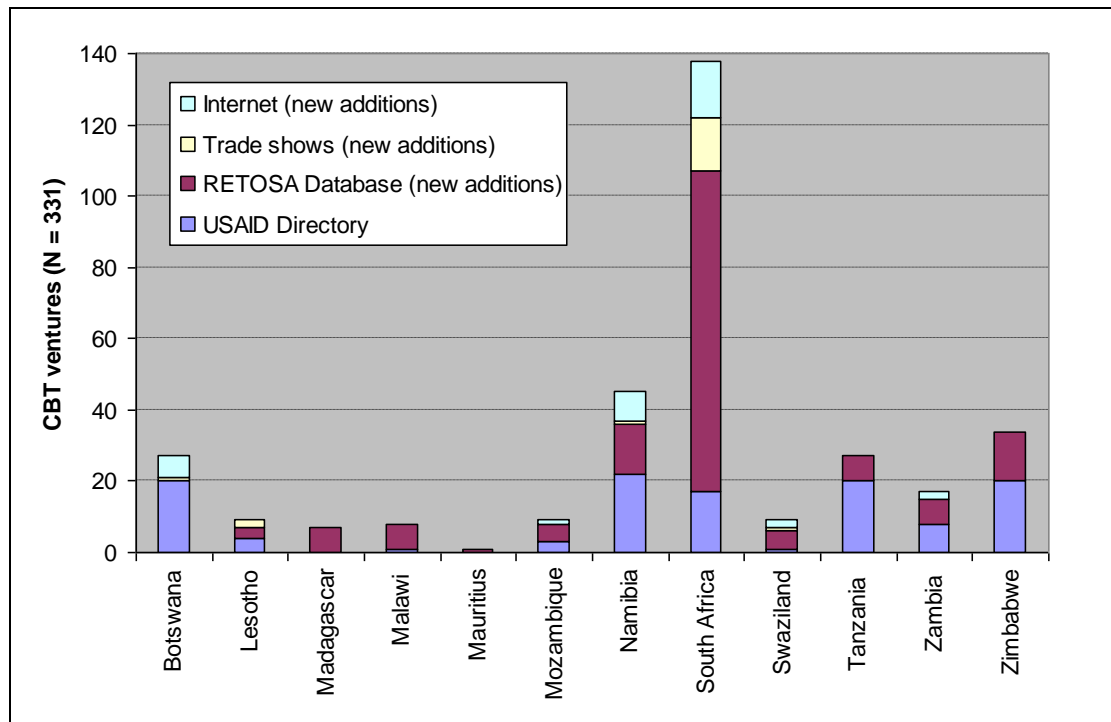


Figure 3.2: Identified CBT ventures in southern Africa by country

3.5.2 Step 2: Converting the CBT venture spatial co-ordinates to ESRI ArcGIS file format

In order to conduct a spatial selection (discussed in the next step of the research process), the Mapsource spatial co-ordinates needed to be converted to ArcGIS shape file format to facilitate further GIS processing.

The co-ordinates were uploaded onto a Garmin Global Positioning System (GPS) and then downloaded onto DNR Garmin 4.3 Software. DNR Garmin integrates GIS Software (ArcGIS 9.2 in this case) with all types of Garmin brand GPSs. The extension uses a VB (Visual Basic) programme that interacts with a Garmin GPS via a serial port allowing GIS users to transfer Waypoints (CBT venture co-ordinates originating from the Mapsource software) from a Garmin GPS to ArcGIS and store these co-ordinates as points, lines or polygons in shapefile format (Minnesota Department of Natural Resources, 2004).

The co-ordinates of all CBT ventures were converted into a projected shape file format for further processing by ArcGIS 9.2. The resultant spatial distribution of the 331 identified CBT ventures is illustrated in Figure 3.3.

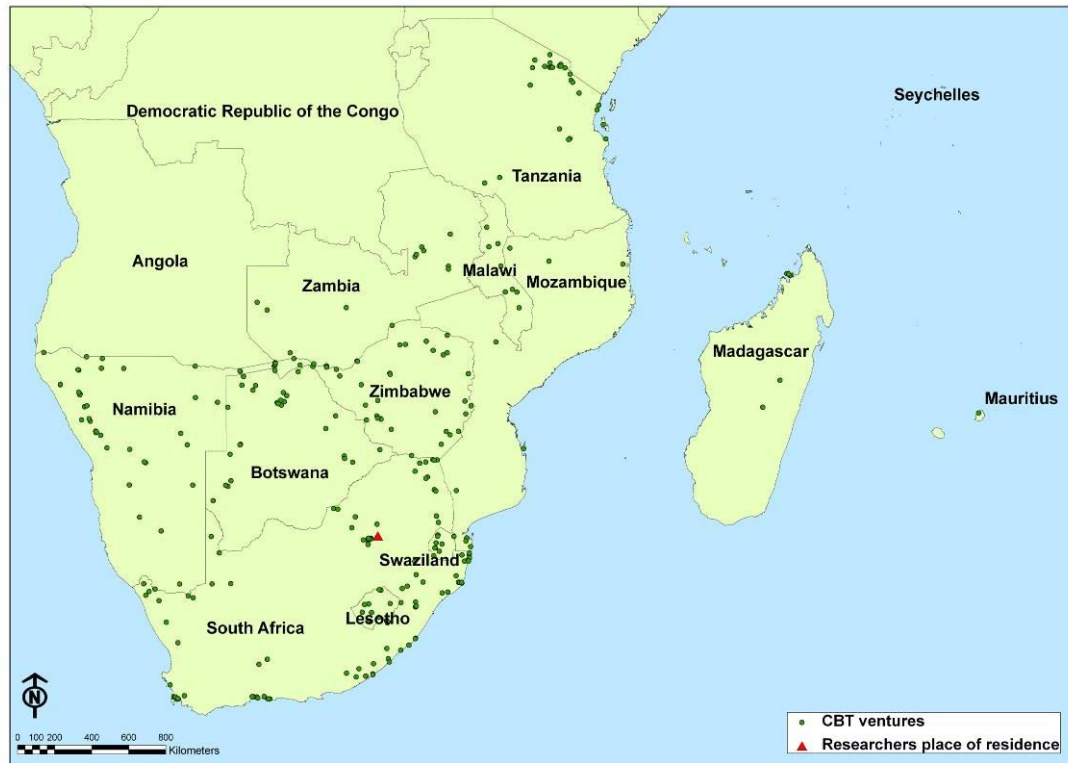


Figure 3.3: Spatial distribution of CBT ventures in southern Africa (N=331)

3.5.3 Step 3: Spatial selection

In order to refine the possible CBT ventures that would be visited in the in-depth investigation of sustainability, it was decided to exclude cases that were not considered safe and cases that were considered too far from the research base. It was decided to exclude all the cases in Zimbabwe as a result of the ongoing violence and political turmoil in that country. This led to the exclusion of 34 cases from further investigation. The second criterion used to refine the selection of cases for further investigation was distance. It was decided that it would be too costly to visit any cases further than 2 000 kilometres² from the researcher's place of residence in Benoni (30 kilometres to the east of Johannesburg, South Africa). Such cases were therefore excluded from further investigation. A GIS (ArcGIS 9.2) was used to establish which cases were further than 2 000 kilometres away from the researcher's place of residence (in some cases this distance was calculated around Zimbabwe). This resulted in a further 56 cases being excluded. The spatial selection excluded 90 CBT ventures (27.19%) from further investigation. A breakdown of the excluded CBT ventures by country is given in Table 3.2.

² 2 000 kilometres equals 1 242.74 miles.

Table 3.2: Community-based tourism ventures excluded after spatial selection

Country	Cases excluded from further investigation
Madagascar	7
Malawi	8
Mauritius	1
Mozambique	4
Namibia	1
Tanzania	27
Zambia	8
Zimbabwe	34
Total CBT ventures excluded	90

The spatial selection reduced the number of CBT ventures that could be visited after due consideration of safety and cost concerns. The results of the spatial selection are illustrated in Figure 3.4.

The spatial selection led to a refinement in the number of possible ventures that were included in further investigations, namely 241 CBT ventures. Before the aim of the research (section 1.2) could be addressed, the 241 CBT ventures had to be categorized and classified into types for the selection of final cases for investigation. The categorization and classification could only be done after additional information about the CBT ventures had been collected. This additional information was collected by telephonic interviews.

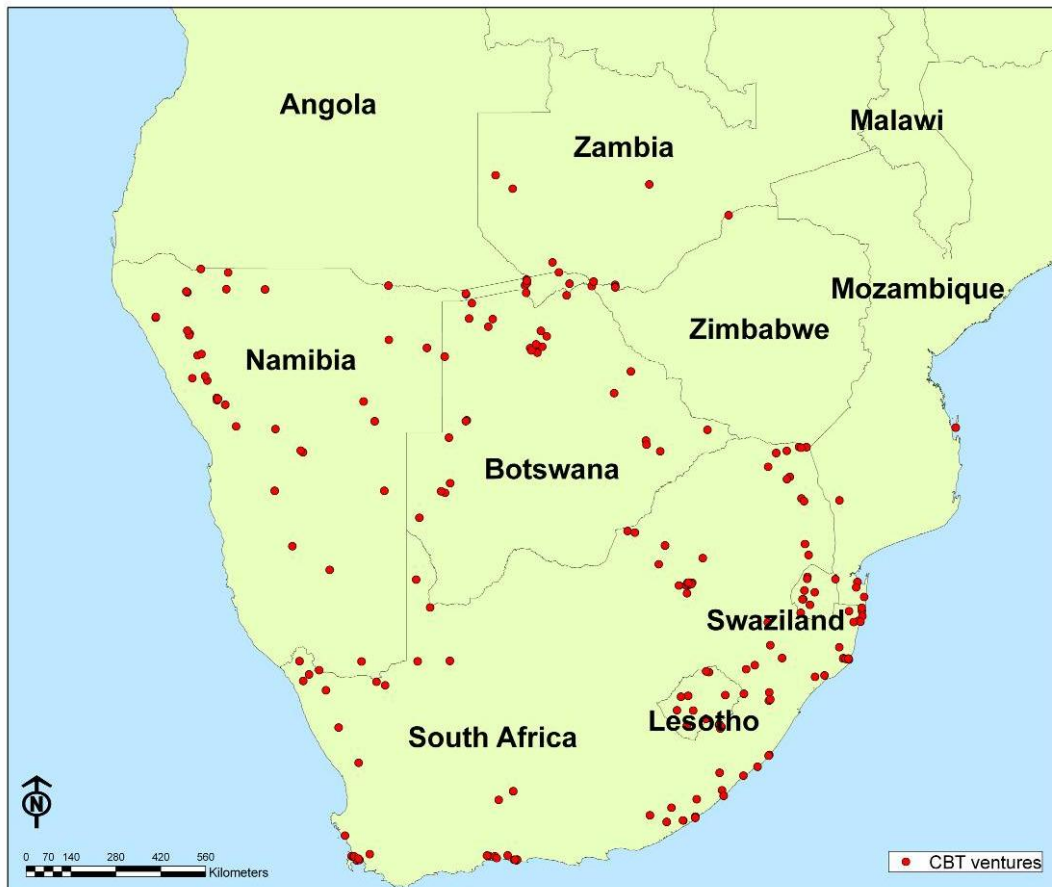


Figure 3.4: Spatial distribution of CBT ventures which can be reached safely and economically (n=241)

3.5.4 Step 4: Telephonic interviews

The aim of this step of the research process was to collect the information necessary in order to categorize CBT ventures into those that may be classed CBE ventures and to further classify the CBE ventures into types (as discussed in section 2.7.1). In order to collect this information, it was necessary to conduct a survey of the 241 CBT ventures resulting from Step 3 discussed above. Using the guidelines provided by Finn *et al.* (2000) and Welman *et al.* (2005), it was decided that the telephonic interview would be the most cost-effective method (in terms of time and money) for conducting this survey. This decision was made based on the vast geographical distribution over which the CBT ventures were spread as well as the large number that needed to be surveyed.

Design of the telephonic interview schedule

The questions in the telephonic interview can be subdivided into three categories based on the purpose of the questions. These categories are discussed below.

i) General questions relating to the tourism venture

These questions relate to the general information concerning each specific CBT venture:

- The name of the venture (Question 1)
- The name of the respondent (Question 2)
- The employment position of the respondent (Question 3)
- The contact details of the venture (Question 4)
- A description of the location of the venture (Question 5)
- The first date of operation of the venture (Question 6)
- The type of enterprise (based on cost) (Question 8)
- The number of tourists who may be accommodated overnight (Question 9.1)
- The number of tourists who may undertake day-visitor activities (Question 9.2)
- The busiest day of the week (Question 10)
- The busiest month of the year (Question 11)

ii) Questions for the categorization of the CBT ventures as CBE ventures

In order to categorize the CBT tourism ventures as CBE ventures, it was important that they adhered to certain criteria. The working definition of CBE for this study was defined in Chapter 2 (section 2.7) as:

[R]esponsible travel to natural areas in order to enjoy and appreciate nature (and local culture) that promotes conservation of the environment, where the local community has substantial control over and involvement in development and management, while the majority of the socio-economic benefits accrue to the community.

For a CBT venture to be categorized as CBE, the venture had to:

- have a nature-based product (Question 7);
- support conservation (Questions 12-14);
- have a culture-based product (Question 15);
- educate tourists (Question 16);
- have community control and decision making (Question 20);
- employ local people (Question 23); and
- provide socio-economic benefits to the community (Question 24).

The replies provided by the respondents to questions 12, 15, 16, 20 and 24 were validated to ensure that these answers did in fact represent real contributions to supporting conservation. The validation was done based on the elaboration provided by the respondents. Examples of real support for conservation would include spending a significant portion of the income generated through the venture on conservation projects or on a significant effort to support conservation-related activities such as the eradication of invader species and the prevention and remediation of soil erosion. Another example to assist in explaining the validation of the responses through elaboration may be illustrated using question 24: “Besides employment do you think the community benefits from the tourism venture?” If respondents gave a positive reply, they were asked to indicate how they thought the community benefited. Validated responses would include significant benefits such as the distribution of operating profits amongst the members of the community, improvements in the community infrastructure such as community centres, clinics or schools, and the training and skills development of members of the community. Invalid responses included those related to providing employment or sponsoring a prize for a school competition, which amounts to an insignificant benefit to the community as a whole. An example using the responses to Question 12 is provided in order to aid this explanation. Real support for conservation, as opposed to mere lip-service, needs to be illustrated through the elaborations provided by the respondents – for example, a significant portion of income or effort should go to supporting conservation or conservation projects such as the eradication of invader species or stopping and preventing soil erosion.

iii) Questions for the classification into six ‘types’

The classification of the CBE ventures into types as mentioned in section 2.7.1 could be done only after information relating to the following questions had been collected. These questions all relate to the ownership and management of the ventures:

- Who owns the tourism business? (Question 17)
- Is the tourism venture a joint venture? (Question 18.1)
- If it is a joint venture, are there written agreements and contracts making it a formal or an informal joint venture? (Question 18.2)

- What is the name of the joint venture partner? (Question 18.3) This sub-question validates whether it is in fact a joint venture and stipulates who the partners are.
- Who owns the land that the tourism venture is situated on? (Question 19) This provides a validation of the ownership of the venture.
- Is the government (state) involved in the tourism venture in some way? (Question 21) This question provided information for the classification into the three-way partnership between community, private sector and state.
- Which other organizations are assisting the tourism venture? (Question 22) This question validates whether the organizations which are assisting the tourism venture are not in fact joint venture partners. It would depend entirely on the level of assistance they provide, either in a supportive role or in the day-to-day running of the venture.

Once the telephonic interview schedule was compiled, it was piloted before the full telephonic interview process was undertaken as described below.

Pilot study of the telephonic interview

The telephonic interview schedule was piloted with five CBT ventures. All the cases (241) were sorted in alphabetical order and the first five in the alphabetical list were interviewed for the pilot study. The pilot survey was done in order to clear up any ambiguity in the questions asked, to find out how long the interview took and to make sure that the necessary categorization and classification could be done with the results obtained. The interview schedule was then adapted by rewording some of the stated questions so that they could be clearly understood. In some cases additional explanations regarding the stated questions were included. The interview schedule was also amended to include the contact details of the particular venture being interviewed. The contact details for the CBT ventures being interviewed were then only confirmed for correctness with the respondent. Although a separate interview schedule had to be drawn up for each venture being interviewed, this led to a considerable shortening of the time each interview took to conduct. It was also found that the results of the pilot interviews returned results that could be used for the categorization of CBT ventures into CBE ventures and the classification of the ventures into the six types. An example of the final telephonic interview schedule is included in Appendix B.

The results of the five pilot interviews were included in the final results of the completed telephonic interviews, since the resultant changes to the interview questionnaire were considered negligible.

Telephonic interview process and results

Using the contact details collected previously, the researcher conducted the telephonic interviews in February and March 2008. Each telephonic interview was done in two rounds. During the first round a total of 122 CBT ventures were interviewed and an additional 13 CBTs were interviewed in the second round. During the first round of telephonic interviews five attempts were made to contact each of the 241 ventures. After making five unsuccessful attempts on different days the CBT venture was classified as 'Not answering'. If the telephone number failed to get transferred through to a ringing tone, or the number returned a 'wrong number' reply from the telephone exchange it was classified as a 'Wrong number'. In the second round of interviews five additional attempts were made to contact the CBT ventures that had not yet been interviewed. It is the experience of the researcher that telephone systems in many of the less developed countries in southern Africa are often unreliable.

Table 3.3: Responses received after the first round of telephonic interviews (n=241)

Responses received	Number	%
No answer	33	13.69
Wrong number	45	18.67
Number out of service	1	0.41
Respondent does not want to participate	2	0.83
Venture closed down	6	2.49
Venture not yet open	4	1.66
No contact details for venture	11	4.56
Owner deceased	2	0.83
Ventures removed from the list	15	6.22
Interviews completed	122	50.62

In an attempt to increase the number of responses, a second round of telephonic interviews was conducted. Five more attempts were made to contact the responses in the 'No answer' and the 'Wrong number' groups above, yielding the results below (Table 3.4).

Table 3.4: Responses received after the second round of telephonic interviews (n=241)

Responses received	Number	%
No answer	24	9.96
Wrong number	40	16.60
Number out of service	1	0.41
Respondent does not want to participate	2	0.83
Venture closed down	6	2.49
Venture not yet open	4	1.66
No contact details for venture	11	4.56
Owner deceased	2	0.83
Ventures removed from the list	16	6.64
Interviews completed	135	56.02

After the second round of telephonic interviews, the number of respondents had increased to 135 (13 additional interviews were completed). The interviews completed indicate a 56.02% response rate, which may be considered fairly low (n=241). However, if all the responses that were in fact received are included ['Respondent does not want to participate' (2); 'Venture closed down' (6); 'Venture not open yet' (4); 'No contact details for venture' (11); 'Owner

deceased' (2); 'Ventures removed from the list' (16)] the total number of responses is 176, which reflects a 73.03% response rate. However, only the completed interviews (135) were used in the next step of the selection process. The results of the telephonic interviews were used in two ways: firstly, they were used to categorize the CBT ventures into those that complied with all the criteria and could therefore be referred to as 'CBE ventures', and secondly, they were used to classify the resultant CBE ventures into the abovementioned six governance types (section 2.7.1).

3.5.5 Step 5: Categorization of CBT ventures as CBE ventures

The categorization of CBT ventures as CBE ventures required additional information to be collected, and 135 telephonic interviews were conducted to collect this information. In order for a CBT venture to be categorized as CBE it had to meet all of the following requirements:

- It had to be a nature-based product.
- It had to be a culture-based product.
- It had to support conservation.
- It had to educate tourists.
- It needed to be under community control and involve decision making by the community.
- It had to employ community members.
- It had to provide benefits to the community.

If the CBT venture did not meet all of these requirements it could not be categorized as a CBE venture. The results obtained from the telephonic interviews with regard to the seven abovementioned criteria are indicated in Table 3.5.

Table 3.5: Responses relating to CBE criteria resulting from telephonic interviews

CBE criteria	Positive responses	Negative responses
Nature-based product (NBP)	96	39
Culture-based product (CBP)	109	26
Support for conservation (SC)	89	46
Educating tourists (ET)	118	17
Community control and decision making (CC)	69	66
Employment of community members (EC)	131	4
Benefits to community (BC)	110	25

In order to be categorized as a CBE venture, the CBT had to have a positive response to each of the abovementioned seven criteria. Every positive response was assigned a value of 1, while

every negative response was assigned a value of 0. The following formula was used for the categorization:

$$\text{CBE} = \text{NBP} + \text{CBP} + \text{SC} + \text{ET} + \text{CC} + \text{EC} + \text{BC}$$

Where:

- NBP = Nature-based product
- CBP = Culture-based product
- SC = Support for conservation
- ET = Educating tourists
- CC = Community control and decision making
- EC = Employment of community members
- BC = Benefits to community

A result of 7 indicated that the CBT venture adhered to all the criteria of CBE and could therefore be categorized as a CBE venture. Forty-four CBE ventures resulted from this categorization process. The distribution of the 44 CBE ventures is illustrated in Figures 3.5 and 3.6.

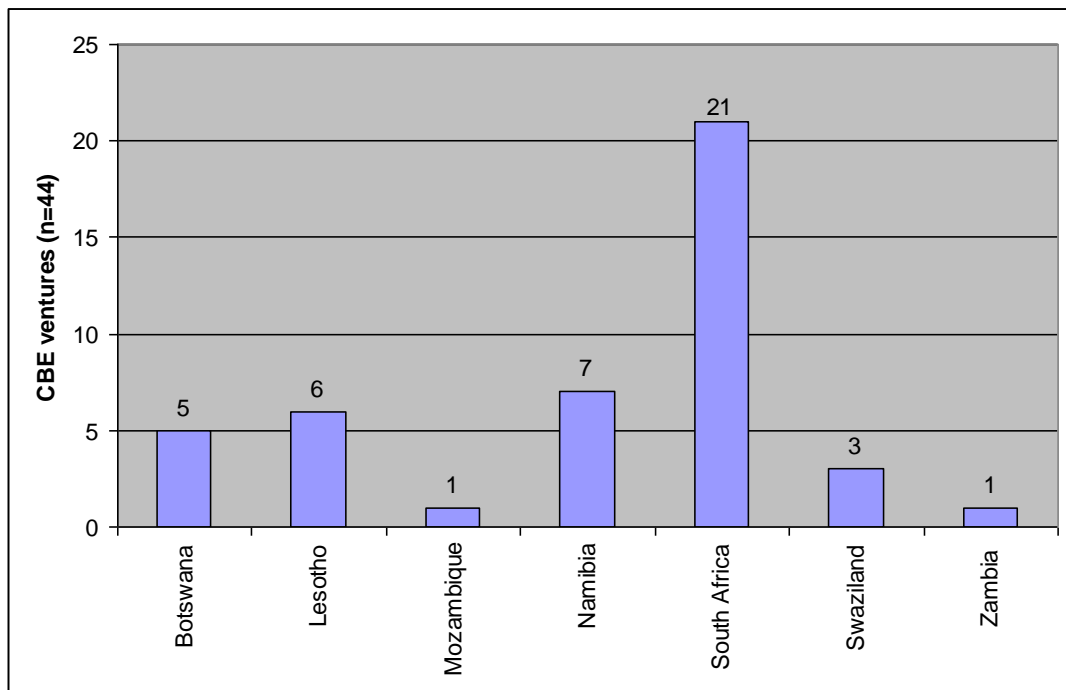


Figure 3.5: Categorized CBE ventures by country

The dominance of South Africa (21) in the resultant CBE ventures is evident in Figure 3.5 and Figure 3.6. Namibia (7), Lesotho (6), Botswana (5) and Swaziland (3) are well represented, while Mozambique and Zambia each have only one CBE venture.

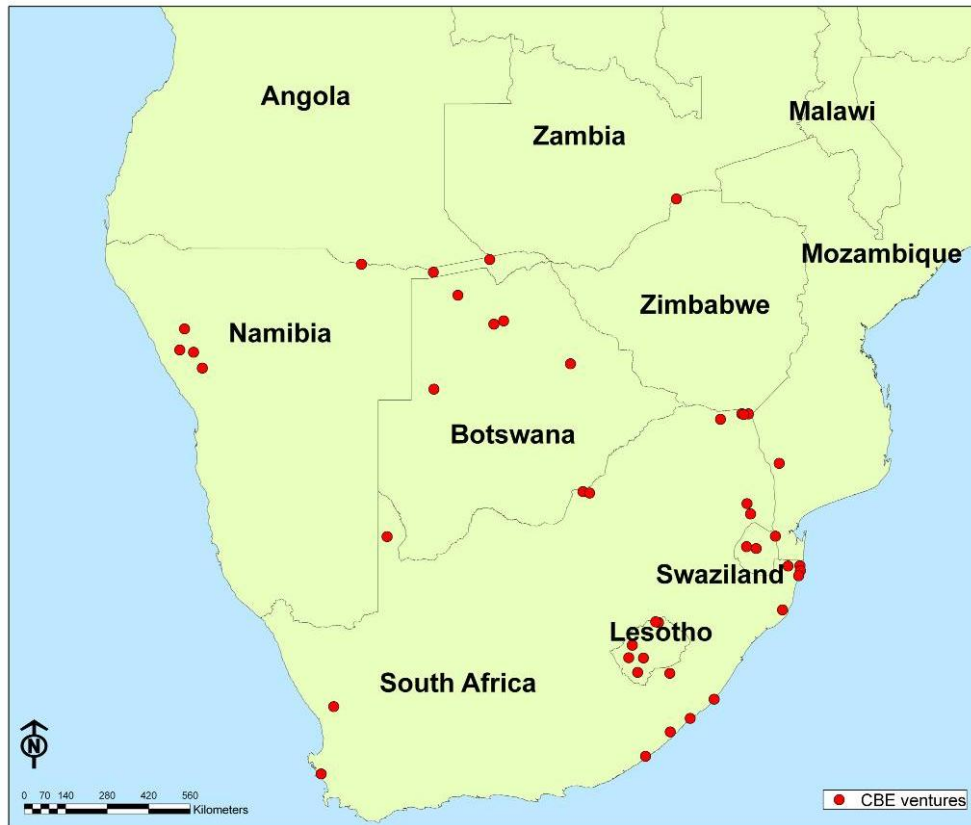


Figure 3.6: Spatial distribution of resultant CBE ventures

The second objective of the study had been successfully completed. The third objective of the study, namely the classification and selection of representative case studies, was also completed by using the information collected by the telephonic interviews.

3.5.6 Step 6: Classification

The resultant 44 CBE ventures were subsequently classified into the six governance types as listed in Chapter 2. The information needed to perform the classification was also collected during the telephonic interviews. Information relating to the ownership and management and joint venture partnerships was collected. On the basis of this information the 44 CBE ventures were classified into six types. Table 3.6 presents the results of the classification.

Table 3.6: Classification of CBE ventures into governance types (n=44)

Type of CBE	Number	%
Individually operated	5	11.36
Community operated	11	25.00
Informal joint venture	6	13.64
Formal joint venture	11	25.00
Triple joint venture	9	20.45
Organizations	2	4.55
Total	44	100

Individually owned and operated ventures represented 11.36%, of the identified CBE ventures. While community owned and managed ventures constituted 25.0%, informal joint ventures 13.64%, formal joint ventures 25.0%, triple joint ventures 20.45% and organizations 4.55%. This section completed the first part of the third objective, the classification of the CBE ventures. The second part of the third objective, the final selection of the case studies for further investigation, is discussed in the next section.

3.5.7 Step 7: Final selection of case studies

A total of 44 ventures could be identified as being CBE ventures, as per Step 5. Before a final selection of one case study per governance type was done, it was decided to refine the results previously obtained. It was decided to include only CBE ventures which had been operating for five years and longer for further investigation. It was assumed that these ventures had passed the initial stages of exploration and involvement of the tourism area life cycle and were proceeding into the development and consolidation stages (see Butler, 1980). The first five types of CBE venture presented in Table 3.6 were subjected to this refinement. The CBE ventures that were classified as organizations type were not subjected to this refinement, as both ventures in this type had only been operating for two years. This refinement led to a deduction of 10 CBE cases. The resulting 34 CBE are indicated by type in Table 3.7.

Table 3.7: Classification of CBE ventures by governance type after refinement (n=34)

Type of CBE	Number	%
Individually operated	5	14.71
Community operated	8	23.53
Informal joint venture	6	17.65
Formal joint venture	7	20.59
Triple joint venture	6	17.65
Organizations	2	5.88
Total	34	100

The final 34 cases were then divided into the six governance types and listed in alphabetical order within each type. Numbers were assigned to each in ascending order; thereafter a random number generator was used to select cases for further investigation. The CBE venture assigned 1 as a result of the random number generator was selected as the case that would be selected in each case. This resulted in one representative case from each type being selected for further investigation. The results obtained from the random selection within each type are indicated in Table 3.8.

Table 3.8: Results of the random selection of case studies by governance type

Type of CBE venture	Resultant random selection
Individually owned (5)	
Aba-Huab Campsite	1
African Heartland Journeys	2
The Trading Post Guesthouse	3
Chiawa Campsite	4
Woza Nawe Tours and Campsite	5
Community owned (8)	
Kaziikini & Shandreka	1
Shewula Mountain Camp	2
Amadiba Adventures	3
Mehlodong Trail	4
Kubu Island	5
Phumulani Lodge	6
Mbiroba Camp	7
Nambwa Campsite	8
Informal joint venture (6)	
Malealea Lodge	1
Pafuri River Camp	2
Ngepi Camp	3
Semonkong Community	4
Khula Tourism Association	5
Mamohase B&B	6
Formal joint venture (7)	
Damaraland Camp	1
Umngazi River Bungalows	2
Moorosi Chalets	3
Brandberg White Lady Lodge	4
Okavango Kopano Mokoro Community Trust	5
Nwanedi	6
Liphofung Community Conservation Forum	7
Triple joint venture (6)	
Tembe Lodge	1
Mantenga Cultural Village	2
Rocktailbay Lodge	3
The Outpost	4
Bongani Lodge	5
Kosi Forest Lodge	6
Organization run (2)	
!Khwa ttu	1
Dqae Qare Game Farm	2

The final cases selected for the in-depth investigation of sustainability were:

- Individually owned: Aba-Huab Campsite
- Community owned: Kaziikini & Shandreka
- Informal joint venture: Malealea Lodge
- Formal joint venture: Damaraland Camp
- Triple joint venture: Tembe Lodge
- Organization run: !Khwa ttu

The spatial distribution of these final case studies is illustrated in Figure 3.7.



Figure 3.7: Spatial distribution of final 6 case studies

3.6 Summary

This chapter described the research design and the research methods and results of the case study selection process. An account was also given of the completion of the first three objectives of the study in order to select the six case studies for further investigation. In the next chapter the results of the telephonic questionnaires are discussed, while in Chapter 5 the construction of the evaluation framework for monitoring the sustainability of the six selected CBE ventures is described.