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PO Box 117
221 00 Lund
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Camelia M. Tepelus

Destination Unknown?

The Emergence of Corporate Social Responsibility for Sustainable Development of Tourism

This dissertation explores the nexus between sustainable tourism development and corporate social responsibility (CSR). It addresses the role for CSR to promote sustainable tourism in an international development context. Through a qualitative and exploratory approach, the author finds tourism to be lagging behind other industries in assuming a responsibility to mitigate its environmental and social impacts. Existent voluntary performance schemes for tourism sustainability, as well as alternative forms of tourism (ecotourism) are reviewed in order to identify their contributions to developing CSR in tourism. A significant deficiency of existent tools is identified in their neglect to address social impacts, especially the ones emerging in the contemporary context of globalization and trade liberalization in tourism.

Author Camelia Tepelus is a researcher on sustainable development in tourism, focusing on corporate social responsibility and global governance issues. Her research, part of which is included in this dissertation, received the *Ashoka Changemakers' Award* for social innovation on the 'Ending Global Slavery' 2008 competition, as well as private sector prizes including the *2003 British Airways 'Tourism for Tomorrow' Award* for large scale tourism and the TUI *Netherlands 2000 'Sustainable Tourism Development Award'*. Camelia Tepelus is currently engaged in an international CSR initiative to prevent child sex tourism, a multi-stakeholder project joining the private sector, the non-governmental network ECPAT, UNICEF and supported by the UN World Tourism Organization.

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Doctoral dissertation

the international institute for industrial environmental economics
Lund University, Sweden

IIIEE DISSERTATIONS 2008:2

Destination Unknown?

The Emergence of Corporate Social Responsibility for Sustainable Development of Tourism

Camelia M.
TEPELUS

Doctoral Dissertation
October 2008

The International Institute for Industrial Environmental Economics
Internationella miljöinstitutet

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and
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Beyond the education provided by my marketing and engineering BS degrees, by the MSc in environmental sciences and by the years of PhD

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Camelia M. Tepelus Lund, Madrid, Bucharest and New York, 2001-2008

Executive summary

It is surprising for many people learning that the travel and tourism industry claims to be the largest economical sector in the world. With this allegation, the sector promotes itself mostly as a force for international development, peace and prosperity for poor countries. Tourism investments driven by an anti-poverty agenda and neo-liberal policies have been however known to also lead to negative impacts. These include the destruction or abusive exploitation of the natural capital, displacement or a diminished quality of life for local communities, unfair labor practices and, sometimes, infringements of human rights.

This research seeks change in the travel and tourism sector. It explores approaches available to tourism operators to prevent negative social and ecological impacts resulting from tourism development. This general idea was developed in the last decade in other industrial sectors, mostly manufacturing, under the paradigm of corporate social responsibility (CSR), a notion businesses use to acknowledge a responsibility to positively engage with their stakeholders and the society at large. Particularly in the last couple of years, researchers have been increasingly pointing out that tourism lags behind other sectors in addressing CSR, and specific investigations on CSR in tourism started surfacing only very recently.

The research problem addressed by this dissertation is that despite intensification of civil society and academic activism on sustainable tourism, tourism industry buy-in for the CSR concept is still weak.

Scope and research questions

The intention of the dissertation is to make a contribution to the emerging body of knowledge on CSR by looking at sustainable tourism, through the lens of social responsibility. The research scope concerns mostly large-scale tourism operators (tour operators and large hotel chains), and the general aim is that of advancing CSR in tourism. The research process was of a dual nature, mostly exploratory with explanatory elements, and the investigation was based mainly on qualitative methods. Based on the complex set of human motivations lying at the centre of tourism as a social phenomenon, the author aligned with Burns and Lester's (2005) argument that the relative value of qualitative research (i.e. discursive, reflexive, and open to nuance) is to be preferred in this case to the benefits of a quantitative approach.

Similarly as in the case of other economic sectors, the CSR framework was assumed to facilitate understanding on how sustainability of tourism systems could be improved. This idea was developed by exploring a number of variables including: the role of voluntary instruments for sustainable tourism (eco-labels and codes of conduct); the development of ecotourism and its contribution to the CSR debate; and the roles of institutional stakeholders in tourism policy-making.

The central research question was:

> Can the emerging CSR paradigm contribute to further sustainable development and improved governance in tourism?

It was sub-divided into three component sub-questions:

1. What tools have been used to stimulate social responsibility in tourism?
2. How has ecotourism influenced social responsibility in tourism?
3. How have stakeholders approached CSR in tourism?

The first two questions look at how and if the CSR paradigm has been applied to tourism until now. The questions were investigated through individual case studies and reported through published, peer-reviewed articles. The third question addresses the position of key international tourism stakeholders vis-à-vis CSR, facilitating an understanding on their operations and potential role in promoting CSR in the future. The research findings are aimed to support and encourage the fine tuning of approaches to further develop CSR as a tool for sustainable tourism.

Method

The study was carried out through a series of successive research projects. An important component of the inquiry required the author to directly participate in ongoing processes, and subsequently documenting case studies. The researcher engaged and interacted with various institutional and individual informants for the purpose of collecting data, reaching findings and building inductively new knowledge, in the effort to stimulate change. Starting from an extensive tourism and CSR literature study followed by personal reflection, the dissertation is building upon a series of case studies, including aspects of what is generally known as action research (AR). Action research is a set of methodologies pursuing action (or change) and research (understanding) at the same time, accomplished through consecutive cycles of action, reflection, evaluation, and again action.

Data collection has been characterized by a methodological pluralism. Data sources included tourism literature review, participant observation, expert interviews, semi-structured interviews, questionnaires and review of literature from studies within and outside the realm of tourism, as well as from business and other sources of CSR-related media.

A number of case studies have been investigated in more detail and documented in appended, peer-reviewed articles. The articles present: sustainable tourism voluntary actions in the tour operating sector (Article 1); the use of advanced sustainability labeling systems in Costa Rica (Article 2); the operation of international ecotourism supply chains (Article 3); an overview of the International Year of Ecotourism and the World Summit on Sustainable Development and their consequences for tourism (Article 4); a model for multi-stakeholder partnerships for tourism social responsibility (Article 5); and a review of innovative CSR actions against trafficking and sex tourism (Article 6).

Discussion

Findings related to the research questions are a result of reflection from projects undertaken, as well as from the author's interactions with key tourism stakeholders. The detailed findings and their substantiation are found in the main text of the thesis and in the appended articles.

1. What tools have been used to stimulate social responsibility in tourism?

This research confirmed similar observations in the literature, finding that CSR has not been explicitly addressed in tourism until very recently. It was noted that existing voluntary performance tools, while being useful exercises of corporate commitment to sustainability, are mostly limited in scope to environmental improvements. The author further noted a serious and chronic neglect of the social aspects of tourism development, especially in the large-scale segment. This deficiency was found to be of particular concern in the context of globalization, where new impacts, especially related to human rights and labor, are less documented than traditional environmental impacts explored by research in the 1980s and 1990s. Particularly from the researcher's experience while investigating the child sex tourism phenomenon, and based on interactions over extended periods of time with government and industry representatives from both tourism sending and receiving countries, the author suggests that the social issues on the tourism globalization agenda will be extremely difficult to be captured within the scope of existing voluntary certification programs.

Another finding concerns the limitation of existing voluntary performance programs in addressing the interconnections between tourism companies along their supply chains. A potentially promising avenue for sustainability intervention was suggested as a result of direct shareholder pressure and shareholder activism. This would however be limited to large companies whose shares are publicly listed on financial markets.

2. *How has ecotourism influenced social responsibility in tourism?*

The research found ecotourism development to be indicative of an attempt for the sector to go through a fundamental structural reform, by concentrating on a small-scale, environmentally and community aware forms of tourism. It was found that ecotourism brought an important development from a social responsibility perspective, due to its focus on protecting the interests of local communities, by supporting engagement in dialogue and reciprocal understanding between the private sector and local stakeholders. However the CSR solution represented by ecotourism remains a narrow answer, mostly due to structural limitations of the tourism industry.

3. *How have stakeholders approached CSR in tourism?*

The research argues that stakeholder politics in tourism development and in existing power structures has probably delayed private sector 'buy-in' for the CSR concepts in tourism. The dialogue between NGOs and tourism businesses on CSR issues was found to be still uncomfortable, characterized by skepticisms and suspicion on both sides. The research suggested that a critical role in the promotion of a CSR framework in tourism can be played by the UNWTO. It was argued that the role of UNWTO, as the top international tourism policy-maker, would remain central to any new concept and strategic development towards sustainability, including promotion of CSR in tourism.

Conclusions

This study concludes that, compared to sustainability paradigms proposed in the 1980s and 1990s, the CSR approach to tourism provides a more comprehensive conceptual framework, which may be better suited to accommodate some of the contemporary challenges the sector is facing. Compared to the concepts of alternative tourism and ecotourism which essentially focused on scale management, CSR is offering more specificity, explicitness and comprehensiveness.

Although it should not be considered a tool substituting regulation, this research sees CSR as a conceptual 'mold' for advancing the tourism sustainability debate in a way that acknowledges and assigns specific responsibility to the private sector. Furthermore, the CSR concept offers the advantage of a common language that all stakeholders may feel comfortable with, including the private sector, activists, and international aid and development agencies. The CSR theoretical development is particularly valuable also for its potential to capture both the tourism traditional impacts (environmental and economic), as well as the more recent human rights impacts emerging in light of globalization and the prevalent neo-liberal trade and development policies. This would represent a step forward from previous and existing voluntary tools, which so far have only provided a succession of incremental improvements to problems treated as disparate matters.

The main contribution of this work rises from exploring the connection between CSR and sustainable tourism, and suggesting new arguments for a more-focused CSR debate in tourism. Further investigation is envisaged on the inter-linkages between sustainable tourism and the macro-economic phenomena related to globalization and progressive liberalization in which tourism is cast as a process. The travel and tourism sector can not be sustainable within itself, but only in connection to other industries and societal conditions.

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PAPER II — Tepelus, C. & Castro Córdoba, R. (2005). Recognition schemes in tourism – from 'eco' to 'sustainability'? *Journal of Cleaner Production*, ***13***, 2, 135-140.

PAPER III — Tepelus, C. (2007). Sustainability in ecotourism supply chains: Evidence from cases of Swedish ecotourism packages to Peru and to Nepal-Bhutan. *The International Journal of Environmental, Cultural, Economic and Social Sustainability, **3***, 4, 87-98.

PAPER IV — Tepelus, C. (2008). Reviewing the IYE and WSSD processes and impacts on the tourism sustainability agenda. *Journal of Ecotourism, **7***, 1, 77-86.

PAPER V — Tepelus, C. (2006). A model for multi-stakeholder partnerships on human rights in tourism. In Jan Jonker, Marco de Witte (Eds.), *Management Models for Corporate Social Responsibility*. Ch. 10, pp. 82-89, Heidelberg: Springer.

PAPER VI — Tepelus, C. (2008). Social responsibility and innovation on trafficking and child sex tourism: Morphing of practice into sustainable tourism policies? *Tourism and Hospitality Research, **8**,* 2, 98-115.

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Abbreviations

APA	American Psychological Association
AR	Action research
ASTA	American Society of Travel Agents
CSR	Corporate Social Responsibility
CST	Certification for Sustainable Tourism, Costa Rica (Certificación para la Sostenibilidad Turística)
DFID	Department for International Development (UK Government)
DMOs	Destination Management Organizations
ECPAT	End Child Prostitution, Pornography and Trafficking for Sexual Purposes
EEA	European Environment Agency
EMS	Environmental management system
GATS	General Agreement on Trade in Services
GRI	Global Reporting Initiative
ICRT	International Centre for Responsible Tourism (UK)
IFC	International Finance Corporation
IIED	International Institute for Environment and Development (UK)
ICCR	Interfaith Center on Corporate Responsibility.
IYE	International Year of Ecotourism
LDCs	Least developed countries
MDG(s)	UN Millennium Development Goal(s)
MIT	Massachusetts Institute of Technology
NGO	Non-governmental organization
NTA	National Tourism Authority
ODI	Overseas Development Institute (UK)
SME(s)	Small and medium enterprise(s)
SRI	Socially responsible investing
STSC	Sustainable Tourism Stewardship Council
TIES	The International Ecotourism Society
TOI	Tour Operators' Initiative for Sustainable Tourism Development (UNEP.UNESCO.WTO)
WTO	World Tourism Organization (acronym used for publications prior to Dec. 1, 2005)
UNEP	United Nations Environment Programme
UNGC	United Nations Global Compact

UNOHCHR	United Nations Office of the High Commissioner for Human Rights
UNWTO	United Nations World Tourism Organization (acronym used for WTO, on references after 1 Dec, 2005, the date of adoption of the WTO General Assembly resolution that decided the addition of the letters 'UN', to avoid confusion with the Geneva-based World Trade Organization)
UNCED	United Nations Conference on Environment and Development
UNICEF	United Nations Children's Fund
WB	World Bank
WCED	World Commission on Environment and Development
WES	World Ecotourism Summit
WSSD	World Summit on Sustainable Development
WTTC	World Travel and Tourism Council

CHAPTER

ONE

1. Introduction

This doctoral dissertation explores the role played by the private sector in promoting sustainable development in tourism through corporate social responsibility (CSR). This purpose is rooted in two facts: firstly, the relative importance of tourism in the global economy is significant, and secondly, CSR has emerged as a transformative paradigm articulating the role of business for sustainable development. Essentially, the dissertation brings together two concepts: sustainable tourism development and CSR.

Tourism organizations, both governmental (UNWTO) and those with private sector membership (WTTC) claim that tourism is the largest global economic sector[1], contributing to over 10.4% of the world GDP (WTTC, 2007). Although this figure is questioned by Roe and Urquhart (2001) they point out that tourism is of great significance particularly to poor nations, as the single most important foreign currency earner for the majority of least developed countries (LDCs). Consequently, tourism has also an important role to play supporting development policies of governments, international aid agencies and private sector entrepreneurs. However, despite a number of sustainability tools developed in the last decade, the tourism industry often acts as a double-edged sword for development, intensifying problems of pollution, over-crowding, abusive corporate behavior, perpetuation of poor labor standards, etc. There is a stronger role for the tourism private sector to exercise in addressing these issues.

In a parallel development, over the last two decades CSR has become known as the theoretical framework for a change in understanding the role

[1] Methodologies for determining the size of the tourism industry in the global GDP have been developed by UNWTO, but they have been questioned by several authors including Wheeller (2004), Roe *et al* (2004), etc., see also Section 1.1.2. Roe and Urquhart (2001) comment that the figure 11% is commonly quoted by the WTTC, although the WTO puts the figure much lower. The WTTC figure incorporates the multiplier effect of tourism spending and so reflects the wider tourism economy, rather than just the industry itself.

of business, and, especially in the case of large corporations, for advancing wellbeing in society. This dissertation highlights some of the means necessary for developing and articulating the responsibility of tourism businesses.

This chapter sets the scene of the research, presenting the context for sustainable development in tourism and the reasons for undertaking the inquiry. It provides an overview on the overarching problem, on the concepts of sustainable development and sustainability in tourism, as well as on the theoretical fundaments on CSR. It further introduces the different perspectives and interpretations of the CSR concept, with their implications for shareholders and other stakeholders. Finally, this chapter articulates the objective, research questions and the outline of the dissertation.

1.1 The case for sustainable development in tourism

The travel and tourism sector holds significant potential to support livelihoods of many communities. In addition to economic empowerment, the tourism sector may also be an important avenue for nature conservation, cultural diversity and preservation of the common heritage of the mankind (Butler, 1991; Cooper *et al,* 1998; Krippendorf, 1987; Mason, 2003; WTO, 2004, etc.). Yet, over two decades after the sustainable development paradigm was introduced by the Brundtland Commission, the tourism contribution to sustainability remains still largely unfulfilled.

1.1.1 The sustainable development concept

The concept of sustainable development was introduced in 1987 by the World Conference on Environment and Development, known as the Brundtland Commission, whose report defines sustainable development as "development which meets the needs of the present without compromising the ability of future generations to meet their own needs" (WCED, 1987). The concept seemed to provide a long-term answer to the problem of Earth's limited resources, described in the early 1970s by a group of researchers at the Massachusetts Institute of Technology (MIT) and Boston University, commissioned by the Club of Rome, under the title *Limits to Growth.* Received with great interest at the time, *Limits to Growth* models the impacts of a rapidly expanding world population on the finite resources of the Earth, and echoes concerns expressed in a 16th century essay by the

Reverend Thomas Malthus (Malthus, 1798). Despite criticisms of *Limits to Growth* quantitative models' weak base of data and failing to consider renewable resources and substitution effects (Cole *el al*, 1973; Kozinski, 2002) the 1970s and 1980s were marked by increasing eco-activism. This led to the Rio 1992 declaration establishing sustainable development as a guiding development principle for more than 178 governments. Sustainability evolved in the last decades into a normative approach regarding the use of resources and minimization of anthropogenic impacts on the environment. Today, sustainability is one of the most commonly accepted concepts for the management of economic and social development. In the sustainability discourse, resources are understood to include more than physical items which require careful usage and recycling. Resources also refer to intangible assets, comprising know-how, knowledge and expertise that may be shared, disseminated and employed in capacity building (Conner and Prahalad, 1996; Itami, 1987). As a result of the Brundtland report, new approaches such as eco-efficiency and environmental management were developed in the 1980s and 1990s, and the concern for the environment gained increased acceptance in business practices and for policy makers.

Furthermore, over the last decade, globalization and increased circulation of merchandise and people across borders have shed new light on the need to incorporate within business sustainability new social aspects such as labor standards, fair trade, ethical and community concerns (Figge *et al*, 2002). These social concerns are all comprised within the realm of a new paradigm that was brought to the agenda in the first decade of the 2000s – corporate social responsibility (CSR). The question of social justice and equity, and how they are practiced by businesses, became one of the key elements of the contemporary debate in sustainability (UNGC and UNOHCHR, 2007). This is particularly relevant in a global context divided between the western/northern world having more than it needs, wants, or can use, and the eastern/southern countries still struggling to support basic human needs.

1.1.2 The weight of tourism in the global economy: facts and figures

An important reason why this dissertation is concerned with sustainable tourism relates to the weight of the tourism sector within the global economy, and particularly as pertaining to developing countries. Over the last century, growth of tourism has been a constant trend in a world of change. In 2006, total receipts from international tourism exceeded US $800

billion. According to the UN World Tourism Organization (UNWTO), tourism as an export category represents around 6% of the total value of worldwide exports (goods and services), ranking 4th after fuels, chemicals and automotive products (UNWTO, 2006). Of the world's exports of services, tourism represents around 35% and over 79% in the least-developed countries (LDCs). A Roe and Urquhart (2001) analysis of tourism data shows that in most countries with high levels of poverty, tourism is an important area of growth (see Table 1). While the current contribution of tourism to the GDPs of LDCs is still small (column A), its projected growth is significant (column B).

Table 1 Significance of international tourism to least developed countries (Roe and Urquhart, 2001)

Country	Population below US$1 a day[a]	A. Contribution of tourism industry (economy) to GDP[b] (%)	B. Growth in demand year 2000[b] (%)
Mali	73		9.0
Nigeria	70	0.5 (2.0)	13.5
Central African Republic	66		10.8
Zambia	64	3.9 (11.0)	3.4
Madagascar	63	3.8 (8.0)	3.4
Niger	61	1.9 (3.6)	7.5
Burkina Faso	61	2.2 (4.8)	3.0
Sierra Leone	57	1.8 (2.7)	15.9
The Gambia	54	5.6 (11.0)	3.5
India	44	2.5 (5.2)	9.7
Lesotho	43	2.0 (10.4)	na
Honduras	41	4.4 (10.6)	4.3
Ghana	39	5.5 (8.4)	34.0
Mozambique	38	na	na
Nepal	38	4.5 (7.7)	6.3

a)World Bank 2001 World Development Indicators; b) WTTC Year 2001 Country League Tables; na= not available.

UNWTO (1997) forecasts that international tourist arrivals are expected to top 1 billion by the year 2010 and to reach nearly 1.6 billion in 2020. More than $5 billion will be spent each day on foreign tourism, excluding the costs of international transport. According to WTTC, an umbrella body for the tourism private sector, the share of international tourism arrivals to developing countries grew from 19% in 1980 to 30% in 2000, which brings

attention to the potential of tourism to be used as an important tool for alleviating poverty (WTTC, 2002). The available figures are sometimes disputed, as the industry is very diverse, fragmented and characterized by terminological confusion. The use of the terms tourism, travel, and hospitality varies considerably between Europe, North America and Asia, and quantification methodologies used to estimate the size of the industry are contested. Roe *et al* (2004) note the differences in statistical processing of tourism numbers, pointing out that tourism's role as the largest industry is only correct if related activities are brought together in the equation.

It is however clear that the industry mobilizes significant movements of people and capital. While 4% annual growth rates have become the average reported by the UNWTO in the last years, the sector is significantly vulnerable to political, natural and social events. The September 11, 2001 attacks in New York, and subsequent health and security concerns, such as SARS and the Middle East conflicts, have changed the content of the tourism development agenda. The travel and tourism sector has undergone significant structural changes in the last three years, and redefined its risk management strategies. 2001 has shown, for the first time after the Second World War, a 0.5% reduction in the number of arrivals. In 2002 the number of arrivals grew by only 2.7% (WTO, 2003a), before falling again at 1.2% in 2003, the biggest annual drop ever (WTO, 2004). After three years of stagnant growth, a spectacular rebound in 2004 led to an all-time record of 763 million arrivals, corresponding to almost 11% growth in relative terms over 2003, the highest and only double-digit percentage recorded since 1980 according to WTO (2005).

1.1.3 Impacts of tourism on the society

Fennell (1999) observes that investigations focusing on identifying and documenting social, ecological, cultural and economic effects of tourism are voluminous, impacts being for a long time the central topic in tourism research (Ryan, 2003). According to Mason (2003), environmental and social impact studies typically carried out analyses pertaining to the negative impacts of tourism on local communities and on the physical environment. In contrast, economic studies on tourism generally demonstrate its beneficial effects, such as income-generating power and the potential for job creation (Swarbrooke, 1999). Given the vast number of researchers that have covered the issue of impacts arising from tourism (Holloway, 1998; Cooper *et al,* 1997; Swarbrooke, 1999; Bramwell, 1998; etc.), the following paragraphs will

give just a concentrated overview of the most common aspects studied in relation to tourism development, both positive and negative.

The economic impacts of tourism on a destination are generally positive. Tourists purchase a wide variety of goods and services, therefore creating a demand in the host economy that otherwise wouldn't exist. However, the tourist expenditure is only one aspect of the economic impacts of tourism, as the economic effects of tourism are inter-related with those of supporting industries (transportation, agriculture, entertainment, etc.).

Generation of economic activity and employment are generally considered the most significant economic impacts of tourism. Nevertheless, is it debatable whether this is a positive effect when tourist development substitutes another form of expenditure or activity, such as agriculture, and therefore creating local resource displacement. Furthermore, in order to meet the seasonal tourist demand, labor migration or temporary transfer of labor might be necessary from other industries (often agriculture, textiles or fishing), involving an opportunity cost often ignored in estimations of tourism economic impacts. Regarding the potential for bringing new investments in destination, it was pointed out that even though tourist expenditure is brought to the host areas, additional services offered by the tour operators at destination in the case of all-inclusive holiday packages, are directly paid to the tour operators, and therefore do not generate any income for local suppliers in destination.

The area of environmental impacts from tourism has been extensively explored in sustainable tourism literature. The range of tourism impacts on destinations concerns mostly infrastructure development, but also aspects related to international and/or local transportation. Cooper *et al* (1997) make an extensive review of environmental impacts of tourism including: changes in ecosystem composition (floral and faunal) – concern disruption of breeding habits, killing of animals through hunting or to supply goods for the souvenir trade, change in extent and/or nature of vegetation cover through clearance to accommodate tourism facilities, etc.; pollution – concerns water and air pollution through discharges of sewage, fumes from vehicle and aircraft emissions, noise pollution, etc.; erosion – concerns compaction of soils causing surface run-off and a risk of land slips, damage to natural geological features, etc.; use of natural resources – addresses depletion of ground and surface water supplies, of fossil fuels to generate energy for tourist activities, deforestation, etc.; visual impacts – address the

changes in landscape resulting from extensive building, theme parks, litter, etc.

In addition to the impacts on the natural environment, tourism also induces impacts on the built environment. These include: changes on the urban environment due to land taken out of primary production and changes of architectural styles; visual impacts resulting from the growth of built-up area, including new architectural styles, people and belongings; infrastructure overload – includes roads, railways, power grid, waste disposal, water supply, etc. to accommodate seasonal population increase; changes in residential or industrial land uses – include a move from residential houses to hotels/boarding houses, resulting in contrasts between urban areas developed for the tourist population and those for the local population, etc. Positive impacts on the built environment include the restoration of disused buildings, historic locations and sites, resulting from an improved awareness of the local community interested in maintaining the landscapes that brought the tourists in the first place. It has to be mentioned that environmental impacts are not unique to tourism, and some authors including Cooper *et al* (1997) specify that "tourism receives a disproportionate share of criticism for its negative environmental impacts", especially in balance with the complexity of the rest of tourism effects in society.

Socio-cultural impacts of tourism are manifested in a large range of aspects, from influences on arts and crafts to changes in the fundamental pattern of individual behavior. A model often quoted in literature (Fennell, 1999; Cooper, 1997), is the one developed by Doxey connecting the tourism impacts with the degree of responsiveness of the local population (Doxey, 1976). The model addresses the loss of control and ownership of place experienced by residents and local community, who may perceive their needs to be of less importance than those of visitors (Bushell, 2000). While it is difficult to specify with precision, the reaction of the local community to tourism development at any given point, some general negative socio-cultural impacts have been documented (Clift and Carter, 2000). These concern mostly crime generation, as the presence of large numbers of tourists often attracts illegal activities as prostitution (Groupe Développement, 2001), robbery (Hall, 1996), drug trafficking (Groupe Développement, 2001; Hall, 1996; Lim, 1998). Black (1995) documents also child labor in tourism. McPheters and Stronge (1974) observe that tourism is often a catalyst for development of gaming activities. Unless properly managed, such developments can induce negative changes in social behavior according to research by O'Connell Davidson (2000). Public health

problems can be a result of social stress caused to local populations by transmittal of diseases, especially in the case of sexually transmitted diseases accompanying rapid tourism growth. It is worth mentioning that literature references on these issues are more likely to be encountered in medical journals (Bellis *et al*, 2004; Wright, 2003), rather than in tourism ones, where papers on public health tourism topics can be found occasionally (Clift and Forrest, 1999; Cossens and Gin, 1994).

Cultural impacts of tourism development include phenomena such as mutations and modifications on the meaning of cultural values for tourist purposes, and commoditization (Cohen, 1988). As early as the 1970s sociologists have also described the so called 'staged authenticity', term coined by MacCannell (1973) in reference to production of 'pseudo events' to satisfy tourists' curiosity, and alien cultural experiences (i.e. the need of tourists to actively seek out cultural experiences deliberately different from their norm).

It has to be underlined, however, that the intensity of tourism impacts – environmental, economic and socio-cultural – is very different from one destination to another, and always depends on a number of inter-related factors. These factors include: the ratio of tourists to host population; the number and intensity of contacts between the tourists and the local community while sharing facilities; local development priorities; the conduct of developers and tourist operators, and the nature of tourism development. Buckley (2003) points out that beyond the extensive documentation of impacts arising from tourism development, sustainability still remains a vague concept. Moreover, in addition to the impacts documented in the 1980s and 1990s, new phenomena started challenging the sustainability agenda in the 2000s. In recent years concerns related to tourism development go much beyond ecological impacts and are explored in the context of globalization and implementation of neo-liberal development policies (Bianchi, 2007; Dodds and Joppe, 2005). Driven by NGOs, by academia, and increasingly by international development agencies (WB and IFC), new research started addressing labor, gender and ethical issues as key elements of sustainability in tourism. Particularly since the proposal of the Millenium Development Goals, social issues including fair trade and poverty reduction were brought to the forefront of the tourism sustainability debate (Downes, 2006; Mowforth and Munt, 2003). The potential impacts of tourism on the society, together with the considerable magnitude of the sector, cause ambivalence both for tourism academics (Mowforth and Munt, 2003; Wheeller, 2004), as well as for other stakeholders, including policy-

makers and civil society (TWN, 2000abc). On one hand, tourism is an engine for much needed economic development in most parts of the world. On the other, it has a tremendous potential for inflicting damage on fragile natural, cultural and social environments (see Table 2).

Table 2 Synopsis of issues associated to tourism as a developmental opportunity

Tourism as developmental opportunity (Overview compiled from: Roe et al, 2004; WTO, 2002; Tepelus, 2001)	
Advantages (strengths)	Disadvantages (weaknesses)
- provides supporting services to related sectors (agriculture, food processing, manufacturing, fisheries, construction, transportation, etc.) - creates potential opportunities for diversification and reducing dependency on agriculture; - promotes a culture of safety, development, progress and cultural exchange; - small scale tourism is not capital intensive.	- induces economic leakages; - creates low quality and unskilled employment; - is dependent on strong and intense seasonality; - is built upon a perception as an 'easy' type of development, sometimes disregarded by policy makers and urban planners, or subjected to policies designed for other sectors.
Opportunities	Threats
- is a sector delivering consumers to the product, consequently enhancing the market for local goods and services; - is not subject to tariff barriers; - provides labor intensive employment opportunities; - provides employment opportunity for women; - provides export opportunities for poor countries, where few high-technology industries are viable; - the product is built on non-material assets available in many poor countries: culture, natural resources, social attractions, etc. - requires infrastructure development (roads, power, water) which benefits local communities; - can take different forms, therefore is available to different countries and regions.	- may be very sensitive to marketing and fashions; - may amplify the risk of cultural commoditization; - is vulnerable to international political and security instability; - creates vulnerability for destinations offering an undifferentiated product (beach/sun tourism); - driven by foreign private development interests; - may create substantial non-economic costs for the poor, due to displacement from agricultural land, cut access to beaches, cultural disruption, labor and sexual exploitation; - vulnerability to economic changes in originating markets, causes swings in demand.

1.1.4 Sustainable tourism

Although tourism is an industry with an important share in the global GDP, research on its sustainability has been so far insufficient. This apparent lack of interest is counter-intuitive since, given its dimensions and importance, sustainability in tourism should be an issue worthy of primary focus. Tourism was not specifically addressed either by the Brundtland report or by the 'Agenda 21', the outcome action program that emerged from the 'Earth Summit' held in Rio de Janeiro in 1992 (UNCED, 2000). Only in 1997 did the travel and tourism sector issue its first programmatic affirmation to the sustainable development principles, through the document *Agenda 21 for the Travel and Tourism Industry* jointly elaborated by the World Tourism Organization, the World Travel & Tourism Council, and the Earth Council (1997). Some of the reasons for the difficulties on sustainability research on tourism refer to: the multi-disciplinary nature of the sector, a general conceptual 'fuzziness' of the area, and last but not least, the 'image problem' that tourism suffers from, especially in the academic circles (Cooper *et* al, 1998).

The complex nature and the diversity of tourism explain why there is no general agreement on the definition of tourism, nor on the definition of sustainable tourism (Cooper *et al*, 1998). The most updated UNWTO definition of sustainable tourism was published in 2004 (see Box 1). UNWTO has also issued methodological clarifications with respect to the terminological differences between the terms 'travel' and 'tourism', making the first a sub-category of the second (UNWTO, 2007).

While the UNWTO definition is rather laborious, a more succinct presentation of the intertwining between the environmental and socio-economic elements of sustainable tourism is proposed by Welford *et al* (1999):

> *While environmental and socio-cultural sustainability seeks to ensure that non-renewable physical and cultural resources are not consumed in the process of the tourism activity, economic sustainability represents a degree of self reliance at the local level: community structures, employment and human resources are maintained.*

Box 1 UNWTO Conceptual Definition of Sustainable Development of Tourism

"Sustainable tourism development guidelines and management practices are applicable to all forms of tourism in all types of destinations, including mass tourism and the various niche tourism segments. Sustainability principles refer to the environmental, economic and socio-cultural aspects of tourism development, and a suitable balance must be established between these three dimensions to guarantee its long-term sustainability. Thus, sustainable tourism should:

1) Make optimal use of environmental resources that constitute a key element in tourism development, maintaining essential ecological processes and helping to conserve natural heritage and biodiversity.
2) Respect the socio-cultural authenticity of host communities, conserve their built and living cultural heritage and traditional values, and contribute to inter-cultural understanding and tolerance.
3) Ensure viable, long-term economic operations, providing socio-economic benefits to all stakeholders that are fairly distributed, including stable employment and income-earning opportunities and social services to host communities, and contributing to poverty alleviation.

Sustainable tourism development requires the informed participation of all relevant stakeholders, as well as strong political leadership to ensure wide participation and consensus building. Achieving sustainable tourism is a continuous process and it requires constant monitoring of impacts, introducing the necessary preventive and/or corrective measures whenever necessary. Sustainable tourism should also maintain a high level of tourist satisfaction and ensure a meaningful experience to the tourists, raising their awareness about sustainability issues and promoting sustainable tourism practices amongst them." (UNWTO, 2007a)

1.2 The research problem and objectives

In its generic use, the term Corporate Social Responsibility (CSR) is understood as the explicit adoption and implementation of environmentally conscious, ethical and socially responsible standards of conduct in and by the business, on a voluntary basis and going beyond the minimum legal requirements. In recent years the concept has been politically institutionalized both by the European Union and by the UN. Under the definition of the European Commission (2001), CSR is *"*a concept whereby

companies integrate social and environmental concerns in their business operations and in their interaction with their stakeholders on a voluntary basis". The Commission further emphasizes four relevant aspects: firstly, that CSR covers *both* social and environmental issues, in spite of the English term corporate *social* responsibility; secondly, that CSR is not or should not be separate from business strategy and operations; thirdly, that CSR is voluntary; and fourthly, that interaction with internal and external stakeholders is an important aspect of CSR.

The problem addressed by this dissertation is that despite intensification of civil society and academic activism on sustainable tourism, tourism industry buy-in for the CSR concept is still weak. Leadership from the private sector in promoting an agenda of sustainable tourism is limited to several large companies from Western Europe, and, with minor exceptions, is missing in a global context. This led to tourism becoming a service industry which, although significant economically, is lagging considerably behind other sectors in making a contribution to sustainable development.

The overarching objective of the research is to investigate links between CSR and sustainable development of tourism. This stems from the observation that tourism development must address increasingly the needs of developing countries, and CSR practices may be playing a significant role in this regard. This dissertation explores the main research question of:

> Can the emerging CSR paradigm contribute to further sustainable development and improved governance in tourism?

To facilitate analysis, this central question was further divided into three component sub-questions, defined as:

1. What tools have been used to stimulate social responsibility in tourism?
2. How has ecotourism influenced social responsibility in tourism?
3. How have tourism stakeholders approached CSR?

Through answers to these questions the author intends to further the scarce body of knowledge and research specifically focusing on CSR in tourism. Secondly, this study intends to provide tourism practitioners, along with the academic and civil society with an opportunity to reflect on new tools to improve their performance and functions in promoting sustainable tourism systems.

There are several reasons why the author chose to explore CSR, versus other alternative pathways to change (eco-design, innovation, etc.). The lack of demand pressure for responsible tourism reinforces the notion that additional supply-led sustainability paradigms may still be called for. Secondly, the study of CSR in tourism could reveal new solutions to problems previously neglected in the tourism sustainability research. These concern especially social and human rights issues that have emerged recently in relation to the impacts of globalization in tourism. Finally, as an industry which has been continuously growing, tourism has increasing global impacts, both socially and economically. The expectation is that upon assuming responsibilities as a corporate citizen, the tourism industry may be in a stronger position to improve the livelihoods and support development of communities in destinations.

1.2.1 Scope and boundaries

The research is concerned with the role of CSR as an approach to promote sustainable development of the tourism industry in an international context. Starting from specific cases of sustainability instruments applied to tourism, the enquiry leads to more general observations about how CSR may support the emergence of a more sustainable travel industry. The underlining thought was that, similar to the benefits it has given other industrial sectors, the CSR framework may support a better understanding of how sustainability of tourism systems could be improved. This idea was developed by exploring a number of variables including: the role of voluntary instruments for sustainable tourism (eco-labels, codes of conduct); the development of ecotourism and its contribution to the CSR debate in tourism; and the roles of institutional stakeholders in tourism policy making. The scope of the dissertation is limited by several types of boundaries, as follows:

a. Sector boundaries. Within the tourism industry the target addressed was the large-scale sector: tour operators and the large hotel and hospitality operators. System supply-side boundaries exclude travel agencies, airlines, catering and restaurant sectors, which offer smaller scale or specialized services. On the demand side, this investigation does not attempt a contribution to the research on consumption patterns in tourism. Consumption issues are excluded from the scope of the research, the main reason being that tourism literature converges to indicate that there is not enough demand for more sustainable consumption patterns in tourism yet (Dodds and Joppe, 2005). The lack of demand pressure is interpreted to

reinforce the need for the private sector to take the initiative on developing sustainable tourism practices. When deemed useful for a better argumentation, considerations pertaining to consumption patterns are being provided.

b. Timeframe boundaries. Components of the dissertation were carried out as several individual, interrelated and self-standing projects in the timeframe between September 2001 and July 2007. During this period, the research comprised periods of fieldwork, alternating with reading, off-campus residence and intensive interactions with international organizations concerned with tourism policy-making, and regular exchanges with private companies through participation at major industry events and direct communication.

c. Limits on free expression and objectivity. The action research method led the researcher to be embedded for extended periods of time into the structures of various organizations, including private companies, inter-governmental and non-governmental organizations (see Chapter 2). Although the research was not directly funded by the hosting organizations, a close cooperative relationship is hereby acknowledged, leading to certain limitations on the author's ability to express views on the inner workings of these organizations, especially in the published articles. Consequently, more such comments will be brought forward in the findings and analysis chapter. When such observations are made, the author tried to exercise conservatism in expression, as the information was used with the aim of providing a better understanding of the research context.

1.2.2 Intended audience and impact

This study is intended as a contribution to the body of research in the field of corporate social responsibility and corporate citizenship. The research addresses the academic community from the fields of travel, tourism and hospitality, and business studies in general, by taking a closer look at CSR applications in tourism.

The tourism private sector, non-governmental activists and policy makers are the intended non-academic audiences for this research. A constant concern during the investigation process was to note aspects of practical relevance for tourism practitioners. The review of current approaches, governance and limitations on the use of voluntary performance standards in tourism is intended to support an improved decision-making process in

sustainable tourism. A second category of audience is that of tourism researchers and business educators, who may find the reflections included here relevant for the advancement of their disciplines.

1.3 Dissertation Outline

The dissertation is structured in two parts. Part I is a synthesis narrative, and Part II consists of the individual published articles which the synthesis was based upon. A brief description on the contents of Part I and Part II is provided below.

Part I of the dissertation is an 'umbrella' text. It summarizes the research process, key discussion points, main findings and conclusions. The choice of a monographic *versus* article-based dissertation was resolved in the latter alternative, as the research work was clearly structured in distinct components/research cycles. The narrative evolved from processing and synthesizing the lessons extracted from the individual projects and reflected in articles. *Chapter 1* introduces the research context and problem addressed. *Chapter 2* describes the methodological process employed. *Chapter 3* gives an overview of the sustainable tourism rhetoric; it further describes the sub-field of ecotourism and the role it played in the sustainable tourism governance agenda. *Chapter 4* presents a literature background on CSR, and its application to tourism. *Chapter 5* presents the main research findings extracted from the case studies. It contains a theoretical reflections followed by an discussion on each of the research questions. *Chapter 6* provides the conclusions of the investigation and suggests areas for further research.

Part II of the dissertation contains six individual papers, all published following double blind, peer-review processes: five articles published in academic journals and one book chapter. They are listed below, according to the logic supporting presentation of the argument in the dissertation.[2]

[2] The listing order of the papers and their inclusion as the appendices does not correspond to the chronological order of their publication.

1. Tepelus, C. & Castro Córdoba, R. (2005). Recognition schemes in tourism – from 'eco' to 'sustainability'? *Journal of Cleaner Production*, ***13***, 2, 135-140.

2. Tepelus, C. (2005). Aiming for sustainability in the tour operating business. *Journal of Cleaner Production*, ***13***, 2, 99 -107.

3. Tepelus, C. (2007). Sustainability in ecotourism supply chains: Evidence from cases of Swedish ecotourism packages to Peru and to Nepal-Bhutan. *The International Journal of Environmental, Cultural, Economic and Social Sustainability,* ***3***, 4, 87-98.

4. Tepelus, C. (2008). Reviewing the IYE and WSSD processes and impacts on the tourism sustainability agenda. *Journal of Ecotourism,* ***7***, 1, 77-86.

5. Tepelus, C. (2006). A model for multi-stakeholder partnerships on human rights in tourism. In J. Jonker & M. de Witte (Eds.), *Management Models for Corporate Social Responsibility (CSR): A Comprehensive Overview*. Ch. 10, pp. 82-89. Heidelberg: Springer.

6. Tepelus, C. (2008). Social responsibility and innovation on trafficking and child sex tourism: Morphing of practice into sustainable tourism policies? *Tourism and Hospitality Research,* ***8***, 2, 98-115.

The content of the papers is presented below summarily, and in full-text in the appended papers.

Article 1 is a critical review of various voluntary approaches to sustainability in the tour operating sector. Using a sample of companies selected from amongst the members of the Tour Operators' Initiative for Sustainable Tourism Development (TOI), an initiative joining tour operators committed to advance sustainable development in tourism. The article explores the scope of sustainability good practices developed in the tour operating sector.

Article 2 analyzes the structure and the design of one of the most comprehensive eco-labeling schemes currently operating. The Certificación para la Sostenibilidad Turística (Certification for Sustainable Tourism, CST), was developed in Costa Rica, and is currently in the process of being expanded in other Latin American countries. The article discuses the relevance of the CST model regarding a widening of the scope of

certification schemes, to address not only environmental aspects, but also cultural and social tourism impacts.

Article 3 presents applications of good practices for sustainable tourism within international ecotourism supply chains. Two case studies of Swedish eco-tours in Peru and in Nepal-Bhutan support a discussion on the dissemination of responsible tourism practices across ecotourism supply chains. The article also explores more generally the role of ecotourism supply chains in realizing environmental and social improvements in tourism.

Article 4 reflects on the activities of selected international tourism organizations that act as policy-makers in the field of tourism. The article reviews the processes involved in the organization of the United Nations International Year of Ecotourism (2002), and in the tourism-related events that took place at the World Summit for Sustainable Development (Johannesburg, 2002). The paper analyzes the governance, achievements and shortcomings of the IYE and WSSD tourism-related events, and their relevance for the wider sustainable tourism agenda.

Article 5 (book chapter) presents a model of corporate social responsibility in tourism, based on multi-stakeholder partnerships for integrating human rights issues on the sustainability agenda in tourism. A case study of a code of conduct against child sex tourism is discussed in more detail, providing recommendations mostly addressing practitioners. This article was published as a book chapter in a compendium of CSR management models addressing the private sector executives.

Article 6 explores two emerging human rights issues affecting the travel industry in recent years (child sex tourism and trafficking), and their connection to tourism from an innovation and social responsibility perspective.

Common to these articles is that they reflect various approaches to the implementation of corporate social responsibility (CSR) in tourism. Following the description in Chapter 2 of the research methods, Chapters 3 through 7 elaborate on the potential of the CSR applicability for sustainable tourism development, concluding with observations on its suitability and limitations.

1.4 Language and Style

In order to make this dissertation accessible to a broad audience beyond the community of tourism and management researchers, the author intended to use simple language, without excessive use of technical terms. Occasionally wherever considered useful, explicative footnotes have been added.

Throughout the dissertation the APA citation style has been used, based on the use of author-date references in text, and a full bibliographical citation at the end of the document. US English has been chosen as the language of the dissertation.

CHAPTER
TWO

2. Research Design and Methodology

This chapter presents the context and the methods used for the design and execution of the research. It describes the temporal, contextual and logistical circumstances influencing the investigative course undertaken. It follows to present the development and evolution of processes involved in pursuing the inquiry: the choice of the method, data collection and analysis.

This research has adopted a *qualitative and exploratory approach* which will be elaborated upon in this chapter. An overview of the use of various research methods in tourism and this dissertation positioning in rapport to other approaches is presented in the following section.

Before proceeding to describe the epistemological positioning, the author considers it relevant to make a comment about the temporal context of the research. As an economical sector closely inter-woven in the societal and cultural environment, tourism is highly sensitive and reactive to societal changes, quickly responding to variation of circumstances. More than for other disciplines, tourism studies suffered significant transformations following the events of September 11, 2001 in New York. The tourism research agenda started approaching in a more focused manner the issues of risk, health and safety, and the legal contexts of travel and trans-boundary movements of people. Following previous decades of constant growth, in the years subsequent to 2001, the tourism field has been severely impacted by highly challenging occurrences, including the threat of disease (SARS, mad cow disease and avian flue) and global political unrest (the US anti-terror campaign, the war in Afghanistan, the Madrid and London attacks, the war in Iraq).

As this research has been carried out in the interval from 2001 to 2007, it is likely that these circumstances forced and accelerated processes within the tourism sector that otherwise would have taken longer to crystallize. Considering the aim of this dissertation, the turbulences in global events affecting tourism systems were considered opportunities to gain new

insights. This position also comes in agreement with the action research approach. According to Dick (1993, citing Lewin, 1948) the dynamics of a social system are often more apparent in times of change, when, through research, change and learning can reinforce and support each other.

2.1 Introduction

The question of research methods in tourism has been the subject of vivid debate and intense scrutiny in the last decade, including by Farrell and Twining-Ward (2004), Tribe (2004), UNWTO (2001), Wearing *et al,* (2005), etc. There is no consensus on the preferred context, appropriateness, and predominance of qualitative and quantitative methods. This is due to a number of factors. Firstly, travel and tourism is a relatively recent object of academic interest. The field only emerged after World War II in the context of an international economic boom and technical developments that facilitated travel (Wearing *et al,* 2005). Liu (2003) notes that only since the late 1980s tourism sustainability became a topic of concern. Secondly, fragmentation of travel and tourism as an economic sector (WTTC, 2002) made its delimitation from related services challenging. Thirdly, there have been concerns that, as an academic discipline or field of studies, tourism investigations display a disconnect between research and praxis (WTO, 2001).

A significant body of tourism research comes from business schools, and focuses on marketing and gathering of hard data in order to quantify economic indicators required by the private sector. A number of industry bodies, most notably the World Travel and Tourism Council (WTTC), are concerned with assessing and reporting on indicators useful in analyzing the evolution and potential threats to the sector.

On the other hand, researchers coming from a background of social sciences and tourism studies seem to be focusing on the development of the body of theory, a need often justified by the fact that the study of tourism is young as a research area. Tribe (2001) quotes research by Graburn and Jafari (1991), which traced scholarship in tourism finding that "most studies have taken place since 1970, and 50 per cent of them since 1980". The relatively recent emergence of the field and its quest for 'respectability' (Pritchard and Morgan, 2007) lead to an intense debate over the use of qualitative or quantitative research methods (Burns and Lester, 2005):

> *part of the problem for those interested in pushing the boundaries of tourism research is captured by the lingering question: is tourism 'scientific' or simply soft science? […] 'respectability' is sought through the seemingly scientific application of quantitative measure to what is essentially a social phenomenon* (Burns and Lester, 2005, p.49).

Both academics and leading industry agencies (Fennell and Ebert, 2004; WTTC, 2002) characterize the current development approach as *ad hoc,* calling for a move

> *to evolve new patterns of travel and tourism business that integrate social, economic and environmental sustainability and to encourage a vast and fragmented industry to follow suit. In short, what is required is a greater leadership in corporate social responsibility within the travel and tourism industry* (WTTC, 2002, p.5).

2.1.1 Quantitative and qualitative research methodologies in tourism

There seems to be agreement that the research tendency focused initially on tourist consumption in a commoditized form, resulting from the dominance of a quantitative, positivist research paradigm (Wearing *et al,* 2005; WTO, 2001; Walle, 1997). The link of such a method with profitability and marketing leads to tourism studies being integrated sometimes into business education. According to Ritchie and Goeldner (1989), marketing using quantitative methods was for a long time the most important line of research within tourism scholarship. Hollinshead (2004) also observes that, "tourism studies researchers have invariably concentrated upon the prescriptive and the economic worth of tourism, leaving the descriptive and political importance of the field relatively uncovered".

The broadly quantitative approach was used to explore connections between travel and a variety of contextual, social and economic factors. Clift and Carter (2000) note that in quantitative tourism research, questionnaires or structured interviews are preferably used together for collecting countable data which can be subjected to various forms of statistical analysis and modelling. Burns and Lester (2005) observe that this tradition derives also from the academic inquiry in tourism being dominated by the Anglo-Saxon school of thinking[3]. They make a further comment in that the use of a

[3] Academic tourism research is mostly published by schools in USA, Canada, the UK, Australia and New Zeeland.

positivistic method and extensive quantitative methods was pursuing the disciplinary 'respectability' for tourism, especially in academic circles and journals including *Annals of Tourism Research,* most originating in the North American and Anglo Saxon academic environments.

New developments are emerging from the critique of traditional research methods. Firstly, as Walle (1997) points out, marketing has been transcending its initial quantitative focus, moving towards more eclectic topics especially consumer behavior, which require tools for analysis that are closer to those used in social sciences. Secondly, tourism is transcending marketing, as the perspectives of local populations regarding tourism and development became a core issue for tourism sustainability (Johnson and Snepenger, 1994). Thirdly, researchers including Hall (1995) and Faulkner (1998) noted the inadequacy of conventional approaches in a context of change, which, in the case of tourism, includes chaotic and complex phases. Fennell and Ebert (2004) point to Russell and Faulkner (1999) who suggested that in contrast to reductionist approaches, it is rather the chaos and complexity theories that are able to recognize that tourism systems are innately non-linear, unstable, dynamic and life-like (Hall, 1995).

According to WTO (2001), limitations on the development of research in tourism are related to factors including the multidisciplinary character of the sector, and the heterogeneous conceptualization of its production. These factors exemplify the difficulties inherent in creating instruments to define and measure tourism research variables. Furthermore, the wide scope of the discipline made pursuing in-depth and comprehensive studies difficult. The 'imprecision' of the tourism sector (mostly comprising small and medium sized companies), and its demand-led seasonality, further made the quantitative methods more difficult to be applied in favor of qualitative methods. Phillimore and Goodson (2004) observe that criticisms to quantitative methods came also as a result of changing attitudes about the nature of knowledge. Criticism concerns also "generalizing data from one context, and extending the generalization across the social world" and putting most emphasis on "predicting what may happen in particular circumstances, rather than seeking explanation and understanding of processes which determined behavior" (Phillimore and Goodson, 2004).

The limitations posed by quantitative methods motivated tourism researchers to move away from the positivist approach, and explore increasingly the use of alternative philosophical paradigms including feminism, eco-centrism, post-structuralism and community development

(Wearing *et al,* 2005). According to Clift and Carter (2000), the qualitative tourism studies employing a grounded approach are generally concerned with exploring frameworks of meaning used by various social actors in making sense of phenomena, and framing possibilities for action (Strauss, 1987; Glaser, 1992).

Tribe (2004) sees the debate on the use of quantitative and qualitative methods in tourism reflected in the academic publishing, distinguishing two fields of tourism studies. One is that of tourism business studies, which borrows an identity from the business studies but in a tourism context (marketing of tourism, tourism corporate strategy, management of tourism). The business tourism journals include *Tourism Management, Journal of Travel and Tourism Marketing, International Journal of Travel and Tourism Marketing, International Journal of Hospitality Management* etc. The second field of research is that of non-business tourism studies, which includes areas such as environmental impacts, tourism perceptions and social impacts. Journals found by Tribe (2004) as having a wider agenda include *Annals of Tourism Research, Journal of Tourism Studies,* and discipline-specific journals such as T*ourism Economics, Tourism Geographies,* etc.).

However, Belsky (2004) observes that qualitative methods have also been criticized as overly subjective and unscientific. Farrell and Twinning-Ward (2004) resume this central methodological dilemma by observing:

> *researchers schooled in a tradition of linear, specialized, predictable, deterministic, cause-and-effect science, are working in an area of study that is largely non-linear, integrative, generally unpredictable, qualitative, and characterized by causes giving rise to multiple outcomes, quite out of proportion to initial input* (Farrell and Twinning-Ward, 2004, p.277).

In this dissertation, the author's position is that the study of an industry evolving from the interplay of several different issues – social, cultural, economic – calls for a multidisciplinary approach. As Walle (1997) argues:

> *tourism needs to forcefully articulate, in a general and universal way, that it is a broad and distinct field, and that it embraces a variety of appropriate research strategies. Such observations lead to the realization that a plurality of equally valid research strategies exist within tourism* (Walle, 1997, p.535).

As here the object of investigation is CSR, an emerging paradigm at the intersection of social sciences and business, the author subscribes to Burns and Lester's (2005) argument that the relative values of qualitative research (i.e. discursive, reflexive, and open to nuance) are to be preferred to the

benefits of a quantitative approach (i.e. repeatability, numerical validity) based on the complex set of human motivations laying at the centre of tourism as a social phenomenon.

2.1.2 The interplay between research and praxis

Is tourism research reaching its audience? Does it lead to change toward more sustainable paradigms for the production and consumption of tourism services? How are tourism stakeholders influencing tourism research?

According to WTO (2001), there is a disconnect between existing research and praxis. Compared to sectors such as manufacturing, which attracted significant physical and human resources, in tourism there was a clear under-utilization of research, both theoretical and applied. Moreover, in the majority of cases, tourism investigations lacked rigorous methodological bases, and were submitted to scarce scientific review. WTO further argues for the need of a research approach from a double perspective, as 'basic research' to increase the existent body of knowledge, and as 'applied research', where this knowledge becomes functional for commercial purposes.

Here it is also relevant to point out that tourism research is driven by the interests and agendas of many stakeholders. The tourism industry's system of stakeholders includes a wide variety of actors: local communities, local authorities, destination management organizations (DMOs), civil society and non-governmental activists, the tourism private sector and other travel-related businesses (transportation, entertainment, agriculture, etc.), media, the research community of academics and consultants, national tourism authorities (NTAs), governments, international development agencies and international organizations. It is unavoidable that having so many interested parties, their interests will not always converge. The most common examples of stakeholders' divergence are in relation to scale of development, ownership of tourist facilities, as well as interpretation of agency politics.

With regards to the roles of stakeholders other than the academic community, WTO notes that sometimes the principal enemies of tourism research are politicians and business people, who don't understand the necessity of tourism investigation beyond marketing, and, consequently, don't integrate it into their routines. Wheeller (2004) also reflects on the ethics of local authorities who do not wish to jeopardize potential tourism development:

> *to safeguard the tourist lira/dollar, those in authority deliberately cover up threats to the local tourism business", and "those with a vested interest to maintain the status quo suppress information, deliberately keeping both the public in general, and the tourist in particular, in the dark* (Wheeller, 2004, p.471).

A phenomenon that has developed in the last few decades concerns the increasing involvement of NGOs, which became active and vocal stakeholders in tourism development processes. Their role is particularly welcome in the attempt to 'decommodify' the tourist product in order to go beyond its economic use-value, and create benefits for the local host communities' social, cultural and economical environment. The activity of groups such as Tourism Concern investigating fair trade in tourism, the WWF and the Rainforest Alliance running programs on tourism and biodiversity, the ECPAT network working against child sex tourism and trafficking, The International Ecotourism Society (TIES) supporting ecotourism development and of many others, goes beyond lobbying for their particular causes. In recent years expert NGOs started providing consultancy and technical assistance services to local communities, but also to international agencies such as UNWTO, the World Bank, as well as to the private sector.

Engagement of businesses with NGOs is a phenomenon of particular interest in the CSR context. A report by the Ethical Corporation (Schiller, 2005) that looked at 40 business-NGO partnerships in Europe and North America finds that, as a result of this interaction, the roles of stakeholders, NGOs and businesses are shifting:

> *for their part, NGOs are becoming more practical, flexible, less dogmatic and more eager to seek solutions from the business sphere. Businesses, meanwhile, have begun to see the potential of working more closely with the third party sector to develop working environments in which to operate, to gain credibility among policy makers and opinion formers, and to improve their reputations with the public at large* (Schiller, 2005, p.4).

Another important observation of Schiller (2005) concerns the differences between Europe and the US in understanding partnerships with civil society organizations, with "European companies taking the lead in meaningful engagement with NGOs, according to both US and European observers". It appears as though European corporations are more open to partnering with NGOs, while in the US "NGOs are seen as radical".

2.2 Research development

2.2.1 Process

The research process was of a dual nature, mostly exploratory with explanatory elements. The pursuit of research (understanding) and change (action) followed a course that has been mostly inductive, extracting findings and conclusions from generalization of observations of reality as suggested by case studies. Case study observations were compared against knowledge from tourism literature and from related scientific fields, both within business and social sciences. Facilitated by an investigation structure based upon development of consecutive projects, the author followed largely the paradigm of action research, consisting of sequenced cycles of action, reflection, evaluation, and again action.

2.2.2 Context

Goodson and Philimore (2004) note that the choice of qualitative or quantitative methods, while critical to the process is merely one aspect of the research exercise. Other issues that need to be disclosed for their influences over the process include the biography and politics of the research, the nature of the sponsors, the purpose and interpretation of data and the presentation and dissemination of findings. Especially in the case of qualitative investigation, a discourse on these aspects is called for since knowledge production is a reflection of existing power relations (Goodson and Philimore, 2004, referring Warren, 1988).

Consequently, the author considers that in addition to the plan and manner of approaching the research problem and questions, the methodology of research has been influenced by other factors from its context. These included: research traditions, agency politics, funding, logistics and practicalities. This sub-section presents the contextual factors that have influenced both the process and the content of this investigation.

Firstly, it is relevant to acknowledge that this dissertation is the product of a particular school of academic thought. It was carried out under the academic aegis of the International Institute for Industrial Environmental Economics (IIIEE) at Lund University. IIIEE has become known since its establishment in 1995 as an applied research cluster with a focus on developing preventative strategies to improve environmental performance, and on pioneering new principles of production and consumption.

Important achievements of IIIEE research include the development by Lindhqvist (2000) of the Extended Producer Responsibility (EPR) principle, promotion of cleaner production as an operating paradigm for environmental technologies and the view of regionally distributed economies as complex systems for sustainable production and consumption. The product service system research strand at IIIEE includes a research cluster group on sustainable tourism. Tourism research at IIIEE has addressed in recent years sustainability collaboration and tourism learning networks (Fadeeva, 2003), and the role of tour operators as sustainability facilitators within the tourism supply chain (Budeanu, 2007). This dissertation complements these works, maintaining the focus on a system approach to tourism operations. Important characteristics of IIIEE research in general are its applied nature and international outlook, both traits also to be found in this dissertation.

Besides the IIIEE contribution, this work benefited from support and funding from several agencies that contributed to various components of the process leading to this dissertation. The Swedish Tourist Authority (Turistdelegationen), a public governmental agency that became part of NUTEK in 2006, supported several research components. Through the financial support offered by the Foundation for the Promotion of Expertise in Tourism (Stiftelsen för kunskapsfrämjande inom turism) the author was able to carry out three projects resulting in reports, case studies and publications, some of which are appended to the dissertation:

- Project 2001-2002: 'Ecotourism – from Theory to Practice'. Publications:
  Tepelus, C. (2002). *Ecotourism – from Theory to Practice.* Report to the Swedish Tourist Authority, Lund, IIIEE.
  Tepelus C. (2007). Sustainability in ecotourism supply chains: Evidence from cases of Swedish ecotourism packages to Peru and to Nepal-Bhutan. *International Journal of Social, Cultural and Environmental Sustainability*, *3*, 4, 87-98.

- Project 2002-2003: 'International Ecotourism – Research and Development'. Publications:
  Tepelus, C. (2004). *International Ecotourism – Research and Development Perspectives.* Report for the Swedish Tourist Authority, Lund, IIIEE.
  Tepelus C. (2008). Reviewing the IYE and WSSD processes and impacts on the tourism sustainability agenda. *Journal of Ecotourism*, *7*, 1, 77-86.

- Project 2007-2008: 'Emerging Ethical and Human Rights Challenges for Social Responsibility in Tourism'. Publication:
  Tepelus, C. (2007). Social responsibility and innovation on trafficking and child sex tourism: Morphing of practice into sustainable tourism policies?. In. J.J. Liburd & A. Hegersell (Eds). Conference Proceedings of BEST EN Think Tank VII "*Innovations for Sustainable Tourism"* June 21-24, 2007 Northern Arizona University, CD-ROM, Sydney: University of Technology Sydney, pp. 153-168, ISBN 0 9750957 4 9.

An important contributing factor in the decision to choose social responsibility as the theme of the dissertation was the opportunity of an extensive residence at the World Tourism Organization, an inter-governmental agency which became a UN specialized agency in 2005 (UNWTO), and the organization leading the international policy agenda in the field of tourism. UNWTO is serving as a global forum for creation of tourism policies, sharing of know-how and strategy development. In the context of two consecutive European Union-funded projects, the author was housed at WTO in the period fall 2001 through spring 2004, coordinating the secretariat of the project "Code of Conduct for the Protection of Children from Sexual Exploitation in Travel and Tourism", a joint effort between UNWTO, the non-governmental network ECPAT, and the tourism private sector. Articles 5 and 6 emerged from this endeavor. This context granted the researcher access to direct interactions with the tourism private sector, through participation and presentations at over 20 tourism industry international conferences over the period since the start of the doctoral studies (see list in Appendix B). In light of these experiences, the author reflected back on the previous projects, achieving a renewed understanding of the results. This sequence of cycles including data collection, analysis, and interpretation is the basis of the action research method, and is further described in the following section.

2.2.3 Structure and cycles of the research process

The research has been carried out between fall 2001 and spring 2007, and comprised 3 distinct phases which evolved gradually, some overlapping time-wise. The central theme of each research cycle was chosen in correlation with the international tourism policy agenda, following what appeared to be emerging trends in the field.

The themes of the three research cycles are correlated to the research questions:

Phase I – Voluntary instruments to support sustainable tourism

Phase II – Ecotourism as an approach to CSR in tourism

Phase III – CSR as a conceptual framework in tourism

Based on the literature review on these themes (Chapters 3 and 4), the research identified the two major interest areas of phases I and II, ecotourism and voluntary instruments for sustainability. Reflecting on the understanding acquired in the case studies investigated in Cycles I and II, and especially in light of the key informant interviews, the author found CSR to be the unifying conceptual framework for the dissertation. This stems from the understanding that beyond individual good practices, a more holistic conceptual shift needs to be taking place in tourism, possibly in the form of the wider adoption of CSR practices. Consequently, in Cycle III the author pursued in-depth understanding of a specific case relevant to the tourism CSR discourse. The CSR framework was chosen for being actual and forward-looking, in correlation to a more general trend for business sustainability through CSR in other sectors.

Prior and in parallel with each research cycle, a preparatory phase included planning, literature review and problem identification. The preparatory stage of the research focused on learning about the global tourism system, its governance, key structures, and the dynamics between its stakeholders, both within and external to the system. A comprehensive view of the way in which various types of tourism actors interact, communicate and influence each other has been achieved while in residence at UNWTO. Upon completing the third research cycle (to the extent included under the scope of this dissertation), a discussion of findings is followed by analysis and conclusions.

This process based on the principles of action research is presented in the following Figure 1, which also displays the correlation with the structure of the dissertation. Upon describing the problem and methodological aspects in Chapters 1 and 2, the following two chapters present a critical vision of the body of existing literature on sustainable tourism, ecotourism (Chapter 3) and CSR in tourism (Chapter 4). Chapter 5 includes the presentation and interpretation of findings and the analysis, which aim to be of relevance on the subject matter both for the tourism academics and for specialist

practitioners. Chapter 6 reflects back on the entire research process, and presents the conclusions and the proposals for future investigation.

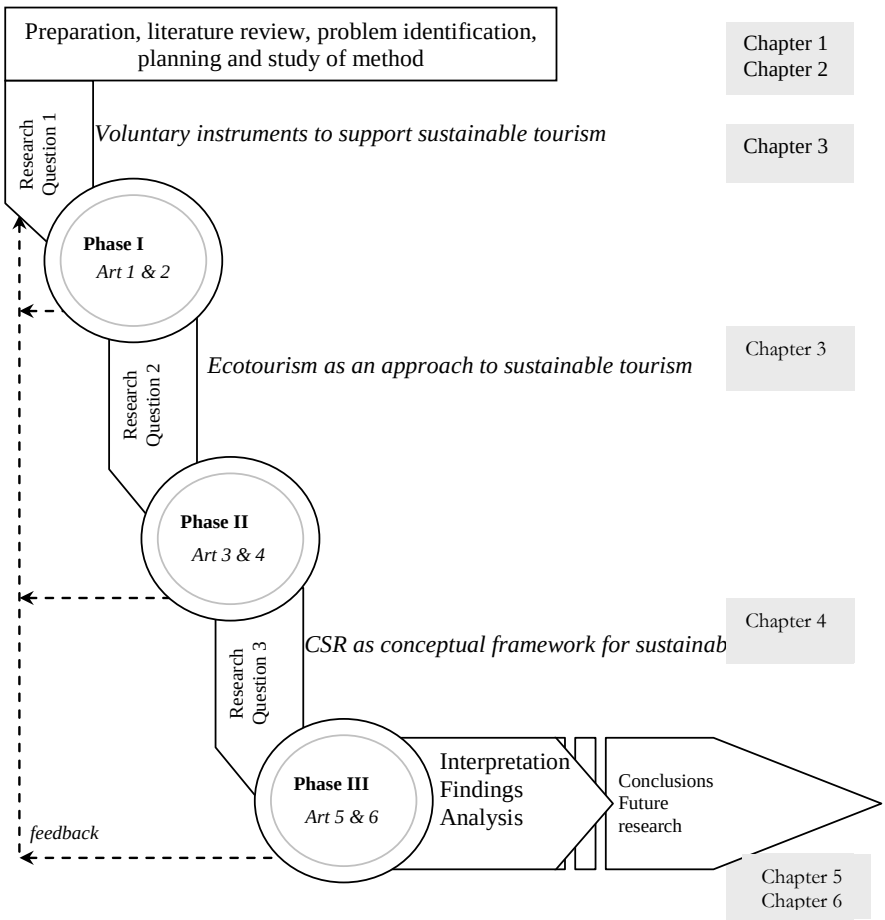

Figure 1 Research process cycles and correlation to articles and dissertation structure

2.2.4 Evolution

The sequence of individual projects had as its starting point the experience from a previous investigation carried out towards writing a Master of Science thesis in 2000, and addressing the issue of sustainability reporting in tourism. The project involved collaboration with an elite group of tour operators, members of the Tour Operators' Initiative for Sustainable

Tourism Development [TOI] (UNEP.UNESCO.UNWTO). As a direct follow-up from that project, and upon initiating doctoral studies in 2001, the author proceeded to look more closely at voluntary sustainability initiatives in the tour operating sector (Article 1). Upon a closer analysis of one of the most recognized labeling schemes (Article 2), this exercise pointed out a number of deficiencies in the existing eco-labeling systems.

Furthermore, during 2002, the UN International Year of Ecotourism, the Swedish Tourist Authority commissioned two successive research projects addressing ecotourism as an alternative form of sustainable development in tourism. The first project looked into documenting case studies of best ecotourism practices by Swedish eco-tour operators (Article 3). The opportunity of residence at the headquarters of the World Tourism Organization in Madrid brought an additional advantage in terms of access to information and consequently revealing insights into the preparation process of the World Ecotourism Summit (Article 4).

Social and human rights issues identified in previous projects became the focus of Articles 5 and 6, in the context of a project funded initially by the European Commission, and later, by the UN (UNICEF). The opportunity of working on the development of a tourism code of conduct against child sex tourism revealed important benefits for the research, especially on the challenges accompanying development of voluntary instruments for sustainability with respect to social issues in tourism.

2.3 Data collection methods

Data collection has been characterized by a *methodological pluralism*, forging the use of multiple sources, according to the circumstances of each of the research cycles. These included mostly reliance on case studies, supplemented by literature reviews, questionnaires and interviews in the Research Cycles I and II.

In addition to these, the author engaged in an action-research investigative process for the case study corresponding to the Research Cycle III. Action research supplemented the traditional methods of data collection with information extracted interactions with topic experts, policy makers, and with industry representatives, over an extensive time-period. A theoretical reflection from the business innovation perspective brings all case studies together, and precedes the discussion on the research questions.

2.3.1 Data collection – general

Studies of tourism have been using multidisciplinary approaches to investigate sustainability, taking into consideration historical, cultural, political, religious and economic factors. As noted in Section 2.1.1, quantitative and qualitative research methods have distinct and complementary strengths for tourism investigation. Qualitative methods were preferred in this investigation for their characteristic of yielding data that provide depth and detail to create understanding of phenomena and real-life experiences (Bowed, 2005).

The information collected has been supplemented with knowledge extracted from literature reviews on the problem studied and on the research questions. The data reflects interactions and experiences with individuals and organizations in relation to the research problem being studied. Both primary and secondary information was used in each research cycle. Data was also gathered from a variety of sources including traditional academic publications and literature, tourism experts, but also media, television, tourism industry publications, government statistics, campaign and pressure-group materials and ethnographic observations. These complementary sources of observations were called for by the nature of the topic, and by the research process, which was in different stages closely related to policy events.

Data collection methods included tourism literature review, participant observation (Clark *et al,* 1998), expert interviews, semi-structured interviews, questionnaires and review of literature studies other than tourism, especially from business and other sources of CSR-related media. Data collection methods corresponding to each of the research cycles will be described in the corresponding chapters. A general overview on the data collection methods is provided below.

The review of tourism literature was carried out initially to document the research problem, followed by additional steps of consulting the literature within each of the three research cycles. Tourism literature review included mostly academic journals and publications, but also journals from social sciences and business management, especially in the third research cycle. This data collection technique was predominant in the Research Cycle I, and was supplemented by other techniques in subsequent cycles, as the participatory aspect of the action research method strengthened in Cycles II and III.

Participant observation consists of first-hand observations documented through different field-work techniques (Hayllar and Veal, 1996; Bowen, 2002, etc.): interview notes (Article 3), meetings minutes (Articles 5, 6), writing of research notes (Article 4), and participation to a large number of professional meetings (see Appendix B). This technique was used predominantly throughout the research Cycles II and III.

Expert and key informant interviews were critical sources of information, especially in Phases II and III (Articles 3 through 6). Interviews were semi-structured, based on a predefined list of questions that was loosely followed, subjects being encouraged to divagate and elaborate on issues they considered to be of particular interest. The interviews were documented through interview notes. The list of interviewees and key informants is provided in Appendix B.

Administration of questionnaires and surveys was a technique for data collection used partially in Cycle I (Article 1), partially in Cycle II (Article 3) and in Cycle III (Articles 5 and 6). Questionnaires were administered by the author except for those in Article 4, which reviewed a report on questionnaires administered by UNWTO. Questionnaires were mostly addressed to tour operators (Articles 1, 3, 5 and 6) but also to ministries of tourism and NTAs (Article 4). Additional information on the respondents, sample size and criteria for selecting the sample is provided in Chapter 5, within the sections describing the data collection.

Review of literature and media from sources other than tourism (lateral thinking) was an important source of information, especially due to the relevant links with social sciences and management, and due to the political nature of the topic in Research Cycle III. Additional information in the form of political statements and a listing of milestones in the process described in Articles 5 and 6 were included in appendices. Other sources included official data, declarations of the concerned parties, articles in commercial, other publications, etc.

Case studies were used within each investigative cycle and provided critical data to the analysis. Case study observation is well documented as a research technique (Creswell, 1998; Robson, 1993; Yin, 1989). Beeton (2005) made observations that support the argument for use of case studies as important investigative tools in tourism research.

Table 3 Features of case study research (Beeton, 2005)

Features of case study methods (Beeton 2005, quoting Hoaglin *et al,* 1982)

1. Can explain why an innovation worked or failed to work.
2. Has the advantage of hindsight, yet can be relevant in the present and to the future.
3. Can illustrate the complexities of a situation by recognizing more that one contributing factor
4. Shows the influence of the passage of time through longitudinal studies
5. The reader may be able to apply it to his/her situation
6. Can evaluate alternatives not chosen
7. Can utilize information from a wide variety of sources
8. Can present information in a wide variety of ways
9. Can illuminate a general problem through examination of a specific instance.

Case studies included in the dissertation were documented as follows. A case of a sustainability certification scheme ('Sustainable Tourism Certification' from Costa Rica) was presented in Research Cycle I, and documented in Article 2. Two case studies on the implementation of sustainability criteria within international ecotourism supply chains in Peru and in Nepal-Bhutan were reviewed in Research Cycle II in Article 3. A case study of a CSR initiative is the object of Research Cycle III and discussed in Articles 5 and 6. Additionally to the case studies explored and the articles, an appendix details a case study of shareholder engagement in tourism which occurred only recently and is presented for its relevance as a new approach to CSR in tourism.

The involvement of the researcher in the case studies was indirect in the Research Cycle I, and direct in Cycles II and III. Case studies were designed to support collection of field information in order to answer the research questions. Other factors such as project funding, management and logistics also played a role in the selection of case studies. An overview of the research method and data collection techniques, in relation to the articles included as appendices of this dissertation, is presented in the following table.

Table 4 Overview of case studies, research methods and publications

	Articles	**Research methods, techniques & scope**	**Review process & research presentation**
Research Cycle I	I. Tepelus, C. (2005). Aiming for sustainability in the tour operating business. *Journal of Cleaner Production*, ***13***, 2, 99 - 107.	Literature review on tour operators Survey to 16 tour operators, TOI members 2 Expert interviews	Double blind peer-reviewed Published in special issue on sustainable tourism
	II. Tepelus, C., Castro Cordoba, R. (2005). Recognition schemes in tourism – from 'eco' to 'sustainability'? *Journal of Cleaner Production*, ***13***, 2, 135-140.	Literature review on eco-labels Case Study (Costa Rica)	Double blind peer-reviewed Published in special issue on sustainable tourism
Research Cycle II	III. Tepelus, C. (2007). Sustainability in ecotourism supply chains: Evidence from cases of Swedish ecotourism packages to Peru and to Nepal-Bhutan. *The International Journal of Environmental, Cultural, Economic and Social Sustainability,* ***3***, 4, 87-98.	Literature review on ecotourism Case Studies (Nepal, Bhutan, Peru) Participant observation 18 tour operating staff interviews (see Appendix B)	Double blind peer reviewed Virtual presentation at the IIIrd Sustainability Conference Chennai, India, January 5-7, 2007.
	IV. Tepelus, C. (2008). Reviewing the IYE and WSSD processes and impacts on the tourism sustainability agenda. *Journal of Ecotourism,* ***7***, 1, 77-86.	Literature review on ecotourism Participant observation UNWTO Survey analysis 3 Expert interviews International scope	Triple blind peer reviewed by the Journal of Ecotourism.

Research Cycle III	V. Tepelus C. (2006). A model for multi-stakeholder partnerships on human rights in tourism. In J. Jonker & M. de Witte (Eds.), *Management Models for Corporate Social Responsibility*. Ch. 10, pp. 82-89. Heidelberg: Springer Verlag.	Case Study Action research Presentations on the case study at international conferences and dedicated project meetings (Appendix B) International scope	Double peer-reviewed Compendium of management models for an audience of CSR practitioners
	VI. Tepelus, C. (2007). Social responsibility and innovation on trafficking and child sex tourism: Morphing of practice into sustainable tourism policies? *Tourism and Hospitality Research,* ***8***, 2, 98-115.	Literature review on CSR and tourism innovation Case Study Action research Presentations on the case study at international conferences International scope	Double peer-reviewed Presented at education network conference on sustainable tourism, Best-EN Think Tank meeting, University of Northern Arizona, June 24-27, 2007

2.3.2 Action research aspects

The research process was initiated on the basis of a literature review on tourism sustainability, supplemented by personal reflection and case studies, documented in the Research Cycles I and II.

In the Research Cycle III the investigation proceeded with the researcher directly intervening in ongoing tourism CSR processes, for which engagement and direct interaction with various institutional and individual informants took place, for the purpose of collecting data, reaching findings and building inductively new knowledge. This method followed largely the guiding principles of what is generally known as action research (AR), a set of methodologies pursuing action (or change) and research (understanding) at the same time (Dick, 1999). Kurt Lewin is generally credited (Smith, 2001) for coining the term 'action research' as follows:

> *the research needed for social practice can best be characterized as research for social management or social engineering. It is a type of action-research, a*

> *comparative research on the conditions and effects of various forms of social action, and research leading to social action* (Lewin, 1946).

Lewin, the founder of the Center for Group Dynamics at MIT was a psychologist and philosopher of science, who created seminal theory on groups, experiential learning and action research (Brown, 1988). Bargal's (2006) interpretation on the core principles of AR based on Lewin's work is presented in Figure 2.

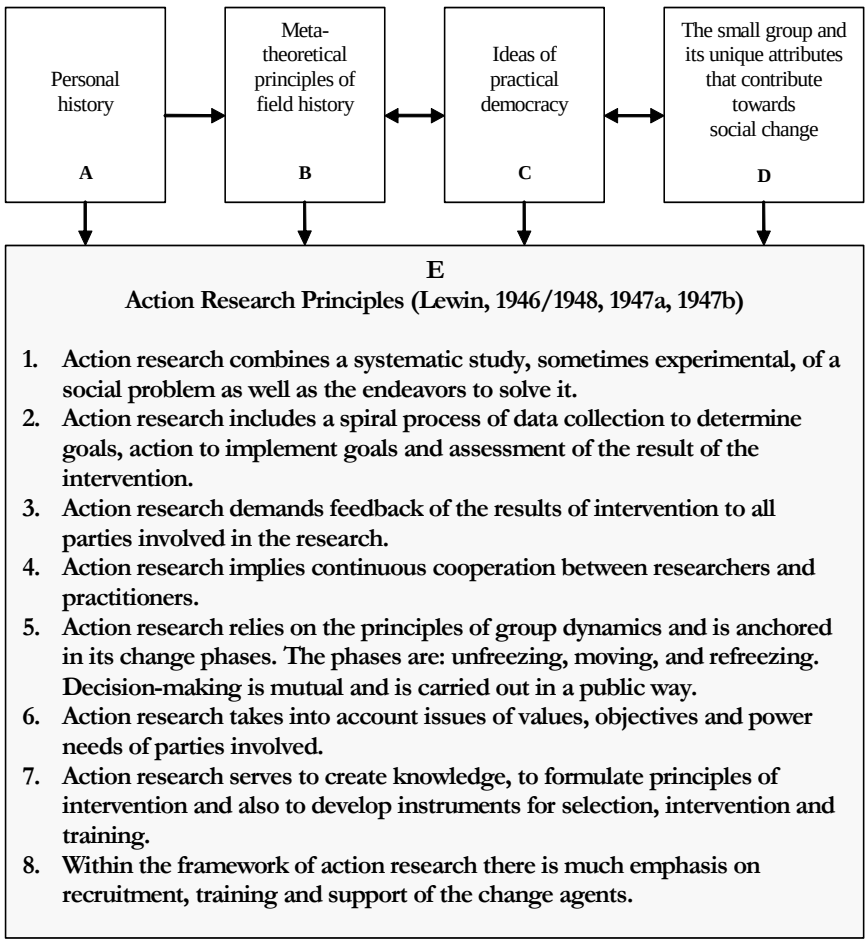

Figure 2 Bargal's (2006) interpretation on personal and intellectual influences leading to Lewin's paradigm of action research.

Methodologically, AR employs a cyclic and iterative process, alternating action and change with critical reflection. Subsequent research cycles are used to refine the interpretation, in light of the understanding developed in earlier cycles, converging toward a better understanding of the phenomena studied. According to MacIsaac (2005), later protocols should also reflect changes in the goal, as determined via experience during reflections of earlier AR iterations. Dick (2000) presents the main descriptors of AR as being: cyclic, participative, qualitative and reflective.

Kemmis & McTaggart (1990) propose a simple visual model illustrating the cyclical nature of a typical action research process. Figure 3 shows the four-step sequence of the process: plan, act, observe, reflect. The research protocol involves closing in upon a goal or research objective by repeated research iterations. Consecutive cycles reflect changes in the initial goal, building upon it from the experience and knowledge generated in earlier iterations. The main topic of interest is processed throughout the process as described by Elliott (1991) (cited in Hopkins, 1995).

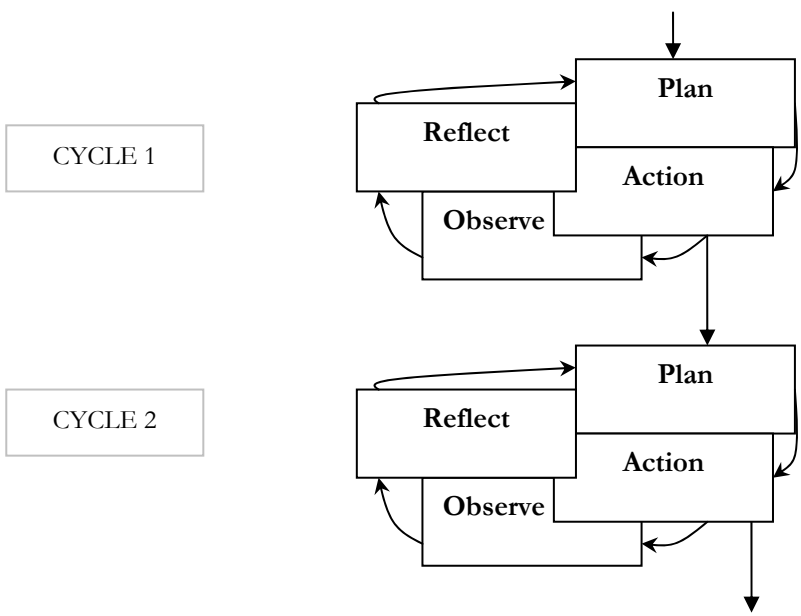

Figure 3 Simple model of action research (Kemmis, 1990, from MacIsaac, 1995)

AR is applied in this dissertation to explore two concepts, that of sustainable tourism and CSR, which have not been sufficiently studied in correlation to one another. There were several reasons for the decision to pursue action research.

Firstly, action research allowed a process based on a sequence of interrelated exploratory projects. The action research component became more predominant as the research progressed towards the more advanced stage. The projects followed the research questions in conjunction with the practicalities of project management and funding. As both CSR and sustainable tourism are topics wide in scope, the choice of a method based on sequences of exploratory cycles also avoided the risk of 'tunnel-view' (Frank and Riedl, 2004), whereby the researcher gains the understanding of a limited topic but misses the bigger picture.

Secondly, the virtues of AR making it particularly suited for the research questions of this dissertation are its responsiveness and connection to the private sector, especially relevant in the context of the reported disconnect between tourism research and praxis (WTO, 2001), which an action research method may help bridging. Furthermore, as the issue under investigation is CSR as a strategy for sustainable tourism, the AR method allowed easier contact with the investigation subjects.

Thirdly, action research appeared to be most appropriate for making optimal use of particularly favorable opportunities for direct engagement with key stakeholders, and highly suitable for the work circumstances. The participatory element in the research Cycle III included close contact with several institutional and key individual informants such as the WTO top tourism policy makers, civil society activists and tourism industry leaders. This was well suited with the interventionist nature of AR, which places value on empiricism. AR allowed addressing issues jointly between the researcher and practitioners, in a process of common learning. The researcher has been in a position where it was necessary to both interfere and withdraw from direct action in order to interpret and document the process. This was facilitated by managing to set the timeframe of the research cycles/projects from one to two years in duration, sometimes overlapping.

Fourthly, while the debate between qualitative and quantitative methods in tourism is intense, there is a rising question of *relevance* for all types of research towards inducing change for sustainability (Shaw, 2000). While the

application of the action research method in tourism is still scarce, there are several examples of AR being used as a method for investigation of change in tourism (Pedlar, 1995). Examples include the works of O'Brien (2001) exploring institutionalization of nature tourism in the Windward Islands in the Caribbean, Cole's (2006) work on community participation in Eastern Indonesia, Grant's (2004) research on innovation in tourism planning, Di Domenico and Morrison's (2003) investigation on small hospitality firms in Scotland, etc. These researchers generally come from Australian and British schools.

Journal papers were identified in which action research is referred to as 'emancipatory' by US-based researchers. Jamal and Everett (2004) carry out a theoretical discussion rejecting positivistic rationalization in tourism in relation to the myth of the Yellowstone National Park, referring to "participatory and emancipatory action in the natural-cultural space being investigated […] which requires the researcher to be fully engaged in understanding the issues in the problem domain and acting to change them".

Finally, the choice for the action research method also took into consideration the long-term expectations of the researcher. In this case, the author preferred the position of researcher-practitioner, with the aim of continuing engagement in the field of international development.

The expected outcome of AR will not be a 'one-size-fits-all' solution. The research findings are aimed *to support the fine tuning of approaches to further develop CSR as a tool for sustainable tourism.* The knowledge developed in the process of action learning will be used to support further actions. Through this choice, the investigation moves away from traditional, positivistic epistemologies which require the researcher to minimize interference. The author is in agreement with Wheeller (2004) who is arguing for a "more up-front, personal, subjective approach – but with overt recognition of this for what it is". He argues that to keep integrity in the process, instead of claiming dispassionate objectivity, researchers should make their agenda clear and be transparent with their positions: "it isn't only the accuracy of the data, the knowledge, that needs scrutinizing, it is the value filters through which they are seen and screened. We all have our agendas […] that further influence/confine us". The author further agrees with Jamal and Everett (2004) and their suggestion that in a post 9-11 world, social researchers are called upon to a 'soul-searching' about failures of current social science research, which may possibly be addressed "in those places where educators,

researchers, students and the general public fail to engage in critical reflection and participatory praxis".

2.4 Methodological challenges

2.4.1 Overview

The research context, topic and method have raised a series of challenges that influenced the process of this dissertation. The author is aware of the increased methodological difficulty in writing a dissertation as an action-research based work, as compared to a more traditional approach, predominantly theory-oriented. This approach is justified by the scarcity of investigations on CSR in tourism, and by the novelty of important aspects of the tourism CSR agenda, which have only been brought to light in the last couple of years.

The challenges encountered throughout the research process have been varied, including: limited bibliography on CSR in tourism, political and controversial opinions of the theme, a limited critical body of knowledge, and a risk of insufficient perspective and distance from the subject matter.

A limitation related to the investigation process is linked to the acknowledgement that the interests of different institutional or individual stakeholders that supported the research. International organizations, non-governmental organizations and independent consultants, and, last but not least academic researchers, all have their own agendas. Recognizing this, Wheeller (2004) calls for a more personalized, overtly subjective approach, based on a recognized agenda of the researcher. Specifically for studies based on action research, he notes that the researcher is placed in a context which may be 'dangerously contentious' (Wheeller, 2005) and also highly politicized. Wheeller points to issues such as corruption and lack of capacity, topics often ignored by the tourism planners. Another challenge posed by the method may be related to its political character. Social scientists like Eco (2000) warn of the possible risks of superficiality in dissertations with political character, and suggest methods appropriate for social phenomena in evolution. Tourism is one such sector. Eco (2000) notes there has been a methodological excess in social research, in relying heavily on statistical methods, leading to a 'sociometry' that functionally describes phenomena, but does not lead to a good understanding.

The author argues that post-normal science largely governing all living complex adaptive systems, including tourism, is non-linear, uncertain, largely unpredictable, inductive, qualitative and concerned with the integration of parts, rather than with a high degree of specialization.

The sequence of research cycles and the periods of investigation followed by reflection steps helped in addressing these difficulties. A conscious effort was made at all times to approach the topic with scientific maturity and to interpret data conservatively. The various challenges were also considered as inherent tests in the process of undertaking an anticipated career path in international development, with a focus on the CSR field. It is envisioned that this thesis would be the starting point of a more ample work to explore emerging social phenomena in tourism in the following years, on a career course addressing international development.

2.4.2 Critique of action research

Social scientists (Eco, 2000) recognize that opportunities of direct engagement in politico-social experiences often bring up possibilities to start important discussions. In such situations, however, investigators need to be concerned with treating the chosen topic in a scientific manner[4], that would lead to knowledge of both practical and academic relevance.

Critics of action research such as Chambers (1983) point out the political nature which is intrinsically embedded into participatory exploration: "participation is empowerment and empowerment is politics". Cornwall and Brock (2005) note that words as 'participation' and 'empowerment' play an important part in the fast-moving world of development policy, as they became buzzwords of development policies in the orthodoxy of today's neo-liberal agenda.

Belsky (2004) remarks that investigations choosing AR should expect objections from conventional tourism researchers in regard to applicability of action research to tourism:

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[4] Scientific research (Eco, 2000, p.36-39) is defined as fulfilling the requirements: covering a publicly recognizable and identifiable object/theme; the research must tell things that were not said before, or to put in a different light things that were said before; the research must be useful to peers; the research must provide elements for verification and proving wrong its hypothesis, and must give the elements for its public continuation.

> *if qualitative research may be viewed as overly subjective and unscientific, it is likely that participant action research would be criticized as even more so, and derided as advocacy rather than research. Nonetheless, supporters of participatory action research would credit it as a valid knowledge-building process and no less subjective and advocacy based – only in this case, advocacy on behalf of particular groups of peoples and social justice values* (Belsky, 2004, pp.273-292).

While acknowledging the value of such concerns, the argument supported here is directed at assigning value on documenting the emerging process of developing links between sustainable tourism and CSR. A related limitation of the AR method is that, unlike positivistic science, AR does not lead to generally applicable laws, or is otherwise not easily generalized. There are in this regard similarities between AR and consulting, however, unlike the former, AR is reflective and more purposefully looking for understanding and learning.

This researcher's answer to these concerns is that the dissertation approaches the nexus of two issues that have not been previously explored sufficiently in association. The link between CSR and the tourism industry required investigation of an exploratory character, looking into building knowledge on the correlations between CSR and sustainable tourism.

2.5 Research questions and dissertation structure

The dissertation structure follows the sequence of the research questions. After presenting in Chapters 1 and 2 the methodological approach, Chapters 3 and 4 contain a literature review on the research questions. Chapters 5 and 6 contain the findings, analysis and conclusions. Appended to the dissertation there are the six published articles documenting case studies. The researcher was an external observer for the research reflected in Articles 1 and 2, and was directly involved in the projects corresponding to Articles 3, 4, 5 and 6. An overview of the dissertation structure showing the correlation between the research questions and the chapters is presented in the Figure 4 below.

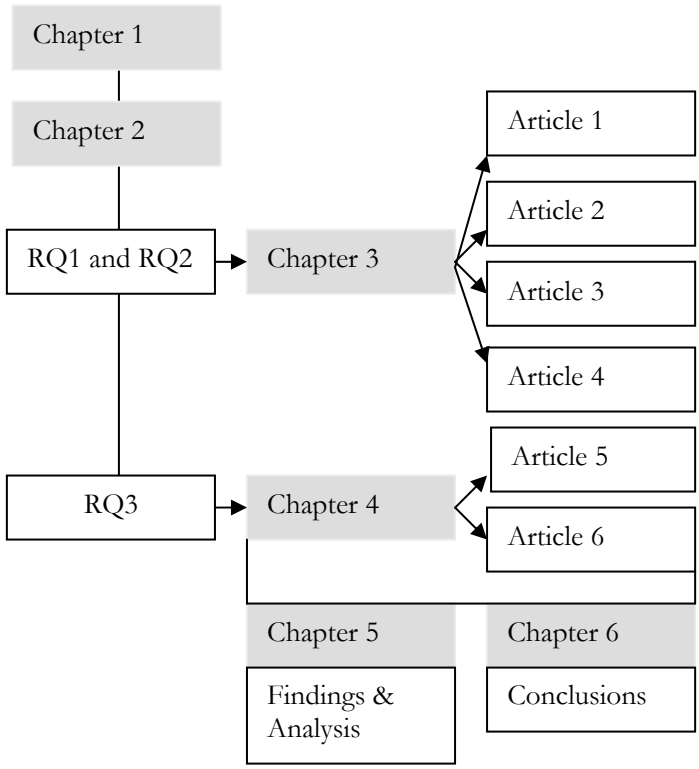


Figure 4 Dissertation structure

CHAPTER

THREE

3. The Rhetoric of Sustainable Tourism

This chapter provides a general overview on the field of sustainable tourism. It seeks to offer a background on addressing the first two research questions, concerning the tools for sustainable development in tourism and respectively the role of ecotourism. A presentation on the evolution in the understanding of tourism sustainability is followed by a review on the role of ecotourism as a niche sector within sustainable tourism.

This chapter is complemented by data from the author's research as included in the appended Articles 1, 2, 3 and 4. These papers substantiate author's investigations on mass tourism, voluntary instruments for sustainable tourism, and ecotourism.

3.1 Sustainable tourism – concept development

Laws and Swarbrooke (1998) find sustainable tourism to be a relatively new field of study. According to Clarke (1997) quoted in Welford, Ytterhus and Eligh (1999), the earliest use of the term 'sustainable tourism' saw mass tourism and sustainable tourism as opposites. Sustainable tourism was a departure from mass tourism, which served as a 'point of repulsion'. The negative impacts were usually attributed only to mass tourism, while sustainable tourism was considered to be a 'small scale solution', struggling with a 'macro problem'.

As there is still no absolute agreement on the definition of tourism as an industry, 'sustainable tourism' is an even less clear term. The literature uses terminological variations such as 'green', 'alternative', 'responsible', 'eco-', 'soft' to describe different components of sustainable tourism. In particular, eco-tourism has been widely used as an interchangeable term for sustainable tourism. This emerging trend has brought even more confusion into the debate. Swarbrooke (1999) presents chronologically the evolution of academic thinking on the concept of sustainable tourism (see Figure 5).

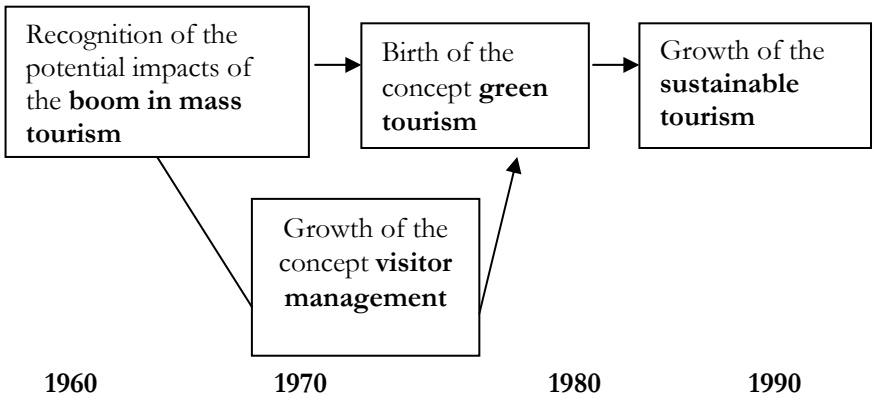


Figure 5 Evolution of the concept of sustainable tourism (Swarbrooke, 1999)

Two different views constitute the starting points of the basic sustainability debate in tourism. On one hand, there is the attempt to preserve the cultural heritage and to conserve the natural resource base of tourism destinations. On the other hand, there is the apparently opposite paradigm of exploitation of such resources through tourism for the economical benefit of tourism entrepreneurs, local communities and local stakeholders. As the disciplinary self-questioning and analysis in tourism studies progressed, this apparent dichotomy was mostly translated into a debate on the issue of scale of operations. This contrasts large scale tourism, viewed mainly as exploitative, to small scale tourism, understood as conservationist. Clarke (1997) synthesizes the chronological evolution of the relationship between scale of operation and the sustainability of tourism, identifying four stages: polar opposites, continuum, movement and convergence. The polar opposites perspective approaches sustainable tourism, as being the 'good' small scale and essentially conservationist form of tourism (Krippendorf, 1987; Valentine, 1993). It opposes mass tourism, as the 'bad', exploitative, destructive and morally repulsive alternative (Richter, 1987; Butler, 1991; etc.). The second stage is the continuum, which corrects the simplicity of the previous polar opposites position, by acknowledging that sustainable tourism is still based on the infrastructure, transport and reservation systems of mass tourism. Under this approach Butler (1990) and Wheeller (1991a) also argue, that if not properly managed, sustainable tourism may easily transform into mass tourism.

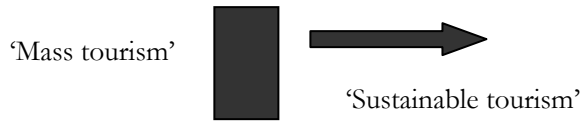
Cooper *et al.* (1993) criticize both these positions for excessive homogeneity and conflict with reality, especially in a context where accelerated tourism growth made the replacement of mass tourism clearly unfeasible. The focus on the small scale, deemed to be required for a sustainable form of tourism, was a limitation when dealing with the reality of increasing number of tourist arrivals and the potential for considerable economic benefits (Butler, 1992; Cohen, 1987). Criticism by Cazes (1989) and Richter (1987) also point to the elitism that small scale tourism may imply, and Wheeller (1990, 1991a, 1991b) notes the difficulties in ensuring local control and ownership of operations. Butler (1990) argues for a dynamic approach to understanding sustainability in tourism, as opposed to a static analysis. He further agrees that tables of 'good' versus 'bad' tourism impacts suggest, what Clarke (1997) calls an 'over-simplistic' interpretation on Krippendorf's work.

What emerged from these criticisms was, according to Clarke (1997), a position of *movement* where the issue of scale became more objective and less emotive, where mass tourism became the subject of improvement, and sustainable tourism became the goal for attainment. This development coincides with the emergence of more technical methods that large tour operators and umbrella organizations started using to improve their environmental performance. Such tools included environmental impact assessments, environmental management systems (EMS), codes of good practice and environmental reporting (British Airways, TUI, WTTC, etc.). Large tourism organizations started developing these tools, mostly to pre-empt more stringent regulatory attention to tourism (Tepelus, 2001).

The final position foreseen by Clarke's work (1997) is the idea of *convergence,* acknowledged also in WTO revised definition for sustainable tourism (WTO, 2007). This places sustainability in tourism as a goal that all existing forms of tourism, irrespective of their current operational scale, must aim for. Fennell and Ebert (2004) make an important addition in the understanding of tourism from the sustainability perspective, when analyzing application of the precautionary principle[5] in tourism. They support the convergence theory, calling for a general acceptance of an

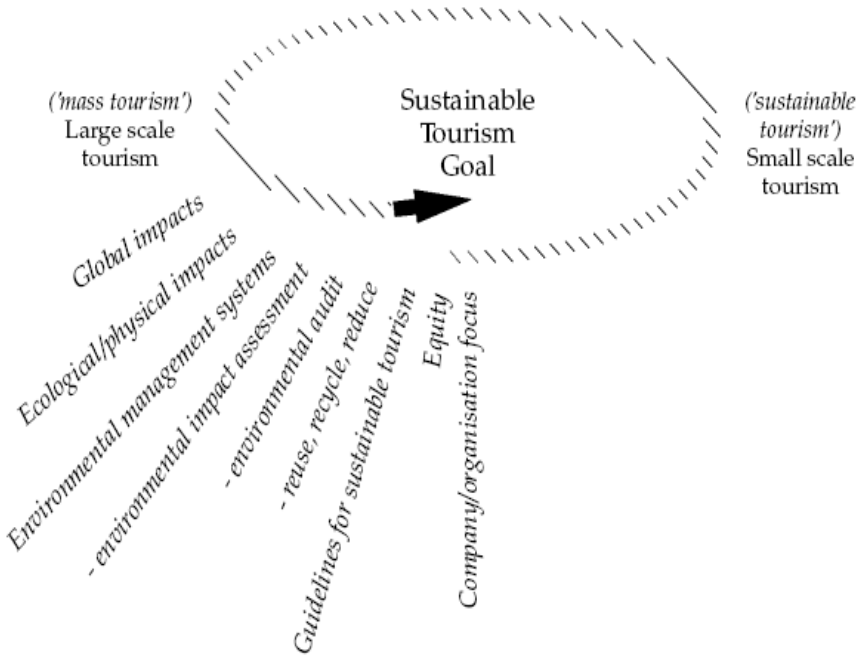
[5] Precautionary principle is one of the cornerstones of ecologically sustainable development, incorporated in the Earth Summit declaration in Rio de Janeiro as principle 15: In order to protect the environment, the precautionary approach shall be widely applied by States according to their capabilities. Where there are threats of serious or irreversible damage, lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent environmental degradation. (Van Dyke, 1996:, quoted by Fennel & Brunt , 2004).

industry-wide duty to take precautionary action in the face of scientific uncertainty in tourism.



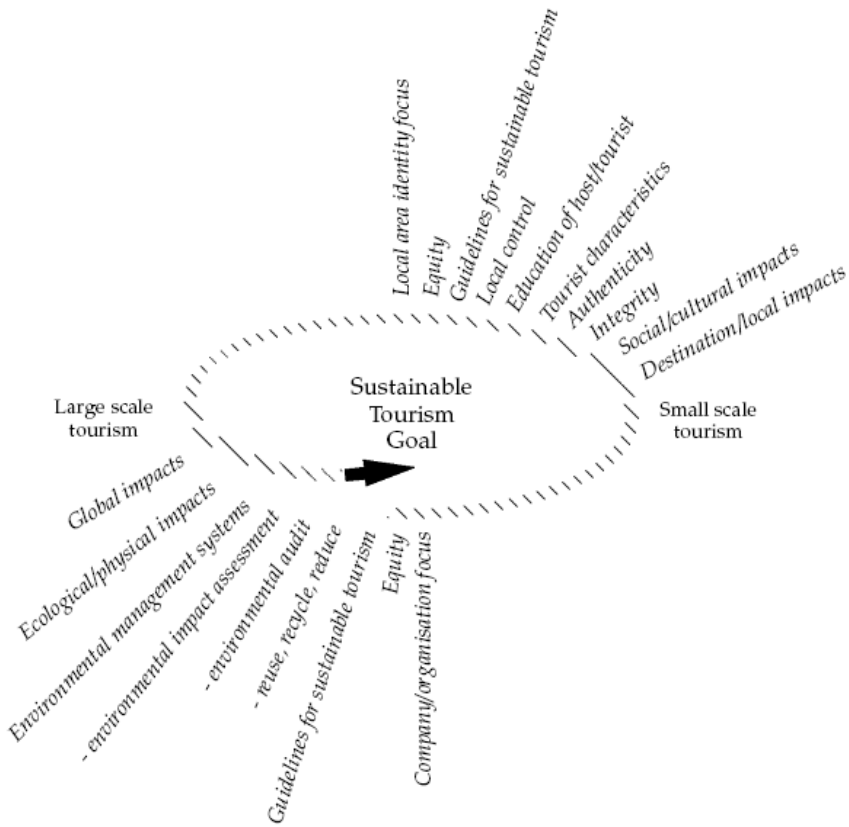
Position 1: polar opposites

Position 2: continuum



Position 3: movement

Figure 6 Framework of approaches to sustainable tourism (Clarke, 1997)



Position 4: convergence

Figure 6 (continued)

This research is also positioned within the convergence interpretation on sustainability, viewing tourism as an economic activity that should be based on general principles of sustainable development. The issue of scale is here considered as a local-specific, time-dependent variable, which is an adaptive and evolving norm that can not be *a priori* prescribed. Furthermore this research considers CSR to be a framework applicable to tourism operations irrespective of their scale.

3.2 Standards for tourism sustainability

3.2.1 Voluntary performance schemes

Voluntary performance schemes such as eco-labeling and codes of conduct are the most common voluntary instruments used by the tourism industry to transmit information regarding environmental and social performance. Guidelines that the industry created as standards of desirable practice translated in the development of codes of conduct. Codes of conduct are preferred and intensely promoted by the industry as alternatives to enforced regulation, and are often put forward in an effort to pre-empt regulation (UNEP, 1995). The main developers of codes of conduct for tourism are governments, industry associations, non-governmental organizations and multi-stakeholder groups. In 1995, the United Nations Environment Programme (UNEP) carried out an assessment of no less than 30 codes of conduct existing at that time, followed in 1998 by other 28 labeling schemes (UNEP, 1995). In Europe, for the Nordic countries alone, no less than 17 labeling programs existed and another 5 were in progress in 1999, according to a study performed by RAMBØLL, together with Helsinki School of Business Economics and Administration and the International Institute for Industrial Environmental Economics (RAMBØLL *et al*, 2000). Hammele (2002) was observing that by 2001 there were about 60 environmental certificates and awards in Europe alone, covering nearly all types of tourism suppliers, the majority of which (over 30) certified accommodation. Although each of these schemes has its own set of criteria, common features among certification schemes addressing mass tourism operators (large hotels and tour operators) include: provision of pre-departure information; visitor information and education; contribution to local development and conservation efforts; environmental impact management (in particular for protected areas and in relation to transportation); contracting local accommodation (Tepelus, 2000). Among the best known tourism eco-labels are the Green Globe 21 (international), the National Ecotourism Accreditation Program (Australia), PATA's Green Leaf, the European Ecolabel (EU 'flower') for accommodation services (European Union), the Certification for Sustainable Tourism (Costa Rica), etc. In the most complex eco-labels, the truthfulness of the information has to be guaranteed by external referees, in addition to verifications through site visits and feed-backs from clients.

Criticism of most voluntary certification schemes relates to their organization and management, to the difficulties to acknowledge and

reconcile the interests of the actors (see Figure 7), and to their precarious financial sustainability and vulnerability to becoming commercial enterprises. Font (2001) also points out that one of the most common pitfalls is economies of scale necessary to make an eco-label work, considering that, under financial pressure standards may be relaxed to allow access of profit-seeking private actors.

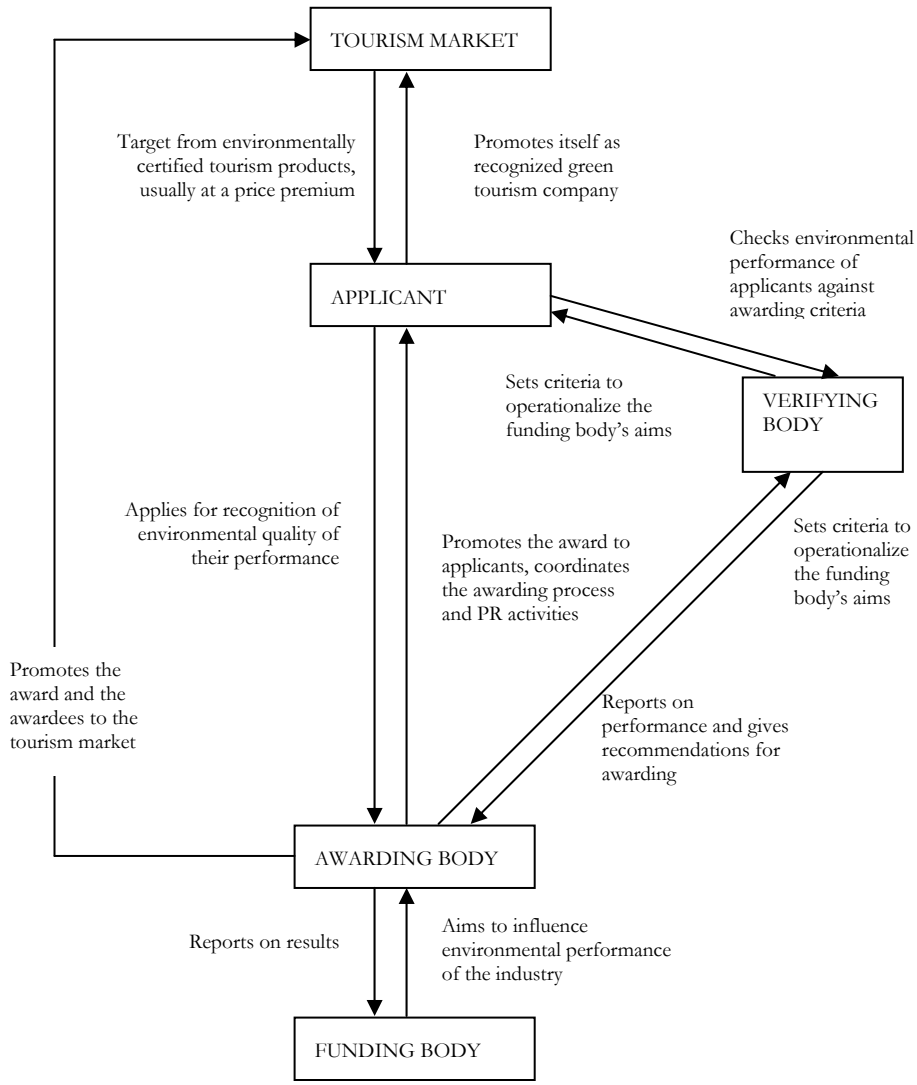


Figure 7 The players in tourism eco-labels (Font, 2001)

Representative of an eco-labeling scheme whose credibility has been questioned is the Green Globe 21, a certification program whose objective, is to promote industry self-regulation in all areas of activity, with a focus on sustainable management of destinations. Initially launched by WTTC under the name 'Green Globe', Green Globe 21 is currently an independent body, after a "friendly buy-out from WTTC was arranged" (RAMBØLL *et al,* 2000). Particular about this scheme is that it provides technical expertise manuals[6], and includes a requirement of information accuracy verification by independent auditors (such as Société Générale de Surveillance). Before its re-launch in 1999, the scheme (under the name 'Green Globe') was criticized on the grounds that, by simply paying the application fee, travel and tourism companies could purchase the right to use the Green Globe logo in all their publicity, and therefore just give the impression that they are 'going green'. Fennell (quoted in Honey, 1999) goes as far as saying that "Green Globe is, in essence, little more than a marketing ploy". The new Green Globe 21, revised its accreditation criteria and is based on standards derived from Agenda 21 and ISO-type concepts (RAMBØLL *et al,* 2000)

Although the movement to expand eco-labels in tourism seems to have reached a plateau, the abundance of existing voluntary performance recognition schemes and codes of conduct, confirms the warning message that UNEP was launched in 1995: too many codes are as dangerous as too few, and duplication of codes could result in confusion rather than purposeful action.

In order to address the issue of measuring sustainability performance, important efforts have been made by the research community and especially by the WTO, who published in 2004 a comprehensive compendium of sustainability indicators for tourism (WTO, 2004). Furthermore, in recent years there is an effort to consolidate existing eco-labels at international level, to accredit and certify their issuers (Font *et al,* 2003; Honey, 2001). This is called for by reports of consumer confusion, as well as by the necessity to verify implementation on a continuing basis once an eco-label has been awarded.

Honey (2001) points out the confusion in the interpretation of such terms as 'accreditation' (a process of qualifying, endorsing or licensing entities that perform the certification audits, i.e. of certifying the certifiers) and

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[6] Green Globe provides technical assistance to tour operators through publications such as *Waste Minimization for Tour Operator sector and Travel Agents.*

'certification' ("a procedure by which a business, product of service is examined, measured and assessed against a set of standards. Those meeting the standards are given an award or logo"). This is particularly confusing since Australia, New Zealand and Canada use the term 'accreditation' for what is defined in the US, Europe, Latin America and elsewhere as 'certification' (Honey, 2001).

The proposed global 'accreditation body for sustainable tourism certifiers' took the form of the 'Sustainable Tourism Stewardship Council' (STSC), launched by a multi-stakeholder group led by UNWTO, the Rainforest Alliance, etc. Initiated in 2001 by the Rainforest Alliance in partnership with WTO, The Ecotourism Society and UNEP (RA-STSC, 2004), the STSC proposes a global accreditation scheme for sustainable tourism and ecotourism certification bodies (RA, 2003). STSC aims to address a potential market demand for having international, comparable standards to identify and purchase sustainable holidays and to minimize false claims. Following the World Ecotourism Summit held in 2002 in Quebec, a first Sustainable Tourism Certification Network for the Americas was launched in 2003. The development and institutionalization of STSC is still in progress at the time of writing. The challenges of bringing together various regional developments from Europe, the Americas and Asian-Pacific countries to create of a global 'super label' are considerable (Hammele, 2002), and the chances for success are still difficult to assess.

Regarding voluntary corporate reporting by tourism companies, examples of reporting companies from the travel sector are scarce compared to other industries. Sustainability reporting in tourism, according to the requirements of the Global Reporting Initiative Guidelines, was initiated in the tour operating sector through the activity of the TOI (Tepelus, 2000), who succeeded in developing tour operators' specific supplements to the GRI guidelines (GRI, 2002). Relatively few examples of voluntary reporting can be found, most of which are from large tourism companies. These include environmental reporting by the TUI Group and Hilton Scandinavia (Bohdanowicz, 2006), and sustainability reporting of the Air France-KLM group (Air France and KLM, 2006). Medium scale companies from developing countries, such as the South African City Lodge Hotels (2005) also approached sustainability reporting, but examples of tourism companies reporting on non-financial matters are rather exceptional.

3.3 The ecotourism promise

As a reaction to the mass expansion of tourism in the late 70s and 80s, academic thinking and activist circles increasingly called for an alternative, small-scale approach focused on nature appreciation and a deeper understanding of the local specificity of the destinations. This alternative to mass tourism became known as ecotourism. The second research question of this dissertation addresses a potential link between ecotourism and the development of a CSR framework for tourism. This section will provide an overview of the conceptual development of ecotourism, and of the outcomes of 2002, the United Nations International Year of Ecotourism. This section provides the literature background and context for Articles 3 and 4 appended to this dissertation.

3.3.1 Ecotourism development

WTO estimated in 1998 that ecotourism and all nature-based forms of tourism account for approximately 20% of total international travel (WTO, 1998). There is quasi-general agreement that while ecotourism represents a small segment of the entire tourism market, it is growing at a faster pace than other market segments. The assertion that ecotourism grows at a 20-25% annual rate is often cited (Lindberg *et al*, 1997; TIES, 2000), but almost certainly exaggerated according to Weaver (1998). Evidence about the growth of ecotourism is largely anecdotal, as ecotourism research to date is characterized by serious deficiencies in quantitative evidence and analysis. Investigating the effects of ecotourism on developing countries, Doan (2000) finds that existing forecasting methods are just 'guesswork' still lacking 'a broad-spectrum quantitative analysis', and asks for standard methodologies for the forecasting of the long-term ecotourism effects.

Many academics, including Buckley (1994), Orams (1995), and Weaver (2001a), point out that a key reason for the unreliability of existing data is the lack of a universally accepted ecotourism definition. Controversy on the question of semantics has been occupying a significant space in the academic publishing for a long time. Virtually all authors contributing to the body of research in ecotourism and alternative tourism agree that an accepted definition does not exist (Buckley, 1994; Orams, 1995). Terms such as sustainable tourism, alternative tourism, green-tourism have been used inter-changeably at times, resulting in further confusion (Tepelus, 2002). Additional factors preventing agreement on the definition of ecotourism include the diversity of activities running under the ecotourism label, and the

inherent differences that occur even when carrying out the same type of activity in different geographical locations.

Examples of commercially available ecotourism experiences can be of a surprising, and often astounding variety. The sector has quickly evolved into a type of specialty travel intended to be small-scale, and incorporating a diverse array of activities and tourism types, from bird watching, scientific study, photography, diving, trekking, to regeneration of damaged ecosystems. Thompson (1995) writes that a cruise aboard luxury liners, scuba diving, and helicopter sightseeing trips over Hollywood are all being touted as ecotourism (quoted in Malloy and Fennell, 1998). They argue that the repackaging and mass production of such experiences modified the concept of ecotourism to the point where the line between what ecotourism is and what it is not is blurred. Diamantis (1999) and Weaver (2001b) even argue that due to the success of the ecotourism concept, the reality of a 'mass ecotourism' phenomenon is currently operational. This is especially visible as one considers the large number of 'soft' eco-tourists, travelers who undertake short ecotourism experiences as components of a multi-purpose trip where they expect a high level of comfort and services, and rely on interpretation to appreciate natural attractions. At the opposite spectrum are the much smaller numbers of 'hard' eco-tourists, which are more environmentally aware and embark on long, specialized and often very expensive physically active trips to destinations expected to be 'unspoiled' and 'authentic'.

While different authors often use conflicting interpretations of the meaning of ecotourism, there is quasi-general credit (Weaver, 1994) given to Ceballos-Lascurain (1987) for coining the term, especially following its quotation in the seminal text of Boo (1990) *Ecotourism: The Potentials and Pitfalls* and its endorsement by IUCN:

> *[Ecotourism is] tourism that consists of traveling 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.* (Boo, 1990, p.xiv)

The WTO and UNEP (2002) 'Concept Paper' on the International Year of Ecotourism, defines ecotourism to be:

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

- It contains educational and interpretation features;
- It is generally, but not exclusively organized for small groups by specialized and small, locally owned businesses. Foreign operators of varying sizes also organize, operate and/or market ecotourism tours, generally for small groups;
- It minimizes negative impacts upon the natural and socio-cultural environment;
- It supports the protection of natural areas by generating economic benefits for host communities, organizations and authorities managing natural areas with conservation purposes, providing alternative employment and income opportunities for local communities, increasing awareness towards the conservation of natural and cultural assets, both among locals and tourists.

The same document also points out some of the concerns that IYE needs to address with respect to ecotourism development:

- land tenure and control of the ecotourism development process by host communities;
- efficiency and fairness of the current concept of protected areas for protection of biological and cultural diversity;
- the need for additional precautions and monitoring when operating in especially sensitive areas;
- indigenous and traditional rights in areas suitable for ecotourism development (WTO & UNEP, 2002).

3.3.2 International Year of Ecotourism and the World Ecotourism Summit

The philosophy of ecotourism captivated the interest of a wide range of stakeholders, and confirmation of this came with the declaration by the United Nations of 2002 as 'International Year of Ecotourism' (IYE). In resolution A/RES/53/2000 (UN-GA, 1998), the 53rd Session of the United Nations General Assembly endorsed the Economic and Social Council resolution 1998/40 (UN-ECOSOC, 1998), giving a shared mandate to the World Tourism Organization (WTO) and to the United Nations Environment Programme (UNEP) to lead the process of organizing IYE activities. The research discourse and practitioners' networking during various regional preparatory events culminated in the organization of the World Ecotourism Summit (WES) in May 2002.

WES was convened by WTO and UNEP and was attended by over 1000 delegates from 132 countries, making it the largest ever gathering of ecotourism professionals. Participants were invited to submit contributions

on four pre-defined themes: policy and planning, regulation, product development, marketing and promotion, and finally, monitoring costs and benefits of ecotourism. The WES output was the *'Québec Declaration on Ecotourism'* (WTO, 2002b), which sets the agenda and recommendations for the future development of ecotourism in the context of sustainable development.

The Québec Declaration has been further submitted as input for the World Summit on Sustainable Development held in August 2002 in Johannesburg. The single most important achievement of IYE in terms of policy making was to lend visibility to tourism by succeeding to make a specific inclusion of tourism in the WSSD implementation agenda (Tepelus, 2008). In the view of the author, this is a very significant step toward recognizing tourism as a tool for international development in general, and is especially noteworthy considering that in the 1992 Agenda 21 adopted in Rio, tourism was not specifically mentioned.

3.3.3 Criticism to ecotourism

Critics of ecotourism are as argumentative as its supporters. Mowforth and Munt (2003) question several of the practical aspects of ecotourism especially in developing countries, including: unequal power structures, the tourism industry's manipulation and dominance of host communities, and the motives of people and organizations promoting ecotourism. Another aspect of concern in ecotourism is the level and extent of participation and involvement of the local communities. Mitchell and Eagles (2001) ask, "is it merely of a consultative nature, or does the community significantly influence or even control tourism planning, development and management?".

The main criticism of ecotourism development remains that related to scale management. This was described by Stabler (1997) who wrote "predictably, the white elephant of eco tourism has metamorphosed into the equally deceptive oxymoron of mass eco tourism". Essentially, the idea that ecotourism would become the single solution for tourism sustainability is no longer unequivocally supported. In 1991, Wheeller was already anticipating ecotourism to provide "at best a micro solution to what is essentially a macro problem". Liu (2003) adds that research should rather look into "applying the principles of sustainable development to mainstream, conventional mass tourism rather than preoccupying [itself] with inventing or re-labeling the various side-shoots of mass tourism".

Regarding WES, the top meeting in the ecotourism movement until now, initial reaction has been critical, especially from the civil society. Mowforth and Munth (2003) commented that "such regular gatherings of interested parties to discuss sustainability may serve as mass exercises in self-deception and self-assurances that 'we' are getting there". Following the IYE declaration, many NGOs took initially a stand against indiscriminate support of ecotourism, especially without a prior comprehensive assessment. In October 2000, the Third World Network (TWN), a coalition of over 20 environmental and human rights groups lobbying in South East Asia, Western Europe and South America, launched an appeal for a 'fundamental reassessment' of the IYE (TWN, 2000a). In letters to the IYE organizers, TWN presented evidence of questionable practices including inequitable income distribution, ecotourism operators' misconduct, and questioned the lack of substantiation of ecotourism claims. TWN provides examples of projects – many with funding from international cooperation and development agencies – where ecotourism has resulted in massive urbanization, displacement of indigenous populations and chaotic infrastructure development (TWN, 2000a; TWN, 2000b).

Another TWN grievance was the lack of organizers' support for the participation of grassroots and indigenous voices in the IYE proceedings, in favor of commercial interests: "we are very dismayed at the top-down and North-biased approach in the IYE preparations, which is clearly reflected in the lack of efforts made to interact with southern NGOs and people's organizations on issues under negotiation and to ensure their full and meaningful participation in the discussion and decision-making process"(TWN, 2000c). In its declaration issued in January 2001, TIES endorsed some of these concerns regarding the IYE organization (TIES, 2001), pointing out to the danger of 'green-washing' and the need for a fair and objective ecotourism assessment (TIES, 2001).

Article 3 appended to this dissertation brings additional information on the issue of IYE proceedings, as well as on the sustainable tourism reflection at the Johannesburg World Summit on Sustainable Development held also in 2002 at a later stage. Table 5 below provides an overview of the main criticisms and achievements of the IYE.

Table 5 Overview of the main criticisms and achievements of the IYE (Tepelus, 2008)

IYE Criticisms
- Top-down organization, biased in favor of large and resourceful ecotourism agencies. - Excessive reliance of the preparatory process on the organization of international and regional conferences for the preparation process. - Failure of the UN resolution to address funding for the IYE process left the burden on the WTO and UNEP's budgets to provide financial support to allow access to meetings for Southern representatives. - Difficulties in the organization of grassroots and indigenous groups' movement reduced their overall impact in the IYE debate. - A comprehensive evaluation effort post-IYE was not carried out (except for the evaluation carried out by WTO of its own activities). - Reductionism and ambiguity in approaching the ecotourism concept. - Sidelining the discussion on a specific ecotourism definition. - Focus on ecotourism promotion and marketing, rather than on a critical ecotourism assessment and evaluation exercise. - Avoidance of tackling the social aspects of ecotourism. - Insufficient exploration of ecotourism financing mechanisms, their fairness and ethical bases. - Omitting in the Quebec Declaration the role of tourists as ecotourism stakeholders. - Insufficient facilitation by the IYE organizers of the interaction between grassroots groups and development and aid agencies.
IYE Achievements
- Preparations for IYE catalyzed a significant body of new research, especially on documenting ecotourism impacts for the livelihoods of local communities. - IYE and WES created extensive opportunities for stakeholders' exchange and interaction, during many conferences, workshops, and seminars. - IYE supported the strengthening of ecotourism programs of NGOs. - A wealth of publications, guidelines, and policy statements on ecotourism were produced by participating organizations. - WES was the first global event to bring together over 1000 ecotourism practitioners, academics and policy makers from 132 countries. - IYE provided a framework for a more intense and focused debate on how tourism in general may contribute to sustainable development. - Tourism was included in 3 chapters of the WSSD Plan of Implementation. - Revision by the WTO of the conceptual definition for sustainable development of tourism.

3.4 Globalization and new tourism challenges

As described in Section 3.2, voluntary initiatives in the tourism industry concentrated mostly on the evaluation of environmental performance of tourism products, while other aspects of sustainability, specifically socio-cultural and economical, were rarely quantified. Welford *et al.* (1999) explain these omissions with the argument that social and cultural issues are often location-specific and, therefore, they vary in importance from one destination to another. However, in correlation with the WTO transformation into a UN specialized agency in 2005, following the launch of the Millennium Declaration signed by 189 countries in September 2000 and subsequent development of the UN Millennium Development Goals (MDGs) (see Figure 8), a new priority became the top of the tourism political agenda: poverty alleviation (UN, 2007). As poverty became the most important MDG, immediately following the World Ecotourism Summit, UNWTO proceeded to launch the 'Sustainable Tourism – Eliminating Poverty' (ST-EP) initiative at the WSSD in September 2002, aiming to promote sustainable tourism as a force for economic growth, particularly in Africa and developing countries (UNWTO, 2007).

Establishment of the ST-EP Foundation (based in Korea) was carried out with an initial contribution from the Korean Government. It was received with interest by development organizations in the Netherlands (SNV), Germany (GTZ), Italy (Ministry of Foreign Affairs) and France (DGCID), which, up to 2006 have provided financial support to tourism and poverty alleviation projects in over 30 countries.

Beyond political initiatives such as ST-EP, there is a history of academic research addressing tourism and poverty, particularly through the work of a UK think-tank investigating the methodology of using tourism as a tool for poverty alleviation. The 'Pro-Poor' Tourism group (PPT)[7], an inter-agency initiative funded by the UK government, produced a series of research papers specifically focusing on tourism and poverty.

[7] The PPT is formed of researchers from is a collaborative research project between researchers from the ODI, ICRT and IIED funded by the Economic and Social Research Unit (ESCOR) of the UK Department for International Development (DFID).

At the initiative of the former UN Secretary General Kofi Annan, the UN General Assembly adopted the Millennium Declaration in September 2000, which became a universal framework for development with 2015 as a target date. The Millennium Declaration comprises 8 Millennium Development Goals (MDGs), supplemented by 48 measurable indicators (see Chapter 5). The MDGs are:

Goal 1: Eradicate extreme poverty and hunger

- Reduce by half the proportion of people living on less than a dollar a day
- Reduce by half the proportion of people who suffer from hunger

Goal 2: Achieve universal primary education

- Ensure that all boys and girls complete a full course of primary education

Goal 3: Promote gender equality and empower women

- Eliminate gender disparity in primary and secondary education preferably by 2005, and at all levels by 2015

Goal 4: Reduce child mortality

- Reduce by two thirds the mortality rate among children under five

Goal 5: Improve maternal health

- Reduce by three quarters the maternal mortality ratio

Goal 6: Combat HIV/AIDS, malaria and other diseases

- Halt and begin to reverse the spread of HIV/AIDS
- Halt and begin to reverse the incidence of malaria and other major diseases

Goal 7: Ensure environmental sustainability

- Integrate the principles of sustainable development into country policies and programmes; reverse loss of environmental resources.
- Reduce by half the proportion of people without sustainable access to safe drinking water.
- Achieve significant improvement in lives of at least 100 million slum dwellers, by 2020.

Goal 8: Develop a global partnership for development

- Develop further an open trading and final system that is rule-based, predictable and non-discriminatory, includes a commitment to good governance, development and poverty reduction – nationally and internationally.
- Address the least developed countries' special needs. This include tariff and quota-free access for their exports; enhanced debt relief for heavily indebted poor countries; cancellation of official bilateral debt; and more generous official development assistance for countries committed to poverty reduction.
- Address the special needs of landlocked and small island developing States.
- Deal comprehensively with developing countries' debt problems through national and international measures to make debt sustainable in the long term.
- In cooperation with the developing countries, develop decent and productive work for youth.
- In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries.
- In cooperation with the private sector, make available the benefits of new technologies – especially information and communications technologies.

Figure 8 UN Millennium Development Goals

In a 2004 PPT paper, Roe *et al* (2004) explore the scale and relevance of tourism to economic development for developing countries. Upon reviewing available statistics and pointing out their caveats, they conclude that tourism is of major significance in the economic development of many nations, and highlight "its particular importance to small countries". The reasons for favoring tourism over other industrial alternatives include: a higher income elasticity of tourism compared to other exports; a more labor-intensive service compared to alternative sectors; an initial development phase using unskilled or in-company trained labor, therefore giving a wide range of countries opportunities for rapid export growth.

However, in a globalization context, poverty is associated and works in tandem with other social issues that may interfere with tourism development (USDOJ, 2007). These include gender discrimination, labor exploitation, labor migration and trafficking in human beings, etc. Through a mapping exercise on gender and tourism, Sinclair (1997) found a complex spectrum of gender-related tourism issues, ranging from labor discrimination, limitation of women's access to catering and accommodation, lack of participation in decision making, inequality in retribution, extremes forms of exposure, to personal and sexual abuses or prostitution.

In order to start addressing some of these issues, the UNWTO in consultation with stakeholders started developing the Global Code of Ethics in Tourism (GCET) in 1997. GCET is a set of ten principles whose purpose is to guide stakeholders in ethical tourism development. While GCET is not legally binding, one of its articles provides for a voluntary mechanism of dispute conciliation through a World Committee on Tourism Ethics (WCTE). The stakeholders may refer to this committee on matters concerning the application and interpretation of the Code (UNWTO, 2007b).

Earlier alarm signals on the need for an ethical framework for tourism came mostly from NGOs, faith-based groups and relief agencies, which viewed tourism in the context of their work for economic development in poor countries. These included reports by the British Tearfund (2001), The Ecumenical Coalition on Third World Tourism, Tourism Concern, etc. Calls for the need of an ethical basis for tourism development can be found also in academic press, both in the tourism 'generalist' journals, as well as in journals of a business and management orientation by Fleckenstein and Huebsch (1999), Hultsman (1995), Payne and Dimanche (1996) , Walle (1995), d'Amore (1993) etc.

A first comprehensive compendium on *Tourism Ethics,* was recently published by Fennel (2006), who argues that it may be the recognition of the "immense void in ethics" that lead to tourism being pulled behind other disciplines that progressed both conceptually and theoretically. Fennel sees the concentration on tourism impacts as excessive and limiting for the field. Upon reviewing ethical and moral concepts and their relation to the world of business and tourism issues, Fennell concludes to the "absence of an underlying ethical basis for critical thought in tourism". He further suggests that tourism ethics "has the potential to emerge as the next main research platform" in this field, proposing an initial framework of tourism ethics in relation to practice, theory, knowledge and the complexity of tourism issues (see Figure 9).

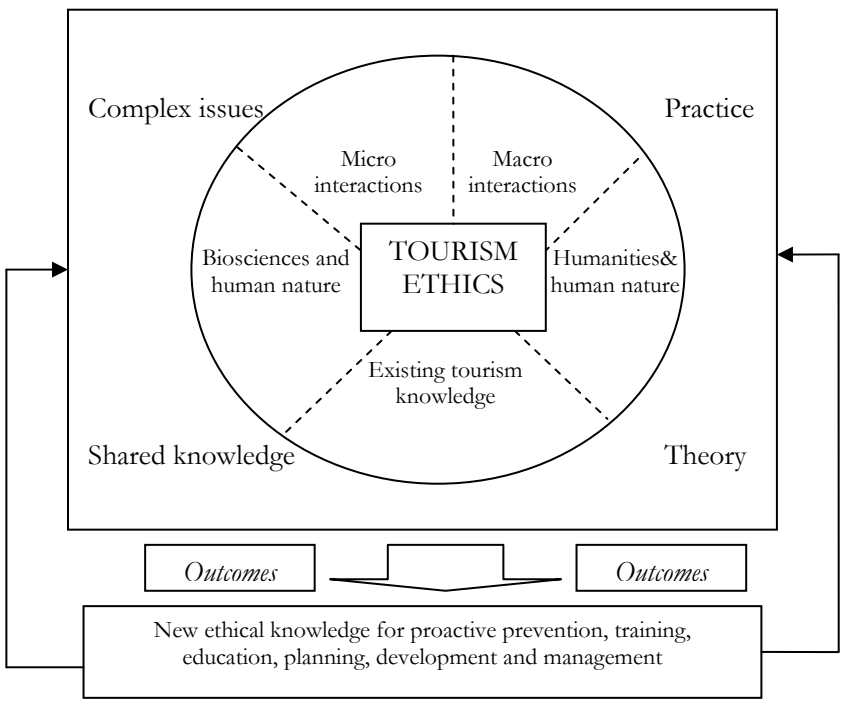

Figure 9 Framework for tourism ethics proposed by Fennel (2006)

Most recently, Fennel and Malloy (2007) advance to suggest that "better interaction between educational systems and industry needs to take place in generating a more ethical industry". This aspect will be further discussed in Chapter 5 addressing CSR in tourism.

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This chapter provided a literature background regarding the first two research questions of the dissertation. To the first question – Which are the sustainability tools that have been used to promote a corporate social responsibility approach in tourism? – an answer was found in the development of voluntary performance schemes such as eco-labels and codes of conduct, which have mostly focused on environmental aspects (see Articles 1 and 2). An important aspect in the general sustainable tourism debate was found to be related to the scale of tourism operations. Consequently, the attention was turned on ecotourism, as the apparent alternative to mass tourism (Wight, 1993; Malloy and Fennell, 1998).

The second research question, concerned the role of ecotourism development, and its potential links to CSR in tourism. The author suggests that ecotourism can be seen as an attempt to promote social responsibility due to its focus on supporting and empowering local communities through tourism. However, because of its focus on small scale operations, ecotourism can not deliver a sustainable solution in itself. This confirms findings in literature, which suggest that, although it is a positive alternative that needs to be further promoted, ecotourism can not single-handedly be the solution to mitigate tourism impacts, due to its limitations of scale (see Articles 3 and 4).

The author consequently moves to suggest that new approaches to improve sustainability in tourism irrespective of the scale of operation may emerge if the onus of responsibility would be more explicitly stated, especially in the context of the new ethical dilemmas brought forward in the context of globalization and the new anti-poverty agenda. This development has taken place in other business sectors through the articulation of the CSR paradigm. This issue will be addressed through the third research question, explored in Chapter 4.

CHAPTER
FOUR

4. CSR and Tourism

The second major concept this dissertation addresses is that of corporate social responsibility (CSR). Building upon the knowledge presented in previous chapters and Articles 1 through 4, this chapter proceeds to address the third research question of the dissertation. Is it in a company's interest to go beyond legal requirements and obligations stemming from collective agreements in addressing other societal needs? If not, should the company address such needs as part of its operations anyway? CSR, the term created to address these concerns, is being explored in this chapter, with regards to typologies, competing theories and application to tourism.

4.1 CSR conceptualization

4.1.1 Concept and typology

One of the first definitions of CSR was provided by H.R. Bowen in 1953 (cited in Carroll, 1999) as "the obligation of businessmen to pursue those politics, to make those decisions, or follow those lines of action which are desirable in terms of the objectives and values of our society". It raises the major question of what is desirable for the society. A potential answer to this question emerged with the development of the sustainable development framework in the 1990s, which proposed the three-pronged approach in the form of social, environmental and economic components, known also from Elkington (1997) as the 'triple bottom line': people, planet, profit. The sustainable development paradigm incorporates as well international standards of social responsibility such as those agreed at state level: the Universal Declaration on Human Rights, the ILO conventions, the Rio Declaration on Environment and Development, the UN Convention against Corruption, etc.

According to Zadek (2001), the articulation of the CSR paradigm developed initially as a reaction to business practices perceived to abuse or violate

human rights, to inconsistent application of principles by trans-nationals, to environmental offences, to downgrading of labor standards and enticement of host-governments for self-interested purposes and market favors. Garriga and Melé (2004) map out CSR theories under four categories: instrumental, political, integrative and ethical. Instrumental CSR theories focus on the economic return to the firm, while social investments are supported only to the extent they would provide returns to the firm. Political theories build on the acceptance of a social contract by the company, making it use responsibly its power in society. Integrative CSR theories apply when a firm integrates societal demands into its strategies, and finally, ethical theories apply when managers place social impacts above all other CSR considerations. Common dimensions these theories encompass are: ethical values, profits, social demands and community performance.

Carroll (2001) sees CSR typology classifiable by the nature of responsibilities into four groups (see Figure 10): economic (be profitable for shareholders, provide good jobs for employees, produce quality products for customers); legal (comply with laws and play by rules of the game); ethical (conduct business morally, doing what it right, just and fair, and avoiding harm), and fourthly, philanthropic responsibilities (make voluntary contributions to society, giving time and money to good works).

Lantos (2001) prefers a moral, value-based classification of CSR into three categories: ethical, standing for morally mandatory fulfillment of a company's economic, legal and ethical responsibilities; altruistic, standing for the fulfillment of an organization's philanthropic responsibilities, going beyond preventing possible harm (ethical CSR) to help alleviate public welfare deficiencies regardless of whether or not this will benefit the business itself; and thirdly, strategic CSR, standing for the fulfillment of those philanthropic responsibilities which will benefit the company through positive publicity and goodwill.

Van der Putten (2006) builds on the Garriga and Melé classification to investigate the international aspects of CSR, which he considers to be often of a greater complexity than domestic CSR studies. This is justified by the observation that an increasingly larger proportion of business in industrial countries involves developing countries, either directly (through direct investment or trade) or indirectly (via extra-company supply chains). On one hand, this raises the issue that applying CSR standards that originated in the west may be regarded as a form of 'cultural imperialism' in developing countries. On the other hand, according to De George (1994) there is a risk

in businesses taking to ethical relativism when Western firms automatically place local values and norms above international standards, acting in disregard of universal standards (Lewis and Unerman, 1999).

Figure 10 Carroll's pyramid of CSR (Carroll, 2001).

4.1.2 Theories on CSR

From a theoretical perspective, there are two opposite positions on CSR. One is the '*shareholder theory'* inspired by the classical view derived from neoclassical economic theory, focusing on the profit for shareholders. The most known proponent of this theory is Friedman (1970), joined by a number of contemporary adherents including Henderson (2005), Coelho *et al* (2003), Barry (2000), van Oosterhout and Heugens (2006). In a classic 1970 New York Times article, Friedman argued that the only responsibility of managers is to increase shareholder value. His position was simplified as "the only responsibility of business is business". Friedman was objecting to expenditures that benefited 'society' that are not related to corporate policies that benefit shareholders. He nevertheless acknowledged the positive contribution of the company to 'community', referring to the community where the firm's employees reside.

In agreement with Friedman's 1970 position, a 2005 survey by *The Economist* also argues that corporations act in the best interest of the society when they act in their own best interest. While bottom line, i.e. profit, is clearly measurable, the 'triple bottom line' is not. Under the shareholder ideology it is the role of governments, not business, to decide questions of social, environmental and industrial policy. Another point against CSR refers to the increased vulnerability of a company that declares itself socially responsible: "a firm that embarks on a plan of corporate social responsibility may be setting itself up for a worse, not a better reputation" (TheEconomist, 2004). Acting good and advertising it may elicit charges of hypocrisy, leading other companies to decide that CSR might be more trouble than it's worth.

In the view of *The Economist* the link between CSR and profits also raises an ethical dilemma: "profit-maximizing CSR does not silence the critics, which was the initial aim; CSR that is not profit-maximizing might silence the critics but it is, in fact, unethical" (TheEconomist, 2004). With regard to the stakeholders' requests for transparency and accountability, critics of CSR point to the assumption of guilt made by activists: "companies are inherently immoral unless they demonstrate that they are the opposite – in effect, guilty before innocent"(TheEconomist, 2002).

Another important CSR critic is David Henderson, former chief economist at the OECD and professor for the Institute of Economic Affairs in London, who characterizes CSR as being merely 'global salvationism', a doctrine to accompany "an apocalyptic pessimism about the planet's environmental prospects and the outlook for global poverty'. Henderson argues that in a competitive market economy, businesses should be free to take the path of CSR but also free to reject it" (TheEconomist, 2001), and not having to make "a choice between profit-oriented and altruistic behavior" (Henderson, 2005). Castelo Branco and Lima Rodrigues (2007) note that this view is justified on the basis of neoclassical economic theory, being based on notions of free market, economic efficiency and profit maximization. But even conservative think tanks agree that "merely following the law does not exhaust a firm's ethical responsibilities […]. Some things that are legal are unethical; and many things required by ethics are not required by law" (The Economist, 2005).

Opposed to the shareholder position is the *'stakeholder theory'*, which states that in addition to shareholders, there are several agents interested by the actions of the companies. Clarkson (1995) describes the stakeholder theory and argues that the company has a social responsibility requiring it to

consider the interests of all parties affected by its actions, including local communities, suppliers, employees, creditors, the environment, and the society as such (Jacobs, 1997). Central to normative stakeholder theory developed in the 1980s and 1990s is what is desirable for the society, and by the assumption that truth and freedom are best served by seeing business and ethics as connected, as Freeman *et al* (2004) argue.

Viewing the firm as a web of implicit or explicit contracts with its stakeholders, Clarkson (1995) distinguishes between primary and secondary stakeholders. The primary stakeholders are those without whose continuing participation the corporation can not survive as an on-going concern, including: shareholders and investors, employees, customers, suppliers, governments and communities ("that provide infrastructures and markets, whose laws and regulations must be obeyed and to whom taxes and other obligations may be due"). The secondary stakeholders are other parties, who "influence or affect, or are influenced or affected by the corporation" without being engaged in transactions and without being essential for the corporation's survival. Critics of the stakeholder theory including Dubbink (2005), point to the complexities in accounting for all stakeholders, particularly in relation to their individual legitimacies, the status of other groups, questions of conflicting interests, or between CSR and democracy.

The dilemma between stakeholders *versus* shareholders' interests is exemplified by a 1954 US court case that came to legitimize corporate philanthropy, presented by Hopkins (2007). A shareholder complained that Standard Oil misused 'his' funds, making a contribution to the engineering school of Princeton University. The shareholder argued that although Standard Oil needed well-trained engineers, and its gift to Princeton was expected to increase their numbers, those engineers could also work for competitors. Consequently, Standard Oil was providing a collective good, the shareholder argued. The court noted that many other expenditures reflected the firm's 'enlightened' self-interest, as it was broadly understood, and only infrequently did these gifts reflect a strategy to increase shareholder value. The court held that the allocation of the gift was within the scope of management discretion, thereby opening a new era of corporate philanthropy in the US.

A middle-ground research trend has been recently emerging through analyses of CSR from a strategic corporate perspective that is also undertaken by this research. Representatives of this position are Porter and Kramer (2006) and McWilliams, Siegel and Wright (2006) who argue that

CSR should be considered "as a form of strategic investment", and otherwise treated as all investment decisions are treated. In a *Harvard Business Review*-awarded article, Porter and Kramer (2006) call today's CSR practices 'fragmented and disconnected'. They acknowledge four arguments for the CSR case: moral obligation, sustainability, license to operate and reputation, and call for a strategic approach to CSR. Porter and Kramer (2006) propose a classification of the social issues a company faces into three categories: generic (important to society but irrelevant to the company's long-term competitiveness), value chain social issues (significantly affected by the company's ordinary activities within its value chain) and issues from the competitive context (factors in the external environment affecting competitiveness in places the company operates). Arguing that generic societal issues should be left to NGOs, Porter and Kramer call companies to prioritize and focus on the value chain and strategic CSR practices. Once mapped, the social issues with which a corporation is concerned, need to be addressed in a competitiveness context (see Table 6).

Table 6 Porter & Kramer (2006) prioritization of social issues and the strategic corporate involvement in society

Prioritizing Social Issues		
Generic Social Issues Social issues that are not significantly affected by a company's operations nor materially affect its long-term competitiveness.	**Value Chain Social Impacts** Social issues that are significantly affected by a company's activities in the ordinary course of business.	**Social Dimensions of Competitive Context** Social issues in the external environment that significantly affect the underlying driers of a company's competitiveness in the locations where it operates.
Corporate Involvement in Society: A Strategic Approach		
Generic Social Impacts	**Value Chain Social Impacts**	**Social Dimensions of Competitive Context**
Good citizenship **Responsive CSR**	Mitigate harm from value chain activities Transform value-chain activities to benefit society while reinforcing strategy	Strategic philanthropy that leverages capabilities to improve salient areas of competitive context **Strategic CSR**

Strategies to integrate CSR with the core operations of the company require institutionalization within company strategy, operations and policies. It is useful in this regard to have in mind that such integration comes with advantages but also potential risks. The Center for Corporate Citizenship at Boston College finds ten tactics that companies use to pursue CSR practices, and maps their opportunities and risks (see Table 7). In this regard, it is important to observe that making the 'business case' for CSR is a topic still vividly debated. Studies of the association between responsible corporate ethics and profitability indicate that often the two go together, however, a causal link has not been fully proven (Orlitzky *et al*, 2003).

A comprehensive study conducted by Orlitzky *et al* (2003) as a meta-analysis of 52 other studies integrating 30 years of research shows that corporate virtue in the form of CSR and, to a lesser extent, environmental sustainability 'is likely' to pay off. Orlitzky *et al* found "a positive association between corporate social and financial performance across industries". Importantly, they also find that "market forces do not penalize companies that are high in corporate social performance; thus managers can afford to be socially responsible". They conclude that 'portraying managers' choices with respect to corporate social and financial performance as an "either/or trade off is not justified in light of 30 years of empirical data". Until the argument will be decided, the business case for CSR is likely to remain a question at the core of today's CSR research agenda.

4.1.3 International institutionalization of CSR

In Europe the CSR paradigm has been increasingly endorsed since the late 1990s. In 2001 the European Commission has launched its own CSR strategy, through a 'Multi-stakeholder Forum on CSR' which operated between 2002 and 2004, initially focusing on investigating the willingness of companies to implement social standards. In 2006, the Commission proceeded to launch a 'European Alliance for CSR', an open network acting as the EU political umbrella for CSR initiatives by large companies, SMEs and their stakeholders (European Commission, 2006).

At global level the United Nations is also playing an important role in promoting the CSR agenda through the Global Compact, a framework for businesses to align their operations and strategies within ten universally accepted principles of human rights, labor, environment and anti-corruption (UN Global Compact, 2007) (see Figure 11). The UN Global Compact is

currently the largest and most recognized global CSR initiative, with over 4000 member companies.

Table 7 Strengths and weaknesses of different tactics to integrate corporate citizenship within the broader corporate strategy (Boston College Center for Corporate Citizenship, 2004)

The Ten Half-Truths of Integrating Corporate Citizenship		
Yes…	**Half-Truths**	**But…**
Connects corporate citizenship to the business agenda and opens the door to more strategic discussions	❶ **Make the business case**	Can be overstated, underwhelming, and mask the real value of corporate citizenship as a core organizational element; can inhibit strategic thinking
Ties the company to the legitimacy of third-party objectives; provides a structure for measurement	❷ **Adopt an external code or standard**	Can lead to volumes of data to fulfill "box-checking" compliance; may not translate into company-specific vision and actions that advance and deepen corporate citizenship
Provides a powerful motivator; leverages a well-established business concept	❸ **Make risk mitigation a primary driver**	Can put company in reactive mode; corporate citizenship can lose its orientation toward opportunity
Ensures priority status and is essential to securing resources	❹ **Get buy-in from the top**	Waiting for executive endorsement can delay progress and inhibit activities where approval is unnecessary; support at the top does not ensure support throughout the organization.
Assigns an owner to foster alignment between corporate citizenship and company strategy	❺ **Designate an owner of corporate citizenship**	Can result in the perception of corporate citizenship as a unilateral responsibility and peripheral to the core business
Drives accountability, puts company on the public record; focuses internal attention on corporate citizenship	❻ **Produce a social report**	Can be a time-consuming bureaucratic exercise that distracts from progress; can become a substitute for actual corporate citizenship activity.
Creates a forum to share issues and knowledge across the company; produces new ideas, synergy and alignment	❼ **Convene a cross-functional committee**	Can be seen as a meeting-for meeting's sake; can create competition between staff and line.
Broadens buy-in and ensures corporate citizenship links with business strategy	❽ **Engage the line organization**	Can result in fragmented, inconsistent activity and commitment in the absence of an integrating mechanism
Increases comfort, reduces resistance; provides a "tried-and-true" approach; jump-starts corporate citizenship	❾ **Build on existing policies and systems**	Can dampen innovation and energy over time
Builds deeper connections to stakeholders, leverages outside perspectives, and can build exciting programs.	❿ **Form cross-sectoral partnerships**	Can diffuse the corporate citizenship agenda; doesn't replace internal commitment to stakeholder engagement

The Global Compact asks companies to embrace, support and enact, within their sphere of influence, a set of core values in the areas of human rights, labour standards, the environment, and anti-corruption:

Human Rights

- Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights; and
- Principle 2: make sure that they are not complicit in human rights abuses.

Labour Standards

- Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;
- Principle 4: the elimination of all forms of forced and compulsory labour;
- Principle 5: the effective abolition of child labour; and
- Principle 6: the elimination of discrimination in respect of employment and occupation.

Environment

- Principle 7: Businesses should support a precautionary approach to environmental challenges;
- Principle 8: undertake initiatives to promote greater environmental responsibility; and
- Principle 9: encourage the development and diffusion of environmentally friendly technologies.

Anti-Corruption

- Principle 10: Businesses should work against corruption in all its forms, including extortion and bribery.

Figure 11 UN Global Compact principles.

The Global Compact acknowledges criticisms on business for exploitative practices, corruption, income equality and barriers that discourage innovation and entrepreneurship. Even so, according to Ruggie (2002) the initiative clearly argues for a response to the challenges of globalization through an explicitly voluntary, non-regulatory, approach. Utting, (2002 and 2003) criticizes the Global Compact for its weak compliance monitoring, for allowing companies to pick and chose which of the principles to address, and for diverting attention from malpractice. The Global Policy Forum Europe, a non-profit lobby group monitoring UN policy making also points in a 2007 report to the risks of 'greenwash', 'bluewash', structural and other factors that encourage corporate irresponsibility of a 'business-as-usual'

attitude in the way the UN Global Compact operates (Global Policy Forum Europe, 2007).

Despite these important drawbacks, the authors sees significant value in using the UN convening power and infrastructure to create spaces where social and human rights issues can come to the forefront of the international development agenda. This is particularly relevant in the contemporary neo-liberal free-market era, where social and environmental issues are often pushed to secondary status (Mowfort &Munt, 2003, Utting, 2003). Utting (2002) notes that beyond criticisms to the Global Compact and UN's relationship with business in general, many civil society activists still believe in the organization, calling for a reformed but strengthened UN.

The same point is made by Hopkins (2007), who notices that one of the problems is that the UN is actually a small organization. By comparing UN budget to that of commercial entities, he notes

> *the total operating expenses for the entire UN system – including the WB, IM and all the UN funds, programmes and specialized agencies – came to some $18.2 bn year at the turn of the 21st century. This is less than the size of many multi-national companies. GE has a market capitalization of $35 bn in 2004, and is dwarfed by military expenditure $80 bn a year just on Iraq by the US in 2005. The budget for the UN's core functions, Secretariat in New York, Geneva, Nairobi, Vienna, regional Commissions – is $1.25 bn a year, which is about 45 percent of the NY City annual budget, and less than the yearly cost of Tokyo's Fire Department* (Hopkins, 2007, pp.188-189).

Albright (2003) observes that despite allegations of an increasingly bloated UN, there are fewer posts today than in previous years, and "the entire UN system, composed of the secretariat and 20 other organizations, employs a little more that 50000 people, or just 2000 more than work for the city of Stockholm". Hopkins (2007) further advances the idea that in an organization that perceives itself as stagnant or declining, "job security is the main threat", therefore the reluctance of the UN to approach issues that have been traditionally out of its scope, such as the direct engagement with business and CSR.

4.1.4 Perceptions on CSR in Europe and in the US

Tschopp (2005) observes that the pace and depth of incipient CSR practices in US and Europe is very different, with Europe appearing to be more

progressive in embracing the CSR paradigm. The differences between US and Europe are also apparent in terms of philanthropy, fundraising and private giving. Public attitudes to philanthropy differ vastly between Europe and the US, with the US having a much more developed philanthropy industry, while Europe a more active CSR debate (The Economist, 2004).

Terminologically, there appears to be some confusion in using the terms of CSR and philanthropy in Europe and in the US. Hopkins (2007) notes some people equate philanthropy with CSR, including top management scholars as Michael Porter, who stated "corporate philanthropy – or corporate social responsibility – is becoming an ever more important field for business. Today's companies ought to invest in CSR as part of their business strategy to become more competitive".

While deeply embedded in the roots of free-market capitalism in the US, in Europe there is still a certain uneasiness with the ideas of philanthropy and fundraising. *The Economist* comments that "on a continent where being very rich still carries faint implications of impropriety, many Europeans feel uneasy with the idea of competing to demonstrate public generosity". Furthermore, "Europeans tend to be embarrassed about fund-raising" (The Economist, 2004). However, despite cultural differences, the same source finds that both in the US and in Europe a new, more directed and engaged approach to philanthropy is emerging. This phenomenon results in philanthropic projects becoming increasingly 'businesslike', based on clarity of objectives and accountability in outcomes. Especially in correlation with the coming transfer between generations due to years of accumulated wealth about to change hands as the post-war generation dies-off, this new approach to philanthropy is particularly interesting for its apparent similarities to CSR.

4.2 CSR applications in tourism

4.2.1 CSR initiatives in tourism

Although still meager, a body of knowledge explicitly linking CSR and tourism is increasingly developing. Initiatives focusing on the role of CSR as a sustainable development paradigm for tourism have only begun in the last couple of years. From the literature surveyed, only few examples of projects self-described as 'tourism CSR projects' were identified, and their geographical extent is very limited.

The scarcity of tourism CSR projects was initially pointed out by the NGO community (including tourism watch dogs, faith-based groups, trade unions and southern grassroots groups), and more recently acknowledged by international development agencies such as the World Bank and the International Finance Corporation (WB and IFC, 2003). Furthermore, in what concerns the scope of the CSR framework, Epler Wood & Leray (2005) point out that existing voluntary initiatives, guidelines and codes of conduct have so far addressed mostly questions of environmental management, almost completely ignoring all issues of human rights and labor.

One of the first reports scoping the role of CSR in tourism was that written in 2002 by the UK non-governmental watch-dog, Tourism Concern (Kalisch, 2002). The report builds on the concept of 'fair trade' in tourism, which many activists lobby for in relation to trade agreements such GATS and other market liberalization processes. Tourism Concern argues that based upon the experience accumulated with the implementation of environmental standards, "awareness and practical tools for social and economic sustainability still need to be explored in greater depth"[8]. From 2004 to 2005, a consortium of German and Spanish non-governmental organizations carried out a EU-funded project aiming to start a dialogue towards social standards in tourism. KATE *et al* (2004) characterize tourism as an industry "rife with appalling working conditions, child labor and lacking concern for occupational health and safety standards".

Among the first industry publications specifically addressing CSR and tourism is a 2002 report of the World Travel & Tourism Council (WTTC, 2002). WTTC is a high level forum of the presidents, chairs and CEOs of the world's foremost travel and tourism companies, and one of the developers of the first *Agenda 21 for tourism* in 1996. The report includes examples of corporate social leadership by top companies, and presents the business case for CSR to consist of: favoring by governments and communities prioritizing sustainability; building brand value and the market share of socially conscious travelers; attracting socially conscious investors;

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[8] Tourism Concern is a leading tourism think-tank, amongst the many NGOs that in the late 1990s started promoting the concept of fair trade in tourism (FTT) bringing together the principles of sustainable tourism and ethical consumerism. FTT is defined as 'a commitment to finding positive and practical solutions for the tourism industry as well as consumers, local communities and destination governments, so as to benefit local communities through trade, in preference to aid.' (Tourism Concern, 2002).

enhancing ability for recruitment of highly skilled workforce; improved risk assessment and response capacity.

However, WTTC (2002) is explicitly arguing against regulation:

> *a voluntary approach is crucial. To take advantage of what business has to offer – entrepreneurship, innovation, and management capability – companies must be free to choose how they respond to community needs as the competitive market dictates. Attempting to regulate social responsibility would not only be impractical, given the diverse needs of different communities, it would undermine the personal commitment and creativity that fuel it.* (WTTC, 2002, p.5).

A 2006 PricewaterhouseCoopers survey of the leading 14 European hotel groups found that despite some recent progress, particularly in terms of implementing environmental policies, the tourism sector lags behind other European industries on CSR and "faces a challenging agenda to catch up and respond effectively to the concerns of stakeholders" (PricewaterhouseCoopers, 2006). This seems to be confirmed by Palau (2006), who carried out a study of 24 hotel chains representing 60% of all the hospitality chains in the Catalonia region in Spain. Palau finds that most of these companies do not develop CSR strategies due to a lack of knowledge about existing international standards such as GRI, SA8000, etc. For being one of the most visited regions in one of the most visited European countries, Palau (2006) finds a low level of relation and dialogue between the hospitality chains and their main stakeholders.

International development and technical cooperation agencies have been showing interest in socially responsible tourism as a tool for sustained economic development. Dutch SNV, German GTZ, and the Italian Development Cooperation (Cooperazione Italiana, part of the Ministry of Foreign Affairs), all sponsor tourism development projects in poor countries, and fund projects under the auspices of the UNWTO ST-EP initiative. USAID has also sponsored youth employment programs in tourism in Brazil (USAID, 2007). However, large financial institutions, such as the World Bank, noted the absence of ethical bases and experience of socially responsible guidelines in tourism development projects. Of all industrial sectors that the World Bank Group CSR Practice reviewed in 2003, tourism was found to be the "least developed in terms of codes of conduct and CSR initiatives" (WB and IFC, 2003).

Beyond the few activities promoted by NGOs and international development agencies, academic investigation on tourism and CSR was

characterized by Papaleo and Beeton (2006) and Henderson (2006) as scarce and underdeveloped. Azilah (2006) links the lack of development in CSR with the missing consensus on the meaning and definition of sustainable tourism. Fennel and Malloy (2007) also recognize the emergence of CSR in tourism, but continue focusing their discourse on the operational ethics that this new paradigm requires, not on the business strategy implications of CSR in tourism.

4.2.2 Emerging shareholder activism in tourism

A new avenue in pursuing acknowledgement by tourism companies of their responsibility in relation to various social issues has emerged in recent years as a result of direct shareholder pressure. Influence over the managing boards of large, publicly listed companies is exercised through a process called 'proxy voting' and via submission of shareholder resolutions (O'Rourke, 2002). Resolutions put forward at Annual Shareholders Meetings can request companies to adhere to environmental, social, or human rights standards. *The Economist* (2007) notes that disclosure of corporate risks also affects institutional investors, as activist shareholders put pressure on boards and managers: "since 2004, disclosure of how they vote on proxy resolutions has forced fund managers to think much harder about their stance on governance-related issues".

The term socially responsible investing (SRI) has become known to describe an investment process that, in addition to financial performance, also takes into consideration the social and environmental information that may affect the economic performance of a stock. According to Kinder (2005), SRI emerged in the late 1960s in the US, and in the mid 1980s in the UK, Canada and Australia. Hutton, D'Antonio and Johnsen (1998) estimate the SRI movement to $1.185 trillion, accounting for 1 in 10 invested US dollars in 1998. US Social Investment Forum data from 2003 brings the figure to $2.16 trillion in the US alone (US Social Investment Forum, 2003). Evaluation and selection of investments based on criteria going beyond financial parameters is referred to as 'screening'. The screening process applies to both the selection of investments and the identification of companies presenting issues on which an investor may wish to engage (Kinder, 2005). Screening can be positive (selection of companies with superior performance), or negative (ruling out of companies from the investment portfolio).

The main strength of this approach results from the legal obligation that the companies have to their shareholders. Consequently, companies are more inclined to engage in dialogue with those having a stake in the profitability of the company, rather than with NGOs perceived as external stakeholders. Based on this, the shareholders have an important position from which to encourage social responsibility (Hollenhorst and Johnson, 2007). The process by which shareholders engage with companies through submitting resolutions may have different outcomes (O'Rourke, 2002) (see Figure 12).

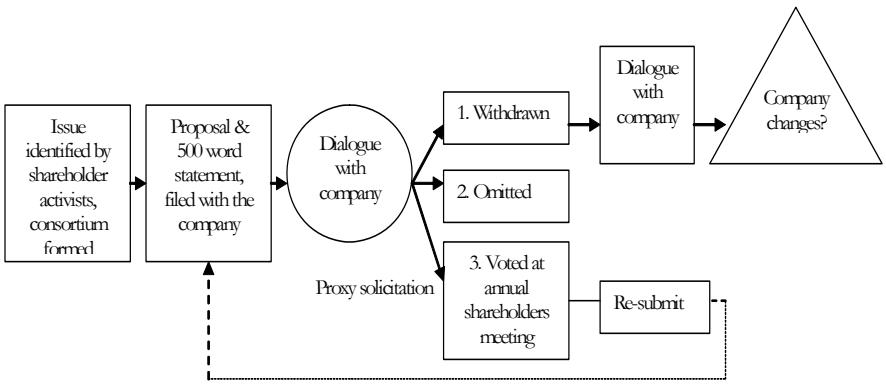

Figure 12 Simplified scheme of typical outcomes of a shareholder resolution process (O'Rourke, 2002)

Vogel (2003) observes that "there are very few cases of firms which have changed their policies or strategy in order to either avoid having their shares proscribed by ethical funds or advisory services, or to become eligible for inclusion by them". It is therefore noteworthy the occurrence in 2006 of a first case of shareholder engagement on responsible tourism. Appendix D presents a case study of a coalition of socially responsible investors from Europe and North America engaged in lobbying an international publicly listed hospitality company (Marriott). The purpose of the submitted shareholder resolution was the creation of a Marriott corporate policy to protect children's rights from sexual exploitation in tourism. Although the company agreed to develop policies and carry out internal trainings as requested by the investors groups, the results of these changes are still to be evaluated over time.

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This chapter provided a literature background concerning the third research question of this dissertation, addressing current applications of CSR to tourism and roles of institutional stakeholders. The author found little, if any, specific programs and initiatives claiming to develop CSR in tourism. Lobbying appears to come consistently from the NGO sector, and most recently from the area of socially responsible investors. Data collected by the author while engaging in the development of a code of conduct against child sex tourism and trafficking is presented in appended Articles 5 and 6.

The following chapter will review the three research questions of the dissertation, presenting the findings and analyzing the research findings from all three research cycles. The analysis is complemented by the Articles 1 through 6 provided in Part II of the dissertation.

CHAPTER

FIVE

5. Findings and Discussion

This chapter presents the main findings of this doctoral research grouped under three case studies, and a discussion leading to conclusions on the potential of CSR as an approach to sustainable development in tourism. Upon presenting an overview of findings on the case studies, the author will step back for a theoretical reflection, before proceeding to discussion. The observations and analysis are structured following the logic of the research questions. The analysis stems out of the literature review presented in previous chapters, complemented by the research carried out by the author and documented in the six articles appended to the dissertation.

5.1 Case Studies Overview

This doctoral dissertation explored the responsibility of the tourism private sector to expand implementation of sustainability concepts in travel and tourism. Through a qualitative and exploratory approach, the dissertation brought together two concepts: sustainable tourism and corporate social responsibility (CSR). The author positioned the dissertation on the emerging middle ground between 'stakeholder theory' and 'shareholder theories' on CSR. Consequently, this dissertation argues for adoption of a CSR framework of thinking by the tourism sector, from a strategic corporate perspective. This is in line with the position of, for instance, Porter and Kramer (2006) and McWilliams and Siegel (2006), arguing for CSR as a form of strategic investment.

The main research question – on whether CSR can further sustainability and governance of tourism systems – was investigated in relation to three sub-questions:

1. What tools have been used to stimulate social responsibility in tourism?
2. How has ecotourism influenced social responsibility in tourism?
3. How have tourism stakeholders approached CSR?

Each question was addressed in a research cycle, each comprising of case studies documented in peer-reviewed published articles. This section provides an overview of the findings on these questions, followed by a reflection from the perspective of change theory, discussion and concluding remarks.

5.1.1 Research Cycle I – data collection and findings

The Research Cycle I addressed the extent of application of voluntary instruments in the segment of mass tourism, topic explored in Articles 1 and 2.

Article 1 focused on sustainability in the tour operating sector. Information collected through a survey carried out by the author in 2000, was complemented by the publication in 2001 of a review of good practices implemented by 18 tour operators members of the Tour Operators' Initiative for Sustainable Tourism Development (TOI). Article 1 identified a preference in the mass tourism sector for a variety of voluntary instruments for sustainable tourism, structured along five themes: provision of information to tourists and suppliers; environmental education of staff and customers; customization of environmental performance indicators to tour operator's needs; earmarking funds for ecological or social investments; and exceptionally, working to implement standardized environmental management systems (EMS) such as the ISO 14001 standard. The findings also revealed a series of apprehensions expressed by the tour operators. These included concerns such as: potential exposure to uncomfortable questions by media and pressure groups; difficulty in covering costs associated to monitoring and collection of sustainability information; a perception of tour operating impacts being minimal; and the assignation of responsibility for the impacts to other stakeholders.

Given the wide range of aspects revealed by Article 1 in connection to implementation of good practices on a voluntary basis, the researcher proceeded to analyze in more detail one such certification program. Consequently, Article 2 proceeded to take a closer look at one of the most comprehensive such instruments, through the case study of the 'Certification for Sustainable Tourism' (Certificación para la Sostenibilidad Turística, CST) from Costa Rica. Data collection for this case study included a literature review on voluntary instruments and a structured analysis of the CST using criteria developed by the Commission for Sustainable Development for the evaluation of eco-labels. The CST certification was

considered by IIED (2000) to be one of the most rigorous and comprehensive voluntary certification programs in tourism, worth of replication into other Central American countries (Honey and Rome, 2001).

The CST analysis was undertaken with the view of analyzing the potential of expanding the scope of 'eco' labels towards a more comprehensive approach including social and cultural aspects. In this regard, the most important findings of Article 2 concern firstly, the tendency to give credit to impacts-mitigating measures, instead of preventative ones, and secondly, the heavy concentration on ecological impacts, and insufficient accounting of social and cultural ones. The researcher suggests that the focus on environmental improvements derives from the potential for direct cost savings. Article 2 advances that inclusion of social-economic criteria in existing voluntary instruments will take place when the private sector will recognize and assign a value to the interactions between tourists and the social environment of the destination. Finally, it is suggested that recognition of the social value of destination by the private sector, although not an easy task, would also create a market demand for more complex tourist products.

An overview of the data collection methods used in Articles 1 and 2 is presented in the following Table 5. Both articles were written in the period 2001-2002, and confirmed a preference for voluntary instruments in the large scale tourism. However, at that time of the research and in connection with 2002 being declared the International Year of Ecotourism, a parallel development was bringing to the top of the research agenda a small scale tourism niche, ecotourism. This will be addressed in the following section, corresponding to the Research Cycle II and Research Question II.

Table 8 Data Collection – Research Cycle I

Data Collection – Research Cycle I		
Outcome	Method/Sample size & responsiveness rate	Criteria for the selection of respondents, other details
Article 1	Survey: 8 respondents, 40% of sample of 18: Finnair Travel Services, Finland; Scandinavian Leisure Group, Sweden; Japan Travel Bureau, Japan; Orizzonti, Italia; Andante Travels Ltd, UK; Thompson Travel Group, UK; United Touring, Fiji Premier Tours Inc, USA.	Tour operators contacted for answering the survey were members of the Tour Operators' Initiative for Sustainable Tourism Development (UNEP.UNESCO. WTO), a group formally committed to sustainable tourism and implementation of good practices in the tour operating industry. The questionnaire was distributed in 2000 for an investigation on sustainability reporting (Tepelus, 2000), and reinterpreted for Article 1 addressing good practices in the tour operating business, which is part of this dissertation (Tepelus, 2005).
Article 2	Case Study on CST, Costa Rica. Literature review on voluntary performance instruments in tourism. 2 expert interviews (via email)	"Certification for Sustainable Tourism" (CST), Costa Rica: - credited as one of the most recognized and comprehensive certification schemes in sustainable tourism.

5.1.2 Research Cycle II – data collection and findings

Following the initial focus on mass tourism in Articles 1 and 2, the author moved on to investigate small scale tourism in Articles 3 and 4. This decision was taken upon recognizing the policy developments related to the proceedings of the 2002-UN International Year of Ecotourism. Consequently, the Research Cycle II addressed the role of ecotourism as a possible alternative for sustainability in tourism.

Article 3 looked at international ecotourism products, addressing the role of ecotourism supply chains towards inducing sustainable operational practices. The research was carried out between July 2001 and May 2002, and data collection was largely based on two case studies of ecotourism packages available in Sweden for ecotourism products to Peru and to Nepal-Bhutan. The supply chains studied involved one outbound tour operator (Äventyrsresor, Sweden) and two sets of inbound tour operators (Explorandes, Peru; Amadablam, Nepal and Etho-Metho, Bhutan).

Data collection methods included 2 field visits, overt participant observation on-site as part of a group, semi-structured key-informant meetings including 13 staff interviews and 19 tourists, and a review of 15 tourist feedback forms randomly collected by the researcher from the inbound tour operators. The 2 field trips were carried out in September 2001 (Peru) and November 2001 (Nepal and Bhutan). Data collected in destinations was complemented with data from the origin country (Sweden), where the author carried out 3 interviews with the outbound tour operators' staff and top management. The case study found significant correlations between standards of responsible behavior of tourists and tour operators from the origin country and the operations of the destination-based, inbound tour operators. The main finding is that similarly as in mass tourism chains, supply chain pressure may play a positive role in influencing responsible behavior of inbound operators in ecotourism destinations. Furthermore, supply chain pressure for a sustainable ecotourism product reinforced destination-based operators in their own commitment to excellence and to assuming an environmental stewardship role in their respective countries. A suggested area of further investigation concerns the similarities between studying international ecotourism supply chains and sustainability in mass tourism, and the need of finding a holistic paradigm for both.

Furthermore, Article 4 makes an attempt to assess in a more general way the policies in place to promote ecotourism as a possible systemic solution to a more sustainable tourism development. This has been carried out by stepping back and reviewing the overall impacts of two major events held in 2002: firstly, the World Summit on Sustainable Development (WSSD) and the tourism reflection in its agenda; and secondly, the World Ecotourism Summit and the UN International Year of Ecotourism.

Data collection methods employed included participant observation at WES and WSSD, 3 expert semi-structured interviews, a review of position statements of key stakeholders and an examination of follow-up documents

until April 2004 including a UNWTO survey of 93 responses received from member states. Article 4 provides an overview of the achievements and criticisms of the IYE, and suggests an emerging shift of the sustainable tourism agenda from 'eco' to 'socio', especially in the context of the UN Millennium Development Goals and a new anti-poverty agenda.

An overview of the data collection methods used in Articles 3 and 4 is presented in the Table 6.

Table 9 Data Collection – Research Cycle II

Data Collection – Research Cycle II		
Outcome	Method/Sample size & responsiveness rate	Criteria for the selection of respondents, other details
Article 2	2 case studies of international ecotourism packages Participant observation in 2 field visits; Interviews with 13 staff of the ITOs and with 19 tourists in destinations. Interviews with 3 staff of the OTO. Review of 15 tourist feedback forms.	2 international ecotourism supply chains involving outbound and inbound tour operators: Outbond TO: Äventyrsresor (Sweden) Inbound TOs: Explorandes (Peru) Amadablam (Nepal); Etho Metho (Bhutan)
Article 3	93 respondents 63% of sample of 143 Participant observation at WSSD and WES. Review of position papers of key stakeholders. Expert interviews.	Respondents were ministries of tourism and national tourism authorities, survey of WTO (WTO, 2003b).

5.1.3 Research Cycle III – data collection and findings

Research Cycle III evolved from several observations documented in prior research cycles, including the need for voluntary commitments to incorporate social impacts of tourism, and the call for tourism to operate within ethical boundaries.

In Articles 5 and 6, the author explores, through the lens of CSR, what is arguably one of the most damaging social impacts of tourism development – child sex tourism. The topic was selected for several reasons: it has a narrow scope with clear boundaries; there is a pre-existing body of literature documenting it; and recent political developments connect child sex tourism with the much more complex phenomenon of global trafficking in human beings. Data collection was supported by the author's direct engagement in the development of a voluntary Code of conduct for the tourism industry, in close collaboration with UNWTO, UNICEF and NGOs members of the ECPAT network (End Child Prostitution, Pornography and Trafficking for Sexual Purposes) in various countries.

The Code of Conduct for the Protection of Children from Sexual Exploitation in Travel and Tourism (TheCode.org) is one of the most recognized, voluntary initiatives addressing social issues in tourism. Initiated by ECPAT Sweden 1998 together with Nordic tour operators and UNWTO, the Code operates today in 32 countries, with the support of the private sector, UNWTO and UNICEF. The Code requires signatory companies (tour operators, travel agencies, hotels, etc.) to commit to the implementation in their operations of 6 measures:

1. To establish an ethical policy regarding commercial sexual exploitation of children.
2. To train the personnel in the country of origin and travel destinations.
3. To introduce a clause in contracts with suppliers, stating a common repudiation of commercial sexual exploitation of children.
4. To provide information to travelers by means of catalogues, brochures, in-flight films, ticket-slips, etc.
5. To provide information to local 'key persons' at the destinations.
6. To report annually on implementation.

Two publications resulted from Research Cycle III: Article 5 (book chapter) and Article 6. While the target audience for the two articles was different, for both of them the data collection was based on the case of the Code of conduct against child sex tourism. Article 5 was written to be included in a compendium of CSR practices addressing the private sector and managers. Article 6 was presented at a sustainable tourism academic conference, the BEST-Education Network Think Tank VII *Innovations for Sustainable Tourism,* held in Flagstaff, at the Northern Arizona University, (June 21-24, 2007).

Both articles draw from data collected through action research by the author, acting as secretariat coordinator for the project, intermittently between 2001 and 2007. As the documentation period was relatively extensive, multiple data sources were used, varying according to the circumstances in different countries, the support provided by other stakeholders and on a company-by-company basis.

The main method employed was action research through participant observation, which included first-hand observation of the introduction of the Code in different countries, and documentation through field work techniques including interview notes, transcripts and minutes of meetings. Over the study period the number of signatory companies that joined the project increased from 18 in 2001 to over 600 currently, giving the author extensive opportunities to engage directly with tourism companies (tour operators, hotels and travel agencies) and their umbrella organizations in 23 countries in Europe (Germany, Austria, Italy, Spain, Sweden, Switzerland, the Netherlands, the UK, Romania, Bulgaria, Montenegro, Russia), North America (USA and Canada), Latin America (Mexico, Guatemala, Brazil, Panama, Belize), Africa (Kenya, South Africa) and Asia (Thailand and Japan). The purpose of the author's interactions with companies and NGOs in these countries was to support capacity building and to provide training and education for the tourism private sector in its efforts to prevent trafficking and child sex tourism.

For the purpose of this dissertation, the author made a further selection of information choosing reports provided by 10 large companies (tour operators and hotels), which reported on the implementation of the six requirements of the Code through standardized questionnaires. The list of companies providing such information is included in Table 10.

Collaboration with the key international agencies working in this field - UNWTO, UNICEF, ECPAT, OSCE, etc. – was also a valuable information source. Data was also collected from unstructured interviews and interactions with NGO experts and government officials in the context of international events. These included: the UNWTO Regional Consultations for the Protection of Children from Sexual Exploitation in Tourism for Africa, Americas, Asia and the Pacific, and Europe, held between 2001 and 2003 in the framework of an EU-funded project; the bi-annual meetings of the UNWTO Task Force for the Protection of Children in Tourism a global action platform of tourism-related key-players; the UNICEF trainings on the prevention of commercial sexual exploitation in tourism for tourism

ministry officials in Central America and the Caribbean (Panama, Sept 12-14, 2005 and March 1-3, 2007); the meetings of the World Tourism Forum for Peace and Sustainable Development, "Sustainable Tourism and Childhood" program held in 2005, 2006 and 2007 in Brazil, etc. (see Appendix B for complete list).

Article 5 was written as a book chapter within a compendium of CSR management models targeting an audience of practitioners. Based on the case of the tourism code of conduct against child sex tourism, the findings concern the process of introducing human rights aspects in the business CSR agenda. The main lessons learned from the case study include the need to engage multinational companies and the international governmental organizations as stewards on the topic, and the domino-effect achieved through using the power of supply chain and affiliation to international umbrella associations. An important challenge was found in the need of stakeholders – especially NGOs and the private sector – in understanding the differences in their respective roles, operational style and financial constraints, and in finding a common language for collaboration.

Article 6 proceeds to include in analysis additional examples of tourism initiatives to protect children's rights, and adds an assessment of the potential of such models in bringing forward CSR innovation. The article reviewed models of action against child sex tourism and trafficking developed by NGOs, governments and multi-stakeholder groups. The main finding from the analysis concerns the ad-hoc character in the development of these CSR models, as reactive results of media or stakeholder pressure. A recommendation is put forward for researchers to draw linkages from law and social sciences investigation, in order to propose effective solutions for the increasingly complex challenges of globalization in tourism.

As amongst the three research cycles, the research cycle III was the one most heavily based on action research, one may ask – is there evidence of change? Are tourism companies more likely now, to engage in CSR practices? From the author's experience in working on the child sex tourism issue, evidence of change on this particular topic can be quoted in relation to three aspects: business recognition, governmental recognition and international acknowledgement. Private sector endorsement can be demonstrated considering the exponential increase in the number of companies that joined the project, from 18 companies in 6 European countries in 2001, to over 600 companies in 32 countries in Europe, North and Latin America and Asia in 2008. Tourism industry recognition is also

attested by the British Airways 'Tourism for Tomorrow' award for large-scale tourism received by the Code initiative in 2003, and by the Ashoka Changemakers' Award for Social Innovation, received in 2008.

Table 10 Data Collection – Research Cycle III

Data Collection – Research Cycle II		
Outcome	Method/Sample size & responsiveness rate	Criteria for the selection of respondents, other details
Article 5 (book chapter) and Article 6	- Questionnaire/company reports from 10 international companies were analyzed: TUI Nordic (based in Sweden) reports 2003/2004, 2004/2005; Kuoni Scandinavia (based in Sweden) report 2004/2005; Hotelplan Switzerland reports 2004/2005; Accor Hotels Asia (based in Thailand) report 2003/2004; Novotel Cayenne (Accor Hotels), French Guyana report 2004/2005; DRV Germany reports 2003/2004, 2004/2005; TUI Netherlands report 2003/2004; Costa Rica Temptations, Costa Rica report 2003/2004; Carlson Companies report 2004; Japan Travel Bureau report 2005/2006; Japan Association of Travel Agents report 2005/2006	Reports selected for review and data collection consisted in answers to a standard questionnaire. They were submitted in the period 2003-2006 by 10 tour operators and hotel chains operating internationally. The information contained in the reports reflects instances in a process of implementation that is still continuing.
	- Expert interviews;	List in Appendix B.
	- Observation as participant and trainer in field trips: Mexico, Panama, Belize, Romania, Guatemala, Brazil, Japan, USA.	List in Appendix B.
	- Speaker at UNWTO Regional Expert Consultations in Europe, Asia, Americas and Africa; trainer at the UNICEF regional consultations for Central America and the Caribbean.	List in Appendix B.

Secondly, governmental recognition of the initiative has been constantly expanding over the research period, with governments of US, Brazil, Costa Rica, Mexico (Q. Roo), Japan, Sri Lanka, and Guatemala now formally endorsing the project through official declarations and position statements as a recommended responsible tourism CSR practice.

Thirdly, in an international context key UN agencies recognized the project as one of the most coherent examples of private sector action on responsible tourism development protecting human rights. These agencies include: UNICEF (in relation to the Convention on the Rights of the Child), UNWTO (in relation to policies for sustainable tourism development), OSCE (in relation to the activity of the Office of the Co-ordinator of OSCE Economic and Environmental Activities, OSCE-OCEEA) and ILO (in relation to the ILO Convention No. 182 combating the worst forms of child labor).

It is however important adding that although it continues to expand, the program has been suffering the same developmental pains as the environmental labels, including difficulties in governance, funding and management. Despite a strong need from stakeholders in many countries for additional expansion, the initiative needs further strengthening and consolidation and, it is still largely a work in progress.

5.2 Theoretical reflection – CSR innovation in tourism

What are the case studies bringing to light regarding the development of CSR in tourism? Some theoretical reflections, from a business innovation perspective appear opportune here to support a further discussion.

Concepts of change, transition, entrepreneurship and business innovation have been used in a variety of theoretical frameworks in understanding why transformational practices such as CSR took hold in other industrial sectors. From an institutional theory perspective, Van der Hoed (2004) advanced that shocks and new values are needed for creating radical changes. While CSR in tourism would not be a radical innovation *per se*, the adoption of CSR would however require a set of incrementally innovative processes.

From a resources theory perspective, incremental innovation in tourism may be induced if powerful players and their financial backing would open the

way for CSR stewardship. The case studies undertaken under the scope of this dissertation showed that when CSR was connected to money and power, adoption of CSR innovations took place (See the cases of ISO 14001 application by Explorandes in Peru, or the introduction of the Code for the protection of children in North America by the Carlson Group). However, for such innovation to transgress the operational boundaries of the initiating company and take root across the sector, the adoption of CSR innovation should still fit with traditional business models. It can be argued that CSR today is still too much outside the regular business perspective in tourism (Berchicci, 2005), or how Doane (2005) puts it 'the problem with assuming that companies can do well while also doing good is that markets don't really work that way'.

Agency theory (Eisenhardt, 1989) may also be relevant to the case of tourism, particularly in explaining the role of central UN-bodies such as UNWTO. It appears that for CSR innovation to occur in tourism it still needs to be strongly supported, if not mandated, by the key players. Although it can be argued that businesses rarely care about the UN, the author advances that in the case of tourism this would be an over-simplification. Firstly, it is important observing that among all industrial fields of economic endeavor, only very few sectors have a dedicated UN specialized agency. These can be counted on the fingers of one hand, as the corresponding UN agencies relate to sectors that are quite specialized, therefore largely requiring international cooperation: atomic/nuclear energy (IAEA), aviation (ICAO), maritime transportation (IMO), agriculture (IFAO), drugs (UNODC). The common situation is that UN thematic umbrella-bodies make the agenda on thematic issues: environment (UNEP), industrial development (UNIDO, UNDP), etc. The fact that tourism has a dedicated agency, UN World Tourism Organization – albeit part of the UN system only since 2005 – confirms, in the view of the author, firstly, the global scope of tourism, and secondly the need for international collaboration in tourism, especially in the political context of a global society operating in freedom under a free-market regime. UNWTO so far has not exercised direct influence over the business sector, but it has exercised significant influence over national regulators (see the example of the Global Code of Tourism Ethics). Having the private sector on a constant lobbying battle to preempt regulation, the author considers UNWTO influence being that of a CSR steward, be it voluntarily assumed, or upon pressure from other stakeholders (NGOs and civil society groups).

From a change theory perspective and using Lewin's (1951) three-step model based on an unfreeze-transform-refreeze sequence, once can see tourism CSR adoption as a phenomenon dependent on forces that promote or drive change *versus*, those that inhibit, or restrain change. From the case studies presented here, the forces promoting change for tourism systems appear to be an increased general public awareness to CSR, supply chain pressures (the case of international tour operating products both in mass tourism and in ecotourism), and pressure from interested stakeholders (lobbying of NGOs and civil society such as environmental and human rights NGOs). On the other hand, the inhibiting forces for CSR adoption in tourism as they were found in the case studies included: additional costs, insufficient recognition for the importance of the sector, a lack of strong public demand for CSR in tourism, and insufficiently transparent or outdated structures.

A further element useful this analysis is the theory on learning networks, a model highly applicable to tourism. Fadeeva (2003) investigated learning tourism networks as translators of broad sustainability ideas into outcomes focused on locality. Along these lines, Lippit *et al* (1958) phases of change model points out that change is more likely to be stable if it spreads to or from neighboring systems or networks. This may support the idea that since CSR is more strongly adopted in other sectors, it will eventually get buy-in from the tourism sector as well.

In summing up these theoretical reflections, the author suggests here that possibly the Prochaska and DiClemente (1986) change theory, who is cyclical, and inspired from behavioral psychology may characterize best the current status of CSR adoption in tourism. The Prochaska *et al* (1992) model is based on a spiral of successive steps of denial, contemplation, and action. From the case studies undertaken under the scope of this dissertation, it appears that tourism actors adopting CSR practices typically start with denial, followed by contemplation (case of adoption of CSR measures against child sex tourism). With additional support, counseling and assistance for problem solving (cases involving support from conservationist NGOs in the case of ecotourism, or human rights NGOs in the case of preventing sex tourism, or mass tour operators offering small-scale products), tourism companies are able to proceed and enact change towards improved sustainability. An important follow-up observation is that although change took place, actors in this model may 'relapse' or may simply choose to keep their privilege and ability to stop CSR measures at any time. They may also choose to exit the system if they decide the change was not

beneficial. Maintenance is the final stage of this theory, where actions to reinforce change are needed (sustained stakeholders' pressure), together with additional support to avoid relapses and ensure long-term change.

In light of these theoretical reflections, the following section provides a detailed discussion on each of the three research questions of the dissertation.

5.3 Discussion

5.3.1 Findings and discussion on the research questions

Before proceeding to discuss the research questions, a general comment is to be made concerning the context of existing CSR initiatives in tourism. The main general finding of the research is that the application of CSR concepts in tourism today is scarce and appears to be mostly a *reactive development*. Companies are responding to perceived pressures from stakeholders in a *defensive manner,* either to counteract potential or explicit criticism, or to pre-empt regulation.

Large companies avoid adopting affirmative strategies into their policies and operations and do not act pro-actively to foresee risks or develop socially responsible programs. They engage in protective strategies that concentrate largely on public relations management and communication. This occurs as companies are getting caught in the dilemma of simultaneous and opposing pressure from activists and shareholders, in a context where competition in tourism is still largely a matter of price only. The observations on the research questions led to a *general recommendation* that development of CSR in tourism has to evolve as a pro-active choice and competitive strategy of the tourism companies, especially those running large-scale operations.

1. What tools have been used to promote social responsibility in tourism? This research confirms other observations in the literature (Fennell and Malloy, 2006; Azilah, 2006, etc.) that *CSR has not been explicitly addressed in tourism until very recently*. However, a number of instruments aiming to support sustainable development in tourism have been developed in the form of non-mandatory performance certification programs. CSR in tourism has taken mostly the form of voluntary instruments such as eco-labels, codes of conduct, etc. These were not purposefully designed in the CSR theoretical framework, but operated as tools for promoting incremental improvements,

generally addressing environmental performance. Similar to developments in the manufacturing sector, existing voluntary tools have been developed in an attempt to make the tourism industry more accountable and to measure its non-financial impacts. Schemes such as eco-labels, codes of conduct and awards have been emerging in the 80s and 90s, mostly in Europe and in Australia, and only rarely in destination countries (Costa Rica, South Africa). As a result of this process, the market today appears to be saturated with tourism eco-labels and other environmental certification schemes. Due to complexity in organization, operation and precarious financial sustainability, the impacts of such initiatives on the competitiveness of tourism enterprises is still very much debated. Most recent developments are attempts at the international level to centralize, harmonize, certify and accredit the criteria which various labels are using, in order to avoid confusing the customer.
Regarding the scope of existing voluntary programs, the author finds that their aims generally concern improvement of environmental performance, eco-efficiency, resource conservation and minimization of the consumptive character of tourism. Concentration of existing voluntary performance certification programs on scale management is limiting for the scope of current sustainability measures in tourism.

According to this research there is *a serious and chronic neglect of the social aspects of tourism development, especially in the large-scale segment.* This deficiency is particularly relevant in a globalization context, where universal standards are continuously challenged by powerful private sector players entering new markets. *Most existing voluntary recognition programs are largely focused on the environment, missing a review of the social impacts of tourism operations.* Even addressing environmental performance only, the scope of existing voluntary programs is limited to the local or national realities. The anticipated process of regional or global expansion of certain eco-labels (such as CST) or the development of a global accreditation body (STSC) is likely to stumble upon institutional constraints, and face the risk of overlooking local realities.

Furthermore, it is found that existing voluntary performance recognition programs are focused on tourism impacts as they were documented by studies from the 70s and 80s, research carried out prior to the emergence of new phenomena that globalization brought to the business agenda in the 90s. As documentation on environmental impacts coincided with the disciplinary development of tourism, the recognition schemes and eco-labels developed by the industry are concerned with 'traditional' impacts of tourism. In a contemporary context, this research finds that important *emerging social issues of tourism development are related to globalization and the neo-*

liberal trade and development agenda. While the detailed mapping of such impacts goes beyond the purpose of the dissertation, the author advances the suggestion that such impacts may be related to fair trade and labor practices, migration phenomena and trafficking of human beings for labor or other exploitative purposes, as well as poverty alleviation. As an example of 'new' tourism impacts, the issue of child sex tourism was investigated in Articles 5 and 6. From the author's research and from interactions over extended periods of time with government and industry representatives from both tourism-sending and receiving countries, the author suggests that the *social issues on the tourism globalization agenda will be extremely difficult to be captured by the scope of existing voluntary certification programs*.

Another finding is that voluntary performance programs *do not address the supply chains and interconnections between tourism companies*. In Article 3 the author documented that supply chain management can have a positive role in extending good practices from companies in developed countries to their suppliers in developing countries. However, *most of the existing performance certification programs draw an artificial boundary around the company,* which excludes its interactions with other stakeholders and, especially, its partners along the supply chain. A company can be very strict in enforcing high quality standards on its own operations without necessarily extending this pressure within and along its chain of suppliers. Fortunately, both the academic and practitioners' communities are starting to address this matter, by developing research on supply chain management, and by analyzing product value chains in tourism (EBDG, 2005; CEBL and TOI, 2004).

In addition to the commitments companies are willing to assume voluntarily, a new type of intervention for sustainability was documented as a result of *direct shareholder pressure*, through the expression of shareholder activism. It is noteworthy that one of the first-known stories of shareholder activism in tourism addresses a social issue (pressure on Marriott to tackle child sex tourism). This should raise red flags to the large tour operators and international tourism companies, as it may be interpreted as a sign that CSR developments that have taken place in manufacturing industries, are about to be facing tourism as well. The findings related to the predominance of the environmental agenda in the scope of existing voluntary instruments confirm similar observations from the literature, and determined a need for stronger focus on the social impacts of tourism as the investigation advanced.

2. How has ecotourism influenced social responsibility in tourism?
Through ecotourism, the tourism academic community attempted a fundamental structural reform of the sector by proposing a small-scale, environmentally and community aware form of tourism. *Ecotourism development stands as an important step forward from a social responsibility perspective,* due to its focus on protecting the interests of local communities, and its support of engaging in dialogue to foster reciprocal understanding between the industry and local stakeholders. Through its components of social engagement and community benefit, the development of *ecotourism can be regarded as the first systemic attempt at the introduction of the CSR agenda in tourism*, in both a structural and a conceptual manner. However, due to operational constraints as well as limited opportunities in the physical environment to allow a significant shift from mass tourism to ecotourism, the latter remains today only a sub-sector of tourism with a narrow niche market. In agreement with other authors (Azilah, 2006) this investigation finds that although the ecotourism proposition has largely failed as the systemic 'one-size-fits-all' solution it was initially hoped to be, its development enriched the sustainability agenda and brought forward new knowledge.

Article 3, which discusses the proceedings and outcomes of the IYE and WSSD, finds a strengthening of the neo-liberal agenda in tourism development, as reported in recent works by Cater (2006), Wheeller (2004) as well as the second edition of Mowforth & Munt (2003). These authors begin to address a previous failure of the literature to adequately reflect the institutional contexts in which tourism is cast as a process, and particularly the Western hegemony on the formulation of policies in tourism. IYE and WSSD did not provide answers to the need of reconciling economic impacts of globalization, with the concerns of livelihood security and equity in access to resources for tourism-dependent communities.

Relevant in relation to the CSR scope of the dissertation is the observation that, starting from strictly focusing on ecotourism, the tourism agenda in 2002 smoothly changed after the World Ecotourism Summit, to refocus at the WSSD on pro-poor tourism strategies and on the Millenium Development Goals (MDGs).

Another finding on the role of ecotourism in advancing CSR in tourism relates to the *catalytic role that research in ecotourism played in the contemporary re-conceptualization of tourism*, from a conservation tool to an instrument for poverty alleviation and development, which should engage the local communities in a participatory manner. Stimulated by the effervescence of

IYE and WSSD, the WTO revised its definition of sustainable tourism toward a more holistic view encompassing all types of tourism development. UNWTO deserves credit for succeeding to introduce tourism in the WSSD implementation plan, an achievement which recognizes the role of tourism as an important part of international development.

3. How have tourism stakeholders approached CSR? The action research process employed particularly in the final stage of the dissertation allowed the researcher opportunities to observe various stakeholders' interpretations on CSR, including the civil society (NGOs), the private sector and international policy-making tourism organizations (inter-governmental agencies such as UNWTO, and development cooperation agencies). The main observation in this regard is that *stakeholder politics in tourism development and in existing power structures delayed the private sector 'buy-in' for CSR in tourism.*

Civil society groups have historically played a very important lobbying role, being among the first voices to call for CSR in tourism. Similar to their roles in other industries, tourism NGOs are watch dogs quick to point out problems, but often reluctant to engage directly in developing solutions together with the industry. However, as researchers in other fields pointed out (Schiller, 2005), in recent years civil society organizations have became much more 'business like', and interested in forging partnerships with the private sector. Operationally, NGOs are becoming more practical and flexible, more eager to seek solutions together with the private sector, and probably less critical. This research observed that the *dialogue between NGOs and tourism businesses on CSR issues remains difficult, characterized by skepticism and suspicion on both sides.*

Another problem in the NGO sector is that *various organizations compete between them to earn the 'attention' of the same small pool of large tourism operators* (hotels and tour operators*), as well as for project funding from development agencies.* Several large NGOs faced criticisms and lost credibility for making decisions perceived as 'compromises', and 'selling out' for endorsing the agendas of inter-governmental organizations. It is recommended that the NGO sector improves its awareness of development politics, in order to provide a more substantive and constructive input, while still maintaining its position as societal observer.

A critical role in the promotion of a CSR framework in tourism is that potentially played by the UNWTO. Although it is an inter-governmental body that has

government authorities as members, *the role of UNWTO as the international tourism policy-maker is central to any new concept and strategic development for sustainability in tourism*. However, there are some structural weaknesses of UNWTO that hamper its ability to take progressive action. These include: not having the US, the UK and Scandinavian countries as members; a conservative and hardly transparent organizational structure; and, most importantly, ambivalence on its responsibility with respect to the tourism private sector. The UNWTO perception of sustainability in tourism has been generally limited to environmental issues, and only recently have social issues been integrated into the scope of sustainable development of tourism activities.

Finally, an important development that UNWTO should be applauded for is the elaboration of the Global Code of Tourism Ethics (GCTE), endorsed by its member states and the UN General Assembly. GCTE offers the framework and opportunity to address environmental and social issues in tourism in a more integrative manner. However, there is significant scope for improvement of the mechanism for mediation of conflicts within the GCTE structure, which appears to be slow and non-transparent. As the organization is structured currently, the UNWTO bias in favor of governments is understandable. UNWTO is concerned of potentially alienating membership, by echoing concerns of civil society and grassroots groups, and by promoting a CSR agenda which may be perceived as too progressive. Much of this may be related to lack of resources, however political willingness at top level in UNWTO could provide strategic direction toward more accountability and transparency, along the lines of operational standards used by other UN specialized agencies. There is considerable value, for all tourism stakeholders, in the transformation that took place in 2005 when the WTO changed status from 'an inter-governmental' organization to 'a UN specialized agency' (named UNWTO). This reconfirms the global importance of the tourism sector, and opens the doors to a new age of leadership which, according to UNWTO statements, will prioritize the UN Millennium Development Goals and elimination of poverty, both central components of the CSR agenda.

5.3.2 General observations

This research found that knowledge on CSR applicability to tourism is only in its early stages of development. With several notable exceptions, CSR still needs to get private sector 'buy-in' before becoming embedded in tourism development. Tools created to support sustainable tourism development

and promote the responsibility of the business sector have been, until now, *a succession of incremental improvements on problems treated as disparate matters*. Although mostly limited to ecological improvements and insufficiently based on a comprehensive system of re-assessment, existing voluntary instruments provide important examples to further CSR in tourism.

From a practitioners' perspective, it appears that CSR in tourism is only in its early beginnings. To move beyond theoretical speculation, more case studies need to be documented, monitored and finally, evaluated. Wheeller (2003) notes that existing tourism CSR examples are "aggregate anecdotes about uncoordinated initiatives to demonstrate a company's social sensitivity" and "what these reports leave out is often as telling as what they include". Although lagging behind in comparison to CSR efforts from other industrial sectors, the tourism CSR agenda may vastly gain from the manufacturing sector experiences.

In approaching CSR in tourism, the question of *scale of operations* can not be disregarded. Large mass-operators will continue to exist, and there has been significant progress in the way they have modified their operations to approach the CSR agenda. Already, several large companies provide the top standards on environmental impacts assessment (TUI) (Article 1), on CSR and protection of children from trafficking and sex tourism (Accor Hotels, Air France, Kuoni Holding etc.) (Articles 5, 6).

The concept of ecotourism promoted in the late 90s as the single sustainable alternative to tourism development, can no longer stand as the sole solution. The World Ecotourism Summit which culminated the UN International Year of Ecotourism called into question the ecotourism premises and the need for a change in paradigm. As most ecotourism developments attract an informed and responsible type of tourist (coming mostly from Europe or North America), international supply chains in ecotourism are created, therefore raising similar challenges as supply chains in mass tourism (Article 4). Beyond the question of scale management, the ecotourism sub-sector in itself may be regarded as a CSR practice, and if so, its structures and operations need to be reassessed (Articles 3 and 4).

The existing eco-labels, which address mostly environmental tourism impacts, are useful tools to evaluate and benchmark behavior and performance of tourism operators. However, they are, at their best, static attempts to 'lock in' an ecological status quo that is quickly becoming outdated. Even one of the most successful voluntary labels, the Costa Rican

'Sustainable Tourism Certificate' is still largely focused on environment, and fails to address social impacts (Article 2). IIED (2000) also comments that there is "no evidence of any increase in visitors or other financial benefits to compensate for the investments necessary by the hotels to achieve a high rating", and that the CST 'current policy of free auditing is not viable in the long term'. There are major challenges in moving from 'eco' labels to 'sustainability' labels, as companies would need to face internal, often sensitive, issues (fair treatment of the workforce, salaries, instability of jobs, human rights, etc). Global organizations such as UNWTO would also be forced to take a stand and choose sides, and the framework of the GCTE may provide useful support in this direction.

Finally, from a developmental perspective, tourism literature points to 'potential' benefits deriving from tourism under 'well-managed' conditions. However, there is a lack of recognition that this is rather an exception to the rule. This would probably also apply to CSR in tourism. The documentation of inconclusive practices, and the reasons behind failure of CSR projects would be helpful, comparably to compilations of 'good practices' already available. Yet, information about failed projects and dysfunctional partnerships is hardly available. A lot of data comes up in 'off the record' interviews, showing that CSR, especially when it involves partnerships between academia or NGOs, and the industry are not always mutually satisfying. A more candid and transparent approach on overcoming issues of trust (or lack thereof), although probably uncomfortable, would be particularly informative at this stage in the evolution of the tourism CSR research.

5.3.3 Change towards CSR and competitiveness in tourism

Additional to the findings on the three research questions addressed, the author finds it opportune to include here observations in relation to the political agenda on tourism research. This research argued that while specific solutions were designed for narrowly-defined tourism problems; a more systemic change needs to take place in tourism systems, and CSR may be an accommodating paradigm for such a change to start emerging.

While the concepts of alternative tourism and ecotourism were essentially focused on scale management, CSR offers more specificity, explicitness and comprehensiveness. Specificity and explicitness refer to clearly placing the onus on the tourism private sector to incorporate in its activity measures to promote sustainable tourism. Expectations of reduced negative impacts –

social, cultural and economic – are not placed on one or another various sub-sectors of tourism. The burden is rather focused on tourism businesses as potential agents for change. Furthermore, compared to other sustainable tourism frameworks, the comprehensiveness of CSR paradigm allows for coverage of both ecological and social issues. As social aspects in tourism have been largely disregarded, this matter is particularly important, especially in the context of globalization.

The need for tourism policy-making in a wider context of the sustainability science and using a more systemic approach has been addressed by Farrell and Twinning-Ward (2004), by Milne and Ateljevic (2001) and from an ethical perspective by Fennell (2006). However, a different view to this process needs to be recognized as well. Farell and Twinning-Ward (2004) point out the barriers to the modernization of tourism policy-making to include: conservative patterns of operation by the powerful players, insulating properties of social systems and persistent use of partial solutions. Furthermore, the existing tourism policy-making structures appear highly politicized, insufficiently articulated and possibly vulnerable to mercantile pressures from the private sector. In its current structure, it fails to stimulate sustainability innovation and does not motivate stakeholders to change the status quo. UN agencies closely concerned with tourism (UNWTO, UNESCO, UNEP) have been rather slow to address CSR. While the UNWTO is fulfilling its mandate to suggest policy directions to governments, it is unfortunate that it does not directly engage with the CSR agenda. The body of the UNWTO Affiliate Members (the private sector arm of UNWTO) does not seem to have a sustainable tourism agenda of its own, and is not directly engaged in the UNWTO sustainable tourism program, missing out on exercising its role as convener of tourism stewardship. However, UN agencies concerned with economic growth (WB, UNIDO, IFC) have recently pursued comprehensive assessments of the industry from a CSR perspective.

An improved scrutiny of tourism policy-making in light of its ethical bases for development appears critical in order to avoid a self-perpetuating and self-reinforcing growth scenario, meant to provide indiscriminate development without sufficient critical perspective. Utting (2006) also points out that the existing focus on 'good practices' hampers critical thinking, and what is not said concerning difficulties in collaboration and questionable value-added for the stakeholders, is probably more meaningful than what is said.

In this context, CSR provides a conceptual 'mold' for advancing the tourism sustainability debate in a way that assigns specific responsibility to the private sector. The CSR theoretical development is particularly valuable as it may offer a paradigm able to capture both the tourism 'traditional impacts' (environmental and economic), as well as the 'new' ones emerging in light of globalization and neo-liberal trade and development policies. Mirroring developments of other industries, further exploration of CSR applications in tourism, may be a welcome development, as long as the CSR paradigm would be endorsed in an explicit and public manner by the industry.

Finally, why and how different stakeholders should position themselves vis-à-vis the CSR debate in tourism will certainly be expanded upon by the emergent elaboration of ISO standards on CSR. The ISO 26000 series Guidance on CSR (IISD, 2004a) is already a process in development, although some stakeholders (IIEE, 2004b) have expressed serious reservations regarding its possible success. The two countries leading the ISO technical working group on CSR standards are a tourism-sending country (Sweden), and a tourism-receiving one (Brazil), and the publication of the ISO 26000 series standards is anticipated for November 2009, in the form of guidelines, and not certification.

While an *a priori* assessment of CSR applicability to the field of tourism is impossible at this early stage, this research sustains the thesis that tourism companies adopting a CSR agenda, even if based on self-interest, should be welcome to do so. Tourism companies developing a CSR profile may in fact intelligently create a competitive niche, which, although not recognized by the current demand, may pay off in the long run. Ultimately, the shift in thinking concerning tourism must mirror the wider debate from other business sectors (Welford, 2000, Utting, 2002, Elkington, 1998). However, unlike other industries that use natural resources that may be substitutable from one location to another, the natural and cultural resource base of tourism is largely site-specific and hardly transferable. Sooner or later the tourism industry will have to rise up to the challenge of preserving it.

CHAPTER

SIX

6. Conclusions

The spirit of the sustainable development agenda provides room for the creation of economic value to go hand in hand with creation of social and environmental capital. If the global society aims for sustainable development in a setting of democracy and freedom, businesses will have an increasing strategic role in all fields of human activity. As tourism is likely to maintain or increase its economic importance in the global economy, then the sector will need to reassess its current operational patterns in light of the CSR proposal.

This final chapter provides an overview of the scope and research questions of the dissertation, and advances conclusions pertaining to the research objective. It includes final remarks and articulates the contribution of this dissertation to the body of knowledge on sustainable tourism development.

6.1 Overview

This dissertation explored the nexus between sustainable tourism development and corporate social responsibility. It addressed the role of CSR as an approach to promote sustainable development of large-scale tourism in an international context. The research purpose was of a dual nature, mostly exploratory with explanatory elements, and the investigation process was based mainly on qualitative methods. Based on the complex set of human motivations lying at the centre of tourism as a social phenomenon, the author aligned with Burns and Lester's (2005) argument that the relative values of qualitative research (i.e. discursive, reflexive, and open to nuance) are to be preferred in this case to the benefits of a quantitative approach.

The main proposition was that, similar to results in other industrial sectors, the CSR framework may help to better understand how sustainability of tourism systems could be improved. This idea was developed by exploring a number of variables including: the role of voluntary instruments for

sustainable tourism (eco-labels, codes of conduct, etc); the development of ecotourism and its contribution to the CSR debate; and the roles of institutional stakeholders in tourism policy-making. The study was carried out by documenting case studies and directly intervening in ongoing processes. The researcher engaged and interacted with various institutional and individual informants for the purpose of collecting data, reaching conclusions and building inductively new knowledge. This method followed the principles of what is generally known as action research, which is a set of methodologies pursuing action (or change) and research (understanding) at the same time, through consecutive cycles of action, reflection, evaluation, and again action. The research findings were aimed to support the fine tuning of approaches to further develop CSR as a tool for sustainable tourism. Data collection has been characterized by a methodological pluralism, forging the use of multiple data sources, according to the circumstances of each research cycle. Data sources included tourism literature review, participant observation, expert interviews, semi-structured interviews, questionnaires and review of literature from within and outside of tourism studies, as well as from business and other sources of CSR related media.

6.1.1 Reviewing the research questions

The central research question, concerning the manner in which CSR concepts contribute to the sustainability and governance of existing tourism systems, was investigated in relation to three sub-questions:

1. What tools have been used to stimulate social responsibility in tourism?

This research confirmed similar literature observations finding that CSR has not been explicitly addressed in tourism until very recently. It was found that existing voluntary instruments, while being useful exercises of corporate commitment to sustainability, are limited in scope to environmental improvements, leaving out social impacts of tourism operations. The research further observed a serious and chronic neglect of the social aspects of tourism development, especially in the large-scale segment. This deficiency was found to be of particular concern in a globalization context, where 'new' impacts, especially related to human rights and labor, are less documented than 'traditional' environmental impacts explored by tourism research in the 80s and 90s. Particularly, from the author's experience while investigating the child sex tourism phenomenon, and based on interactions over extended periods of time with government and industry representatives

from both tourism-sending and receiving countries, it is suggested that the social issues on the tourism globalization agenda will be extremely difficult to be captured by the scope of existing voluntary certification programs. Another finding concerns the limitation of existing voluntary performance programs in failing to address the interconnections between tourism companies along their supply chains. A promising avenue for sustainability intervention may be direct shareholder pressure and shareholder activism, in the case of large publicly-owned and traded companies. This would, however, be limited to large companies whose shares are listed on financial markets.

2. How has ecotourism influenced social responsibility in tourism?

The research suggested that through ecotourism, the tourism sector attempted a fundamental structural reform, by concentrating on a small-scale, environmentally and community-aware form of tourism. It was found that ecotourism brought an important development from a social responsibility perspective, due to its focus on protecting the interests of local communities, supporting engagement in dialogue and reciprocal understanding between the industry and local stakeholders. However, the CSR solution represented by ecotourism remains a narrow answer, due to structural limitations of the industry.

3. How have tourism stakeholders approached CSR?

The research argued that stakeholder politics in tourism development and in existing power structures delayed private sector 'buy-in' for the CSR concepts in tourism. The dialogue between NGOs and tourism businesses on CSR issues was found to be still uncomfortable, characterized by skepticism and suspicion on both sides. The research suggested that a critical role in the promotion of a CSR framework in tourism can be played by the UNWTO. It was argued that the role of UNWTO, as the top international tourism policy-maker, would remain central to any new concept and strategic development for sustainability in tourism, and particularly when considering CSR in the context of the UN Millennium Development Goals as applied to tourism development.

6.1.2 Final remarks

This study concludes that, compared with tourism sustainability proposals from the 80s and 90s, CSR provides a paradigm which may be better suited to accommodate some of the contemporary challenges the sector is facing.

Although it should not be confused for a tool substituting regulation, this research sees CSR as a conceptual 'mold' for advancing the tourism sustainability debate in a way that assigns specific responsibility to the private sector. The CSR theoretical development is particularly valuable as it may potentially capture both the tourism 'traditional impacts' (environmental and economic), as well as the 'new' (human rights ones) emerging in light of globalization and neo-liberal trade and development policies. This would represent a step forward from previous and existing voluntary tools, which so far have only provided a succession of incremental improvements on problems treated as disparate matters.

6.2 Recommendations

While taking due note of the criticisms of CSR from other industries, but considering also the delay of the travel sector in joining the debate, it is probable that the exploration of CSR in tourism will advance. What distinguishes tourism from other business areas, is the direct interest of the industry in preserving its nature base and in being welcomed by the destination communities. Enlightened self-interest is likely to be the main engine for furthering CSR in tourism.

Several recommendations conclude this research. Firstly, the framing of the CSR agenda in tourism should not create a polarizing effect, opposing tourism private sector interests against those of the society. The focus on tension between business and society, rather than on their inter-linkages, misses the point of the common interests shared by the two, especially in developing countries. Contextualizing business 'against' the community fails to recognize the interdependencies between shareholders and stakeholders' interests, and likely undermines advancement of the debate.

Secondly, pressure from stakeholders, particularly from activist and civil society groups, is likely to be effective in the long run, and especially if the issues raised are specific, adapted to time and local circumstances, and considering the business strategies of tourism companies.

Thirdly, more research from a developing country perspective is called for. In a discourse that is strongly dominated by an Anglo-Saxon school of thought, a developmental view would enrich the tourism sustainability debate considerably. Research coming from well established tourism schools from UK, Canada, USA, Australia, New Zeeland and Hong Kong, has been

complemented in recent years by new perspectives from Germany, Greece, the Netherlands, Switzerland, Turkey, etc.

Finally, further documentation on the 'business case' for CSR in tourism, as well as on the competitive edge gained in adopting CSR strategies in the travel sector is called for in order to pertinently evaluate the role of CSR for sustainable tourism development.

6.3 Research contribution

For tourism researchers, the main contribution of this work rises from exploring the connection between CSR and sustainable tourism. Practitioners and tourism decision-makers may find particularly useful the analysis on the role of institutional stakeholders in the CSR debate, and draw advice pertinent to responding more effectively to contemporary phenomena challenging the tourism agenda.

The scope for further investigation is envisaged especially in the area of the inter-linkages between sustainable tourism and the macro-economic phenomena related to globalization and progressive trade liberalization. The travel and tourism sector can not be sustainable within itself, but only in connection to other industries and societal evolutions in which tourism is cast as a process.

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Appendix A – List of author's publications

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* Papers attached in full text as appendices.

Tepelus, C. (2007). "Social responsibility and innovation on trafficking and child sex tourism: Morphing of practice into sustainable tourism policies?", in. J.J. Liburd & A. Hegersell (Eds). Conference Proceedings of BEST EN Think Tank VII "*Innovations for Sustainable Tourism"* June 21-24, 2007 Northern Arizona University, CD-ROM, Sydney: University of Technology Sydney, pp. 153-168, ISBN 0 9750957 4 9.

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Tepelus C., (Ed.) (2006). *Pour un tourisme socialement responsable: Code de conduite pour la protection des enfants contre l'exploitation sexuelle dans le tourisme et l'industrie des voyages. Résumé du projet et exemples de mise en application.* ISBN: 0-9777407-2-2, 2nde Édition, New York.

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Appendix B – Methodological notes on data collection

Conferences

Interactions with tourism practitioners and the research community were carried out in all phases of the investigation, by participating and presenting at a number of international conferences, most important being mentioned below.

Phase I Study of voluntary initiatives and sustainable tourism		
Conference, Dates, Location	**Conference profile and conveners**	**Author's participation and data collection methods**
International Conference on Sustainable Tourism, Rimini, Italy, June 28-30, 2001	International tourism conference.	Expert interviews. Participant observation.
World Conference on Tourism and Sports Barcelona, Spain, Feb 22-23, 2001	International tourism conference.	Expert interviews. Participant observation.
Information & Communication Technologies – The Future of E-Travel and E-Tourism Stockholm, Sweden , April 23-25, 2001	Academic conference of the European chapter of the Travel and Tourism Research Association (TTRA)	Participant observation. Paper presentation.
World Tourism Forum for Peace and Sustainable Development: Salvador de Bahia, Brazil, Oct 2004 Rio de Janeiro, Brazil, Oct. 2005 Porto Alegre, Brazil, Dec 2005	International forum of tourism authorities, private sector and academic community organized as an exchange of good practices on sustainable tourism by the Brazil Government and UNWTO.	3 presentations. Expert interviews.
Tourism and Cultural Heritage Management Göteborg, Sweden, July 2002		Participant observation. Expert interviews.

Phase II Study of ecotourism		
Conference, Dates, Location	**Conference profile and conveners**	**Author's participation and data collection methods**
World Summit on Sustainable Development (WSSD) Johannesburg, South Africa, Aug 26 – Sept 4, 2002	Most important international summit on sustainable development, following the Declaration of the Earth Summit in Rio de Janeiro (1992), convened by the UNCSD.	Expert interviews. Participant observation in 3 tourism meetings for writing a report for Turistdelegationen
World Ecotourism Summit Quebec, Canada , May 19-22, 2002	Event culmination of the proceedings of 2002, the UN International Year of Ecotourism, convened by WTO and UNEP.	Expert interviews. Participant observation, report writing for Turistdelegationen.

Phase III Case study on CSR		
Conference, Dates, Location	**Conference profile and conveners**	**Author's participation and data collection methods**
EXPOTUR San Jose, Costa Rica, May 26-29, 2002	Tourism fair for the industry from Costa Rica and Central American countries.	Presentation.
International Tourism Bourse, Berlin, Germany, March 2002, 2003, 2004, 2005, 2006, 2007 & World Travel Market:, London, UK, November 2001, 2002, 2003, 2004, 2005.	Meetings of the UNWTO Task Force to Protect Children from Sexual Exploitation in Tourism	6 presentations (Berlin) 4 presentations (London).
2nd World Congress against Commercial Sexual Exploitation of Children Yokohama, Japan, 17-20 Dec, 2001		Expert interviews. Presentation.
WTO Regional Consultations on Sexual Exploitation of Children in Tourism: Guarulhos,	International consultations with tourism experts from governments and NTAs organized by UNWTO.	Expert interviews. 5 Presentations.

Brasil, Dec 2-5, 2001; Roma, Italy, 3-4 April, 2003; San Jose, Costa Rica, 7-8 May, 2003; Bali, Indonesia, 26-27 June, 2003; Dakar, Senegal, 30 Sept – 1 Oct, 2003.		
Innovations for Sustainable Tourism Flagstaff, Arizona, June 24-27, 2007	Academic Think Tank VII of the BEST-EN Education Network. held at Northern Arizona University.	Paper presentation.
Regional Consultation for Central America and the Caribbean, Panama City, Panama, 12-14 Sept. 2005, and March 1-2, 2007	Training course for the officials from national tourism authorities and ministries from Central American and Caribbean countries.	2 Presentations. Expert interviews.

Expert interviews and key informants

Tourism industry

The following listing presents the key informants that were interviewed throughout the research period. Some informants were interviewed once, for the purpose of a specific research project or article, while with others the author had in-depth exchanges over extensive time-periods.

1. Lotta Sand, Manager Destination Services, Health & Safety, Responsible Tourism Development – Kuoni Scandinavia, Sweden. (Formerly with TUI Nordic, Manager, Market Research and Analysis).

2. Tomas Bergenfeld, Executive Director – Äventyrsresor Scandinavian Adventures, Sweden.

3. Lotta Borgiel, Operations Manager – Äventyrsresor Scandinavian Adventures, Sweden.

4. Teresia Norrthon-Bergman, Travel Consultant – Äventyrsresor Scandinavian Adventures, Sweden

5. Alfredo Ferreyras, President, Explorandes, Peru.

6. Gustavo Salazar, Destination Manager Cuzco, Explorandes, Peru

7. Nina Pardo, Environmental Advisor, Explorandes, Peru.

8. Franco Negri, Gaspar Sihue, Oscar Jabar, Manuel Velazco Serrano, Tourguides, Explorandes, Peru.

9. Reinhard Lowenhaust, Lodge Manager, Explorandes, Peru.

10. Edvin Obispo Herrera, Management Unit at the Historical Sanctuary of Macchu Pichu, Peru.

11. Ravi Chandra, Managing Director, Amadablam, Nepal.

12. Kinga Dechen, Manager Tour Operation, Etho Metho Tours &t Treks Ltd., Bhutan.

13. Karma Kencho, Tour Executive, Etho Metho Tours &t Treks Ltd., Bhutan.

14. Dorjee Wangchuk, Tour Guide, Etho Metho Tours &t Treks Ltd., Bhutan.

15. Edgar Werblowsky, Director for Innovation, Social and Environmental Affairs, freeway Adventures, Brazil.

16. Douglas Cody, Vice President Executive Communications, Carlson Companies, USA.

17. Charlotte Thouvard, Corporate Communications and External Relations, Accor, France.

18. Adrien Chatenay, Sustainable development Coordinator Tourism & Leisure, Accor, France.

19. Alain Caudrelier-Bénac, Director of Sponsoring and Public Relations Department, Accor, France.

20. Elizabeth Carroll Simon, Director of International Relations & Industry Affairs, International Hotel & Restaurant Association, France.

Academics, Government officials, UN agencies, IGOs and NGO sources

21. Carmen Inês Garcia, Councilor for Tourism Affairs, National Confederation of Commerce, Brazil. (Formerly with EMBRATUR, Brazil).

22. Marco Sotelo, Legal advisor, National Direction of Tourism, Peru.

23. Helen Santiago Fink, Senior Economic Affairs Officer, Organization for Security and Co-operation in Europe, Office of the Co-ordinator of OSCE Economic and Environmental Activities, Austria.

24. Cynthia C. Messer, Extension Educator and Associate Professor, University of Minnesota, USA.

25. Sidney Alves Costa, Chief of Cabinet, Ministry of Tourism, Brazil (2005-2007).

26. Fabiana Gorenstein, Program Coordinator "Sustainable Tourism and Childhood" Consultant to the Ministry of Tourism, Brazil.

27. Marina Diotallevi, Coordinator, Task Force for the Protection of Children from Sexual Exploitation in Tourism & Chief of Unit, Ethical, Social and Cultural Affairs, UNWTO.

28. Philippe Lemaistre, Officer, Sustainable Development of Tourism, UNWTO.

29. Giulia Carbone, UNEP Secretariat (2001-2005), Tour Operators' Initiative for Sustainable Tourism Development (UNEP.UNESCO.UNWTO).

30. Stella Schuhmacher, Programme Officer Child Protection, UNICEF NY Hqs.

31. Dr. Susan Bissell, Senior Project Officer, Child Protection, UNICEF Innocenti Research Centre, Italy.

32. Clara Sommarin, Programme Officer Child Protection, UNICEF Regional Office for Latin America and the Caribbean, Panama.

33. Sendrine Fabie, former Tourism Coordinator, ECPAT International, Thailand.

34. Luc Ferran, Program Officer, Combating Trafficking and Child Sex Tourism, ECPAT International, Thailand.

35. Gabriela Alexandrescu, Executive Director, Salvati Copiii, Romania.

36. Milena Grillo, Executive Director, Fundacion Paniamor, Costa Rica.

37. Ernesto Galmez, Regional Representative for the Americas, ECPAT International.

38. Carlos Maldonado, Small Enterprises Development, Redturs, ILO.

Appendix C – Political agenda related to new tourism issues

Political statements

World leaders have addressed in recent years the links between tourism, commercial sexual exploitation of children and global trafficking in human beings

- US President George W. Bush, addressing the United Nations General Assembly, New York, September 23, 2003:

"…There is another humanitarian crisis, spreading and yet hidden from view. Each year, an estimated 800.000 to 900.000 human beings are bought, sold, or forced across the world's borders. Among them are hundreds of thousands of teenage girls, and others as young as five, who fall victim to the sex trade. This commerce in human life generates billions of dollars each year, much of which is used to finance organized crime. […] This problem has appeared in my own country, and we are working to stop it. The Protect Act, which I signed into law this year, makes it *a crime for any person to enter the United States, or for any citizen to travel abroad for the purpose of sex tourism involving children. The Department of Justice is actively investigating sex tour operators and patrons, who can face up to 30 years in prison.* Under the Trafficking Victims Protection Act, the United States is using sanctions against governments to discourage human trafficking. The victims of this industry also need help from other members of the United Nations. And this begins with clear standards and the certainty of punishment under the laws of every country. Today, some nations make it a crime to sexually abuse children abroad. Such conduct should be a crime in all nations. Governments should inform travellers of the harm this industry does, and the severe punishments that will fall on its patrons. […]"

Source: http://www.whitehouse.gov/news/releases/2003/09/20030923-4.html [May 29, 2006]

- UN former Secretary General Kofi Annan, message to the World Tourism Forum for Peace and Sustainable Development, Salvador de Bahia, December 2-4, 2004:

"[…] tourism must be managed carefully to prevent a wide range of harmful effects that are becoming all too visible in many popular destinations, including destruction of natural heritage through overbuilding; ever higher

demands on scarce water and energy resources; damage to ecologically fragile areas caused by irresponsible development; threats to indigenous cultures; exploitation of workers; organized sex tourism, and -- most tragic of all -- child sex tourism, which affects millions of children each year."

Source:
http://www.desti-nations.net/highlights/release.2004-12-01.7510139053
[Jan 18, 2006]

Milestones on preventing trafficking and child sex tourism

New York, April 21, 2004: Leading US tourism leader Carlson Companies, was the first US company to acknowledge and confront child sex tourism and trafficking. Photo (New York, April 21, 2004), from upper left to right:

HM Queen Silvia of Sweden, Dr. Dawid de Villiers (Deputy Secretary General, UNWTO), Carol Smolenski (Executive Director, ECPAT USA), Carol Bellamy (former Executive Director, UNICEF), Marilyn Carlson Nelson (CEO and President, Carlson Companies Inc.), John Miller (US Department of State, Ambassador John R. Miller, Director, Office to Monitor and Combat Trafficking in Persons).

Tokyo, March 14, 2005: Japan, one of top tourism sending countries, joined in 2005 the global campaign against trafficking and child sex tourism. Photo (Tokyo, March 14, 2005), from upper left to right: Masaaki

Kageshima, (Chairman, Overseas Tour Operators Association of Japan), Dr. Agnes Chan Miling (Ambassador of the Japan Committee for UNICEF), HIH Princess Takamado of Japan, Camelia Tepelus, Code of Conduct Secretariat Coordinator, Ryuji Funayama, (Chairman, JTB Corp.), Yuichiro Honda (UNWTO Regional Support Office for Asia and the Pacific), Junko Miyamoto, (ECPAT Japan Coordinator), Koji Shinmachi (Chairman, Japan Association of Travel Agents, Yoshihisa Togo, Executive Director, Japan Committee for UNICEF.

Appendix D – Responsible shareholders engagement in tourism

CASE STUDY: Working with Marriott to define policies protecting children from sex tourism

This case is probably the first example of successful shareholder activism in tourism. It was compiled from a variety of public sources including press releases, media reports from 2006, as well as using information available to the author from a related project (Tepelus, forthcoming)[9].

Marriott became associated to a violation of international norms on human rights and child labor in 2002, when it emerged that Marriott in Costa Rica was used as a vehicle for an individual involved in the aggravated pimping of minors (Blinch, 2006)[10]. The issue started in 1999, when Costa Rican Supreme Court found an individual guilty, based on testimonies describing how Marriott was used as a vehicle in the process. The court sentenced the man to eight years in prison for aggravated pimping of minors in a child sex tourism network that included receptionists at the San José Marriott (Baue, 2006)[11].

Justification of concern by the shareholders

Each year more than two million children are exploited in the global commercial sex trade, some of them as young as five years old, with the average age of 14. Child sex tourism is the practice of foreigners sexually exploiting children in another country. It is an organized multi-million dollar industry (includes tour guides, websites and brothel maps). Problem countries include Cambodia, Thailand, Costa Rica, Mexico, Dominican Republic, Brazil, India and others. At least 32 countries have extraterritorial laws that allow the prosecution of their citizens for child sex tourism crimes

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9 The case study "Socially responsible shareholders work successfully with Marriott to define policies protecting children from sex tourism" has been included in a paper currently under review for publication: Tepelus, C.M. (forthcoming). Corporate Social Responsibility on Preventing Child Sex Tourism and Trafficking. An Overview of Engagement by the Tourism Sector. *The Protection Project Journal of Human Rights and Civil Society*. Washington, DC: The John Hopkins University Paul H. Nitze School of Advanced International Studies (SAIS).

10 Blinch, J. (2006, December 7). AP1 takes Marriott to task on sex tourism. Global Pensions. Retrieved on July 25, 2007, from http://globalpensions.com/?id=me/17/news/27/41337/33. Global Pensions.

11 Baue, B. (2006, December 11). Marriott combats child sexual exploitation. *Social Funds*. Retrieved on July 25, 2007, from http://www.socialfunds.com/news/article.cgi/2179.html, Social Funds.

committed abroad including the U.S. The risk of being used as a mean by CST perpetrators, but also the central role of travel professionals in preventing such risks have been recognized by several important organizations including the International Labor Organization (ILO), the International Hotel & Restaurant Association (IH&RA) and the Office to Monitor and Combat Trafficking in Persons at the US Department of State. All these institutions have issued reports or statements suggesting that tourism areas may be a source for aggravated demand for child prostitution (ICCR, 2006)[12].

Shareholders' actions

Following the 1999 incidents, Marriott has been excluded from their portfolios by many socially responsible investors, who campaigned for the hotel chain to address and eradicate the problem (Blinch, 2006). For years, some investors have been asking Marriott to recognize the risks of being associated to child exploitation, and to implement preventive measures (GES Investment Services, 2006)[13].

The Swedish Första AP-fonden (AP1)[14], a fund part of the Swedish National Pension System, had been trying to engage Marriott on discussions since 2002 with no response. A first break-through was achieved in late 2005, when a cross-Atlantic coalition of responsible investors was formed to submit a shareholders' resolution to Marriott. The group comprised of Swedish AP1, analysis provider GES Investment Services[15], Norwegian

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12 ICCR. (2006, December 6). Shareholders applaud Marriott International for adopting policy to address the exploitation of children. Retrieved on July 25, 2007, from http://www.iccr.org/news/press_releases/2006/pr_marriott120606.htm. Interfaith Center on Corporate Responsibility.

13 GES Investment Services (2006, December 6). AP1, DnB NOR and GES won Marriott's ear on child sex tourism. *GES Newsletter* December 6, 2006, http://www.gesinvest.com/pages/marknadsbrev.asp?Menu=Press&SubMenu=MBrev&MBId=110. GES Investment Services.

14 Första AP-fonden, AP1, the First Swedish National Pension Fund, is one of five buffer funds in the reformed Swedish national pension system whose mission is to ensure future retirement pensions. At mid-year 2006 Första AP-fonden had assets of SEK 188.2 billion (USD 27 billion) under management (www.ap1.se).

15 GES Investment Services is Northern Europe's leading research and service provider for responsible investments based on international guidelines on environmental, social and governance issues. GES provides analysis and advice to numerous well-known pension funds, banks and other investors managing assets of approximately €130 billion (USD 179 billion) (www.ges-invest.com).

DnB NOR Asset Management (DnB NOR)[16], and US investors Boston Common Asset Management[17], the Interfaith Center on Corporate Responsibility (ICCR)[18] and the Sisters of St. Joseph of Boston[19]. After having hit a "brick wall" with Marriott, AP1 called for a partner versed in US shareholder resolutions. Boston Common Asset Management answered this request and co-led the shareholders' group together with AP1. The resolution[20] submitted to Marriott asks the company to adopt a human

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16 DnB NOR is Norway's largest financial services group with total combined assets of NOK 1600 billion (USD 279 billion). The largest shareholder of Db NOR is the Norwegian government (www.dnbnor.com).

17 Boston Common Asset Management (www.bostoncommonasset.com). is a full-service, employee-owned U.S. social investment firm dedicated to the pursuit of financial return and social change. Boston Common manages approximately USD 800 million in assets.

18 The Interfaith Center on Corporate Responsibility (ICCR) is a faith-based member organization with over 275 institutional investors with a combined portfolio value of about US$ 110 billion (www.iccr.org).

19 Sisters of St. Joseph. (2007). Boston CSJs join with other justice advocates to applaud Marriott International. Retrieved on July 25, 2007, from http://www.csjboston.org/peace.htm. Boston: Sisters of St. Joseph.

20 The full text of the shareholder resolution put forward in 2006 by AP1, DBNor, ICCR, Boston Common Asset Management and advised by GES reads:
"ADOPT HUMAN RIGHTS POLICIES Marriott International.
WHEREAS: We believe transnational corporations operating in countries with repressive governments, weak rule of law, endemic corruption, child exploitation, or poor labor standards face serious risks to their reputation and share value if they are seen as responsible for, or complicit in, human rights violations. We commend our company for developing and implementing a Business Conduct Guide and a Code of Ethics, We remain concerned that Costa Rica, where our company operates, is listed as a country where abuse of children and child prostitution is a serious problem (US Department of State, 2004: http://www.state.gov/g/drl/rls/hrrpt/2004/ 41755.htm). In 1999, two non-governmental organizations (NGOs) – Casa Allianza and Global March Against Child Labour (GMACL) reported on sexual exploitation of minors conducted at several hotels in San José, including the Marriott. Following criminal investigation, a Costa Rican was convicted for aggravated pimping of minors and sentenced to serve eight years in prison. The man appealed the verdict to the Supreme Court (GMACL, 1999: Casa Allianza, 1999). In 2002 the Supreme Court in San José dismissed the defendant's appeal. A sworn witness' statement from the trial elucidated the network comprised of hotel receptionists – including Marriott receptionists (Agencia tercera Fiscal de San José, 1997). Victims reported having been brought to clients in the Marriott and other San José hotels (Poder Judicial, 1997; GMACL. 1999). In 2003, ECPAT, the World Tourism Organization initiated project funded by the United Nations Children's Fund, created a "Code of Conduct for the Protection of Children from Sexual Exploitation in travel and Tourism" (http://www.thecode.org/), applying to suppliers of tourism services worldwide. In 1996 the International Hotel & Restaurant Association (IH&RA), recognizing that child sex abusers may attempt to use hotels as the location where they commit their crimes, passed a resolution condemning the sexual exploitation of children and recommending all members to consider measures to prevent use of their premises for the Protecton of Children from Sexual Exploitation in Travel & Tourism. ("Health & Society: Combating the

rights policy including protection of children from exploitation and to provide training of employees on the policy.

Members of the investor coalition explained in different ways their interest in mobilizing Marriott to act against child sex tourism. Lauren Compere of Boston Common pointed out: 'the pension funds in Europe have a conventions-based approach; they generally look at potential violators of international codes and norms, and Marriott fit the bill because of the Costa Rica case'[21]. William af Sandeberg, CEO and president of AP1 stated: 'as shareholders we are concerned about the risks of companies in the tourism and travel industry being associated with or used as a means in child sex tourism. These risks and the central role of travel professionals in preventing such risks have been recognized by several important organizations and we believe addressing these matters is material to companies in the industry […] according to our ownership policy, we have a clear mandate to ensure that fundamental human rights are respected. We believe that a company associated with incidents of child sex tourism could suffer substantial negative impact in terms of reputation and adverse publicity. Thus we believe that addressing these matters is material to Marriott International, and in line with best practice, which is why we filed a resolution in the first place' (ICCR, 2006).

Commercial Sexual Exploitation of Children", IH&RA) Marriott is a member of the IH&RA. Signatories to the Code include Carlson hotels and Accor Hotels. We believe significant commercial advantages may accrue to our company by adopting a comprehensive human rights policy which would serve to enhance corporate reputation, improve community and stakeholders relations, and reduce risk of adverse publicity, consumer boycotts, divestment campaigns and lawsuits.

RESOLVED: The shareholders request the Board of Directors to adopt a policy prohibiting the sexual exploitation of minors on Marriott premises, and to prepare a report by December 2006 and made available to shareholders concerning the implementation of this policy, prepared at reasonable cost and omitting proprietary information.

SUPPORTING STATEMENT: We believe our company's human rights policy should be comprehensive, transparent, verifiable and based on the provisions contained in the "Code of Conduct for the Protection of Children from Sexual Exploitation in Travel and Tourism" and provide training of all Marriott employees on the policy." The document is available from World Business Council for Sustainable Development, "Marriott Combats Child Sexual Exploitation", http://www.wbcsd.org/plugins/DocSearch/details.asp?type=DocDet&ObjectId=MjIwNzg, (accessed July 25, 2007)

[21] Humantrafficking.org (2006). "Marriott Hotel Chain Combats Child Sexual Exploitation", Dec 18, 2006, http://www.humantrafficking.org/updates/494, (accessed July 25, 2007).

Rev. David M. Schilling, director of the Global Corporate Accountability Program at the Interfaith Center on Corporate Responsibility (ICCR) in New York City commented: 'as faith-based investors, who are also involved on the ground in prevention efforts and in the after care of children who have been abused in many […] countries, we believe that the tourism industry can play a critical role in preventing this egregious human rights violation '(Humantrafficking.org, 2006).

The response of Marriott

Marriott asked for the withdrawal of the resolution on the condition that the company would work on the issue during 2006 (GES, 2006).

In December 2006, the filers announced the results of their engagement: Marriott revised its Human Rights Policy to explicitly address the sexual exploitation of children. Lauren Compere, Boston Common's director of shareholder advocacy noted: 'once the resolution was filed, Marriott was extremely responsive -by the time we met with them in March [n.a. 2006], they had formed a Human Rights Task Force of nine high-ranking executives and done a great deal of work internally.'

At the first meeting, Ms. Compere also asked what Marriott was doing on the ground to combat CST, and the task force members did not know. Ms Compere observed: 'one of the first things the task force did was send out an inquiry to their global operations seeking active models and initiatives to base their response on.' Over the course of 2006, the shareholder group has met three times with members of Marriott's Human Rights Task Force comprised of senior officials in the organization across the areas of human resources, compliance, public affairs and international lodging operations. The Task Force was specifically formed to address this issue throughout Marriott's global operations. In October 2006 the group met with the company in New York to discuss a draft of their revised Human Rights policy, including a new section on the Protection of Children, which was approved in November by the board and published on the Marriott website (Blinch, 2006). Marriott has already begun employee awareness and training on this new policy at all levels of the organization from the most senior level down to the front line personnel through a variety of communications. Carina Silberg, Research Analyst of GES Investment Services, who co-lead the shareholder group together with Lauren Compere of Boston Common added: 'Marriott also informed us that they had already begun employee awareness and training on this new policy at all levels of the organization from the most senior level down to the front line personnel through a

variety of communications. In addition, the company is also taking a leadership role in the International Business Leaders Forum that is working on an industry-wide initiative to prevent child sex tourism.' Marriott also started including in all pre-arrival email messages (20 million messages are sent by Marriott each year to registered guests), the Responsible Tourist and Traveler brochure developed by the United Nations World Tourism Organization which includes a message about not engaging in child sex tourism. Additionally, Marriott has encouraged all their sites to look for specific partnerships to address this issue within the communities that they are working, including youth employment training programs (ICCR, 2006).

Outcomes

The shareholder resolution filers, led by Boston Common Asset and AP1 withdrew the resolution early 2006 when Marriott agreed to dialogue. During the first week of December 2006, the filers announced the results of their engagement and the revision of Marriott's Human Rights Policy to explicitly address the sexual exploitation of children (Baue, 2006). William af Sandeberg, CEO and President of AP1 remarked: 'When Marriott opened up for a constructive dialogue with the shareholder group and showed its commitment through the creation of a senior management task force we had no problem with withdrawing the resolution, on the contrary. It is our firm belief that a collaborative approach is a much better way of addressing this kind of issues than a confrontational one.' GES now deems Marriott's actions adequate enough to qualify for a revision of their prior classification and therefore recommends its clients to re-include the company in their investment universe (GES, 2006). Other investors such as the Norwegian Kommunal Landspensjonskasse (KLP) also announced including again Marriott in their investment portfolios (Gaarder, 2007)[22], after having excluded the company since 2003 for breaches of the UN Convention of the Rights of the Child (Kommunal Landspansjonskasse, 2006)[23].

Discussion

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22 Gaarder, P. (2007, January 19). Lack of transparency in ethical practice. Norwatch. Retrieved on July 25, 2007, from http://www.norwatch.no/index.php?artikkelid=1554&back=1. Norwatch.

23 Kommunal Landspensjonskasse, (2006, March 10). General Motors and Marriott excluded from KLP's Investments. Nike back in again. Press Release. Retrieved on July 25, 2007, from, http://www.klp.no/Internett/klpengcms.nsf/($All)/D7B413B48AA29523C125707C00319E37. Kommunal Landspensjonskasse.

Marriott's response to the resolution has been welcomed and appreciated both by the filing shareholders, as well as by other activists. Carina Silberg, Research Analyst of GES Investment Services of Sweden declared: 'we commend Marriott for following through on their pledge to develop a policy to address the issue of the sexual exploitation of children as part of our agreement to withdraw the shareholder resolution that we filed on behalf of our clients at the end of 2005'. Boston Common Director of Shareholder Advocacy Lauren Compere stated: 'we believe that Marriott has demonstrated a sincere commitment to addressing the issue of the sexual exploitation of children from a risk management and corporate responsibility perspective; […] we hope that other hotel chains and other companies involved in the tourism industry will take up this issue with the same leadership that Marriott has' (ICCR, 2006).

Torkild Varran, Chief Investment Officer of DnB NOR added: 'we encourage constructive dialogue with firms and the Marriott case is a good example of that. In our view, the outcome is clearly a win-win situation benefiting the fight against child sex tourism as well as the reputation and attractiveness of Marriott as a long term investment' (GES, 2006). Magnus Furugård, President of Swedish GES Investment Services, which provides analysis and advice to numerous well-known institutional investors, comments on the significance of the dialogue with Marriott: 'this case story contains many of the key ingredients we believe are vital for a successful active engagement with companies: powerful partnerships, constructive dialogue and smooth cooperation. This is a major achievement for all our clients on whose mandate we are acting'. Other activists also remarked on the importance of the step taken by Marriott, but noted also the difficulties on engaging the industry on this issue. David Batstone, a professor and anti-trafficking social activist and author of "Not for Sale: The Return of the Global Slave Trade and How We Can Fight It" (Harper Collins), commented: 'the reason I am enthused about this corporate commitment is that most major hotel chains have dragged their feet to make a public stand against sex trafficking – it's almost as if they are afraid to draw too much attention to the crisis, and thereby be identified as a site of exploitation; [...] their silence, however, is damning, as we will never offer serious resistance to sex trafficking if the tourist industry does not get involved in a major way – it's that simple, and urgent' (Baue, 2006).

ECPAT USA, a non-profit group working in the US since 1996 against sexual exploitation of children in tourism joined the groups congratulating Marriott, but also pointed out to the unfulfilled expectation of the company

signing the Code of Conduct that was recommended in the resolution and promoted by ECPAT USA: 'ECPAT USA welcomes the revised policy documents of Marriott as a promising start towards engaging the company in the protection of children from sex tourism. Major US companies that have recognized the importance of this issue include industry leader Carlson Companies and ASTA, that signed the Code of Conduct in 2004' (ECPAT USA, 2006)[24].

In this regard, and specifically concerning the Code of Conduct, Lauren Compere of Boston Common Asset noted: 'we will continue to push Marriott on expanding their efforts in this area [of child sex tourism] and monitor the implementation of their policy but we feel that Marriott has taken a huge step in adopting appropriate policies and procedures to address the exploitation of children within their sphere of influence (GES, 2006); […] Marriott is a core holding for us, and we know the company has never adopted a "off the shelf" code of conduct; [...] implementing the Code was our first ask, but we came to realize the company was going to make the policy their own, so we pushed as hard as possible to make sure they incorporated elements of the Code into their policy'. Strengths of the Marriott activities according to Mr. Batstone are the educational elements, especially the training of employees to recognize warning signs of potential CST activity. Mr. Batstone also points out also the limitations of the course of action that Marriott pursued: 'its weakness, on the other hand, is that it does not set up clear channels for monitoring and reporting trafficking abuses; […] it could go a step further to offer employee training in the protocol for reporting sex trafficking first to the public justice system; […] taken in isolation, corporate policies like the one that Marriott has developed in partnership with NGOs will not deliver the total solution to child slavery, but each advance in policy and public awareness builds an environment wherein kidnapping children from their homes and forcing them to heinous acts will not be tolerated'.

Results and further action

Following the experience in negotiating with Marriott on this issue, ICCR, a coalition of 275 faith-based institutional investors and socially responsible

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[24] ECPAT USA. (2006, December 15). ECPAT USA applauds Marriot for revising its human rights policy to explicitly address the sexual exploitation of children. Retrieved, July 25, 2007 from http://www.ecpatusa.org/newsletter.asp?id=108&pass=1. ECPAT USA.

investing (SRI) firms proceeded to coordinate a broader campaign with travel and tourism companies on the issue. David Schilling, program director on human rights at ICCR remarked that shareholder resolutions on human rights issues are undesirable from a corporate perspective: 'companies do not want to see a resolution on their ballot that raises the issue of child sexual exploitation because it is such an egregious violation of children's human rights; […]we learned through our engagement with Marriott that we could have a real impact and a quick turnaround on this issue, and we anticipate that being the case with other travel companies; […] we want to address this in a systematic way giving companies -whether it's hotels such as Hilton or Starwood, or cruise lines such as Royal Caribbean or Carnival – opportunities to respond; […] if there's no response or if the response is insufficient, then we would move forward with a shareholder resolution' (Baue, 2006).

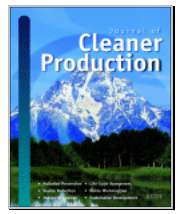
Regarding continuing in the future similar campaigns, ICCR adds: […]*'* this is such a critical issue for ICCR members that we will be expanding our efforts to engage other hotel chains, travel agencies and airlines over the next few years' (ICCR, 2006).

ICCR continues in 2007 their activism on the issue of protecting children's rights in tourism, and launched a campaign of letter writing and proposals of shareholder resolutions to other tourism companies including: Starwood Hotels & Resorts Worldwide, Inc., Wyndham Worldwide Corp., Host Hotels & Resors, Inc., Choice Hotels, Carnival Corporation Inc. (email communication, Nadira Narine, ICCR, Aug 14, 2007).

APPENDED PAPERS

ARTICLE I

Tepelus, C. (2005). Aiming for sustainability in the tour operating business. *Journal of Cleaner Production*, ***13***, 2, 99 - 107.



ARTICLE II

Tepelus, C., Castro Córdoba, R. (2005). Recognition schemes in tourism – from 'eco' to 'sustainability'? *Journal of Cleaner Production*, ***13***, 2, 135 - 140.

ARTICLE III

Tepelus, C. (2007). Sustainability in ecotourism supply chains: Evidence from cases of Swedish ecotourism packages to Peru and to Nepal-Bhutan. *The International Journal of Environmental, Cultural, Economic and Social Sustainability, **3**,* 4, 87 - 98.

ARTICLE IV

Tepelus, C. (2008). Reviewing the IYE and WSSD processes and impacts on the tourism sustainability agenda. *Journal of Ecotourism. **7***, 1, 77 - 86.

ARTICLE V (BOOK CHAPTER)

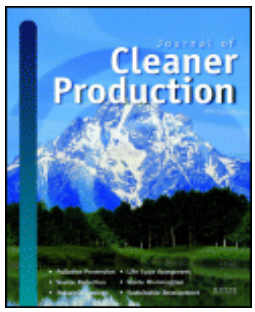
Tepelus C. (2006). A model for multi-stakeholder partnerships on human rights in tourism. In J. Jonker & M. de Witte (Eds.) *Management Models for Corporate Social Responsibility*. Ch. 10, pp.82-89. Heidelberg: Springer.

ARTICLE VI

Tepelus, C. (2007). Social responsibility and innovation on trafficking and child sex tourism: Morphing of practice into sustainable tourism policies? *Tourism and Hospitality Research, **8**,* 2, 98 - 115.

Paper I

Tepelus, C. (2005). Aiming for sustainability in the tour operating business. *Journal of Cleaner Production*, ***13***, 2, 99 -107.



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Aiming for sustainability in the tour operating business

Camelia Monica Tepelus *

International Institute for Industrial Environmental Economics, Lund University, P.O. BOX 196, 221 00 Lund, Sweden

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Abstract

Indications of what the tour-operating sector considers to be 'good practice' can be drawn from voluntary initiatives such as existing eco-labels and codes of conduct. However, practical implementation of such guidance varies greatly from one tour operator to another, depending on different types of factors, such as size, financial capacity, corporate structure, operational location, organizational culture, ownership type, etc.

This paper investigates the dimensions of what is currently referred to as 'good practice' in the tour operating industry, with the aim of exploring their comprehensiveness and sufficiency as tools for making mass tourism a more sustainable business.
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Keywords: Sustainable mass tourism; Tour operators; Good practices

1. Introduction

As powerful intermediaries, tour operators play a central role in the tourism supply chain. Even though awareness among tour operators of the consequences of their activities (environmental, economic and social) exists, implementation of actions towards improved performance is still only beginning [1].

Considering their crucial role as links between the supply and the demand of tourism services, there are relatively few institutionalised efforts engaging the tour-operating sector into coordinated action for making mass tourism a more sustainable business.

One of the first international partnerships operating worldwide that aims specifically at sustainability in the tour-operating sector is the 'Tour Operators' Initiative for Sustainable Tourism Development' (TOI). Launched in March 2000 at the International Tourism Bourse in Berlin, TOI was 'created by tour operators for tour operators' [2], with the support of the United Nations Environment Programme, United Nations Educational Scientific and Cultural Organisation and World Tourism Organisation. It has been designed to address both community and industry concerns about the complex impacts of tourism and also to help tour operators understand that moving towards sustainable tourism is not a threat to tourism, but rather a means of securing its growth and prosperity in the future.

At the time of writing, TOI had over 20 registered signatories (specified in Table 1), of a heterogeneous nature: both big and small tour operators, mainly European but also from Asia, Africa and US. By its constitution, TOI is open to all tour operators, regardless of size and geographical location. The central objectives of TOI are:

1. To advance the sustainable development and management of tourism;
2. To encourage tour operators to make a corporate commitment to sustainable development and to make considerations for environmental, cultural and social impacts an integral part of the design and operation of their tours and of the conduct of their business activities.

2. Methodology

In November 2000 at the World Travel Market in London, TOI presented a summary of 'good practice' case studies collected under the title 'Good Practice in

* Tel.: +34-65-255-6971; fax: +34-91-571-3733.
E-mail address: camelia.tepelus@iiiee.lu.se (C.M. Tepelus).

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Table 1
Description of 'good practices' adopted the tour operator members of the Tour Operators Initiative for Sustainable Tourism Development

Tour operator	Number of tourists in 1999	'Good practice' approach (summary)	Benefits from the tour operator's perspective
Accor Tours (France)	278 000	Production of information leaflets on diving; training courses on environmental management of resources.	Cooperation with NAUSICAA, in order to establish a future quality charter for diving centres.
Andante Travels (UK)	1000	Production of 'Responsible Tourism Guidelines for Travelers'—an awareness raising leaflet developed in collaboration with the Association of Independent Tour Operators.	Respect from the travelers for the local cultures, avoiding the environmental impacts, enhancing the understanding of tourists upon the cultures they encounter, etc.
Hapag-Lloyd Kreuzfharten (Germany)	43 000	Environmental information compiled into a 'Handbook to Polar Travelers' and presented to tourists. Lectures given during the cruises.	Advertisement for the high standard of HKL cruises.
Premier Tours (USA)	1000	Designs tours using environmental criteria in selecting accommodation in Africa and based on local community involvement. Investing in environmental projects such as solar powered electricity, proper waste management, etc. Setting up a trust fund in which it is set aside $ 25/guest, for solving conservation and wildlife related problems	Increased repeat and referral business caused by the improved experiences of the guests.
Studiosus (Germany)	100 000 (500 destinations)	All employees signed a 'Declaration of Commitment' including goals related to reduction of transportation. 'Stop the Engine Campaign'. EMS certified in 1998. Environmental questionnaires sent to suppliers and feedback is collected from customers. An environmental audit was planned, followed by publishing of a report.	Very positive improvements in the company public image, reflected in newspapers articles and magazines. Positive feedback from the tour guides. Improved environmental and social sensitivity of the suppliers and business partners.
I Viaggi del Ventaglio (Italy)	330 000	Donates $ 1/bed/night to the Ministry of Tourism in the Dominican Republic. The money is earmarked for projects restoring local houses, conserving the ecosystem and promoting local development.	Strengthening good working relationships with the local authorities.
Travel Walji's	8000	Supports interest free loans for hotel building. Educates tourists about local development projects. Offers environmental training for guides. Hires local workforce.	Preservation of the local environment and cultural heritage. Changed attitude of the local community towards the company.
Vasco Travel	70 000	Has a certified ISO 9002 quality system. Work together with German consultants who are training the personnel about their key role as mediators in the intercultural learning process. Customers are giving feedback through questionnaires.	Improved quality of the services that the personnel provide. Facilitation of intercultural learning.
British Airways Holidays		Undertook a Life Cycle Assessment of tourism products into one of its major destinations, the Seychelles. The actual life-cycle assessments were undertaken by the UK Center for Economic Development. The results were presented to the local stakeholders and published.	Environmental improvements and better quality holidays. Benefits for the local decision making process.
ITS Reisen	1 500 000	Campaign to help hotels improve their environmental management. Production of a brochure, giving technical information upon practical measures to be implemented.	Improvement in the environmental management of the contracted hotels.

Table 1 (*continued*)

Tour operator	Number of tourists in 1999	'Good practice' approach (summary)	Benefits from the tour operator's perspective
Japan Travel Bureau (JTB World Vacations Inc.)	2 500 000	Issued the 'Look JTB Pledge'—a public commitment to improve environmental performance.	By implementing the EMS, a 9% reduction in electricity consumption and a 21% reduction in paper use were achieved, compared to the previous year. (The cost of preparing the EMS was $ 25 000.)
		Introduced an environmental management system, which was ISO 14001 certified.	
Finnair Travel Services	300 000	Introduced environmental criteria in the contracts with their suppliers.	Accommodation suppliers gain competitive advantage and achieve cost savings.
		Created an environmental classification system for the hotels. The company developed their own code of conduct.	
Thomson Travel Group	7 000 000 (1 500 000 tourists of FritidsResor)	Works with ECPAT for combating the commercial sexual exploitation of children.	Increased credibility in the commitment of the company to the development of sustainable tourism.
		Drafted together with ECPAT a Code of Conduct for tour operators in relation to child prostitution and tourism. Trains the staff and informs the tourists through brochures, leaflets and the company web site. Includes in the contracts with suppliers.	
TUI Group	12 900 000	Designed a web page tailored to the needs of destinations, local authorities, tourism experts and NGOs. The web site included and interactive environmental checklist for hotels.	Improved communication with environmentally aware stakeholders.
Orizzonti	180 000	Launched their environmental program 'Care of the Environment' which includes environmental checklists for the hotels and catering accommodations.	Creation of greater awareness among stakeholders.
		A customer feedback form is distributed with the travel documents.	The company received positive press coverage for its action.
Scandinavian Leisure Group	2 000 000	Developed an environmental action plan based on the WWF/Tourism Concern principles for sustainable tourism.	Environmental impact of tour packages was reduced, by highlighting regional information on the availability of resources and handling of waste.
		Carries out audits for the hotels.	Increased customers awareness.
		Performs destination audits in collaboration with the local authorities at the destination.	Improved relations with the local authorities.

Source: Synthesized by the author from [3].

Sustainable Tourism' [3]. This paper uses this information as the primary input data for investigating the dimensions of what is currently referred to as 'good practice' towards sustainability in the tour operating industry. Complementary to this, a survey [4] carried out on the same sample of tour operators in 2000 was used as background for a deeper interpretation of the information extracted from the collection of 'good practice' study-cases mentioned before.

The analysis is undertaken in order to assess whether reoccurring patterns of action specific for the tour operating business can be found, as well as for identification of potential gaps in the 'good practice' approaches undertaken by the tour operators in the selected sample.

The relevance of listing and scrutinizing 'good practice' experiences of tour operators members of TOI derives from the following factors:

- the comprehensive geographical coverage allowed by the selection of the tour operators sample;
- the wide variety of organizational capacity displayed by the tour operators in the Initiative;
- the declared willingness of tour operators selected for analysis, to advance and implement more sustainable practices in mass tourism.

This approach will also allow a better understanding of how 'good practice' in the tour-operating sector is currently perceived and applied at a corporate level by a sample of what is very likely to be a collection of the

most environmentally pro-active and committed tour operators worldwide. Special attention will be paid in the analysis to the correlations between the specific corporate factors and the way they influence the implementation of a particular 'good practice' approach.

The comments and recommendations arising from this analysis are not to be regarded as specifically addressing those tour operators who are members of the Initiative, but rather as targeting the tour-operating sector in general.

3. The tour operating business and the concept of sustainable tourism

A peculiarity for tourism is that the different components of the typical mass-tourism service—accommodation, transport, excursions and entertainment—can be bought separately directly from their producers, without being necessarily linked together. That would make for a tremendous number of service suppliers, trying to accommodate separate, individual requests from an even greater number of tourists.

However, this situation does not happen very often. As the linkages and the distribution channels between the suppliers of tourism services and the final customers are imperfect, it is precisely the tour operators' role to use their know-how and resources for bringing buyers and sellers together and to 'package' the main components of a tourist trip into a single product, sold at one price, directly or through other travel agents.

A clear distinction has to be made between tour operators and travel agents. Even though their functions often blur and overlap [5], generally, travel agents are retailers who sell airline tickets and 'off-the-shelf' packages put together by tour operators. Tour operators are classified as wholesalers, although they sell both to travel agents and directly to the public. The general case is that due to their high purchasing power, large tour operators can negotiate cheaper arrangements with the service providers, and they are also more capable of responding to the public demands by incorporating many different options in their package offers.

Much of the work of tour operators is related to providing a single destination inclusive or package holidays. The European Union Travel Directive [6], adopted in 1990, defined a package as a pre-arranged combination of at least two of the following: transport, accommodation, and other significant tourist services.

In addition, the package has to be sold at an inclusive price and has to cover a period of more than 24 h or include overnight accommodation. Cooper et al. [7] give a useful and simple definition for the package holiday, as 'the process of combining aircraft seats and beds in hotels (or other forms of accommodation), in a manner that will make the purchase price attractive to potential holidaymakers'.

Even though principles of tour operating are easy to follow, the practicalities of the tour-operating cycle requires careful planning, preparation and coordination. These considerations, correlated with the fact that the economy of the tour operating business typically allows operating profits of 2–5% [8], explain why the environmental work in the tour operating business is lagging so far behind similar efforts in other industries [1,4].

The question this paper is concerned with is how to make the tour operating business more sustainable, and implicitly the mass tourism sector. Sustainable tourism, in general, is a relatively new field of study [9]. According to Clarke [10], the earliest use of the term 'sustainable tourism' saw mass tourism as the opposite of sustainable tourism. Sustainable tourism was understood to be pulling away from mass tourism, which served as a 'point of repulsion'. The negative impacts were usually attributed only to mass tourism, while sustainable tourism was considered to be a 'small scale solution', struggling with a 'macro-problem'.

The 'conflict' between mass tourism and sustainable tourism evolved from 'polar opposites' towards 'convergence' [11], which is the concept suggesting that all types of tourism can strive to be sustainable. This research also supports the idea of 'convergence', specifically that tour operators practicing mass tourism can and should strive continuously towards sustainability. Evolution of academic thinking on the concept of sustainable tourism according to Swarbrooke [11] is graphically presented in Fig. 1.

The following classification of tourism operators is not meant necessarily to describe the tour operators that constitute the object of study of this paper, however, it gives a picture of the range of different types of corporate behaviour in tourism in general. According to their level of involvement with national environmental, and social concerns and issues, Ziffer [12] describes four basic groupings of tourism operators:

- *Opportunistic*: these suppliers are simply 'selling nature', having identified a new, lucrative market, and

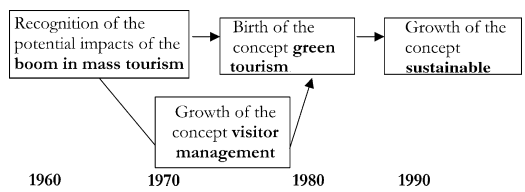

Fig. 1. Evolution of the concept of sustainable tourism. *Source*: [11].

are generally unaware of, or unconcerned about, environmental and cultural impacts.
- *Sensitive*: this group is aware of host country concerns and consequently designs low-impact trips. However, profit continues to be their main motivation.
- *Constructive*: these operators donate a portion of their revenue to local environmental or community causes.
- *Pro-active*: this group comprises those tour operators who play a decisive role in conserving and improving the areas they visit, for example, by initiating projects with non-profit affiliates; a substantial part of their profit is put into preservation funds.

These types of corporate behaviour translate into a wide range of 'good practices' that tour operators have adopted, in order to demonstrate their commitment to improve.

4. Findings and analysis

The idea of displaying and promoting 'good practice' case studies as stimuli for the adoption of more sustainable production patterns is not new. Rather than showing 'the way' to do things, industries moved a long time ago to more sophisticated, flexible and holistic approaches on how to promote corporate responsibility. However, compared to other sectors, the tourism industry, and particularly the tour operating branch, is just at the very first steps towards real action for improvement of their environmental performance.

4.1. Current 'good practices' in the tour-operating sector

Good practice in the tour-operating sector takes many different forms today [13]:

- *Grants*: the Italian operator I Viaggi di Ventaglio makes donations to an orphanage and old people's home in Matanzas (Cuba) and subsidizes repainting traditional houses in Bayahibe (Dominican Republic); Everest Express Tours & Travels sponsors education for children, etc.
- *Provision of information to the tourists*: Orizzonti (Italy) created a programme ('Attenzione per l'Ambiente'—Attention for the Environment) to provide clients with advice on behavioural practices showing respect for the local cultures.
- *Internal codes of conduct and training*: case of JTB (Japan), Vasco Travel Agency (Turkey), United Touring (Fiji), etc.
- Cooperation with environmentally pro-active NGOs (case of Hapag-Lloyd Kreuzfharten), international codes and projects such as ECPAT, UNESCO World Heritage Projects (case of Thomson Travel Group), etc.
- *Projects for improving local living conditions*: Studiosus (Germany) is involved in projects against child prostitution and projects for creation of schools in Thailand, etc.
- *Creation of complex tourist products* '*designed for environment*': such as 'The Blue Village' concept developed by FritidsResor (Sweden).

The way different tour operators implement these types of actions depends on a complex series of factors such as size, awareness, ownership structure, top management commitment, corporate organization, corporate culture, organizational context, market positioning and many others. Table 1 offers a reflection of the 'good practices' presented by the tour operator members of TOI. Without being a set of 'recipes' for sustainability in tourism, these study cases allow a snapshot analysis of how tour operators today are viewing their possibilities for action towards a more sustainable mass tourism. Out of the examples presented, it can be seen that most of the 'good practice' cases can be polarized into clusters, according to the type of approach that was chosen. The main areas of action can be classified as follows.

4.1.1. Information

Tour operators' efforts are concentrating on providing information: to tourists, on the one hand, and to the staff, on the other. A wide range of materials such as leaflets, travel brochures, environmental reports, etc. is being produced by the tour operators themselves, and/or in collaboration with consultants, scientific organizations, NGOs, academia, etc. The information incorporated in these materials varies in terms of quantity, quality and degree of complexity.

These materials are made available to the customers and staff, but the tour operator does not necessarily pursue to actively stimulate the involvement of staff or tourists' in the process of change towards more environmentally sustainable practices.

4.1.2. Education

Tour operators are investing human and financial resources into actively educating their customers and/or staff, through various methods such as courses, training seminars and workshops etc., designed with the purpose of changing behaviour towards less environmentally negative practices, both in the selling of the service (for the staff), and in consuming the tourism product (for the tourists). These efforts are organized on a permanent basis, reoccurring periodically throughout the 'production cycle' of the tourist service.

4.1.3. Definition of 'tour operator-tailored' environmental criteria

The tour operator is engaged in defining environmental performance criteria for the facilities used, most commonly for hotels. Specific measures (usually related to water and energy savings) are being implemented, and the results are monitored on a continuous basis. These steps can lead the tour operator towards the creation of their own environmental classification system. The output of this classification is made available to the potential customers at the time of purchase, allowing the tourists to make an informed and responsible decision regarding their choice of accommodation.

4.1.4. Environmental management work

A relatively small number of tour operators started their environmental work taking the approach that other industries initiated a long time ago, that of implementing an environmental management system (EMS). Furthermore, it is only in exceptional cases that tour operators with improved organizational ability have reported pursuing the EMS certification according to the ISO 14001 standard.

4.1.5. Environmental or social investments

Setting aside funds for environmental or social activities is particularly difficult in the tour operating business, due to the operating margins of profit, which are extremely low. And still some tour operators choose this way to express their commitment to improve their environmental and social performance at destinations. Specifically, the environmental or social investments refer to grants, additional fees charged per tourist, and earmarked funds for projects related to conservation, promotion of local development projects, ecosystem preservation, etc. Fig. 2 reflects the summary of findings on the selected sample of tour operators.

4.2. Drivers, barriers and implementation gaps for good practice in mass tourism

Additional detailed information confirmed by in-depth interviews would be necessary for establishing a clear correlation between the size of a tour operator and the particular method that was chosen to reflect commitment to more sustainable tourism practices. However, the data contained in Table 1, complemented by a previous survey and interviews covering the same sample of tour operators [7], offer insight into the reasons behind choosing these specific practices.

The following three factors appear to have acted as motivators for the 'good practices' undertaken by the tour operators surveyed.

4.2.1. Potential for the improvement of the corporate public image, facilitating product and corporate differentiation

A reliable and trustworthy image is an important competitive advantage for a market increasingly demanding quality and status. Currently, it is difficult for the tourists to distinguish among the many holiday choices available in glossy catalogues of tour operators. Specific information on tour operators' involvement in issues such as socio-cultural development projects in destinations, or efforts for conservation of particular sites, etc., can contribute to the creation of a unique holiday product that may stand out from the variety of look-alike choices available. Making public the 'good practices' serves as a tool helping to build a unique image, differentiating a tour operator from its competi-

Focus areas for 'good practices'	Number of tourists (1999)			
	Up to 10.000	10.000-150.000	150.000-1.000.000	Over 1.000.000
Environmental Investments	XX		X	
EMS work	X	XX		X
Definition of environmental criteria	X	X	X	XXXX
Education	X	XXX	X	XXX
Provision of information	XX	X	X	XXXX

Fig. 2. Summary of findings on 'good practice' approaches undertaken by tour operator members of the Tour Operators Initiative for Sustainable Tourism Development. *Note*: 'X' stands for one tour operator expressing efforts in the corresponding 'good practice' area.

tors. By simply providing information on sustainable development projects at its destinations, a tour operator can differentiate itself from the negative connotations often associated with mass tourism in general.

4.2.2. Response to a growing general awareness of environmental, social and economic impacts of tourism

Research by Cooper et al. [7] suggests that the new consumer of tourism is increasingly knowledgeable, discerning, seeking participation and—in the developed countries—is increasingly coming from an older age group. Based on these characteristics, provision of adequate information upon the performance of a certain holiday package would facilitate the choice between two apparently similar holidays.

While motivation for travelling is moving away from 'passive sunlust' to educational and curiosity motives [7], tour operators will have to adapt their offer to these changes. Information on 'good practices' related to involvement in community development projects, protection of natural and cultural heritage, etc. may contribute to the appeal of a certain holiday package.

Another stakeholder showing increasing attention to the tour operating activities is media. Press coverage of stories connected mainly with undesirable practices arising from tourism (such as over-exploitation of natural resources, prostitution, etc.) contributes to the creation of an image, which is often presented as being mainly negative for mass tourism. Equally noticeable positive economic effects on destinations (such as job creation, welfare, etc.) often remain, unfortunately, unexposed to the public.

4.2.3. Improved overall managerial practices

Interviewed tour operators from Sweden and Germany confirmed the observation of 'collateral' benefits generated from the implementation and promotion of good practices inside and outside the organization. These additional benefits derive from improved accountability and from inducing within the organization a sense of involvement and responsibility, and they include:

- Demonstration to the employees top management commitment for performance improvement and for transparency;
- Active promotion of employees' motivation for improved performance;
- Facilitation of supply chain management processes;
- Attraction of investors;
- Cost reductions associated with energy and water savings; and
- Increased shareholder value.

However, as tourism operators move towards more sustainable practices, interviews revealed concerns regarding the potential for disappointing a range of clients expressing feelings that their holiday mood may be spoiled by reminders of their individual environmental responsibility. As environmental management practices may require changes in tourists' behaviour, this concern may be legitimate in certain cases; however, such concern tends to be overstated by the industry. A review of the apprehensions expressed by the tour operators interviewed includes the following concerns:

- the potential exposure to uncomfortable questions from the media and other pressure groups;
- the difficulty in covering costs associated with monitoring, collection and interpretation of information;
- the perception of the environmental, social and economic impacts of the tour operating business as not being significant for the communities at destinations; and
- the perception on the responsibility for the impacts produced through tourism as belonging to other stakeholders.

The main gaps found in the range of good practices used by the tour operator members of TOI refer to the use of voluntary instruments such as eco-labels and codes of conduct, as well as the lack of development of certified environmental management systems at the corporate level. The fact that none of the tour operators surveyed mentioned working with eco-labels or codes of conduct for improvement of their performance suggests that such existing instruments did not appeal so far to the tour-operating sector. Programmatic documents such as the Global Code of Ethics for Tourism (developed by the World Tourism Organisation), or Agenda 21 for the Travel and Tourism Industry (WTO, WTTC, The Earth Council) were not nominated in relation to efforts towards a more sustainable tourism.

It is an indication on the lack of credibility and the confusion generated by the excessive proliferation of voluntary initiatives such as eco-labels and codes of conduct in tourism. Back in 1995, UNEP was assessing no less than 30 codes of conduct, followed by another 28 labelling schemes in 1998. For the Nordic countries alone, no less than 17 labelling programmes and another five were in progress in 1999—according to a study [14] performed by a Danish consultancy together with the Helsinki School of Business Economics and Administration (Finland) and the International Institute for Industrial Environmental Economics (Sweden). This situation today confirms the warning message that UNEP [15] has been sending out ever since 1995: too many codes are as dangerous as too few, and duplication of codes could result in confusion rather than purposeful action.

Regarding the current practice of implementing EMS, it is difficult to estimate from the existing information the reasons why tour operators did not embrace this approach on a larger scale. Lack of awareness and lack of public demand are likely to be among the reasons. A major obstacle especially for the small and medium sized tour operators certainly refers to the costs involved with obtaining certifications such as ISO 14001 (see Table 1, the case of Japan Travel Bureau).

4.3. Suggestions for further study

Arguments used to promote good practices and sustainable development in the tourism sector have to take into consideration the particularities of the tour operating business, as well as previous experiences of implementation of environmental management practices in other industries. While tour operators are generally aware about the potentially negative consequences of their activities, they are mostly reluctant to act towards diminishing them, unless immediate positive economic outcomes can be anticipated. These outcomes can be either direct such as saving of costs (such as energy, water, etc.) or of an indirect, but not of less significant value, such as improved public image. In this sense, further research efforts should go into underlining the link between sustainability, cost effective operations and marketing, as well as on how tour operators should approach these issues with a view of long term economic development. Moreover, as tourism is an information-intensive industry in which the information communication technologies (ICT) are already playing a significant role, research has to dig deeper into identifying ICT tools for tourism sustainability.

Overall, the observation arising mostly from the interviews carried out is that the idea of 'good practice' has to evolve at the practitioners' level from being a separate, exceptional circumstance, to becoming an integral part of a holistic process of quality enhancement in tourism. While previous research investigated this possibility [16], tour operators' efforts in this direction should be given proper support and recognition both from academia and local communities at destinations.

5. Conclusions

Significant effort has been invested by the research community into formulating sustainable tourism strategies. Much less energy has been concentrated into the process of following up how these strategies could be implemented by the tourism practitioners at the corporate level. Due to its central position supported by vertical integration and partnerships built along the supply chain, the tour-operating sector is a key point for translating principles of sustainable tourism into concrete operational changes.

The self-destructing cycle of mass tourism—sending more tourists greater distances, for less marginal profit—raises concerns for tour operators about staying in business now, rather than protecting on a long term basis their hosts and their environment. Good practices, understood as practices leading to more sustainable tourism, can become managerial tools contributing to reversing this cycle, by offering a holiday package that enables tour operators to compete on the basis of more than just price.

Alvin Toffler was predicting back in 1997 that 'the days of mass tourism are over' [17]. Confirmation of this prediction will be finally determined by the actions of the most interested stakeholder, which is the industry itself.

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Camelia Monica Tepelus has two bachelor's degrees, in Chemical Engineering (from the "Politehnica" University, Bucharest, Romania, 1997; TEMPUS Project) and in Commerce, Marketing (from the Academy of Economical Sciences, Bucharest, Romania, 1999). She has a Master of Science in Environmental Management and Policy from the International Institute for Industrial Environmental Economics, Lund, Sweden, where she is currently a Ph.D. candidate.

Ms. Tepelus has been with INTERNOVA Bucharest as Manager Assistant for marketing (1997–1998), the State Ownership Fund (Bucharest, Romania), Capital Market Department, as Project Manager for Public Offering on the Bucharest Stock Exchange and OTC Market (1998–1999), the Agency for Banking Asset Recovery (Bucharest, Romania)—Financial and Economical Analysis Department as Project Officer (1999), and the International Institute for Industrial Environmental Economics, Lund, Sweden, where she performed cleaner production and environmental management audits in Russia and Sweden (1999–2000). She currently works as the Secretariat of the Steering Committee on the *Code of Conduct for the Protection of Children from Sexual Exploitation in Travel and Tourism*, based at the World Tourism Organization, Madrid, Spain (since September 2001) and is a Research Associate at the International Institute for Industrial Environmental Economics, Lund, Sweden. She has been involved in a research project on sustainable tourism, commissioned by the United Nations Environment Programme—DTIE, awarded in December 2000 with the '2000 Award for Sustainable Tourism Development' by the Institute for Tourism and Transportation Studies in The Netherlands. She has also obtained in 2003, the British Airways *Tourism for Tomorrow Award* in the 'Large-Scale tourism' category, for the project 'Code of Conduct for the Protection of Children from Sexual Exploitation in Tourism'.

Ms. Tepelus has published in international journals and conferences and is the author of the IIIEE report *Tracking Travel & Tourism. Towards Sustainability Reporting of Tour Operators* (2000) and co-author of *Assessment of Opportunities for Development of the Baltijsk Municipality* (IIIEE, 2000).

Paper II

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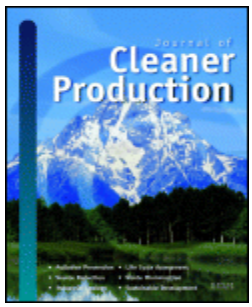

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Recognition schemes in tourism—from 'eco' to 'sustainability'?

Camelia Monica Tepelus [a,*], Rolando Castro Córdoba [b]

[a] International Institute for Industrial Environmental Economics (IIIEE), Lund University, P.O. Box 196, 221 00 Lund, Sweden
[b] The Environmental and Natural Resources Law Center (CEDARENA), P.O. Box 134-2050 San Pedro, Costa Rica

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Abstract

Proliferation of voluntary instruments such as eco-labelling schemes and codes of conduct for tourism has been characterized by a strong environmental focus. This paper discusses the feasibility of creating recognition schemes that could address not only the ecological implications, but also the social and economic impacts of tourism activities.

The analysis was performed by using a case study of the 'Certification for Sustainable Tourism' (CST), a labelling programme developed in Costa Rica, which was found to address not only environmental performance, but also cultural, economic and social impacts of tourism activities.
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Keywords: Sustainable tourism; Voluntary recognition schemes in tourism; Tourism eco-labels

1. The quest for tourism sustainability

The definitions of the term 'sustainable tourism development' vary considerably in rapport with the perspective of the stakeholders issuing them: tourism industry actors, governments, international non-governmental organizations, local communities, environmental activists, and other tourism stakeholders. The fact that a universally acceptable definition does not exist did not undermine development of a vast range of policy instruments promoting adoption of more sustainable tourism practices. It is however, probable that this conceptual fuzziness has led to a lack of coherent legislation or of other types of mandatory measures promoting sustainable tourism practices at the same level as in other industries. Tourism is regarded as an industry relatively free from regulation today [1]. Adoption of voluntary proactive approaches is consequently, crucial to achievement of environmentally, economically and socially sustainable performance improvements in tourism.

The explosive proliferation of voluntary initiatives such as eco-labels and codes of conduct in tourism has been characterized so far by a strong emphasis on the environmental effects of tourism [2]. This paper discusses the feasibility of creating recognition schemes that could address not only the ecological implications, but also the social and economic consequences of tourism activities. Analysis was facilitated using a case study of the 'Certification for Sustainable Tourism' (CST), which is an eco-labelling programme developed in Costa Rica and currently applied to accommodation facilities, which has been found to take into consideration both environmental performance criteria, and socio-cultural impacts of tourist activities.

2. Voluntary recognition schemes in tourism

Due to the predominance of small and medium sized firms in the tourism sector, development of voluntary recognition schemes for tourism was considered by UNEP 'the best way of ensuring long-term commitments and improvements' [3], in addition to economic and regulatory instruments. While not subscribing fully to this view, this research is acknowledging the potential of creating efficient demand-driven voluntary

* Corresponding author. Tel.: +46-46-222-02-50/+46-46-222-02-10; fax: 46-46-222-02-40. Present address: WTO, Capitán Haya 42, 28020 Madrid, Spain. Tel.: +34-652-556-971.
E-mail address: camelia.tepelus@iiiee.lu.se (C.M. Tepelus).

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approaches, helping tourists chose sustainable holidays, on one hand, and, on the other, encouraging the industry to adopt more sustainable practices.

The UNEP worldwide survey from 1998 [3] found 28 eco-labelling schemes currently in use in tourism, out of which 19 were focussing on facilities, in particular on accommodations. The importance of the accommodation focus was related to its economic value, and to the relative easiness in quantifying environmental performance of hotels and other lodging facilities.

In addition to these considerations, the socio-cultural effects generated by tourism accommodations are influencing in a crucial manner the quality of life and the sociological heritage at the destination, through the interaction between the tourists and the community, employment creation for the locals and many other factors.

The question whether socio-cultural and economic performance criteria can be incorporated into certification schemes for tourism, will be further discussed using the case study of the 'Certification for Sustainable Tourism' (CST), presented below.

3. The case of the Costa Rican 'Certification for Sustainable Tourism'

3.1. Tourism development in Costa Rica

Covering only 0.03% of the surface of the planet, Costa Rica has ca 6% of the world's biodiversity [4], which, according to Foy and Daly [5], stands for the highest in the world in terms of the amount of biodiversity relative to its size. The country is widely recognized in the literature [6] as being in the vanguard of natural resource preservation and promotion of sustainable development in general. While establishing a global reputation for her world-class national system of protected areas (covering 28% of the country [7]) and while becoming one of the main ecotourism destinations, Costa Rica was facing problems related to uncontrolled logging, and deforestation (the country had the world's highest rate of deforestation of tropical moist forests during the 1980s [6]).

Following the conservationism of the 1970s and 1980s, Costa Rica engaged in the 1990s in a paradigmatic shift away from the 'fortress-model' of protection, in the attempt to incorporate in the policy-making process, considerations related to the sustainable use of its natural resources. During this decade, Costa Rica has also been aggressively pursuing the promotion of tourism at the centrepiece of its development strategy [8]. Tourism is currently the second most important foreign currency earner of Costa Rica [9], after a five-year hegemony as the number-one industry (interrupted when Intel started production of electronic chips in 1999). Costa Rica is quoted today as the number-one destination in Central America [8] and is rapidly becoming the top tourism country in all Latin America.

The governmental organization in charge of regulating, planning, promotion and commercialization of the country's tourist services is the Costa Rica Tourism Institute (ICT), which is also in charge of managing the 'Certificate for Sustainable Tourism' initiative. The definition used by the ICT for sustainable tourism is—'the balanced interaction of three basic factors within the tourism industry: proper stewardship of the natural and cultural resources; improvement of the quality of life of the local communities; and economic success, that can contribute to other programs of national development' [4].

3.2. Case study: The 'Certification for Sustainable Tourism'

The 'Certification for Sustainable Tourism' (CST) was developed by the Costa Rica Institute of Tourism (ICT), in collaboration with other stakeholders from academia, the private sector, NGOs and the government. It is an institutional initiative, which is part of the National Strategy for the Development of Sustainable Tourism, and has as the main objective to 'turn the concept of sustainability into something real, practical and necessary in the context of the country's tourist competitiveness' [4].

The stated aims of the programme are:

- To improve the way in which natural and social resources are utilized;
- To motivate the active participation of local communities; and
- To support the competitiveness of the business sector.

Even though the programme was designed for all companies acting in the tourism sector, in its current stage of application it is used on a voluntary basis by the lodge and hotel sectors, without restriction to their size or location. In a further stage, it will be applied to the travelling agencies [10].

CST consists of a scale of five 'levels' of achievement, by evaluating four main categories of performance:

- Physical–biological parameters;
- Infrastructure and services;
- External clients; and
- Socio-economic environment.

Each of these categories is further subdivided into more detailed criteria (see Fig. 1), for which standards have been previously established for the social,

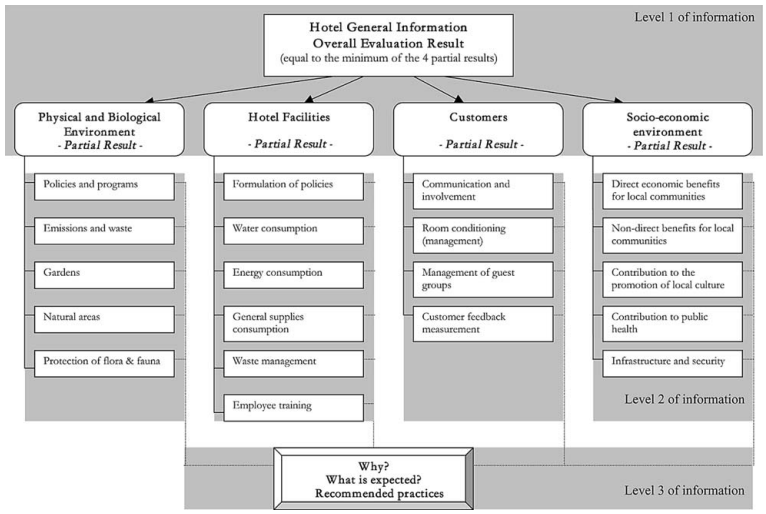

Fig. 1. Information incorporated in the 'Certificate for Sustainable Tourism' developed by the Costa Rican Institute of Tourism.

environmental and economic field. Each category is evaluated, and the final rating for a particular hotel is assigned to be the lowest level achieved in any of the categories.

Companies certified may use the CST logo (Fig. 2) in their promotional materials, while information about the particular scoring of each facility can be obtained freely, from the Internet site of the programme. Performance re-evaluations are planned every two years. Access to the programme and the initial assessment are offered at no cost to the companies.

The certificate may be cancelled if the minimal environmental, social and economic performance standards are not fulfilled and when the information requested is not provided.

4. Analysis

While the socio-cultural consequences of improperly planned tourism practices are widely documented [11], in the overwhelming majority of cases existing eco-labels and other voluntary recognition schemes developed by the industry have focused mainly on ecological consequences of tourism development.

Reviewing the criteria of eco-labels presented in the UNEP survey as being applied to accommodation facilities, the CST recognition framework appears to be one of the most comprehensive, because of its inclusiveness of socio-cultural criteria, in addition to the environmental ones.

Due to the fact that CST only started to be applied two years ago, it is still difficult to assess its effectiveness. The value in the analysis of the drivers, barriers and challenges CST is facing, lies in the identification of obstacles likely to occur when aiming to improve comprehensiveness of other existing recognition schemes.

Fig. 2. Logo of the 'Certificate for Sustainable Tourism'.

4.1. The CST process

From the analytical perspective undertaken by this paper, the most important merit of the CST process is the weight placed on the socio-economic criteria, which is equal to the weight of other criteria taken into consideration to assess the hotels' performance. Socio-economic and cultural implications of hotels' activities appear not only as collateral factors to the overall performance, but as clearly defined components, essential to the definition of sustainable performance.

Assessing the value of the CST process using the criteria developed by the Commission for Sustainable Development in relation to the evaluation of voluntary recognition schemes [12], the following comments can be made:

(a) *Substance*: Appropriate content and language (i.e. undiluted and unambiguous).
The CST terminology appears clear and easy to understand, which is a condition required by the fact that the scheme aims to address all types of accommodation facilities, from small bed and breakfast type of lodgings, to big hotels. Explanation of the recommendations and of the suggested practices is particularly valuable for the hotels, which are just initiating the process.

(b) *Inclusiveness/Public Participation*: Active participation of appropriate stakeholders, including opportunities and resources for participation by the wide range of affected persons and organizations.
The CST process takes into consideration the main stakeholders involved in the tourism services provided by the hotels, focusing on the customers, the hotel employees and the local community.
A possibility that could be explored in the future refers to a differentiation of the certification criteria according to the size of the hotels. Particularly for the big hotels aiming to attain high 'levels of sustainability' more sophisticated criteria related to inclusiveness/public participation could be designed in various forms. These could be: initiating conservation projects in the surrounding areas in collaboration with third parties such as NGOs, local community organizations, etc., as well as initiating corporate partnerships between hotels located in the same geographical area, sharing the same environmental, socio-cultural and economic background factors.

(c) *Motivation/Incentives*: Sufficient incentives to encourage voluntary compliance.
The main arguments presented by the Costa Rican Tourism Institute (ICT) as drivers for the CST process refer to:

- The need for the industry to face up to a new set of customer demands (tourist pressure);
- Pursuing a tourism development strategy aiming for quality tourists, rather than numbers;
- The need for the industry to avoid the risk of 'greenwash' (unreliable and low credibility information); and
- The possibility to use the CST certification process as a marketing tool and as additional competitive advantage.

All these arguments fully support promotion of the scheme by the ICT, which, being in charge of designing the national tourism strategy, is looking forward to maintain the positive reputation of the country and to 'turn the concept of sustainability into something real, practical and necessary in the context of country's tourist competitiveness' [13].

However, the same arguments are not as powerful in convincing the corporate participants to take ownership in the scheme and to voluntarily improve their performance in time. The creation of a demand for sustainable tourism services remains essential for the success of the motivational potential of the CST scheme.

(d) *Internalization*: Incorporation of social and environmental values not only into the policies and operations of companies, but also in the way they define and measure success and progress.

(e) *Transparency*: Independent monitoring of implementation, with timely and adequate reporting by the destination.
These two criteria are precisely the factors making the CST scheme significantly more credible and more reliable, in comparison to other similar initiatives mentioned in the 1998 UNEP surveys. In addition, clarity of the reporting mechanism makes information easy to follow by all stakeholders, at different levels of depth and detail, as needed (see Fig. 1). The method for calculating the final score which is equal to the minimum partial result of the four categories defined, creates an incentive for the hotels to direct their efforts towards the areas that need them most at a given time. If the certification process and the final 'level of sustainability' attained will, in time, gain a marketing value, then the current system of result calculation will act even more as a driving factor for the continual improvement of all areas of impacts.

(f) *Credibility*: Independent verification of compliance, involving participation and endorsement by the NGO sector in the choice and methods of verification.
In the description of the CST process, it is mentioned that verification of compliance is performed on a periodical basis, and the certification may be withdrawn if the information does not correspond to the reality. Involvement of NGOs and other types of civil society organizations in the process can be taken into consideration as a future development of the CST process, as it could be beneficial both for maintaining a credible image of the process, as well as for insuring the participation of local communities. Establishing multi-stakeholder networks centred around the CST certified hotels would also support credibility of the process to third parties with financial, or political power, with a role in influencing the decision-making processes affecting both the tourism industry and the local communities.

Summarizing, it can be stated that the CST process is probably one of the most comprehensive recognition schemes created to acknowledge voluntary sustainable operations in the tourism industry. It encourages the continuous improvement of performance not only in the environmental field, but also in the socio-cultural and economic dimensions that tourism actors are influencing through their activities. It is important to notice in this context that the scheme was not developed by the industry itself, but generated at a centralized level, taking into consideration strategic development priorities of the tourism industry in Costa Rica at a specific moment. This explains why the CST process goes beyond legislative standards and into building capacities and creating expertise at the local level. In the national tourism development context, the CST process is likely to have a positive influence upon the shift Costa Rica is aiming for, from an ecotourism destination to a holistic sustainable tourism destination.

A series of challenges remain to be addressed in the stages of future revision of the CST process. These refer mainly to:

(a) Promotion of preventative, versus impact mitigation measures. The system has to take a greater consideration of the actual consumption parameters per tourist, so that both big and small hotels would have similar incentives for promoting resource-saving measures. This argument was previously underlined by Bien [14]: "a big hotel whose water consumption is 500 l/guest/day can get a higher score than a small hotel which uses 50 l water/guest/day. In this way, the big hotel has bigger incentives than the small hotel, even though the activity of the later is more beneficial for the environment".
(b) Analysis of the way in which the hotels are currently using the certification and its competitive advantage function would facilitate creation of more persuasive arguments of motivating hotels to participate in the programme.
(c) For a further stage of development of the CST, it would be beneficial integrating individual performance of hotels or other tourism actors into regional development frameworks, in which local authorities in each county would play a stronger role in the monitoring, verification, and planning of the tourism activity. From the demand perspective, there is not much value in having an individual hotel characterized as a 'sustainable choice', if the entire region as such does not display the same characteristics. Some of the coordination responsibilities of the ICT would in this way be transferred to a regional level, and the local authorities would be able to play a more active role in defining the market image of a specific region.
(d) Through quantifying the results of the CST process as they are periodically monitored at the regional level, the Costa Rican Institute for Tourism would be able to coordinate its planning activities with the strategies of other ministers/governmental departments which perform functions related to tourism, i.e. education, environment, infrastructure, transportation, communications, etc. The resulting outcome would lead to improved coordination at the central level and better cooperation locally, for identifying potential areas of common action for the governmental departments performing functions that are incorporated in the tourism services.

4.2. Recognition schemes in tourism: from 'eco' to 'sustainability'?

Although importance of socio-cultural factors was widely recognized as a major driver of tourism in general, their inclusion criteria for label awarding are very much the exception to the rule. Welford et al. [15] explain these omissions with the argument that social and cultural issues are often location specific and therefore they vary in importance from one destination to another.

From an industry perspective, the main reason why efforts of corporate actors concentrate on the ecological arguments refers to the potential for cost savings. Hotels and accommodation facilities are highly interested in reducing running costs related to the use of resources such as energy, water, use of cleaning materials, etc.

It is much harder for the tourism actors to put a price on the cultural experience the tourist will have when interacting with the local society. Also, there are not immediate financial benefits to be obtained from engaging in dialogue with the local community and therefore facilitating interaction between the tourist and the socio-cultural environment. In the long run however, the stake is much higher. As the motivation for tourism is moving away from passive sun lust to reasons such as education, curiosity and desire to understand other cultures, all tourism actors will be directly interested in preserving and enriching the socio-cultural heritage at destinations. Consequently, inclusion of socio-economic criteria in existent recognition schemes will take place when the tourism private sector will itself recognize the marketing value of cultural and social aspects deriving from the interactions of the tourists with the local community. This will allow not only a real improvement of the quality of life at the destinations, but also creation of a market demand for a more complex system of quality of the tourism service.

This potential has been recognized in Costa Rica and incorporated in the CST process. As the former

minister of tourism Walter Niehaus has stated: "we are introducing new elements, such as Costa Rica's cultural aspects, to bring more tourists who don't just want to be observers, but prefer to get to know the culture and history of a country, and interact with its people" [16].

5. Conclusions

Incorporating socio-cultural factors into the recognition schemes developed to acknowledge responsible tourism companies would not be an easy task. Differences in perception, hardly quantifiable outcomes, difficulties of accountability and verifiability, are just a few of the sensitive issues that will need to be tackled when attempting to reward good corporate behaviour in an industry as complex and fragmented as tourism. Making the private sector acknowledge that social and cultural factors add commercial value to the tourist experience will probably remain as the most important potential driver for corporate behavioural change.

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Camelia Monica Tepelus has two bachelor's degrees, in Chemical Engineering (from the "Politehnica" University, Bucharest, Romania, 1997; TEMPUS Project) and in Commerce, Marketing (from the Academy of Economical Sciences, Bucharest, Romania, 1999). She has a Master of Science in Environmental Management and Policy from the International Institute for Industrial Environmental Economics, Lund, Sweden, where she is currently a Ph.D. candidate.

Ms. Tepelus has been with INTERNOVA Bucharest as Manager Assistant for marketing (1997–1998), the State Ownership Fund (Bucharest, Romania), Capital Market Department, as Project Manager for Public Offering on the Bucharest Stock Exchange and OTC Market (1998–1999), the Agency for Banking Asset Recovery (Bucharest, Romania)—Financial and Economical Analysis Department as Project Officer (1999), and the International Institute for Industrial Environmental Economics, Lund, Sweden, where she performed cleaner production and environmental management audits in Russia and Sweden (1999–2000). She currently works with the Secretariat of the Steering Committee on the *Code of Conduct for the Protection of Children from Sexual Exploitation in Travel and Tourism*, based at the World Tourism Organization, Madrid, Spain (since September 2001) and is a Research Associate at the International Institute for Industrial Environmental Economics, Lund, Sweden. She is involved in a research project on sustainable tourism, commissioned by the United Nations Environment Programme—DTIE, awarded in December 2000 with the '2000 Award for Sustainable Tourism Development' by the Institute for Tourism and Transportation Studies in The Netherlands.

Ms. Tepelus has published in international journals and conferences and is author of the IIIEE report *Tracking Travel & Tourism. Towards Sustainability Reporting of Tour Operators* (2000) and co-author of *Assessment of Opportunities for Development of the Baltijsk Municipality* (IIIEE, 2000).

Rolando Castro-Córdoba studied at the University of Costa Rica Law School, and has a Master's Degree in Environmental Management and Policy from IIIEE, Lund University, Sweden. He has worked at the Environmental and Natural Resources Law Centre (CEDARENA), San José, Costa Rica (www.cedarena.org), conducting research and analysis of regulations and policies in the following topics: hazardous materials, forest fires, pesticides, forest management, private lands protection, incentives, sustainable tourism, cleaner production, coastal zones, marine turtles, environmental impact assessments, industrial environmental management, climate change, international environmental conventions, protected areas, land use planning and community legal education. He is also the Costa Rican Ombudsman at the Defensoría de los Habitantes de la República (Quality of Life Department) (www.crnet.cr/~defensor).

Mr. Castro-Córdoba has publications (including two sponsored by the WHO) on Costa Rican environmental regulations and legislation and on carbon conservation and conservation of private lands in Central America. He is Secretary of the Board of the Inter American Association for Environmental Defence (AIDA) and Sub Coordinator of the Costa Rican Network for the Protection of Marine Turtles.

Paper III

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Sustainability in Ecotourism Supply Chains: Evidence from Cases of Swedish Ecotourism Packages to Peru and to Nepal-Bhutan

Camelia M. Tepelus, Lund University, Sweden

Abstract: This paper presents application of sustainable tourism practices by leading tour operators in international ecotourism supply chains. Observations of actions implemented by the inbound and outbound operators creating the ecotourism experience are drawn from two case studies – one of trips to Peru and the other of trips to Nepal-Bhutan - both available on the Swedish market. The cases explore how sustainable tourism measures promoted by the outbound tour operator (OTO) are disseminated to, and endorsed by the inbound tour operators (ITOs) in destinations. The methodology used included participant observation as part of groups, complemented by field notes and data from extensive interviews with the operators' ground staff, tour guides and management. Presentation of case studies supports a discussion on the role of ecotourism supply chains for the dissemination of a culture of corporate responsibility and for sustainable tourism practices in general.

Keywords: Ecotourism, Supply Chain, Sustainability, Tour Operators

Introduction

THIS PAPER ATTEMPTS to document practical examples of responsible corporate behaviour in international ecotourism supply chains, and to point out areas where the links between outbound and inbound tour operators may lead to the design of more sustainable ecotourism products. The investigation built on the hypothesis that tour operators are critical links in the ecotourism supply chain, as they are able to influence the implementation of a wide spectrum of sustainable tourism practices. Acting as intermediaries between tourists and service providers, tour operators commission and bring together different components of the holiday package: accommodation and food provision, transportation to and from the destination, local transport within the destination, excursions, and other on-site activities. Though they are not always in direct control of the product, tour operators are in a position to incorporate sustainability requirements in contracts with suppliers in destinations and promote a culture of corporate responsibility. Acknowledging the insightful contributions by many researchers in the field (Butler, 1999; Fennell, 2001; Liu, 2003), the semantic controversies surrounding the terms ecotourism, sustainable tourism and responsible tourism will not be further discussed here. The term 'ecotourism' is understood according to the definition credited to Ceballos-Lascurain, as environmentally responsible travel to relatively undisturbed or protected natural areas (Ceballos-Lascurain, 1996). The 'sustainable development of tourism' term is approached in line with the World Tourism Organization definition (WTO, 2004a). It is understood also as a process-oriented endeavour, which systematically pursues a type of managed changes resulting in social, cultural and economic improvement of all types of tourism, both small and large scale. Responsible corporate behaviour is considered a means towards tourism sustainability. This framework is also assumed by Harrison and Husbands (1996) that view responsible tourism not as a tourism product, but rather as a way of doing tourism. Responsible tourism practices reflect the consideration put into the process, the way of developing tourism, ultimately aiming to perpetuate a culture of tourism sustainability.

Role of Tour Operators in the Ecotourism Supply Chain

Methods aiming to make tourism more sustainable have historically addressed issues such as carrying capacity, congestion management, demand management, and controlled markets (Swarbrooke, 1995; WTO, 2004b). Many of these methods have been traditionally used in research on mass tourism and on the role of tour operators towards sustainability in tourism. The repackaging of mass tourism products to accommodate for specialty travel with an interest in nature (Malloy & Fennell, 1998) calls for the role of tour operators to be revisited from an ecotourism point of view. Despite their strategic position in the supply chain, there is still insufficient information on the tour operators' actions towards a more sustainable design and implementation of ecotourism products (Boo, 1990; IRG, 1992; Weaver, 1998). In the early 90s The International Ecotourism Society (TIES) carried out pioneering work on sug-

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gesting operational guidelines for ecotourism operators (TIES, 1993). The TIES guidelines include measures such as: preferential use of local products and labour; development of awareness raising literature for nature tourists; promotion of training and information programs for guides; cooperation with the public sector for implementing international standards; demand distribution to reduce peak times; and financial support by allocating a share of profits to the management of areas visited. Economic investment was also suggested (Wight, 1994) as a criteria for assessing ecotourism operators' responsible behaviour and interest in the long term sustainability of the destination. More recently, the Tour Operators' Initiative for Sustainable Tourism Development (UNEP.UNESCO.WTO) stated that integration of sustainability principles into supply chains has to play a central role in tour operators' commitment to sustainable tourism (CELB & TOI, 2004). The supply chain consists of all parties involved in producing the tourist service, including suppliers, transporters, intermediary agents and customers themselves (Cox, 1999). The importance of addressing tourism sustainability at the level of the supply chain has been also called for in the Québec Declaration on Ecotourism, the outcome document of the World Ecotourism Summit held in 2002 (WTO, 2002). The Québec document includes a specific recommendation for the private sector to 'ensure that the supply chain used in building up an ecotourism operation is thoroughly sustainable and consistent with the level of sustainability aimed at in the final product or service to be offered to the customer' (idem). In other words, the sustainability of the final product is seen as an outcome of the sustainability of each component in the supply chain leading to its production and consumption. The supply chain in ecotourism is operating in the same manner as the mass tourism supply chains, but at a scale that involves fewer partners (CELB & TOI, 2004). Incipient signs of tie-ins between ecotourism and mass tourism have been identified by Ayala (1996), who presents evidence of a gradual convergence between eco- and mass-tourism. Similar to mass tourism supply chains, ecotourism supply chain management involves establishment of long-term business-to-business relationships among like-minded and mutually respectful partners. As many international ecotourism products consist almost entirely of subcontracted goods and services, there is a justified expectation from tour operators to assume responsibility for the quality of all inputs going into the ecotourism product. Sustainable supply chain practices may generate business opportunities with other organizations valuing similar principles, may attract responsible consumers and may indicate community stakeholders sound environmental operational practices (Hoffman, 2000; Clair et al, 1995), all aspects highly relevant for ecotourism.

The goal of supply chain management in this context is to improve the sustainability performance of each supplier in the chain. The joint research by the Center for Environmental Leadership in Business and the Tour Operators' Initiative identifies three major channels for the tour operators to enable suppliers to meet set sustainability goals (CELB & TOI, 2004). These are: awareness raising, technical support and the provision of incentives. Recent research on tourism supply chains at the University of Leeds (Font & Tapper, 2004; Font et al, 2006) indicates that suppliers are more likely to adopt tour operator requirements when long term contracts are in place. Same research suggests that the enormous influence tour operators have through directing and controlling the volume of tourists and the facilities used in destinations, may be used in promoting general improvements, responsible behaviour and a culture of corporate responsibility in general. The implementation of formalized environmental management systems (EMS) is particularly important, as research by Darnall et al (forthcoming, 2007) suggests that EMS adopters may have greater propensity to utilize supply chain management practices for minimizing system-wide impacts beyond their organizational boundaries.

For ecotourism packages requiring international travel, two types of tour operators are generally involved in the product delivery. The outbound tour operators (OTOs), are the agents directly selling the package including: transportation to the destination (most likely an airplane ticket), local transportation and accommodation and on-site excursions and trips. The inbound tour operators (ITOs), are the agents based in the destinations. They receive the tourists and contract with the local suppliers. Bookings of services in destination are made directly by the ITOs, at their discretion, or according to pre-existing purchasing guidelines established in contracts with the OTO. Most common environmental supply chain management practices involve organizations (OTOs in the case of tourism) assessing the environmental performance of their suppliers (ITOs), and requiring them to undertake measures increasing the environmental quality of the final products (Handfield & Nichols, 2002).

Methods

Case study observation is well documented as a research technique (Creswell, 1998; Robson, 1993; Yin, 1989). Two examples of ecotourism packages available in Sweden were used for observing practices of both inbound and outbound leading tour operators. They were selected to comply with a number

of five pre-defined criteria: to be mountain ecotourism destinations in developing countries; to have an emerging tourism based on natural, as well as cultural and historic attractions; to be potentially sensitive to over-crowding; to be still in the ascending phases of their life-cycle as ecotourism destinations; and to be well covered by the ecotourism literature, including Ladkin & Martinez Bertramini (2002), van den Berghe & Flores Ochoa (2000) etc. for Peru, and Brunet *et al* (2001), Shackley (1994), Stevens (1993), Weaver (1998), Wells (1993) etc. for Nepal-Bhutan. Highly reputed companies were chosen as research partners. Both the OTO and the ITOs are recognized as ecotourism leaders and sustainability stewards in their respective countries. The OTO in the origin country (Sweden), was Äventyrsresor, winner of the *Grand Travel Award* as the best Swedish ecotourism operator in 2000. The ITOs in the destination countries were Äventyrsresor's partners: Explorandes in Peru, Amadablam in Nepal and EthoMetho in Bhutan. The Nepal and Bhutan destinations were part of the same trip and they are discussed together as the second case study. Figure 1 shows the supply chain for the ecotourism products used as case studies and Figure 2 shows their geographical location.

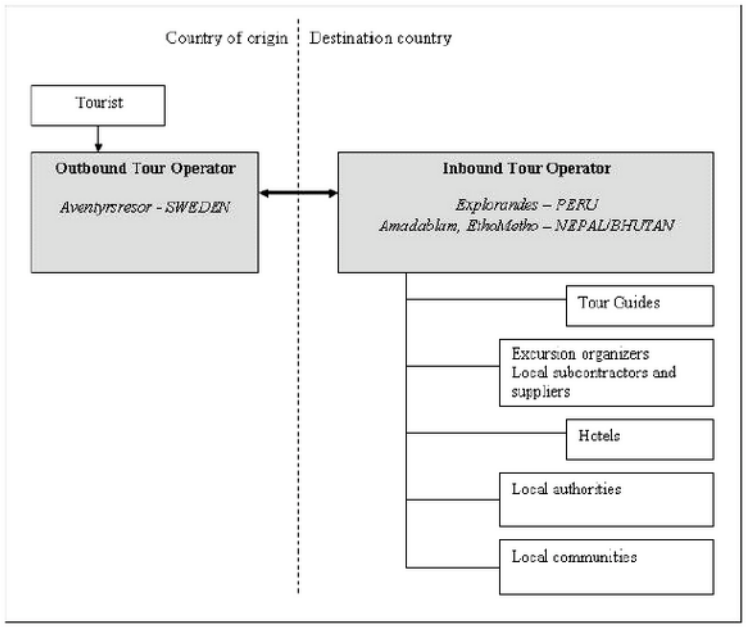

Figure1: Ecotourism Supply Chains Presented in the Case Studies

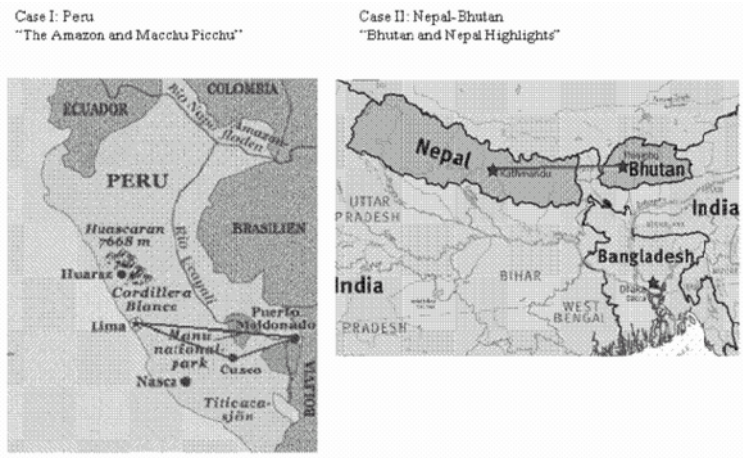

Figure 2: Geographical Location of Case Studies

The research was carried out between July 2001 and May 2002. The methods used for collecting information in destinations included field visits, overt participant observation on-site as part of a group (Clark *et al,* 1998), semi-structured key-informant interviews with the staff and tourists (Brenner *et al.*, 1985; Veal, 1992), and a random review of feedback forms provided by the ITOs. The OTO staff and top management in Sweden were also interviewed, and informed about the purpose of the interviews with their partner ITOs. Field trips providing the opportunity for participant observation within groups were carried out in September 2001 in Peru, and November 2001 in Nepal and Bhutan. The first ecotourism package studied was based on trekking on the Inka Trail to Macchu Picchu in Peru and nature observation on the Amazon. The 7-day 'Amazon and Macchu Picchu' tour included a mix of leisurely trekking, camping, light adventure sports, visiting historical and cultural objectives, and community observations. Explorandes was the Peruvian ITO operating this package under contract with the Swedish OTO Äventyrsresor. The second case included trekking and cultural excursions in the Himalayas (Nepal-Bhutan). The 'Nepal and Bhutan Highlights' included a mix of sightseeing, leisurely trekking and camping, adventure sports, historical and cultural visits, and community observations during the course of 10 days. Amadablam was the Nepali ITO and Etho-Metho was the Bhutanese ITO operating this package sold by Äventyrsresor in Sweden. Pricing of these products was in the middle-upper range on the Swedish ecotourism market (SEK 30 000, equivalent in 2001 to around $2 800) and the research was grant-funded by the Swedish Tourist Authority. The case studies present the generic background of tourism development in destinations and the main observations regarding responsible ecotourism practices and tourist behaviour on site. The findings and discussion section compares different operators in order to reveal activities that may be attributed to supply chain linkages between them Table 1 contains a review of the data sources. Table 2 contains generic information about the OTO and ITOs and a review of the claims for responsible tourism practices by the OTO and ITOs.

Table 1: Data Collection Overview

Data Collection Method:	Interviews with Company Staff and Tourists	Field trips
Ecotourism Supply Chain:	Interviews at headquarters and during field trips	Elements of the ecotourism package
OTO: Äventyrsresor, Sweden	Staff interviews: Director Tomas Bergenfeld, travel consultants responsible for the destinations concerned, Theresia Norrthon-Bergman and Lotta Borgiel.	
ITO I: Explorandes, Peru	Staff interviews: President Alfredo Ferreyras, Executive Assistant to the CEO and ecotourism expert, Nina Pardo, Environmental Advisor Gustavo Salazar, Destination Manager in Cuzco, Franco Negri, tour guides Gaspar Sihue, Oscar Jabar, Manuel Velazco, Lodge Manager Reinhard Lowenhaust and Edvin Obispo Herrera at the Management Unit of the Historical Sanctuary of Macchu Pichu. Tourist interviews: 15 tourist interviews were carried out and 15 randomly selected feedback forms were reviewed.	7-day 'Amazon and Macchu Picchu' tour: - leisurely trekking; - camping and sightseeing; - light adventure sports; - visiting historical and cultural objectives; - observations of community life.
ITOs II : Amadablam, Nepal, Etho-Metho, Bhutan	Staff interviews: Managing Director Ravi Chandra, 2 tour guides, EthoMetho Tour Operation Manager Kinga Dechen, tour executive Karma Kencho, and guide Kencho Dorjee Wangchuk. Amadablam operations: 6 tourist interviews were carried out and 12 randomly selected feedback forms were reviewed. Etho-Metho operations: interviews with 4 tourists were carried out.	10 day 'Nepal and Bhutan Highlights' tour: - leisurely trekking; - camping and sightseeing, - light adventure sports; - historical and cultural visits; - observations of community life.

Table 2: Corporate Information and Claims for Responsible Behaviour by the OTO and ITOs

OTO: Äventyrsresor, Sweden
Äventyrsresor is a Swedish ecotourism operator founded in 1984, offering travels with a nature-profile both internationally and domestically. It promotes itself as an ecotourism pioneer in Sweden: 'for us, it is the natural way of carrying out our business such as not to damage fragile territories and sensitive cultural societies' (Äventyrsresor, 2005). Äventyrsresor supports the implementation of the following measures: Promoting local suppliers: travel companies, guides, and drivers, in order to generate local income; using local accommodation providers at the destinations, rather than multinational chains; buying local supplies, especially local produce. Earmarking income from certain destinations to contribute to local projects. Examples included: donation of over 35 000 trees to a planting project in Kenya in 1999, and the benchmarking of SEK 100 (approximately $12.5) from the price for certain destinations to support instruction and medical services for orphan children in 3 projects in Thailand (in 1999 SEK 30 000, $ 2 800 were donated). Instructing company guides to underline significant environmental issues while accompanying the groups on site. Encouraging the travellers not to buy animal trophies and other similar souvenirs. Avoiding making fires in areas with wood scarcity, to counteract cutting-down of forest and to prevent erosion. Some of the products of Äventyrsresor have the ecotourism certification *'Nature's Best'*, a checklist-based system created by the Swedish Ecotourism Association to recognize quality and environmental performance of ecotourism products on the Swedish market (SEA, 2002).

ITO I: Explorandes, Peru
Explorandes was established over 30 years ago, initially as an adventure company. Today it is a regional tour operator. Explorandes declares responsible tourism as 'the only way guaranteeing the sustainable development of tourism', and implements this by ' involving the local communities, working with them as suppliers of goods and services, respecting their traditional way of life, and trying to minimize environmental footprints of tourism activity' (Explorandes, 2005). The responsible tourism policy based on the following principles: Considering environmental management a company priority, complying with legislation and other voluntary self-imposed compliances. Annually reviewing quantifiable goals to maximally reduce the generation of solid waste, the pollution of water courses, the risk of fires and the disturbance of wildlife caused by activities, products, and services. Rationally using tourist attractions and the surrounding natural resources, thereby preventing their unnecessary abuse and/or consumption and minimizing impacts caused to the lifestyle of communities in harmony with the landscape, flora, and fauna. Hiring wherever possible, local employees and suppliers and purchasing local and environmentally friendly products. Promoting the participation and training of workers, clients, and suppliers in the maintenance of the Environmental Management System (EMS), asking them to comply with the company's environmental goals and commitment for continuous improvement. At the time of the field study (2001) Explorandes was considering the feasibility of the ISO 140001 certification. Explorandes became the first adventure travel operator in Latin America and possibly in the world to receive the ISO 14001 certification in 2003. In 2004 Explorandes passed its first external audit.
ITOs II: Amadablam, Nepal; EthoMetho, Bhutan.
AmaDablam is a Nepalese tour operator established in 1980. AmaDablam was working directly for the OTO in Sweden, but when necessary it was also subcontracting other local operators as specialised suppliers, such as EthoMetho for the Bhutan tours. EthoMetho is a Bhutanese tour operator established in 1990, rated no. 1 by the Bhutan Tourism Department in the last 4 years. EthoMetho is the country's eighth greatest tax contributor, and one of the oldest and largest tour operators in Bhutan (EthoMetho, 2005).

Purpose and Limitations

The paper attempts to illustrate how responsible corporate behaviour within ecotourism supply chains may intervene to support an improved, more sustainable ecotourism product. The knowledge gap being addressed is the role of supply chains as potential channels, or pressure points, in promotion of a culture of corporate responsibility across the ecotourism supply chain. The result of such an endeavour would likely be an exchange of knowledge and good practices between the outbound and inbound operators, and the creation of a joint responsibility nexus. A number of limitations in the scope of the research are hereby acknowledged. Firstly, it did not fall within the purpose to investigate on whether ecotourism was 'truly sustainable' in the destinations chosen as case studies, or to audit the sustainability claims of the concerned operators. It merely looked to establish if responsible principles established at the OTO level were known, endorsed, and practiced by the ITOs operating in destinations. Secondly, it has to be pointed out that while one tourist-sending OTO may influence its subcontractor ITOs, these are also working with other OTOs that are likely to be less demanding. In effect, Swedish tourists account for about 5% of the foreign clients of the ITOs in both cases considered. There is consequently a risk that the observed behaviour of the ITOs is only applied at the demands of this one Swedish OTO, and not when dealing with clients of other OTOs. This issue was counteracted by choosing companies highly reputable within their national markets, therefore assuming a consistent corporate behaviour, as called for by the leading market position of the studied tour operators in their respective countries. In this sense the paper presents cases of leadership on implementation of responsible corporate behaviour, which may not be typical for the destinations concerned.

Ecotourism Package to Peru

The World Bank Gross National Income (GNI) per capita classification places Peru in the lower-middle income class. This is the second least-developed category in the global scale, at $825 - $3 255 annual income per capita (WB, 2005). Compared to 4% average world growth in the 1990s (WTO, 2005a), tourism in Peru grew 12.9% between 1990 and 1999, according to the Commission for Tourism Promotion of Peru, PromPeru (PromPeru, 2000a). Based on PromPeru data from 1998, the motivation for travel of foreign tourists to Peru was: interest for the nature (6%), historical and archaeological reasons (78%), historical and cultural attractions (8%) and interest in the local cultures (6%) (Promperu, 1999). 60% of

all the requests for general information about Peru between 1994-1999 came from foreign tourists, mostly European, but also other South Americans and North Americans (PromPeru, 2000b).

At the time of the documentation, the ITO was actively engaged in studying the feasibility of implementing the environmental management system developed by the International Organization for Standardization (standard known as ISO 14001); in 2003 it became the first tour operator in South America to be ISO 14001 certified in 2003 (Explorandes, 2005). The certification process was supported by the Inter-American Development Bank and the World Business Council for Sustainable Development. Expected consequences of the implementation of ISO 14001, were an improved reputation for quality on the EU market and an additional marketing advantage both locally and internationally. Top management reported that the environmental review prerequisite of the certification led to a dramatic reconsideration of the ecotourism product design. Consequently, several practical changes were implemented, including replacing single-use latrines with mobile ones and changing combustibles with more environmentally friendly ones. Preliminary results of ISO certification reportedly included a 50% reduction of solid waste and the substitution of traditional cleaning products by biodegradable ones. Trainings on ecotourism and responsible environmental practices were periodically carried out for the staff and written operating procedures were displayed and available both at headquarters and with the guides on trek. Management reported that all categories of personnel attended the trainings, including drivers and transportation coordinators, translators, etc. The interviews and observations on trek confirmed that the staff were aware of, and were valuing ecotourism training as an important component of their professional skills. Interviews with top and mid-management also showed a high level of awareness regarding current international sustainable tourism policy developments, such as the launch of the World Tourism Organization Code of Ethics (WTO, 2005b). As a member of the Peruvian Association of Adventure Tourism and Ecotourism (APTAE), the ITO also initiated discussions on the elaboration of national quality and safety standards and supported the drafting of a Code of Ethics for the Peruvian Tour Operators.

When interviewed regarding expressions of tourists' environmental concerns, the staff reported an increasing demand for information on ecological and conservation aspects, particularly from Europeans. The average eco-tourists were described as having superior education and being in the middle-upper range of income. The size of the groups was strictly controlled and no groups larger than 15 were allowed. However, the reasons for the enforcement of this rule seemed to be connected, not necessarily with the concern for the sustainability of the ecotour, but rather with complaints from tourists about the unpleasantness of larger groups. To cater to specific requests from responsible tourists, special interest packages were designed by the management and were made available upon request. These specialty packages were focused on less known local attractions, like for example, the wool weaving practices in the Chinchero area of Peru.

Lack of education and environmental awareness of the local population were cited by the ITO staff as some of the biggest barriers in practicing sustainable tourism in Peru. Requirements for responsible behaviour and protection of the natural environment initially elicited complaints from the local communities, unsatisfied with having to comply with additional requests. Lack of support from local communities escalated occasionally in attacks on the tour operator's activity (including stealing of materials and lack of endorsement for projects such as solar panel installation) or direct and explicit infringement of its policies (including mining in the same river used for domestic and cooking activities, farming the rainforest, etc.). The company reported that their consistent action resulted in educating the field staff and their communities to improve quality of life through enhanced interaction with their own environment (Explorandes, 2005). However these claims were not further investigated for proof, as the research focused on the relationship between the OTO and the destination ITOs.

Ecotourism Package to Nepal – Bhutan

Nepal and Bhutan are classified in the World Bank GNI as ranking in the low income category, corresponding to the least developed world economies (under $825 annual income per capita). In Nepal, tourism contributes to 35% of the Gross Domestic Product, employing around 200 000 people, and is the top gross foreign exchange earner (Cockerell, 1997). Given a population of around 23 million people, a unit of population engaged in tourism contributes approximately 6 times more towards the national income than a similar unit engaged in agriculture (Siddharth, 2001). The societal context for tourism development is characterized by quasi-generalized abject poverty, 70% illiteracy rate, and considerable social and environmental pressures from an ever increasing population. At the governmental level these concerns led to the creation of regulation requiring presence of environmental officers at specific tourist sites.

Compared to the situation in Nepal, tourism policies in Bhutan are much stricter. This small Hi-

malayan kingdom represents a very particular situation - probably unique world-wide - in that the Bhutanese government strictly monitors the number of foreign visitors each year (Pommaret, 1998). Bhutan opened itself for tourism in 1974, running as a fully government owned enterprise (Royal Government of Bhutan Ministry of Trade and Industry Department of Tourism, 2005). Following privatization in 1991, Bhutan still remains one of the world's most exclusive tourist destinations, partly due to the required fee of $200 per tourist per day, from which a royalty of $65 is paid to the government (Wangmo, 2005).

With a population of slightly over 734 000 people, from which 70% are involved in agriculture (Royal Government of Bhutan, 2005), Bhutan is very fond of preserving its traditional values, in conjunction with the quest for social and economic development. Tourism is the third most important industry in the country, grossing $10.5 million, employing over 1,200 people (Kuensel, 2005). Tourism in Bhutan focuses on high value and low impact. Its spiritual and religious uniqueness as the only country in the world practicing a Tantric form of Mahayana Buddhism, make Bhutan an irresistible destination for a small number of high-end tourists. In 2004 the number of tourists entering the country was just under 9 000, and the numbers are not expected to increase greatly in the next years (BTC, 2005). The tourists are only allowed in the country by contracting the services of a local tour operator, which may obtain the authorisations for entry visas. Bhutan is presented in literature as a comprehensive ecotourism destination (Weaver 1998), known as a model of conservation (Tshering, 2003). Numerous policy documents of the Royal Government recognize the need of promoting ecotourism as a way to support sustainable development in the country (Dorji, 2001). According to the interviewed tour operators, some literature reports regarding limitation by the government of the number of tourists allowed each year in the country (Wearing & Neil 1999; Wells-Bruges & Wells-Bruges, 2001), proved to be an error of interpretation. The true limitation arises from the prohibitive entrance fees, which make the experience of visiting Bhutan not only fascinating, but also costly.

In Nepal, examples of nature conservation practices could be found in the presentation materials of the ITO (Amadablam, 2001; Amadablam, 2005). Cultural and conservation considerations were also included in the orientation brochures and in the trip presentation dossiers offered to the tourists for documentation prior to starting the tours. Examples of responsible tourism practices of the ITO included: employing Nepalese as group leaders, providing porters with good quality supplies in the safaris and trekking trips, using biodegradable soaps and detergents, using kerosene instead of other polluting fuels, etc (included in Table 3). The Sustainable Tourism Network of Nepal, a multi-stakeholder initiative promoting sustainable tourism development in Nepal comments that a growing number of travellers are showing a preference to travel with an operator known to be environmentally and socially responsible (STN, 2005). Critiques also point to an unscrupulous use of the ecotourism tag as way to lure tourists, especially foreign ones. Local media (Siddharth, 2001) underlines the insufficient accountability and responsibility of local operators with respect to potentially negative social and environmental impacts of tourism. Regulation imposing the presence of environmental officers in the most visited tourist sites was met by the industry with significant resistance.

In Bhutan, the ITO reported that strict regulation is enforced on tourism sites, facilitating the monitoring of tourism impacts on specific locations. Bhutanese government prohibited, under strict penalties, the use of firewood in the treks in order to replace it with LPG. Tour operators were encouraged to report to authorities when observing other operators or tourists using firewood in the treks. The authorities were well aware of the risks of increased volumes of tourists, particularly in relation to waste generation. Consequently, in Thimpu, a general prohibition on the use of plastic bags was initiated. Paper bags were to be used instead and a high municipal fine of 1 500 Nu (around $40) enforced this regulation. Due to the small scale of the industry and the strict enforcement of tourism regulations, it was difficult to assess whether the Bhutanese ITO was implementing responsible practices voluntarily or whether it was simply complying with existing law. It was, however, apparent from the interviews that that the ITO was well aware of the importance placed by the OTO on conservation issues. The strict regulation led to the creation of local tourism enterprises, rather than a tourism market dominated by multinational tourism chains. As the tourists are constantly accompanied by a local tour operator, their behaviour is dictated by existing regulation. The lack of independent backpackers in Bhutan was mentioned by the interviewed tourism professionals as an important element in the strategy to minimize the tourism impacts.

Findings and Discussion

The two case studies suggest that standards of responsible behaviour recommended by the OTO in the origin country influence significantly the operation of ITOs and consequently the sustainability of the tourism product in destinations. The partnership with the Swedish OTO clearly supported the ITOs in aiming to become stewards of corporate respons-

ibility and environmental advocates in their countries. The intensity of the supply chain influence was most likely strengthened by the market leadership position of the ITOs in their countries, and by the recognition that their top executives enjoyed among their peers. Consequently, both the OTO and the ITOs assumed a corporate identity characterized by environmental stewardship and the willingness to be vocal in promoting themselves as such to their partners. Observations on site and interviews confirmed voluntary implementation of various best practices including: environmental management procedures and protocols on treks and during excursions; waste separation; collection of trash on treks; use of high quality and environmentally friendly materials and supplies; existence of internal norms limiting the weight on the luggage carried by the porters; use of local produce and the promotion of local handicrafts and arts, etc. Table 3 includes an overview of the findings showing the type of best practices observed and documented at the OTO and ITOs.

Table 3: Overview of Findings on Responsible Tourism Actions at OTO and ITOs

Aspect of responsible behaviour	**OTO**	**ITO I**	**ITO IIa**	**ITO IIb**
- existence of policy on responsible tourism	●	●	●	●
- formal environmental management systems	●	●	○	
- awareness raising for customers	●	○	●	
- specific goals for improved environmental performance	○	●		
- scale management	●	●	●	●
- local employment	●	●	●	○
- staff training	●	●	●	○
- local community benefit	●	●	●	
- other involvement in local community activities	●	○	○	
-funding of local projects	●	○	○	

Legend:
● - indications were found to confirm these aspects.
○ - the company showed awareness and stated that action is planned regarding these aspects, but no further information was available to the researcher at the time of the interviews or field trips.
- information was not available.

These observations appear consistent with the CELB & TOI (2004) research which classified the channels enabling tourism suppliers to address sustainability goals: awareness raising, technical support and provision of incentives. While there was enough proof of the first two elements, the aspect of OTO incentives for ITOs adoption of responsible behaviour was least noted. The only observation is the existence of long term framework contracts between the OTO and ITOs, which according to Font & Tapper (2004) would increase the likelihood of adoption of suppliers adopting OTO' s requirements. In both cases the ITOs were aware of the OTO's expectations regarding their behaviour. However the way in which they decided to address such expectations, especially in the most challenging area of formalization of an environmental management system, was different, depending mainly on the organizational capacity and size of each ITO. The Peruvian ITO preferred to choose full ISO14001 certification, which was pursued chosen due to its global recognition. No indication was found that the ITOs in the second case study were interested to proceed and formalise an environmental management system, their behaviour remaining consequently on an ad hoc basis rather than embedded within the structure of the organization. A reason for this discrepancy may also be the considerably smaller scale of the ITOs in the Nepal-Bhutan case study, compared to the Peruvian tour operator.

There was also information pointing to the fact that the Swedish tourists were more aware and more demanding regarding the ITOs' behaviour towards the environment and the local communities. All representatives of the tour operating companies interviewed underlined that measures regarding the protection of the environment were implemented if they were also economically advantageous or if the governmental regulations were strictly and severely enforced. In all other cases, the costs of additional expenses were basically either borne by the customers or avoided. This comes to confirm observations previously made regarding sustainability of mass-tourism supply chains (CELB & TOI, 2004). From an economical standpoint, integration of sustainabil-

ity into the ecotourism supply chain helped lower costs related to waste generation and reduced consumption of resources, leading to a greater operating efficiency. From a strategic point of view, the close partnerships generated amongst suppliers enhanced the ability of both OTO and ITOs to develop new products, innovate and meet market demand.

The tourists, especially the foreign ones, were seen by the ITOs as being drivers for conservation and even as having an educational role in making the local community aware of the destination's natural and cultural values: 'the foreigners are so much more eco-conscious these days that if we are not environment friendly, they will not come back. Shouldn't we take care of something that earns our bread and butter?' (Chitrakar, 2001). In both cases, the role of the tour operators' top management - CEOs or General Managers – was absolutely fundamental in shaping the policy and operation of the companies. Also in both cases there was a close personal relationship between the OTO's and ITOs' top management. Changes in the ITOs' operations towards a responsible practice of ecotourism were supported by the top managers' personal examples.

Future Research and Conclusions

This paper aimed to present the application of responsible tourism practices for improving sustainability in international ecotourism supply chains. As it focused on the ecotourism supply chain, one aspect that was not addressed within the scope of the paper was the response of the community in destinations to the ITOs actions, which is clearly one of the central points of sustainable ecotourism practice and where further research would be necessary. The research concentrated instead on the relationships between the OTO and the ITOs, specifically in attempting to document the influence of the first over the later in inducing more responsible behaviour. Observations of actions implemented by OTOs and ITOs were drawn from two case studies of packages available on the Swedish market, for trips to Peru and Nepal-Bhutan. The two cases point that ecotourism ITOs were aware of the policies of the OTO and the expectations of the foreign tourists, acknowledging their responsibility in applying international standards of best practice, especially if the OTO requirements in this direction were expressed clearly and unequivocally. This indicates that supply chain pressure may play a role in influencing responsible behaviour of ecotourism operators in destinations. Supply chain pressure for a sustainable ecotourism product also helped the ITOs in reinforcing their own commitment to excellence in product quality and in playing an environmental stewardship role in their respective countries. A secondary conclusion and suggested area of further investigation refers to the similarities between studying international ecotourism supply chains and researching sustainability in mass-tourism. Despite the structural and operational differences between these forms of tourism, the extensive body of knowledge developed in the study of mass tourism and in its relationship with ecotourism (Ayala, 1996; Weaver, 2001; Welford & Ytterhus, 1998; Western, 1998; Western & Wright, 1996; etc.) would significantly support more specific studies on ecotourism supply chains.

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About the Author

Camelia M. Tepelus

Ms Camelia Tepelus is a Research Associate and PhD candidate in the area of sustainable tourism development at the International Institute for Industrial Environmental Economics at Lund University in Sweden. Ms Tepelus' research interests address the emergence of corporate social responsibility (CSR) in tourism, and the effectiveness of voluntary instruments for sustainability in ecotourism and mass tourism. Ms Tepelus is also coordinating an international CSR project on the prevention of child sex tourism, in cooperation with the UN World Tourism Organization, UNICEF and non-governmental groups and tourism businesses in 27 countries. She is a regular speaker at sustainable tourism conferences, a contributor to the WTO News, and participated in research and consultancy projects in Europe, Central and South America and Asia. Ms Tepelus' research on sustainability reporting has been awarded with the TUI 2000 Sustainable Tourism Award and with the 2003 British Airways Tourism for Tomorrow Award in the large scale tourism category, for a project on the protection of children's rights in tourism. Ms Tepelus is based in New York, USA.

Paper IV

Tepelus, C. (2008). Reviewing the IYE and WSSD processes and impacts on the tourism sustainability agenda. *Journal of Ecotourism, 7*, 1, 77 - 86.

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Research Note
Reviewing the IYE and WSSD Processes and Impacts on the Tourism Sustainability Agenda

Camelia Tepelus
International Institute for Industrial Environmental Economics at Lund University, c/o ECPAT USA, 157 Montague Street, Brooklyn, NY 11201, USA

Two major events marked 2002 as a milestone year for the sustainable development agenda and in particular for the tourism sector. The declaration by the United Nations of 2002 as 'International Year of Ecotourism' (IYE), culminated in the organisation of the World Ecotourism Summit (WES) in May 2002. This was followed in August 2002 by the World Summit for Sustainable Development (WSSD), a global event where the research and business communities gathered to review the last decade's achievements in making business and society more sustainable for future generations. A review of the proceedings of these events is carried out here, in light of the actions of different stakeholders. Policy-makers and the research community may consequently revisit the current tourism sustainability agenda, especially when scrutinised under the Global Code of Ethics in Tourism and considering the challenges posed by the Millennium Development Goals and their application to tourism policies.

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Keywords: ecotourism, evaluation, IYE, sustainability, WSSD

Introduction

Two major events marked a milestone for the global sustainable development agenda and in particular for the tourism sector during 2002. First, the declaration of 2002 as the 'International Year of Ecotourism' (IYE) confirmed that despite general acknowledgement of confusion in the definition of ecotourism (Buckley, 1994; Orams, 1995; Weaver, 2001; Welford & Ytterhus, 1998), its philosophy captivated the tourism research and policy agenda in the 1990s. In resolution A/RES/53/2000 (UN-GA, 1998), the 53rd Session of the United Nations General Assembly endorsed the Economic and Social Council resolution 1998/40 (UN-ECOSOC, 1998), giving a shared mandate to the World Tourism Organization (WTO) and to the United Nations Environment Programme (UNEP) to lead the process of organising IYE activities. These UN documents called for ecotourism to contribute to sustainable development, building on the Agenda 21 document adopted in Rio in 1992. The IYE provided a framework for the WTO to bring together all ecotourism stakeholders, to enable them to learn from each other, and to identify some agreed principles and priorities for the future

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development and management of ecotourism (WTO, 2002a). Second, 2002 was the year of the World Summit for Sustainable Development (WSSD) organised by the 10th Session of the UN Commission on Sustainable Development (UN-CSD). WSSD took place in Johannesburg, from 26 August to 4 September 2002, and aimed to measure progress made since the First Earth Summit in Rio de Janeiro and the adoption of 'Agenda 21' in 1992 (UNCED, 1992).

This paper reviews the IYE and WSSD processes and outcomes, in order to underline roles played by institutional arrangements and various levels of governance in the organisation of these events, that contributed critically to the sustainable tourism policy making agenda. Upon reviewing the IYE and the WSSD proceedings, an analysis of achievements and shortcomings of these events is carried out, in light of actions of selected stakeholders, namely: UN agencies, international financial institutions and civil society. Methods employed included participant observation at WES and WSSD (Clark *et al.*, 1998), reviewing position statements of key stakeholders, and an examination of follow up documents until April 2004. The research was carried out while in residence at WTO in Madrid, between September 2001 and April 2004, and analysis reflects exclusively the views of the author.

IYE and WSSD, Stakeholders and Activities

WTO and UNEP were the main conveners of IYE. WTO is the leading intergovernmental tourism organisation and a full-fledged UN specialised agency since January 2004 (with the new acronym UNWTO). WTO is unique among UN agencies in that it is open to membership by the private sector, through the WTO Business Council (WTOBC, 2004). Notable non-member governments include the USA, the UK and Scandinavian countries. UNEP was also mandated in the IYE framework to act as the interagency coordinator for implementing Agenda 21 in tourism, especially in relation to the Convention on Biological Diversity (UNEP, 2003) a document influential on tourism and particularly ecotourism. A key IYE objective was achieving a deeper understanding of ecotourism dimensions, including generating greater awareness among stakeholders, disseminating good practices, and increasing marketing and promotion opportunities of ecotourism on international markets (WTO, 2003a; WTO & UNEP, 2002). Preparatory activities included numerous regional conferences and workshops, and culminated with a web-based conference, intended to provide stakeholders opportunities to intervene in the IYE process prior to the World Ecotourism Summit (WES) held in Québec City, Canada (19–22 May 2002). WES was convened by WTO and UNEP and was attended by over 1000 delegates from 132 countries, being the largest gathering ever of ecotourism professionals. Participants were invited to submit contributions on four pre-defined themes: policy and planning, regulation, product development, marketing and promotion, and finally, monitoring costs and benefits of ecotourism. The WES output was the *Québec Declaration on Ecotourism* (WTO, 2002b), which sets the agenda and recommendations for the future development of ecotourism in the context of sustainable development. The Québec Declaration has been further submitted as an input for the WSSD in Johannesburg.

A couple of months after the WES, in August 2002 at WSSD, the WTO and the UN Conference on Trade and Development (UNCTAD) organised the side-event

Tourism and its Contribution to Poverty Alleviation, held on 30 August 2002. A new WTO initiative, the *Sustainable Tourism – Eliminating Poverty* (ST-EP) was launched with this occasion, aiming to promote sustainable tourism as a force for economic growth, particularly in Africa and developing countries. The WTO Secretary General addressed the WSSD plenary, underlining the contribution of tourism to wealth creation and sustainable development. The main outcome of WSSD was the *WSSD Plan of Implementation* (UNDESA, 2002), which makes specific references to sustainable tourism in the chapters concerning protection and management of the natural resource base of economic and social development (Ch. IV), the sustainable development of small island developing states (Ch. VII), and the sustainable development for Africa (Ch. VIII).

Despite being insufficiently discussed as role players in the sustainable tourism debate (Wheeller, 2004), financial institutions are another important sustainable tourism stakeholder. Key ecotourism funding agencies include the Global Environment Facility (GEF) and the World Bank (WB) group. The WB is one of the largest international donors for biodiversity projects (WB, 2004), supporting ecotourism projects mainly through its International Finance Corporation (IFC) arm. As of 2000, IFC had invested in about 168 tourism projects in 72 countries, accounting for 3–4% of its investment portfolio (IFC, 2004). With minor exceptions, international financial organisations have not carried out dedicated ecotourism activities in the framework of the IYE. At WES, a session on 'Development Cooperation for Ecotourism' featured inputs by several agencies including the GEF/UNDP, SNV Netherlands, German Agency for Technical Cooperation (GTZ), and the Inter-American Development Bank. At the WSSD side-event organised by the WTO, GEF presented case-studies of ongoing GEF-funded projects reflecting the potential of ecotourism for poverty alleviation in developing countries.

The stakeholder ultimately intended to be the beneficiary of both IYE and WSSD was the civil society. A plethora of non-governmental organisations (NGOs) from all continents were active participants in the IYE and WSSD processes. The civil society agenda at these events was extremely heterogeneous, addressing a wide range of lobby interests and issues, including indigenous peoples' rights, biodiversity, community development, labour, gender, trade, religion, etc. The largest and most influential NGOs participating at the IYE were The Ecotourism International Society (TIES, 2004), the Rainforest Alliance (RA, 2004), Conservation International and many others, including web-based forums such as Planeta.com, ecoclub.com, etc., intensely used by sustainable tourism activists worldwide. Ecotourism lobbyists have been extremely active in the IYE process. Initial reaction has been critical, many NGOs taking a stand against indiscriminate support of ecotourism, especially without a prior comprehensive assessment. In October 2000, the Third World Network (TWN), a coalition of over 20 environmental and human rights groups lobbying in South East Asia, Western Europe and South America, launched an appeal for a 'fundamental reassessment' of the IYE (TWN, 2000a). In letters to the IYE organisers, TWN presented evidence of questionable practices including inequitable income distribution, ecotourism operators' misconduct, and questioned the lack of substantiation of ecotourism claims. TWN provides examples of projects – many with funding of international

cooperation and development agencies – where ecotourism has resulted in massive urbanisation, displacement of indigenous populations and chaotic infrastructure development (TWN, 2000a, 2000b). Another TWN grievance was the lack of organisers' support for the participation of grassroots and indigenous voices in the IYE proceedings, in favour of commercial interests:

> we are very dismayed at the top-down and North-biased approach in the IYE preparations, which is clearly reflected in the lack of efforts made to interact with southern NGOs and people's organizations on issues under negotiation and to ensure their full and meaningful participation in the discussion and decision-making process. (TWN, 2000c)

In its declaration issued in January 2001, TIES endorsed some of these concerns regarding the IYE organisation (TIES, 2001), pointing to the danger of 'green-washing' and the need for a fair and objective ecotourism assessment. TIES notes the 'distortion' that the concept of ecotourism has often suffered – either purposefully or due to misunderstandings – and calls for stakeholders to use IYE as an opportunity to 'grapple with a myriad of troubling and complex issues facing the implementation of genuine ecotourism'.

Outcomes of IYE and WSSD, and Implications for the Tourism Sustainability Agenda

The variety and sheer number of publications and events organised by UNEP and WTO in preparation for the IYE and the WSSD represent notable IYE outcomes. Interagency co-ordination between WTO and UNEP was at its peak point during IYE. It is, however, unfortunate that WTO and UNEP programmes have focused strictly on 2002, without exploring in more detail medium and long term plans of implementing recommendations from the two events.

WTO carried out an evaluation in 2003, investigating the ways in which its 146 member states supported IYE at national level (WTO, 2003a). From the 93 respondents to the questionnaire (WTO, 2003b), 47 reported setting up ecotourism committees, and 48 defined, or were in the process of defining, national strategies for ecotourism development. Conferences and publications were organised in nearly all 93 reporting countries. While 20% of respondents reported running ecotourism promotional campaigns, there were no further references on the estimated impacts of these campaigns for the public and the industry. The WTO report refers to 'a scarce minority' of the respondents passing ecotourism legislation. Four countries reported setting up new voluntary labels for ecotourism businesses. The question of the effectiveness of already existing incentives to promote ecotourism development was not addressed. 30% of the surveyed countries reported collaborations with international organisations for ecotourism development. Another 30% established agreements with other national governments for research and training. Regarding the evaluation of WTO's own programme, 48 members characterised the IYE as 'interesting for the ecotourism industry', and 'of high value for their country'. This information is, however, only of partial relevance, as the survey did not include the WTO's industry 'affiliate members'. The WTO Business Council was not directly engaged in the IYE activities, which probably diminished the overall impact of the WES for the private sector.

Compared to the WTO, the UNEP IYE programme was less extensive, partly due to the differences in mandate, structure, and resources between the WTO and UNEP. In many of its activities UNEP closely followed objectives related to the implementation of multilateral environmental conventions, rather than simply promoting ecotourism. UNEP also acknowledged the ecotourism concerns of indigenous groups, transmitting them further at the 8th session of the UN Commission on Sustainable Development (CSD 8) (UNEP, 2005).

Despite the UN call to clarify the ecotourism concept (UNDESA, 1999) the definition debate was smoothly avoided at WES. While initially UNEP intended 'to assess what is, or can be what is currently called ecotourism' (UNEP, 2000), both WTO and TIES chose not to pursue this matter further. However, the debate during IYE and WSSD led to the change in 2004 of the WTO definition of sustainable development of tourism, now focused on underlining the link between environmental, economic and socio-cultural aspects intervening in all forms of tourism development striving for sustainability. Regarding organisation and logistics, while the WES was the culmination of a long and energy intensive process, it failed to be a showcase for the application of ecological principles to large scale events. No apparent effort was made for 'green' suppliers or recycling to be used in the WES organisation.

The donors and development agencies acknowledged the importance of ecotourism for poverty alleviation and participated at various IYE events. However, a specific inter-organisational programme between donors and the WTO and/or UNEP would have supported better the creation of a more comprehensive policy framework for ecotourism, especially one targeting developing countries. Financing remains the major challenge in translating the ecotourism potential to benefits for local communities. The need for documenting, not only successful, but also failed ecotourism projects running with donor funding was also among the WES recommendations. Development agencies acknowledged deficiencies of their internal review processes within development assistance projects (Sheridan & Halpenny, 2002). Insufficient and inadequate guidance on accessing existing funding was also cited as an obstacle in the realisation of ecotourism benefits for local communities.

IYE renewed the impetus on certification, particularly through the Sustainable Tourism Stewardship Council (STSC). Initiated in August 2001 by RA in partnership with WTO, TIES and UNEP, the STSC proposes a global accreditation scheme for sustainable tourism and ecotourism certification bodies (RA-STSC, 2004). STSC aims to address a potential market demand for having international, comparable standards to identify and purchase sustainable holidays and to minimise false claims. The STSC proposal was presented at the WES, where the parties called for an interim network structure in the beginning, to then progress over time towards an accreditation body. The WTO consulted its members on the feasibility of the STSC, and a first Sustainable Tourism Certification Network for the Americas was launched in September 2003.

Other NGO activities in the IYE framework included development of new think-tanks and ecotourism programmes, such as the Center on Ecotourism and Sustainable Development (CESD, 2004) launched in 2003 by the Institute for Policy Studies in Washington DC, Stanford University and TIES.

Valuable interaction and opportunities for dialogue were the most obvious IYE results for the civil society, as the interval 2000 to 2002 was probably the most intense period for networking amongst ecotourism stakeholders since the emergence of the ecotourism concept. Fortunate timing allowed for the WES conclusions to be submitted a few months later to the WSSD in Johannesburg. IYE served for many of the participating groups as a platform for expression, lobbying and advocacy. High-profile international NGOs skillfully used the IYE agenda to strengthen their own activities and programmes. The same can not be said about smaller and less funded Southern NGOs representing indigenous and grassroots communities, or socially disadvantaged groups affected by ecotourism development. Due to limited institutional capacity, Southern voices were often lost in the debate carried out by large international players. Once again, the web-based communication prior to WES proved to be among the most democratic, and effective dialogue tools in the IYE. Limited support to the voices of the disenfranchised appears as the strongest critique to the IYE organisation and organisers. UNEP recognised the value of documenting concerns of grassroots groups, but these were not reflected in the final IYE documents for 'procedural reasons' (UNEP, 2005). However, many heated debates often led to the discovery of commonalities across borders and organisations working in the field, independent of geographical, economical, political and social settings. Another point missed by the IYE was the insufficient engagement of the travelling public. The Québec Declaration does not address the tourists as valued stakeholders and no generic recommendations are provided regarding the consumptive side of ecotourism.

The single most important achievement of IYE in terms of policy making was the inclusion of tourism in the WSSD implementation agenda. This is a very significant step toward recognising tourism as a tool for international development in general, and is especially noteworthy considering that in the 1992 Agenda 21 adopted in Rio, tourism was not specifically mentioned. (Only later an *Agenda 21 for the Travel and Tourism Industry* was published by WTO, UNEP, the World Travel and Tourism Council and the Earth Council in 1997.) Table 1 includes an overview of the main criticisms and achievements of the IYE.

The most significant impacts of the IYE and WSSD on the tourism sustainability agenda appear to be the following: the shift in conceptualising tourism from a conservation tool to an instrument for poverty alleviation and development, the rewriting of WTO sustainable tourism definition with a more comprehensive view addressing all types of tourism development, and the specific reference to the role of tourism in the WSSD implementation plan. The proceedings and outcomes of the IYE and WSSD reflect a strengthening of the neo-liberal approach to tourism development, as reported in recent works by Cater (2006), Wheeller (2004) as well as the second edition of Mowforth and Munt (2003). These authors begin to address a previous failure of literature to adequately reflect the institutional contexts in which tourism is cast as a process, and particularly the Western hegemony on the formulation of policies in tourism. IYE and WSSD did not provide answers to the need of reconciling economic globalisation in the context of liberalisation policies required by multilateral supra-governmental organisations, with the concerns of livelihood security and equity in access to resources for tourism-dependent

Table 1 Overview of the main criticisms and achievements of the IYE

IYE criticisms
• Top-down organisation, biased in favour of large and resourceful ecotourism agencies. • Excessive reliance of the preparatory process on the organisation of international and regional conferences for the preparation process. • Failure of the UN resolution to address funding for the IYE process left the burden on the WTO and UNEP's budgets to provide financial support to allow access to meetings for Southern representatives. • Difficulties in the organisation of grassroots and indigenous groups' movement reduced their overall impact in the IYE debate. • A comprehensive evaluation effort post-IYE was not carried out (except for the evaluation carried out by WTO of its own activities). • Reductionism and ambiguity in approaching the ecotourism concept. • Sidelining the discussion on a specific ecotourism definition. • Focus on ecotourism promotion and marketing, rather than on a critical ecotourism assessment and evaluation exercise. • Avoidance of tackling the social aspects of ecotourism. • Insufficient exploration of ecotourism financing mechanisms, their fairness and ethical bases. • Omitting in the Quebec Declaration the role of tourists as ecotourism stakeholders. • Insufficient facilitation by the IYE organisers of the interaction between grassroots groups and development and aid agencies.
IYE achievements
• Preparations for IYE catalysed a significant body of new research, especially on documenting ecotourism impacts for the livelihoods of local communities. • IYE and WES created extensive opportunities for stakeholders' exchange and interaction, during many conferences, workshops, and seminars. • IYE supported the strengthening of ecotourism programmes of NGOs. • A wealth of publications, guidelines and policy statements on ecotourism were produced by participating organisations. • WES was the first global event to bring together over 1000 ecotourism practitioners, academics and policy makers from 132 countries. • IYE provided a framework for a more intense and focused debate on how tourism in general may contribute to sustainable development. • Tourism was included in three chapters of the WSSD Plan of Implementation. • Revision by the WTO of the conceptual definition for sustainable development of tourism.

communities. Starting from strictly focusing on ecotourism, the tourism agenda in 2002 smoothly changed after the May WES, to refocus at the August WSSD on pro-poor tourism strategies and on the Millenium Development Goals (MDGs), a blueprint proposed by the UN and agreed upon by the governments and by all leading development institutions (UNMDG, 2006). This shift complements and is reflective of the WTO transformation into a specialised agency of the UN in 2004. This new institutional identity also calls for a new understanding of sustainable tourism, that needs to move beyond the management of ecological consequences, and to address tourism impacts in a more holistic manner. Consequently, the WTO changed their definition

on sustainable development of tourism, and increased the promotion of the Global Code of Ethics for Tourism (GCET), a set of 10 articles promoted as 'rules of the game' for tourism development (WTO-GCET, 2006). The need for tourism policy making in a wider context of the sustainability science and using a more systemic approach has been previously addressed by Farrell and Twinning-Ward (2004), by Milne and Ateljevic (2001) and from an ethical perspective by Fennell (2006). However powerful counter forces to this process need to be recognised. Farell and Twinning-Ward (2004) point out the barriers to the modernisation of tourism policy making to include: conservative patterns of operation by the power players, insulating properties of social systems and persistent use of partial solutions. An improved scrutiny of tourism policy making in light of its ethical bases for development appears critical in order to avoid a self-perpetuating and self-reinforcing growth scenario, meant to provide indiscriminate development without sufficient critical perspective. Fennell's 2006 *Tourism Ethics* makes a timely contribution in this direction. Furthermore, additional research would be necessary regarding the operationalisation of the WTO GCET, and its institutionalisation within tourism development projects.

Conclusions

The context for evaluating the IYE and the tourism coverage at WSSD is that of a world where global challenges are increasingly complex and inter-linked. In the decade since the Rio Earth Summit, not only have the priorities been shifting from 'eco' to 'socio', but there has also been an acute pressure for any sustainability initiative to lead to an improved quality of life for targeted communities, such as reflected by the UN MDGs. Despite organisational deficiencies mostly related to its preparatory process and its politicisation, the IYE contributed fundamentally to putting tourism on the map in the international development arena.

With that in mind it is noteworthy that in the couple of months between WES and WSSD, the tourism agenda clearly shifted from ecotourism to poverty, the critical issue to the MDGs. The post WSSD sustainable development of tourism vision understands ecotourism, as one of the forms of promoting tourism as a tool for development, rather than a tool for conservation. This is clearly illustrated by the ST-EP programme launched at WSSD, that managed to attract support from different international donors since its launch in 2002, based on a political agenda of liberalisation with a human face and alleviation of poverty.

Of paramount importance is the success of agencies such as WTO and UNEP in including tourism as a specific area of action in the WSSD Plan of Implementation. Furthermore, the 2004 transformation of WTO into a UN specialised agency confirms the recognition of tourism as a developmental tool that needs to operate on ethical principles as defined by the GCET. It would be a highly recommended exercise for the 'new WTO', now renamed UNWTO, as well as for both governmental and non-governmental tourism agencies, to revisit their policies in light of the IYE and WSSD experiences, and to take into consideration the ethical requirements of the GCET and the multitude of challenges presented by the Millenium Development Goals.

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Correspondence

Any correspondence should be directed to Camelia Tepelus, International Institute for Industrial Environmental Economics at Lund University, c/o ECPAT USA, 157 Montague Street, Brooklyn, NY 11201, USA (camelia.tepelus@iiiee.lu.se).

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Paper V

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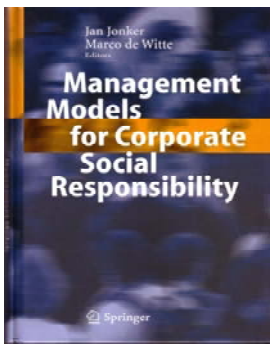

Springer

10 A Model for Multi-Stakeholder Partnerships on Human Rights in Tourism

Camelia M. Tepelus

Key words: Sustainable tourism, children's rights, child sex tourism, social responsibility

10.1 Introduction

Tourism is one of the world's largest industries, increasingly promoted as an engine for development and poverty alleviation. According to the World Tourism Organization (WTO), a UN specialized agency and leading organisation in the field, tourism represents approximately 7 percent of worldwide exports of goods and services. This share increases to 30 percent when considering service exports exclusively.

This paper presents a model for corporate social responsibility (CSR) created to integrate human rights issues in sustainable tourism, through public-private partnerships between the industry, non-governmental organisations (NGOs) and international governmental organisations (IGOs). The experience with the model in practice is described in a case study presenting a voluntary code of conduct adopted by the industry to prevent child sex tourism.

10.2 A model of inter-stakeholders' partnerships against child sex tourism

How the model works and what it does

At the core of the model presented is the tourism sector's acknowledgement of accountability on the human rights impacts of its operations. The tourism industry is not accused of fomenting development of abusive situations. However, the private sector is asked to react against the use of its networks and establishments in circumstances leading to human rights abuses, such as in the case of child sex tourism.

Responsibility of the tourism sector in this field has been defined as direct, or indirect, potential. Direct responsibility corresponds to those businesses who knowingly publicize, promote, and receive sex tours, as well as to the operators of

establishments and premises where abusers meet and sexually exploit children, namely, accommodation facilities, entertainment centres, leisure areas, etc. Tolerating such activities implies complicity and complacency of the private sector.

Indirect or potential responsibility also corresponds to tour operators, travel agents, other carriers and airlines, who become aware that they are used as vehicles carrying declared or potential sex offenders to the destinations.

The model for socially responsible behaviour calls for a public commitment of the company to support awareness raising, and to have a preventative approach to situations of abuse. This is particularly called for in poor countries of the developing world. The model intervenes at key points within the tourism supply chain, and sets in place tools empowering the private sector to prevent child sex tourism while simultaneously improving the quality of the tourism product.

This process takes place at different levels in the tourism supply chain (see Figure 10.1):

- at corporate level, through ethical policies and staff training;
- in relation to suppliers, by introducing specific clauses in commercial contracts;
- in relation to the customers, through awareness raising and by providing relevant information;
- in relation to civil society, by empowering local stakeholders through direct capacity building and annual reporting.

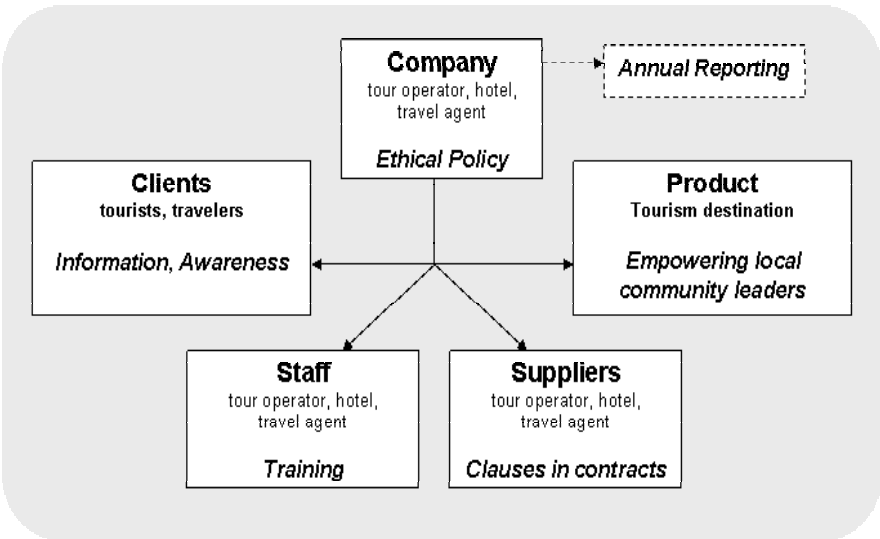

Figure 10.1. Operational framework

Under this operational framework, distinct competencies of various stakeholders are brought together to address a grave human rights issue in a coordinated manner. Implementation activities take place both in originating (tourism sending) countries, and in destination (receiving) countries (see Figure 10.2). Monitoring of the model is facilitated by a multi-stakeholder, coordinating body of international standing, which is supported by the leading IGOs working on the child sex tourism issue.

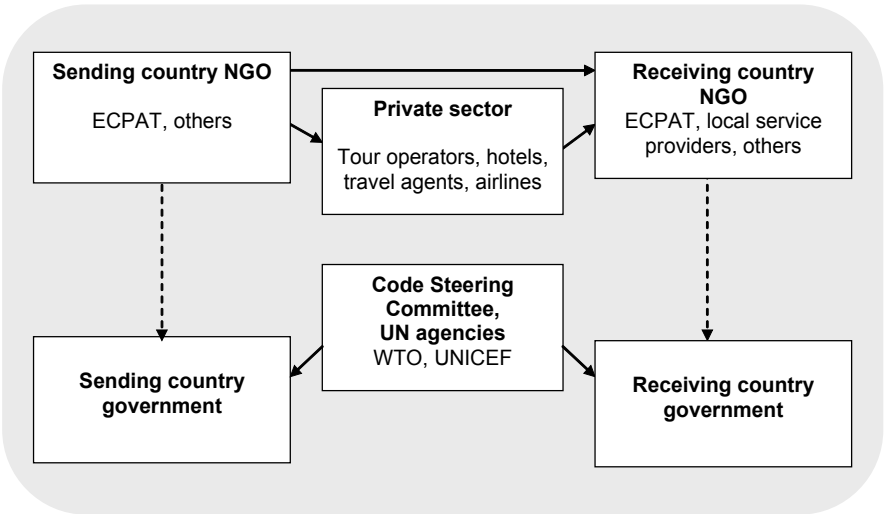

Figure 10.2. Institutional stakeholders playing a role in the implementation of the model

Development of the model and its current status

This system of public-private partnerships started with implementation in Scandinavia, and expanded to other tourism-sending European countries during 2000 – 2004. The model was introduced in North America in 2004 and in Japan in 2005, and there are ongoing actions for testing it in Eastern Europe with the support of the Organization for Security and Cooperation in Europe (OSCE). Over 250 companies, including tour operators, hotels and travel agencies from 21 countries are currently implementing this framework worldwide. Companies engaged in this process include both large, well-known brands such as Accor, CarlsonWagonlit, Radisson, TUI, Kuoni, etc., as well as small local hotels or travel agents. This expansion was possible through a process of knowledge transfer and dissemination that followed two different paths: a corporate and an NGO path.

The corporate path focused mainly on transfer of knowledge intra-company, across borders. Multinational companies that had positive experiences with the

implementation of the model in one country were able to transfer this know-how in other destinations. For instance, Accor Hotels Asia, starting from the pilot implementation of this model in its Accor Bangkok Hotel in Thailand, moved then to expand training and awareness to Accor staff in Laos, Vietnam, Sri Lanka, Dominican Republic, Mexico and French Guyana.

The NGO path focused mainly on capacity building in tourism destinations. Consultations, seminars, training sessions and visits, were carried out in destinations in the process of monitoring the implementation of the model. Experts from tourism-sending countries went to destinations in tourism-receiving countries in order to review the effectiveness and create local know-how. Often, when the suitable political and social factors were in place, awareness campaigns originating abroad were subsequently pursued independently in the receiving country by NGOs, local or national governments.

This model was internationally recognized as a successful approach to CSR in tourism, being awarded in 2003 with the British Airways Tourism for Tomorrow Award in the Large Scale Tourism category. More than 30 million tourists a year are using the services of a tour operator engaged with this model of preventing child sex tourism.

10.3 Application – the case of child sex tourism

Commercial sexual exploitation of children in tourism (SECT) also named child sex tourism, is a global phenomenon and an international crime, making it the object of extra-territorial legislation. An estimated 2 million children enter the multi-billion dollar commercial sex trade and are forced into commercial sexual practices every year according to the United Nations Children's Fund (UNICEF). This exploitation occurs in all countries, mainly in South-East Asia, Latin America, Africa and Eastern Europe. The Western world accounts for the greatest demand for child sex.

For political reasons and image concerns, and despite its visibility, SECT often occurs without governments' reaction in many developing countries. Furthermore, corruption, poverty and insufficient law enforcement undermine the capacity of governments to confront the problem. On the other hand, the tourism industry is represented in most of the world's cities, providing visitors, and, hence, potential child sex-tourists with access to its infrastructure, transport, accommodation and services. Even though statistics and anecdotal evidence indicate that the largest portion of the child sex trade caters to local clients, the incidence of tourists from industrialized countries travelling to developing countries for SECT is a very visible part of the problem.

SECT was defined at the first World Congress against Commercial Sexual Exploitation of Children in 1996 as the 'sexual exploitation of a child by a person

or persons who engages in sexual activities with a child while travelling away from their own country or region'. An Agenda for Action was adopted, including the recommendation of 'mobilizing the tourist industry and the business world so that their facilities and networks are not used for the child sex trade'. A number of tourism bodies responded to this recommendation by issuing statements and internal guidelines and other types of self-regulatory policies.

Case Study: A CSR model to prevent child sex tourism through an industry code of conduct

The framework created for the implementation of a CSR model addressing SECT was a voluntary code of conduct. The Code of Conduct for the Protection of Children from Sexual Exploitation in Travel and Tourism (the Code), was initiated in 1998 by the non-governmental organisation ECPAT with the support of the industry, the WTO and UNICEF. The Code implementation requires direct collaboration between the tourism private sector and national NGOs with children's rights expertise, with the support of the competent IGOs. The roles of the different participants in the Code model are:

The tourism industry

Building on the assumption that the tourism industry is directly interested in the long-term development of destinations, the sector is called to sign the Code, and accept its monitoring by an international supervisory body. Companies adopting the Code commit to: establish corporate ethical policies against SECT; educate and train their personnel both in the country of origin and in destinations; introduce clauses in the contracts with their suppliers, stating a common repudiation of SECT; provide information to travellers by means of catalogues, brochures, posters, in-flight spots, ticket-slips, websites, etc.; liaise with local 'key persons' such as community leaders and authorities in destinations; and report annually on the implementation of these criteria.

NGOs with children's rights expertise (ECPAT)

ECPAT was established in Asia in 1990 as a response of local social workers and activists to the child sex tourism phenomenon. The acronym initially meant 'End Child Prostitution in Asian Tourism', and stands now for 'End Child Prostitution, Child Pornography and Trafficking of Children for Sexual Purposes'. ECPAT is today a network represented in 65 countries. ECPAT groups or other NGOs currently provide children's rights training and assistance in implementing the Code by the tourism industry in their countries and abroad.

IGOs in the fields of tourism and children's rights (WTO and UNICEF)

The 'Tourism Bill of Rights and Tourism Code', adopted by the WTO General Assembly in 1985 contains directives specifically addressing SECT. Following the 1996 World Congress, WTO proceeded to create an international Task Force against commercial sexual exploitation of children. Since 1997 the Task Force was engaged in an international awareness campaign seeking to 'prevent, uncover, isolate and eradicate the exploitation of children in sex tourism'. UNICEF, the UN agency working to protect children's rights in the framework of the UN Convention on the Rights of the Child became a supporting organisation in 2004, following the launch of the Code in North America. In a ceremony held in the presence of HM Queen Silvia of Sweden and US government officials, the Carlson group, owner of the well known Radisson and Carlson Wagonlit brands, was the first North American company to adopt the Code. The tourism private sector together with ECPAT, UNICEF and the WTO form an international multi-stakeholder group, the Code Steering Committee. This body is funded by UNICEF and its task is the global monitoring of the Code development.

10.4 Dos and don'ts in the implementation of the model

The framework presented requires establishment of direct relationships between the tourism private sector, NGOs and IGOs. Factors such as insufficient funding, lack of knowledge, reciprocal suspicion, misconceptions, tremendous differences in work capacity, in work style and in the understanding of the problem, have often interfered negatively with the outcomes of the implementation. Clearly, all partners benefited from the experience by developing, or getting access to new knowledge. Lessons learned include both positive recommendations ('Dos') and negative ones ('Don'ts').

Do's

Engagement of IGOs at the highest level was a key component in determining national governments to approach a highly sensitive topic such as that of child sex tourism. The role of national NGOs was critical in initiating the process and in catalyzing follow-up activities. However, a formalisation of the model especially in developing countries relied on the engagement of IGOs, leading subsequently to political support and resource allocation by the national governments.

Existent national – international affiliation relationships helped create a domino effect for the model dissemination. Individual countries are members of the WTO, UNICEF country offices respond to headquarters, and individual tourism companies are members of sector specific umbrella organisations. These rela-

tionships created effective leverage mechanisms for attracting more companies to join the model.

Working intensely with multi-nationals also maximized the international impact and the expansion of the model. The most influential tourism players are companies operating globally. Their activities in one country were easily replicable elsewhere through the mother-company management structures and central headquarters. Furthermore, as key players know each other well, they often have formal or informal regional operation agreements in place, leading again to coordinated action on implementing the model in specific destinations.

Pilot projects that started with one large industry partner attracted other local businesses more easily and built up momentum faster, as compared to projects that started by incorporating small or medium-sized individual businesses.

Proper understanding of the business by all model partners facilitates communication and agreement on common goals. While this may seem obvious, the experience with this model showed that often NGOs and the private sector don't have a good understanding of each other's roles and operations. Agreements commonly used in the industry – franchising, management contracts, brand rights, etc– require the modification of the model accordingly, and consequently a degree of flexibility and adaptability from all partners.

Don'ts

Deficiencies in the implementation of this model were mostly related to circumstances such as excessive reliance on a single partner (tour operator, hotel or NGO) in some destinations, and the dependence of the success of the implementation on the local political context.

Another major challenge at all times was the insufficient financial capacity for monitoring and evaluating the implementation in destinations.

10.5 Conclusion

This paper presented a CSR model of public-private partnerships created to advance a more comprehensive approach to protection of human rights issues in tourism. This framework allowed development of know-how that did not exist previously within the industry, and provided for the private sector reaction to an emerging issue transcending the usual sector boundaries. The challenge highlighted in the testing of the model was the need for balancing between flexibility in implementation at national level, and maintaining consistency of the international conceptual framework. The experience with its implementation until now shows that it is possible for the tourism private sector to effectively answer a real need of society in trying to curb the problem of child sex tourism, and in a

wider context, to improve protection of children's rights in destinations. The key achievement of the model was the re-evaluation, and in some countries the re-shaping, of the relationships between the tourism industry and civil society. In this sense, this experience is also relevant and possibly replicable on other human rights issues within the UN Millennium Goals and UN Global Compact agenda.

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Paper VI

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Social responsibility and innovation on trafficking and child sex tourism: Morphing of practice into sustainable tourism policies?

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Camelia M. Tepelus
is a research associate and PhD candidate at IIIEE at Lund University, Sweden. Ms Tepelus holds an MSc in Environmental Management and Policy from Lund University, a marketing BS from the Academy of Economical Sciences of Bucharest and an engineering BS from Politehnica University of Bucharest. Her doctoral research concerns sustainable development in tourism, corporate social responsibility and the tourism impacts on human rights.

ABSTRACT *Ethical questions related to globalisation, human rights, unfair labour practices and transboundary exchanges of capital and workforce create ever more complex challenges for the tourism sustainability agenda. In recent years, the tourism industry has been increasingly challenged by media and governments to provide fast, socially responsible responses to emerging problems resulting from the dissolution of borders and workforce migration. Two particularly challenging phenomena that regularly make headlines are trafficking in human beings and child sex tourism. The main objective of this paper is to present existing good practices for preventing and combating trafficking of human beings and its links with the travel industry, and child sex tourism. Secondly, the paper calls for the morphing of empirical models into sustained innovation and public policies, and reviews several factors that may be necessary for this transformation to begin. The discussion is framed within the context of corporate social responsibility for sustainable tourism.*

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KEYWORDS trafficking, child sex tourism, social responsibility, innovation

INTRODUCTION

Ethical questions related to globalisation, human rights, unfair labour practices and transboundary exchanges of capital and workforce create increasingly complex issues for the tourism sustainability agenda. In recent years, the tourism industry has been challenged by media and governments to provide fast, socially responsible responses to emerging problems resulting from the dissolution of borders and workforce migration. Two particularly thorny phenomena, trafficking in human beings and child sex tourism, have called for the development of an initial set of innovative response mechanisms.

Camelia M. Tepelus
IIIEE, c/o ECPAT,
157 Montague Street,
Brooklyn NY 11021, USA
Tel: +1 718 935 9192
Fax +718 935 9173
E-mail: camelia.tepelus@iiiee.lu.se

SCOPE AND METHODS

This paper approaches the nexus between sustainable tourism, trafficking in human beings and child sex tourism through a review of international good practice on preventing child sex tourism and trafficking. This is intended to be mostly descriptive in nature, within a theoretical framework of corporate social responsibility (CSR) and innovation in tourism. The review includes initiatives developed by the

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nongovernmental sector, multi-stakeholder partnerships and actions by governments and inter-governmental organisations. Based on reflections concerning the extent of existing programmes, a call is made to morph praxis into innovation-oriented public policies against trafficking and child sex tourism. Some of the factors potentially intervening in such a systemic transformation are identified and suggested for further research.

The paper draws from data collected between 2001 and 2007, a period when the author participated in a project promoting multi-stakeholder action against child sex tourism (the Code of Conduct for the Protection of Children from Sexual Exploitation in Travel and Tourism, www.thecode.org). In this endeavour, and acting as an international secretariat coordinator for the project, the author engaged with tourism companies (tour operators, hotels and travel agencies) and their umbrella organisations (national associations) in 23 countries in Europe (Germany, Austria, Italy, Spain, Sweden, Switzerland, the Netherlands, the UK, Romania, Bulgaria, Montenegro, Russia), North America (USA and Canada), Latin America (Mexico, Guatemala, Brazil, Panama), Africa (Kenya, South Africa and Morocco) and Asia (Thailand and Japan). The purpose of the author's interactions with companies and nongovernmental organisations in these countries over the specified period was to support capacity building, training and education against child sex tourism and trafficking.

Data collection supporting the discussion was characterised by a methodological pluralism. As the documentation period was relatively extensive, multiple data sources were used, varying according to the circumstances in different countries, depending on the support provided by other stakeholders, and on a company-by-company basis. The main method employed was participant observation (Clark *et al.*, 1998), consisting of first-hand observation (Bowen, 2002; Hayllar and Veal, 1996) documented through different field work techniques including interview notes, transcripts and minutes of meetings. Expert and key informant interviews, as well as company questionnaires were also critical sources of information. Over the documentation period, important observations were also drawn from numerous consultations with relevant international agencies part of, or affiliated to the UN system, including UNWTO, UNICEF and OSCE, participation in topic specific conferences in Europe, Central and Latin America, and Asia, and periodic presentations at the bi-annual meetings of the UNWTO Task Force to Protect Children from Sexual Exploitation in Tourism. These interactions, complemented by industry trainings and field visits carried out in Costa Rica, Guatemala, Romania, Mexico, Panama, etc supported the author's reflections on child sex tourism and trafficking from a more general perspective of innovation on sustainable tourism policy making.

The investigation process had the characteristics of an applied qualitative research (Ritchie and Spencer, 1994). Data were analysed in order to carry out a systematic arrangement of information into meaningful patterns, and to identify critical common characteristics for the empirical innovation models presented. Analysis consisted into a dissection of the whole body of accumulated information into component parts, for gaining insights into its innovation potential from a tourism policy-making perspective. Data analysis conduced to further inductive reasoning, with the objective of stimulating theoretical developments that would build upon the empirical innovation models described. Data analysis has been performed in order to connect the theoretical realm, presented in the first section of the paper, with the empirical realm, subsequently presented.

The paper is organised as follows: first, the general concepts of sustainability, CSR and innovation in tourism are introduced, followed by a description of the context of child sex tourism and trafficking. Secondly, the author presents several empirical models developed by different stakeholders, in the attempt to prevent child sex tourism and trafficking. Finally, a

discussion reflecting on the current status of innovations in this field is carried out, closing with recommendations on how existing empirical action models can be better translated from the business practice into socially innovative tourism policies.

SUSTAINABLE DEVELOPMENT OF TOURISM, CSR AND INNOVATION

The concept of sustainable development was introduced in 1987 by the World Conference on Environment and Development (known as the 'Brundtland Commission', whose report defined sustainable development as development meeting the needs of the present without compromising the ability of future generations to meet their own needs; (WCED, 1987). Tourism was not specifically addressed either by the Brundtland report or by the 'Agenda 21', the outcome action programme that emerged from the 'Earth Summit' held in Rio de Janeiro in 1992 (UNCED, 2000). Only in 1997 did the travel and tourism sector issue its first programmatic affirmation to the sustainable development principles in the document *Agenda 21 for the Travel and Tourism Industry,* jointly elaborated by the World Tourism Organization, the World Travel and Tourism Council and the Earth Council (WTTC, WTO and Earth Council, 1997). Some of the reasons for the difficulties on sustainability research in tourism refer to the multidisciplinary nature of the sector (WTO, 2001) and a general conceptual 'fuzziness' of the area. For a long period, the sustainable tourism investigations have been focusing on identifying and documenting social, ecological, cultural and economic impacts of tourism (Cooper *et al.*, 1998; Fennell, 1999; Mason, 2003; Ryan, 2003; Swarbrooke, 1999), etc. In recent years, however, concerns related to tourism development expanded beyond the issue of impacts, and are increasingly explored in the context of globalisation (Bianchi, 2007; Dodds and Joppe, 2005). Implementation of neo-liberal development policies also raised the issue of responsibility of the business sector for promoting sustainable development, leading to the emergence of CSR and business ethics as new business studies areas.

In its generic use, the term CSR is understood as the explicit adoption and implementation of environmentally conscious, ethical and socially responsible standards of conduct in and by the business, on a voluntary basis and going beyond the minimum legal requirements. In recent years, the concept has been institutionalised politically in the international context both by the European Union and by the UN. Under the definition of the European Commission (2001), CSR is 'a concept whereby companies integrate social and environmental concerns in their business operations and in their interaction with their stakeholders on a voluntary basis' (European Commission, 2001: 8). The Commission further emphasises four relevant aspects: first, that CSR covers *both* social and environmental issues, in spite of the English term CSR; secondly, that CSR is not or should not be separate from business strategy and operations; thirdly, that CSR is voluntary; and fourthly, that interaction with internal and external stakeholders is an important aspect of CSR. The United Nations is also playing an important role in promoting the CSR agenda through the Global Compact (UN Global Compact, 2007), a framework for businesses to align their operations and strategies within ten universally accepted principles of human rights, labour, environment and anti-corruption.

Tourism adoption of CSR practices is still in its infancy. Of all the industrial sectors that the World Bank Group CSR Practice reviewed in 2003 (World Bank and International Finance Corporation, 2003), tourism was the 'least developed' in terms of codes of conduct and CSR initiatives. With regards to the content of existing initiatives, Epler-Wood and Leray (2005) point out that existing voluntary schemes, guidelines and codes of conduct have predominantly addressed questions of environmental management, with little or no focus on issues of human rights and labour. In his

Tourism Ethics, Fennell (2006) sees the research concentration on tourism environmental impacts as excessive and limiting for the field, noting the 'absence of an underlying ethical basis for critical thought in tourism' (Fennell, 2006: xiii). Fennell argues that it may be the recognition of the 'immense void in ethics' (*ibid.)* that determined tourism being pulled behind other disciplines that progressed both conceptually and theoretically. Fennel further suggests that tourism ethics 'has the potential to emerge as the next main research platform' (2006: 358) in this field.

Ethics and CSR are also promising operating frameworks for the private sector. Among the first industry publications specifically addressing CSR was a World Travel and Tourism Council report from 2002, which reviews selected examples of social leadership by top companies of the sector (WTTC, 2002). In WTTC's view, the business case for CSR by tourism companies results from: favouring of responsible companies by governments and communities prioritising sustainability; building brand value and the market share of socially conscious travellers; attracting socially conscious investors; enhancing businesses' ability for recruitment of highly skilled workforce; improved risk assessment and response capacity.

Despite the reasons given by the industry, a study by Dodds and Joppe (2005) found that there is little overt demand for sustainable tourism, and both the consumer and the industry are still overwhelmingly driven by price. The same was noted when the Organization for Economic Co-operation and Development (OECD) organised an 'Innovation and Growth in Tourism' conference in 2003. In this context, private sector representatives noted that 'price competition and its consequences of productivity improvement, and not product innovation, has occupied the minds of senior managers in this [tourism] sector over the past ten years' (Brackenbury, 2003: 8). Weiermair (2005) also points out that innovation is undertaken in the tourism value chain only in the areas where there is sufficiently high information dividend paying for the added cost and risk.

Price-driven improvements have been well studied in other industries. The discourse in the field of industrial innovation, however, rarely addresses the service sectors and is particularly silent in what concerns tourism. The research focusing on tourism innovation is limited (Decelle, 2003; Nordin, 2003), and as a field still sparse and fragmented. Hjalager (2002) builds on the model of Abernathy and Clark (1985), who describe the tourism innovation process in terms of: production, process, management, logistics and institutional improvements (see Figure 1).

In further work, Hjalager (1996, 1997, 2006) connects the low occurrence of innovation with deficiencies of knowledge transfer, suggesting that in tourism, the central elements of innovativeness are generally human resources, competence, knowledge and access to networks.

While most traditional views of innovation in tourism, starting with Schumpeter's work (1934), concern technical and resource exploitation processes, researchers increasingly point to the need of a behavioural interpretation of innovation (Sundbo *et al.*, 2003) incorporating the social capital within the scope of innovations. In this direction, Macbeth *et al.* (2004) use the concept of social, political and cultural capital, arguing that

> The use of the concepts of SPCC in regional tourism development needs to have a broader agenda than pointing the finger at communities and telling them to take responsibility. There is also a need for corporations and government to accept the need to contribute to building social capital, and to do so equitably across gender, age, ethnicity and socio-economic level. […] if tourism development is to be sustainable, it must ensure its development efforts accept corporate civic responsibility. (Macbeth *et al.*, 2004: 507)

These comments point to a link between CSR and innovation, calling for tourism managers to see themselves and also to act as social

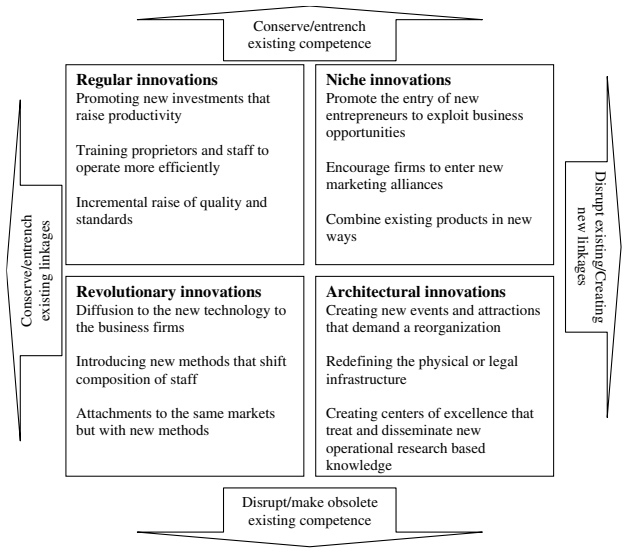

Figure 1 Abernathy and Clark (1985) Innovation types
Source: Hjalager (2002: 467)

entrepreneurs. On a more general basis, it appears that there is a need for innovation to be understood in a broader sense, as having a relationship with CSR in supporting the fulfilment of the 'social contract' of tourism (Martin and Osberg, 2007).

TRAFFICKING AND CHILD SEX TOURISM

Easily negotiated international borders and increased demand for cheap labour sustain a global slave industry worth approximately $9bn in annual profits, for which 600,000–800,000 immigrants are trafficked across international borders every year (Glover, 2006). The main premise of human trafficking is that increased poverty leads hopeless immigrants to seek opportunities beyond the borders of their homelands (Coonan and Thompson, 2005).

Trafficking and child sex tourism are among what Payne and Dimanche (1996) consider the myriad of issues and problems in the tourism industry tied to ethics, or lack of thereof. While sex tourism is better known in the tourism academic research circles, trafficking has been only recently associated to tourism. Child Sex Tourism (CST) is a narrow topic within the wider issue of sex tourism, which was developed as a legitimate area of tourism studies from the 1970s (Ryan and Hall, 2001). Tourism researchers have reported extensively on sex tourism over the last two decades, significant exploratory work being carried out by Carter and Clift (2000), Garrick (2005), Hall (1996), Jeffreys (1999), O'Connell Davidson (2000), Oppermann (1999), Rao (1999), Ryan and Hall (2001), Seabrook (2000), Truong (1990), Ryan and Kinder (1996), and others. Important field research was carried out in the 1990s in Thailand, Goa, Venezuela, Dominican Republic, South Africa, Cuba, and Costa Rica, by O'Connell Davidson and Sanchez Taylor (1995). Their reports were commissioned by ECPAT International and used in preparation

for the 1996 1st World Congress against the Commercial Sexual Exploitation of Children (reports available from ECPAT International (End Child Prostitution, Child Pornography and Trafficking of Children for Sexual Purposes) website www.ecpat.net). Moving beyond merely observing CST as a component of tourism and sexuality, recent works progressed toward more sophisticated aspects of CST, such as those including commonalities with sex tourism in general (O'Connell Davidson, 2004), tourists' rationalisations (Garrick, 2005), sex tourism and citizenship (Cabezas, 2004).

CST is distinguished from the wider topic of sex tourism studies by its classification as a national or international crime. As adult prostitution is legal in some countries, adult sex tourism, while controversial, is not a crime under certain national jurisdictions. Tourism, however, for the purpose of sexual relation with a minor is a crime and a clear and unambiguous violation of human rights (UNWTO, 2004) under the international legislation. A tourist who engages in sex with a minor commits a violation of the UN Convention of the Rights of the Child, and of the Optional Protocol on the Sale of Children, Child Prostitution and Child Pornography. Children's fundamental right to be protected against commercial sexual exploitation is addressed in the UN Convention on the Rights of the Child (CRC), whose Article 34 recognises the cross-border aspects that are typical of the phenomenon.

More recently, new information increasingly links CST with trafficking in human beings, a phenomenon considered by the UN Office on Drugs and Crime to be the 21st century form of the old worldwide slave trade (UNODC, 2006). UNODC defines trafficking in the context of the UN Convention against Transnational Organized Crime, and of two of its supplementing protocols: the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, and the Protocol against the Smuggling of Migrants by Land, Sea and Air, both adopted by the UN General Assembly in 2000. Trafficking is defined as

> the recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or tougher forms of coercion, of abduction, of fraud, or deception, or the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation. Exploitation includes, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labour or services, slavery or practices similar to slavery, servitude or the removal of organs. (UNODC, 2006: 7)

The links between trafficking and child sex tourism are also noted by the US Department of State Office to Monitor and Combat Trafficking in Persons (TIP Office), which issues an annual Trafficking in Persons Report (TIP Report). The Protection Project at John Hopkins University (Protection Project, 2007) reviewed the 2006 edition of the TIP report, finding that 29 countries were referenced as either origin or destination countries. These references point out the fact that the TIP Office lists other governments' efforts to combat CST among the measures to eliminate trafficking in persons. The aspects of 'transportation, transfer, harbouring or receipt of persons' in the trafficking definition make it possible for tourism businesses to be used, voluntarily or involuntarily, in relation to the trafficking phenomenon. In what concerns adult victims, there is often confusion between trafficking and smuggling of migrants. The differentiating aspects concern the nature of consent (coercive, deceptive or abusive in the case of trafficking), and the aspect of continuous exploitation and coercion for illegal profits which characterise trafficking. Also, unlike smuggling, which is always transnational, trafficking can be both internal and trans-boundary (UNODC, 2007).

In regard to minor victims of CST and trafficking, the legal determination is clear. According to the existing international legal framework, children under 18 cannot give valid consent, and any recruitment, transportation, transfer, harbouring or receipt of children for the purpose of exploitation is a form of trafficking regardless of the means used (UNODC, 2007). A common misconception is that sex tourists are primarily paedophiles. According to Glover (2006), however, the majority of perpetrators are primarily prostitute users in general. UNICEF quotes surveys indicating that 30–35 per cent of all sex workers in the Mekong subregion of south-east Asia are between 12 and 17 years of age (UNICEF, 2007a), 2 million children are believed to be exploited through prostitution and pornography, and 1.2 million children are trafficked every year (UNICEF, 2007b). While child sex tourism is booming worldwide, according to Glover (2006) Asia is at the centre of child prostitution, with 60,000 child prostitutes in the Philippines, 400,000 in India, 800,000 in Thailand. Most of them are girls under the age of 16, or boys in the case of Sri Lanka's 20,000 child prostitutes. Child prostitution and sex tourism, however, cannot be blamed on tourists alone, as they seem to be thriving in places where a culture of prostitution is connected to the local customs or historical circumstances. In Sachs (1994), Hnin Hnin Pyne estimates that 75 per cent of Thai men have had sex with a prostitute. With such a demand, children are sought in the most impoverished areas to be brought to developed entertainment destinations, often tourism destinations, to serve the red light districts.

MODELS OF TOURISM INNOVATIONS PREVENTING TRAFFICKING AND SEX TOURISM

The existing body of knowledge on child sex tourism and trafficking in the context of sustainability and CSR is thin. Furthermore, the theoretical contextualisation on CST and trafficking phenomena turns obsolete quickly, due to the volatile dynamics of these phenomena and the rapid changes of the tourism industry. Yet, some empirical developments have been recently taking place. Models of responsible practice to prevent and counteract trafficking and sex tourism have emerged in the last decade from a variety of tourism stakeholders, including nongovernmental organisations, international governmental organisations, industry and national tourism authorities. They come to complement national laws, including extraterritorial legislation created by many governments to prevent trafficking and sex tourism. The general aims of tourism industry innovations were, first, to create awareness within the industry regarding its potential preventative role, and, secondly, to equip tourism businesses with the tools to exercise it. Other measures looked into creating alternative opportunities for development for the children at risk, facilitating public awareness, and creating incentives to report sex tourism and trafficking. Several such examples are briefly described in this section, clustered according to the type of stakeholders driving them.

Models of innovation by nongovernmental organisations

The youth career initiative programme of the international business leaders' foundation

The youth career initiative (YCI) is a programme run by the London-based international business leaders' foundation (IBLF) through their International Tourism Partnership , seeking to increase youth employability in the hotel sector, and by doing so helping to end the cycle of poverty and social exclusion (IBLF, 2007). The programme engages international hotels (Marriott, Sheraton, Pan Pacific, Sol Melía, Starwood, Orient Express, Intercontinental, etc) to provide five to six months education on the hotel premises for high-school graduates from disadvantaged backgrounds. It includes both theory and practical instruction by hotel staff, in finance, IT, interpersonal skills and personal health and wellbeing. Upon completing

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the programme, the participants are helped to make further career and education choices. Over 1,300 youth have graduated the programme since its inception in 1995 and with the initial support of UNICEF and the Pan Pacific Hotel in Bangkok. Currently YCI runs in eight countries: Brazil, Ethiopia, Thailand, Philippines, Indonesia, Australia, Romania and Poland (IBLF, 2007). Although the content of the YCI programme is not directly targeting CST or trafficking, it provides a useful example of innovative engagement by the hospitality industry with youth at risk in developing countries. Through the vocational and career skills it instils, YCI is likely to provide an opportunity for youth to start onto a path of healthy development.

'Travel with care' and 'child wise tourism' programmes of child wise™ Australia

The nongovernmental organisation ChildWise is focusing on work in destinations where Australians travel. ChildWise is the Australian representative of the ECPAT International, a network of organisations and individuals working to eliminate the commercial sexual exploitation of children. ECPAT started in 1996 in Thailand, is currently represented in another 62 countries, and has been one of the first organisations to begin campaigning against child prostitution in Asian tourism (ECPAT International, 2007). The approach of ChildWise to protect children builds on the observation that CST involving Australians tends to occur outside the work of the mainstream tourism industry (Hecht, 2001). Consequently, mainstream tourism industry codes of conduct would probably have a limited effect in deterring Australian child sex tourists. Developed since 1999, 'ChildWise Tourism' is a training and network development programme running throughout the ASEAN region, including training modules and education materials for travel and tourism students, educators and the tourism industry. The programme builds skills for the tourism staff so they become capable of identifying and responding to situations where children may be at risk of sexual exploitation. The programme conducts community-based training sessions in the seven ASEAN countries: Thailand, Indonesia, Cambodia, Philippines, Lao PDR, Vietnam and Myanmar (ChildWise, 2007). Another ChildWise programme, 'Travel with Care', is an intensive travel and tourism industry education module, aimed at increasing awareness of the Australia Child Sex Tourism law. Since December 2003, an awareness raising campaign has been launched with the slogan 'Don't let child abuse travel!' involving distribution of posters, postcards, as well as TV and radio messages.

World vision 'child sex tourism prevention project' and campaign targeting US travellers

World Vision, a Christian humanitarian organisation operating in nearly 100 countries, developed since 2004 through its US branch is a campaign aimed at deterring foreign sex tourists and raising awareness on the extra-territorial legislation against CST. The World Vision campaign slogan 'Abuse a child in this country, go to jail in yours' was used in Cambodia, Thailand, Costa Rica, Mexico and Brazil, targeting mainly American tourists. The campaign also included deterrent messages posted in the US airports, airline in-flight videos, billboards and street signs overseas (World Vision, 2007). ECPAT-USA Inc., a group working since 1996 against CST in the US, estimates that American citizens account for 25 per cent of child sex tourists worldwide.

Multi-stakeholder models of innovation

The Code of Conduct for the Protection of Children from Sexual Exploitation in Travel and Tourism (the Code) is an industry-driven multi-stakeholder initiative that seeks to increase protection of children from sex tourism. The companies — tour operators and their umbrella organisations, hotels, travel agents, airlines, etc

— that endorse the Code, commit themselves to implement six measures. These are elaborating corporate policies against CST; training company staff on how to prevent CST; providing information to the travellers in relation to CST; inserting clauses in contracts with suppliers jointly repudiating CST; working together with 'key persons' in destinations to prevent CST; and finally, reporting annually on the implementation of these measures.

The Code (www.thecode.org) was initiated in 1998 by ECPAT Sweden (member of the ECPAT network) in cooperation with Scandinavian tour operators and the UN World Tourism Organization (UNWTO). Funding was provided by the European Commission for the Code's implementation in six European countries, between 2000 and 2004: Austria, Germany, Sweden, UK, the Netherlands and Italy. Following the launch of the Code in North America in April 2004, UNICEF became a supporting partner and a co-funding body of the Code organisation. Signed by over 600 tour operators, hotels, travel agents and their associations, tourism workers' unions from 23 countries in Europe, Asia, North America, Central and Latin America (Tepelus, 2004), the Code is internationally recognised by UNICEF and the UNWTO as one of the most advanced private sector tools for the prevention and combating of CST. The Code process, however, has a number of shortcomings. Criticisms concern the lack of enforcement mechanisms once a company signs up, and insufficient monitoring of the implementation in destinations. As the structure of the Code is that of a multi-stakeholder process based on support from national partners (ECPAT groups, governments, UNICEF offices, etc), the rigorousness of implementation varies greatly from country to country. Furthermore, since the Code marketing and promotion proceeded in parallel with attempts to strengthen its own internal organisation, the Code as an industry-driven, self-sustained organisation, independent of the ECPAT network, is still a work in progress.

Innovation through government-led campaigns: Brazil

The Government of Brazil was among the first governments taking a clear and official stand against the phenomenon of CST, launching since 1997 a 'no child sex tourism' campaign. Brazil was the first country to design a logo for the tourism campaign against exploitation of children, logo adopted later by the UNWTO for the global campaign. National awareness started in Brazil since 2001 with the support of EMBRATUR and of the federation of hotels and conventions. More recently, under the presidency of Luiz Inacio Lula da Silva starting in 2002, a Ministry of Tourism was created and a 'Sustainable Tourism and Childhood Thematic Chamber' was institutionalised within the structure of the National Tourism Chamber. The principal objectives of the 'Sustainable Tourism and Childhood' programme are to assist the creation of public policies on the protection of children in relation to tourism, and to promote good practices of the private sector, including the introduction of codes of conduct. The Brazil Ministry of Tourism also spearheaded a regional South American 'Sustainable Tourism and Childhood' programme, by convening annually between 2004 and 2007 a World Tourism Forum for Peace and Sustainable Development. In the context of the Forum, national tourism authorities and tourism ministries from all South American countries came together and issued the 1st Declaration against CST on 26th October, 2005 in Rio de Janeiro. The declaration was followed by plans for a joint South American campaign against CST designed to be running in 12 countries starting in 2007. In its efforts to protect children and teenagers from sexual exploitation in tourism, the Brazilian Federal Government worked together with nongovernmental partners including Save the Children Sweden, World Childhood Foundation Brazil and others (F. Gorenstein, personal communication, 18th June, 2007).

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Engagement of inter-governmental organisations: UNWTO, UNICEF, OSCE, ILO, etc

Several inter-governmental organisations facilitated tourism innovation against trafficking and CST, mostly by acting as convening bodies for international meetings and by supporting dialogue and information exchange platforms.

UN World Tourism Organization (UNWTO/OMT)

UNWTO has been concerned on the issue of protection of children from sex tourism, providing inputs in the proceedings of the 1st and 2nd Congresses against Commercial Exploitation of Children held in Stockholm in 1996, and in Yokohama in 2001. Following the Stockholm Congress 'Declaration and Agenda for Action' (Declaration and Agenda for Action, 2007), UNWTO established in 1997 a Task Force to Protect Children from Sexual Exploitation in Tourism, a global multi-stakeholder action platform aiming to prevent, uncover, isolate and eradicate the sexual exploitation of children in tourism (UNWTO, 2007a). The Task Force meets bi-annually at the largest international tourism fairs, ITB held in March in Berlin and WTM held in November in London. The framework for the UNWTO position on CST is provided by the Article 2, point 3 of the Global Code of Ethics for Tourism (GCTE), which reads:

> The exploitation of human beings in any form, particularly sexual, especially when applied to children, conflicts with the fundamental aims of tourism and is the negation of tourism; as such, in accordance with international law, it should be energetically combated with the cooperation of all the States concerned and penalized without concession by the national legislation of both the countries visited and the countries of the perpetrators of these acts, even when they are carried out abroad (UNWTO, 2007b, Art. 2, point 3).

The GCTE is a set of ten principles aiming to guide stakeholders in tourism development, and was recognised by the UN General Assembly in 2001 through the resolution A/RES/56/212 (http://www.unwto.org/code_ethics/eng/resolutions.htm). While the GCTE is not a legally binding document, the UNWTO drafted policies and guidelines governing a voluntary implementation mechanism, whereby a World Committee on Tourism Ethics (WCTE) may intervene in the settlement of disputes. Another important contribution of UNWTO is the incorporation of sustainability indicators within the tourism sustainability framework, to better quantify and monitor the increasing CST phenomenon (UNWTO, 2004).

The United Nations Children's Fund (UNICEF)

UNICEF is the UN agency advocating for the protection of children's rights in relation to the provisions and principles of the CRC. The CST and child trafficking issues fall under the 'child protection' focus area of UNICEF's activity. Upon hosting the launch of the tourism industry Code of Conduct in North America in April 2004, UNICEF became a supporting agency of the Code in a tripartite partnership of ECPAT, UNICEF, UNWTO (UNICEF, 2004). In addition to awareness campaigns against CST in various countries including Dominican Republic (2001), Spain (2003), Sri Lanka (2006), Kenya (2006), Gambia (2004), UNICEF has also been actively advocating for the revision of penal codes in countries in Central America and the Caribbean area. The UNICEF Latin America and Caribbean Regional Office organised in 2005 and 2007 training and education courses for officials from national tourism administrations and ministries of tourism from the area.

The Organization for Security and Cooperation in Europe (OSCE)

The Organization for Security and Cooperation in Europe (OSCE) forms the largest regional security organisation in the world, with 56 participating states from Europe, Central Asia and North America, acting for

early warning, conflict prevention, crisis management and post-conflict rehabilitation. In 2003, the Office of the Co-ordinator of OSCE Economic and Environmental Activities (OSCE-OCEEA) received a mandate to mobilise and strengthen the private sector's efforts to combat trafficking in human beings by raising awareness and by identifying and disseminating best practices, such as self-regulation, policy guidelines and codes of conduct (OSCE, 2007a). The OSCE-OCEEA considers that hospitality and tourism, as one of the world's fastest growing sectors, can play an instrumental role in raising the awareness of tourists and business travellers of trafficking, and can help create an environment that does not accept trafficking in human beings and, in particular, the sexual exploitation of minors. OSCE used voluntary instruments such as the Code as 'valuable preventive and awareness raising tools' (OSCE, 2007b) and has supported the extension of the Code to tourism companies operating in south-eastern Europe. OSCE provided as well institutional support for gaining the commitment of the industry and of governments in the prevention and combat of trafficking in human beings and child sex tourism. These measures, as well as training and educational efforts have been undertaken with the support of other local partners since 2004 in Bulgaria, Romania, and as of 2005 also in Albania and Montenegro.

Other UN agencies: International Labour Organization, UN Office on Drugs and Crimes, International Organization on Migration

Other UN agencies that carried out research to uncover the context of CST include the International Labour Organization(ILO), the UN Office of Drugs and Crimes (UNODC) and the International Organization on Migration (IOM). ILO explored CST in the context of eliminating one of the worst forms of child labour specified under the ILO Convention No. 182 (Black, 1995; Lean, 1998), through its International Program on the Elimination of Child Labour (IPEC). UNODC and IOM have also elaborated guidelines and training materials on the prevention and combat of trafficking in human beings. Although their work is not directly relevant to tourism, it is very informative in the context of smuggling migrants, trafficking and illegal labour, all topics recently connected to tourism (Stipanuk, 2006).

DISCUSSION

The number of child victims of trafficking and CST calls for the mobilisation of tourism stakeholders — academia, private sector and policy-making bodies — to explore these issues more fully. Continuing the innovation on preventive practices is not an easy task, given the complexity of the phenomena and the still predominant perception that tourism is only marginally concerned with these occurrences. Furthermore, the debate is burdened by the confusion, persistent even in academic circles, with other related themes, including smuggling, illegal immigration, illegal labour, adult prostitution, etc. A 'first-generation' of innovations on the prevention of child sex tourism and trafficking, however, emerged in the early 2000s. They were, and some still are, in the process of being pilot tested in various mass tourism destinations. While making an elaborate analysis of the advantages, disadvantages, similarities, differences or interrelationships of each of the models was not the main focus of the paper, the initiatives presented share several key elements relevant from an innovation perspective. What existing models against trafficking and CST seem to have in common irrespective of their location, and who created them, are elements of awareness raising, education and the need for professional training of staff.

A second feature of the examples presented concerns their origin, most of which result from lobbying efforts by civil rights activists and by nongovernmental organisations. The main driver of innovation creation was a reaction, mostly by media and NGOs, but also by

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inter-governmental bodies, to flagrant and visible violations of children's rights in tourism destinations. The media reports have led to significant damage to the reputation of several destinations whose names remained, for the general public, associated with CST and trafficking. Owing to these negative media reports, the industry was initially forced into a defensive position that mandated immediate reaction. Yet, this external pressure makes it difficult to facilitate innovation beyond the current status quo. Instead, given the sensitive nature of the topic for mainstream tourists, the publicity has arguably not encouraged the private sector to take proactive steps.

Current CST and trafficking initiatives, represent innovations of a behavioural nature, and mostly of a voluntary character (guidelines, training kits, codes of conduct, etc). All these models are still in their initial stages of development. They evolved on an *ad hoc* basis and as continuous trial and error processes. In many circumstances innovation emerged as a result of challenges encountered, rather than being induced by favouring factors. Such challenges included reluctance of governments to acknowledge the existence of the problems, lack or insufficient numbers of skilled trainers, low capacity of local law enforcement, corruption and weak legal systems in tourism destinations particularly in developing countries.

With all their gaps, limitations and even inconsistencies however, innovations so far developed contain valuable knowledge to be applied towards a 'second generation' of prevention programmes. These should ideally evolve beyond voluntary, behavioural measures, and shift in the direction of policies and incentives for responsible behaviour. Based on reviewing the content and extent of currently available innovation models, it is argued here that existing innovation against CST and trafficking needs to increasingly morph towards policy making.

From a destination perspective, policies deterring any type of social risk, especially those that potentially tarnish the reputation of destinations, are very desirable. They support destinations to be more competitive in the national and international marketplaces, and intervene to extend the destination's lifecycle. This is also supported by Keller (2003), who notes that, 'the future of traditional destinations will depend on a more innovation-oriented tourism policy' (Keller, 2003: 5). The need for policy makers not to replace, but to complement CSR measures is also acknowledged by politicians. The head of the Tourism Policy Division of the German Federal Ministry of Economics and Labour, Helmut Krüger, stated, 'in Germany, tourism policy does not intervene in areas where solutions could be found by the industry itself. The industry has the know-how and the necessary momentum needed for innovation,' however, 'the federal government must react to the big challenges and trends of our time' (Krüger, 2004: 1).

Hjalager's observations on the role of policy instruments on environmental innovation (Hjalager, 1996) may also shed some light on the role of policies for tourism social innovations. A reinterpretation of Hjalager's model on the influence of policy instruments on social innovation is presented in Table 1. Furthermore, Figure 2 presents how the characteristics of existing innovation processes may be optimised by consistent and innovation-oriented policies against CST and trafficking, with a feedback loop from the empirical experiences back to the policy process.

A number of contextual factors may intervene in the morphing from *ad hoc*, pressure-driven innovation, towards innovation-oriented tourism policies. For this to happen, further academic research on tourism CSR needs to incorporate CST and trafficking in the ethical framework for tourism. Academic study of the CST phenomenon focused mostly on definitional aspects, sexuality interferences and representations in rapport to tourism. The academia feedback to the existing actions against CST and trafficking has been extremely limited, although O'Connell (2004) initiates this discussion. There is still insufficient awareness in the tourism academic environment to the global

Table 1: Reinterpretation of Hjalager (1996), on the influence of policy instruments on social innovation

No.	*Instrument*	*How the social protection effects are achieved*	*Influence on innovation*
1	Establishment of social audits and industry associations against CST and trafficking	Diffusion of 'best practice'	Not innovative, but effective for the diffusion of innovations undertaken elsewhere
2	Social responsibility awards, symbols, social declarations	Competition among 'peers' for the symbols of appraisal. Marketing value	Probably limited, but may have effect in the shape of quick diffusion of 'best practices'.
3	Demonstration projects	May be limited to specific issues on which the effect is considerable	Could be considerable if ambitions are high and if appropriate response from local tourism industry and institutions can be expected
4	Proactive administration	Continuous dialogue with individual enterprises on the issues of CST and trafficking	May facilitate the diffusion of innovations to individual enterprises. May in addition lead to joint ventures to solve specific problems and tasks

Source: adapted from Hjalager (1996).

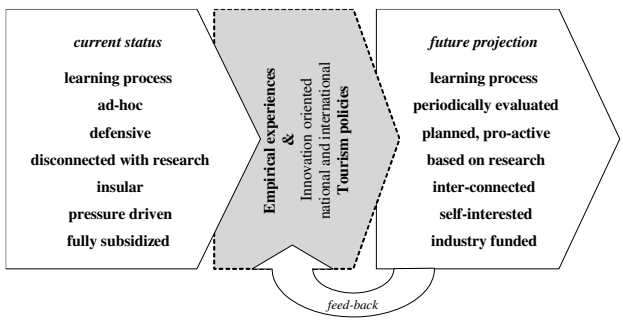

Figure 2 Tourism innovation on preventing trafficking and CST

dimensions of CST and trafficking. Emerging CSR research should include these topics in relation to social issues in tourism destinations and along with environmental concerns.

Linkages from the research published in law, social sciences and criminology need to be drawn and incorporated in the research on social impacts and globalisation in tourism. As CST and trafficking have been mostly studied in social sciences, legal and law enforcement circles (Cabezas, 2004; Glover, 2006; O'Connell, 2004), the body of work currently available may be insufficiently scrutinised by the tourism researchers. Incipient research (Stipanuk, 2006) points to possible implications of illegal labour in US tourism, and calls for the further development of solutions to social impacts of tourism.

Governments and authorities need to create incentives and acknowledge the leaders of socially responsible tourism. Andrews (2004) reported that in 1996, over 25 companies in the US were known to offer <sex tour> package deals to either south-west Asia or other developing countries. While the public promotion of sex tourism has largely stopped in recent years, mostly thanks to the advances in law enforcement, a follow-up step needs to be taken in acknowledging and creating incentives for tourism companies to actively engage in the prevention of CST and trafficking.

Coordination between the relevant UN bodies, tourism policy makers and the civil society has to be improved. As the phenomena of CST and trafficking are closely related to illegal migration, smuggling, international crime and security, there is a strong need for improved interaction and more effective coordination between UN agencies that have the resources to address these issues at a global scale. Some of the concerned agencies include UNWTO, UNICEF, OSCE, ILO, IOM, Interpol, etc. A particularly important role remains for the UNWTO Task Force for the Protection of Children, and the UNWTO WCTE, which are called to support and facilitate exchange of information and to identify emerging international trends. As agendas of different organisations focus on different aspects, the discourse on CST and trafficking risks to become highly politicised, or vulnerable to pressures from the private sector. In order to bring the debate forward, focusing on elements of commonality would prevent territoriality and competition among the agencies concerned.

CONCLUSION

More than other service sectors, tourism has always had a complex relationship with the rest of society. This relationship embraces not only its direct stakeholders (shareholders, clients, regulators, employees), but also an increasingly broad range of actors throughout society, particularly the communities where it operates, the media, the nonprofit sector, as well as environmental and human rights activists. Tourism experiences of recent years (SARS, mad-cow disease, the hurricanes Katrina and Rita, the global war on terror, terrorist incidents at tourist sites, etc) showed that innovation in tourism is becoming more and more a question of dealing with uncertainties and risk.

This paper presented the context of two contemporary phenomena, CST and trafficking, and several examples of innovative practices to prevent them. The gap in tourism research on addressing these problems is significant. The main argument of the paper is that a morphing of empirical innovation towards policy making is called for. Embarking on a more coherent policy-making path to incorporate the CST and trafficking topics into the sustainable tourism agenda can draw from the lessons of a 'first generation' of innovations tested in recent years. A set of factors including leadership from the tourism academia and concerned UN agencies, and additional research on ethics in tourism, may support a transition towards policy making and for a 'second generation' of social innovations in tourism.

By virtue of its global scale and reach, tourism has the potential to become an agent for profound social change. Innovation-oriented tourism policy making is called for in order for this social change to be beneficial. As the realities of a global and globalising tourism industry are ever changing, the social responsibility debate in tourism has to advance if the sector is to realise its potential in contributing to sustainable development.

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Destination Unknown?

The Emergence of Corporate Social Responsibility for Sustainable Development of Tourism

This dissertation explores the nexus between sustainable tourism development and corporate social responsibility (CSR). It addresses the role for CSR to promote sustainable tourism in an international development context. Through a qualitative and exploratory approach, the author finds tourism to be lagging behind other industries in assuming a responsibility to mitigate its environmental and social impacts. Existent voluntary performance schemes for tourism sustainability, as well as alternative forms of tourism (ecotourism) are reviewed in order to identify their contributions to developing CSR in tourism. A significant deficiency of existent tools is identified in their neglect to address social impacts, especially the ones emerging in the contemporary context of globalization and trade liberalization in tourism.

Author Camelia Tepelus is a researcher on sustainable development in tourism, focusing on corporate social responsibility and global governance issues. Her research, part of which is included in this dissertation, received the *Ashoka Changemakers' Award* for social innovation on the 'Ending Global Slavery' 2008 competition, as well as private sector prizes including the *2003 British Airways 'Tourism for Tomorrow' Award* for large scale tourism and the *TUI Netherlands 2000 'Sustainable Tourism Development Award'*. Camelia Tepelus is currently engaged in an international CSR initiative to prevent child sex tourism, a multi-stakeholder project joining the private sector, the non-governmental network ECPAT, UNICEF and supported by the UN World Tourism Organization.

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