

# ASEAN COMMUNITY BASED TOURISM STANDARD





# **ASEAN Community Based Tourism Standard**

The ASEAN Secretariat

Jakarta

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# ASEAN COMMUNITY BASED TOURISM STANDARD



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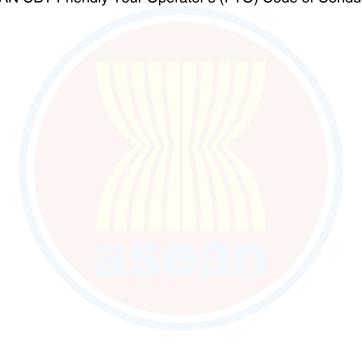
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# ASEAN Community Based Tourism Standard



# 1. Foreword

The ASEAN Community Based Tourism Standard and related documents were prepared by the Cambodian Ministry of Tourism under the auspices of the ASEAN Tourism Standards Task Force. The initiative involves the preparation of ASEAN Tourism Standards for:

- 1. Green Hotels
- 2. Food and Beverage Services
- 3. Public Restrooms
- 4. Home Stays
- 5. Ecotourism
- 6. Tourism Heritage and
- 7. Community Based Tourism.

# 2. Acknowledgement

Prof. RW (Bill) Carter, Ms Kym Cheatham and Dr Chris Jacobson of the Sustainability Research Centre, University of the Sunshine Coast and A/Prof Anne Roiko, Griffith University facilitated workshops of the ASEAN CBT Standard Working Group and prepared drafts of the standard and related documents.

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The ASEAN Community Based Tourism Standard and related documents were based on:

CCBEN/SNV 2009, Community Based Tourism Standards in Cambodia, Cambodia Community-Based Ecotourism Network (CCBEN)/ SNV Netherlands Development Organisation, Phnom Penh, Cambodia, <a href="http://ysrinfo.files.wordpress.com/2012/06/7\_cbt-standards-in-cambodia.pdf">http://ysrinfo.files.wordpress.com/2012/06/7\_cbt-standards-in-cambodia.pdf</a>, accessed 4 July 2012.

# 3. CBT Definition, Principles, Standards and CBT Products and Services Standards

# 3.1. The Community-Based Tourism Concept

Internationally, the tourism economic sector is dominated by small businesses that provide goods and services to a visiting tourist clientele. Community based tourism (CBT) is a form of tourism that seeks to empower communities to manage tourism growth and achieve community aspirations relating to their well-being, and includes economic, social and environmental

sustainable development. Therefore, CBT not only involves a partnership between tourism businesses and the community to deliver benefits to both, but also involves community (and external) support for small tourism enterprises, which in turn commit to providing support for community projects that improve collective well-being.

CBT empowers local communities to determine and secure their socio-economic futures through fee-for-service activities that usually: present and celebrate local traditions and lifestyle; conserve natural and cultural resources; and foster equitable and mutually beneficial host-guest interaction. CBT usually caters for niche markets such as adventure tourism, cultural tourism, eco-tourism and agri-tourism, but draws on local products and services to spread the economic benefit from engaging in tourism.

## 3.2. CBT Definition

Community Based Tourism (CBT) is tourism activity, community owned and operated, and managed or coordinated at the community level that contributes to the well-being of communities through supporting sustainable livelihoods and protecting valued socio-cultural traditions and natural and cultural heritage resources.

# 3.3. CBT Principles

Based on the above definition, CBT must:

- 1. Involve and empower community to ensure ownership and transparent management,
- 2. Establish partnerships with relevant stakeholders,
- 3. Gain recognised standing with relevant authorities,
- 4. Improve social well-being and maintenance of human dignity,
- 5. Include a fair and transparent benefit sharing mechanism,
- 6. Enhance linkages to local and regional economies,
- 7. Respect local culture and tradition,
- 8. Contribute to natural resource conservation,
- 9. Improve the quality of visitor experiences by strengthening meaningful host and guest interaction, and
- 10. Work towards financial self-sufficiency.

These principles are integrated into and expressed as performance criteria in the standard.

# 4. ASEAN CBT Standard

# 4.1. Objectives and Uses of the Standard

The ASEAN Community Based Tourism (CBT) Standard will be adopted by all ASEAN member states as recommended in the ASEAN Tourism Strategic Plan (ATSP): 2012-15 to create quality visitor experiences by showcasing community livelihoods and natural and cultural assets in a presentable, safe and attractive manner.

The Standard can be applied to CBT initiatives throughout ASEAN countries as a benchmark of performance needed to assure visitors that their visit will be enjoyable, meaningful and meet expectations. It also seeks to ensure communities, and their natural and cultural heritage resources are protected, and that income flows to the community to improve well-being.

### 4.2. **ASEAN CBT Standard Scope**

The ASEAN CBT Standard provides umbrella performance indicators for the coordinated management of tourism products offered by communities under the organisation of a CBT Committee. Specific product standards adopted by ASEAN and relevant to CBT initiatives (e.g. the ASEAN Homestay Standard) form an integral part of the CBT Standard.

The intent of the Standards is not to exclude communities from being recognised as ASEAN community based tourism initiatives, but to provide direction to communities on the quality of service needed to assure tourists that they can expect a consistent level of quality and service across ASEAN-endorsed CBT initiatives.

## Codes of Conduct

Included with, and forming part of the Standard are Codes of Conduct for CBT Members, Guides, Food and Beverage Service Providers, Accommodation Providers and Friendly Tour Operators (Appendices 1 to 5).

### 4.3. ASEAN CBT Standard Definitions

CBT accommodation	Any structure and its surrounds provided within the CBT area for
	use by visitors. It includes home stay accommodation and central
	facilities.

	use by visitors. It includes home stay accommodation and central facilities.
CBT Accommodation Providers	CBT Members who provide accommodation services, including homestay, for visitors to a CBT area and who have committed to the ASEAN CBT Accommodation Provider's Code of Conduct (Appendix 4).
CBT Administration Authority	An organisation in each ASEAN country given the responsibility by government of supporting CBT initiatives and administration of CBT assessments. This organisation may be the Government's tourism organisation or National Tourism Organisation.
CBT central area	An area or building established for welcoming visitors and

CBT Committee	Shortened	version	of Comr	nunity	Based	Tourism	Mana	gemen
	Committee	which	consists	of Cl	RT Mer	nhers el	ected	hy the

administrative functions of the CBT initiative.

community to represent their interests in CBT initiatives, and coordinate and manage related activities.

CBT Food and Beverage Providers

CBT Members who provide food and beverage services for visitors to a CBT area and who have committed to the ASEAN CBT Food and Beverage Provider's Code of Conduct (Appendix 3).

CBT Friendly Tour Operator (FTO)

A responsible tour operator who: (1) brings tourists to a CBT area; (2) demonstrates care for the sustainability of nature and culture of the CBT area; (3) supports the economic and social development of the local community; and who has committed the ASEAN CBT Friendly Tour Operator's Code of Conduct (Appendix 5).

**CBT Guides** 

CBT Members who provide tours and activities for visitors to a CBT area and who have committed to the ASEAN CBT Guide's Code of Conduct (Appendix 2).

**CBT** initiative

Any activity or group of activities undertaken by the CBT Members and managed by the CBT Committee.

**CBT Members** 

Members of a community participating in CBT Committee activities and who have committed to the CBT Members Code of Conduct (Appendix 1).

**CBT** stakeholders

Any individual, group, or organization that can affect or can be affected by CBT initiatives.

Compliance level

The degree to which the nominated state of an indicator is met.

Government Tourism Organisation

The highest level of tourism administration established by each ASEAN state (e.g., Ministry, Department, National Tourism Organisation)

# 4.4. Prerequisite entry requirement

For a CBT initiative in the ASEAN region to qualify for assessment and certification, it will have to meet the following conditions:

- a. An elected CBT Committee exists that can represent community interests outside the community and coordinate CBT activities within the community; and
- b. CBT Committee members must be free of a criminal record; and
- c. The CBT initiative includes CBT Members or Member sub-committees responsible for specific tourism products and services; and
- d. The CBT Committee has completed a self-assessment of performance against the Standard; and

- e. The CBT initiative has been registered with the nominated home country CBT Administration Authority, based on the self-assessment; and
- f. The CBT initiative has been registered or has been operating for at least one year; and
- g. The CBT initiative has been endorsed by the CBT Administration Authority for assessment towards certification.

These prerequisites form part of the ASEAN CBT Standard.

# 5. The ASEAN community based tourism standard

- 5.1. Standards for community ownership and management
  - 5.1.1. Standards for effective and transparent governance
    - 5.1.1.1 The CBT initiative is managed by community members through a Committee elected for a maximum 5-year term.
    - 5.1.1.2 The CBT initiative has a clear management structure with agreed roles and responsibilities.
    - 5.1.1.3 Relevant national and provincial rules and regulations (including local bylaws) are followed by those directly involved in CBT activities/operations
    - 5.1.1.4 CBT Member recruitment meets any relevant national or local laws and regulations
    - 5.1.1.5 CBT Member recruitment to provide specific tourism products and services (e.g. guiding, accommodation, food and beverage services) is conducted fairly by the CBT Committee based on gender equity and social inclusion principles.
    - 5.1.1.6 CBT Members are recruited based on their appropriate levels of knowledge and commitment to the CBT initiative and the specific role.
    - 5.1.1.7 CBT Member appointments (and revocation of appointments) are approved by the CBT Committee.
  - 5.1.2. Standards for recognition of legitimate establishment
    - 5.1.2.1 The CBT initiative is recognised by provincial and/or national level authorities.
    - 5.1.2.2 The CBT initiative is recognised by, and has the support of, any customary or legally recognised community-level governing body (e.g., community council).
  - 5.1.3. Standards for effective and transparent management
    - 5.1.3.1 CBT management processes comply with all CBT standards and requirements, including for outside operators and FTOs.
    - 5.1.3.2 CBT Members agree to an ongoing commitment to the ASEAN CBT Member's Code of Conduct (Appendix 1).
    - 5.1.3.3 The CBT initiative builds the capacity of the community to provide products, goods and services to visiting tourists.

- 5.1.3.4 The CBT initiative maximises use of goods and services provided by the community.
- 5.1.3.5 A clear financial management system exists and is accessible to community members.
- 5.1.3.6 An annual action plan is documented and is accessible to community members.
- 5.1.3.7 Long-term goals and objectives are documented and accessible to the community members.
- 5.1.3.8 Monitoring and evaluation mechanisms exist to assess the sustainability performance of individual and collective CBT activities.

# 5.1.4 Standards for effective partnerships

- 5.1.4.1 Guidelines exist for inbound tour operator interaction with the community.
- 5.1.4.2 In conducting activities, the CBT initiative avoids impacts on neighbouring communities.
- 5.1.4.3 Relevant CBT stakeholders are identified and their roles in contributing to CBT initiatives are documented.
- 5.1.4.4 An established procedure exists for regular consultation with stakeholders.
- 5.1.4.5 Cooperation exists with neighbouring communities.

# 5.2. Standards for contribution to social well-being

- 5.2.1 Standards for maintaining human dignity
  - 5.2.1.1 Sex tourism, drug trafficking, human trafficking, and exploitation of child labour are not tolerated or supported explicitly or implicitly.
  - 5.2.1.2 CBT activities promote gender equity and social inclusion.
  - 5.2.1.3 CBT initiatives build the capacity for disadvantaged members of the community to appropriately benefit from tourism (this includes identifying roles for youth and the aged).
  - 5.2.1.4 CBT activities contribute to improving community access to basic services (water, sanitation, energy, education, health).
- 5.2.2 Standards for equitable sharing of benefits and costs
  - 5.2.2.1 Clear and agreed benefit sharing arrangements exist.
  - 5.2.2.2 A community development fund exists that is used for initiatives benefiting the whole community.
  - 5.2.2.3 A process exists for equal opportunities in income generating activities.
- 5.2.3 Standards for linking with regional economies
  - 5.2.3.1 Local community members dominate employment in CBT initiatives.
  - 5.2.3.2 Local/regional sourcing of products and services dominate CBT initiatives.
  - 5.2.3.3 Local community products are used in preference to imports (e.g., locally produced vs mass-produced souvenirs).
  - 5.2.3.4 Strong cooperation with other CBTs and regional private and government organisations exists to increase regional tourism.
- 5.2.4 Standards for maintaining cultural integrity and enriching valued cultural traditions

- 5.2.4.1 Cultural assets of significance to the local community and valued cultural traditions are identified, documented and endorsed by relevant communities.
- 5.2.4.2 Programs exist to authentically present, enhance and retain local cultural traditions towards protecting cultural integrity, identity and values.
- 5.2.4.3 Practices ensure that all rules, regulations and laws relevant to protection of culture and heritage are followed.
- 5.2.4.4 CBT management supports the retention of traditional livelihoods and initiatives that create alternative livelihoods.
- 5.2.4.5 A code of visitor behaviour exists to inform visitors of appropriate behaviour within communities.
- 5.2.4.6 A community decision-making process exists that identifies what cultural assets and traditions will be shared with visitors.

# 5.3. Standards for conserving and improving the environment

- 5.3.1 Standards for conserving natural resources
  - 5.3.1.1 Natural resources and environmentally sensitive sites and their community significance are identified, planned, documented and endorsed by relevant communities.
  - 5.3.1.2 A fund exists to support community-based conservation programs and actions.
  - 5.3.1.3 Programs exist to present the value of natural resources to local community well-being.
  - 5.3.1.4 Local rules and regulations exist relevant to the protection and presentation of nature.
- 5.3.2 Standards for conservation activities to improve the environment
  - 5.3.2.1 A fund is available to support community-based environmental improvement action.
  - 5.3.2.2 A locally appropriate solid waste management system exists that applies avoid, reduce, reuse, recycle principles and hygienic handling of putrescible waste (e.g., composting).
  - 5.3.2.3 Locally appropriate wastewater management uses technologies that minimise risk to human health and environmental impact.
  - 5.3.2.4 Practices ensure that all rules, regulations and laws relevant to environmental protection are followed.
  - 5.3.2.5 Solid waste generation is actively discouraged (e.g., through encouraging refilling of water bottles with treated water).
  - 5.3.2.6 Environmental information and education programs are available for hosts, guests and the community.
  - 5.3.2.7 Low carbon energy sources are used within the CBT area.
- 5.4. Standards for encouraging interaction between the local community and guests
  - 5.4.1 Standards for guest and local community interaction

- 5.4.1.1 Environmental and cultural information is included in the interpretation of the community and its surroundings.
- 5.4.1.2 Policies and actions ensure safety and security for visitors.
- 5.4.1.3 Codes of conduct exist for community, hosts and guests.
- 5.4.1.4 Tourist expectations are managed by providing accurate information in marketing initiatives.
- 5.4.1.5 A quality control and improvement system exists, including a process to obtain visitor feedback on their CBT experiences.
- 5.4.1.6 A program of cross-cultural communication and understanding exists.
- 5.4.1.7 Opportunities exist for tourists to contribute to local activities alongside community members.
- 5.4.1.8 The quality control and improvement system is evaluated weekly and reported annually to Community members.
- 5.4.2 Standards for achieving the sustainability of community-based tourism products
  - 5.4.2.1 Transparent and fair pricing exists for visitors with adequate returns on community investments.
  - 5.4.2.2 Positive returns on investment exist in terms of social, cultural, environmental and economic outcomes.
  - 5.4.2.3 Target market segments are identified with their servicing needs.
  - 5.4.2.4 Appropriate and unique products and services are in place to service identified market needs and protect and enrich environmental and cultural assets, products and services.
  - 5.4.2.5 A targeted and cost-effective marketing program exists to attract identified markets.

# 5.5. Standards for quality tour and guiding services

- 5.5.1 Standards for ensuring local guide quality and expertise
  - 5.5.1.1 Guides are recruited based on appropriate levels of knowledge, physical health and fitness for proposed guided activities.
  - 5.5.1.2 Guides possess or can demonstrate commitment to developing sound knowledge of the local environment and culture; including history, cultural traditions, geography, flora and fauna and cultural/heritage sites, and sustainable tourism principles.
  - 5.5.1.3 Guides operate within the ASEAN CBT Standards and regulations of the CBT initiative and have signed and follow the ASEAN CBT Guide's Code of Conduct (Appendix 2).
  - 5.5.1.4 Guides are certified under any relevant standard produced for the purposes of improving guiding services.
  - 5.5.1.5 Guides facilitate environmentally, socially and culturally relevant and sensitive experiences for visitors that are protective of natural and cultural resources and values.
  - 5.5.1.6 Guides have access to ongoing capacity building and training opportunities to increase their skills and knowledge of:

- sustainable tourism,
- interpretative guiding,
- group management,
- customer care/service,
- communication (including cross cultural awareness/communication and verbal and non-verbal communication);
- first aid and safety,
- authentic local cultural traditions, integrity, identity and values,
- environmental protection issues,
- the guidelines and regulations of the CBT initiative, and
- any other area deemed necessary by the CBT Committee.
- 5.5.2 Standards for ensuring the quality of tours and activities
  - 5.5.2.1 Tours/activities operate within the objectives, guidelines, regulations and codes of conduct of the CBT initiative.
  - 5.5.2.2 Tours/activities ensure visitors, at all times, observe CBT approved guidelines for interacting with the culture, natural environment and people of the community.
  - 5.5.2.3 Tours/activities have a clearly defined:
    - itinerary and associated price; and
    - documented booking system.
  - 5.5.2.4 Tours/activities record the visitors on tours, including departure and return times.
  - 5.5.2.5 Visitors are informed of the tour itinerary, level of difficulty, possible hazards, safety precautions and regulations or rules that apply to their conduct on the tour.
  - 5.5.2.6 Tours operate on a cost recovery basis and yield a profit to the CBT initiative.
  - 5.5.2.7 A quality control and improvement system exists, including a system for visitor feedback on the tour/activity experience, and visitors are actively encouraged to participate in the feedback process.
  - 5.5.2.8 Tours/activities respect and contribute to the promotion and preservation/ conservation of local culture and natural environment and provide current and relevant cultural information.
  - 5.5.2.9 Tours/activities are designed to be enjoyable, educational, participatory, organised, relevant and thematic.
  - 5.5.2.10 The local (interpretative) guide to visitor ratio is not greater than 1:5-10.
  - 5.5.2.11 Where relevant, tours/activities have clearly defined and documented agreements with inbound tour operators.
  - 5.5.2.12 Tours/activities actively facilitate cross-cultural understanding and opportunities for tourists to contribute to local activities alongside host community members.
  - 5.5.2.13 Tours provide an appropriate and specialised service for identified tourist markets and attract identified tourist markets through cost-effective means.

- 5.6. Standards for ensuring quality food and beverage services
  - 5.6.1 Standards for ensuring food and beverage service provider quality
    - 5.6.1.1 Food and beverage providers are recruited based on appropriate levels of knowledge and experience in providing locally relevant food and beverage services.
    - 5.6.1.2 Food and beverage providers possess or can demonstrate commitment to hygienic food preparation and service techniques.
    - 5.6.1.3 Food and beverage providers operate within the guidelines and regulations of the CBT initiative and have signed and follow the ASEAN CBT Food and Beverage Providers Code of Conduct (Appendix 3).
    - 5.6.1.4 Food and beverage providers are certified under any relevant standard produced for the purposes of improving food and beverage services.
    - 5.6.1.5 Food and beverage providers provide opportunities for knowledge exchange between hosts and visitors.
    - 5.6.1.6 Food and beverage providers have access to ongoing capacity building and training opportunities to increase their skills and knowledge of:
      - food preparation hygiene,
      - nutritional meal and menu preparation,
      - traditional cuisine and cooking techniques,
      - hospitality and service standards,
      - sustainable tourism,
      - group management,
      - customer care/service,
      - communication (including cross cultural awareness/communication and verbal and non-verbal communication);
      - first aid and safety,
      - authentic local cultural traditions, integrity, identity and values,
      - environmental protection issues,
      - the guidelines and regulations of the CBT initiative, and
      - any other area deemed necessary by the CBT Committee.
  - 5.6.2 Standards for managing food and beverage services for quality
    - 5.6.2.1 Food and beverage services are provided within the objectives, guidelines, regulations and codes of conduct of the CBT initiative.
    - 5.6.2.2 Menus are available with associated prices (if appropriate).
    - 5.6.2.3 Meals are provides at agreed times identified in consultation between food and beverage providers and the CBT committee.
    - 5.6.2.4 Sufficient food is provided for visitor needs, including between-meal snacks.
    - 5.6.2.5 Menus vary daily and include at least one traditional meal at each dining period.
    - 5.6.2.6 Maximum use is made of fresh, organically grown food and local ingredients, including fresh meat and vegetables, but no bush meats prohibited by law.
    - 5.6.2.7 Dessert and/or fruit forms part of each meal.
    - 5.6.2.8 Food preparation and dining areas are maintained in a clean state at all times.

- 5.6.2.9 Food preparation and dining utensils are cleaned thoroughly before use (i.e. cleaned immediately after dining periods).
- 5.6.2.10 Food service providers wash their hands with soap in clean water before and regularly during food preparation.
- 5.6.2.11 Food is stored in clean containers, which are kept in good order.
- 5.6.2.12 Animals (domestic and pest) are kept out of food storage, cooking and dining areas.
- 5.6.2.13 Opportunities exist for tourists to participate in meal preparation and to learn traditional cooking techniques.
- 5.6.2.14 A quality control and improvement system exists, including a system for visitor feedback on the dining experience, and visitors are actively encouraged to participate in the feedback process.
- 5.6.2.15 Visitor dietary preferences are accommodated.
- 5.6.2.16 Maximum use is made of natural bio-degradable products when serving and packaging food (e.g. banana leaves).

# 5.7. Standards for ensuring quality accommodations

- 5.7.1 Standards for ensuring accommodation service provider quality
  - 5.7.1.1 Accommodation providers are recruited based on appropriate levels of knowledge of accommodation service delivery and the appropriateness of their accommodations for targeted markets.
  - 5.7.1.2 Accommodation providers possess or can demonstrate commitment to developing sound knowledge of how to deliver quality accommodation services, and local environment, culture and sustainable tourism experiences.
  - 5.7.1.3 Accommodation providers operate within the guidelines and regulations of the CBT initiative and have signed and follow the ASEAN CBT Accommodation Provider's Code of Conduct (Appendix 4).
  - 5.7.1.4 Accommodation providers supply safe and clean accommodation opportunities for visitors to experience community life and for knowledge exchange between hosts and guests.
  - 5.7.1.5 Accommodation providers are certified under any relevant standard produced for the purposes of improving accommodation services (e.g. ASEAN Homestay Standard).
  - 5.7.1.6 Accommodation providers have access to ongoing capacity building and training opportunities to increase their skills and knowledge of:
    - accommodation and housekeeping services,
    - food preparation hygiene,
    - hospitality and service standards,
    - sustainable tourism,
    - group management,
    - customer care/service.
    - communication (including cross cultural awareness/communication and verbal and non-verbal communication);

- first aid and safety,
- authentic local cultural traditions, integrity, identity and values,
- environmental protection,
- the guidelines and regulations of the CBT initiative, and
- any other area deemed necessary by the CBT Committee.
- 5.7.2 Standards for managing accommodations to ensure quality
  - 5.7.2.1 Accommodations are provided within the objectives, guidelines, regulations and codes of conduct of the CBT initiative.
  - 5.7.2.2 A clearly defined and documented visitor booking system exists for visitors to the CBT central area and accommodations.
  - 5.7.2.3 An up-to-date log of arrivals, departures and returns to the CBT central area is maintained.
  - 5.7.2.4 Visitors are informed on arrival of safety, security and behavioural requirements.
  - 5.7.2.5 Purpose-built structures for visitor use are attractive and appropriate to meeting tourist expectations and basic safety standards.
  - 5.7.2.6 Bathrooms and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations.
  - 5.7.2.7 All accommodations, especially bathrooms and toilets, are thoroughly cleaned and serviced daily.
  - 5.7.2.8 Bathrooms and toilets include a tank or adequate fresh, clean water, soap and cup; toilets include toilet paper and a sanitary bin.
  - 5.7.2.9 Toilets are of either squatting or sitting, and flushing or composting type, with consideration given to client preferences and local norms.
  - 5.7.2.10 The CBT area is maintained in a clean condition that minimises threats from dangerous species.
  - 5.7.2.11 Materials are available to cover basic communication needs between hosts and guests.
  - 5.7.2.12 A torch is available for night use in all accommodations and structures built for visitor use.
  - 5.7.2.13 All CBT accommodations and visitor use areas have procedures to ensure the security and safety of visitors and their belongings (visitors are to be informed of these upon arrival).
  - 5.7.2.14 A contingency plan exists for unexpected events, including a sick or injured guest, missing or lost guest, disruptive or undesirable behaviour from a guest, accident or injury to a guest or adverse weather conditions.
  - 5.7.2.15 All CBT accommodations and visitor use areas include a first aid kit for guest and staff use and checked weekly for completeness or replenished on use.
  - 5.7.2.16 All CBT accommodations and visitor use areas apply all appropriate standards of hygiene and cleanliness stated in the food and beverage section of these standards when including meals in the accommodation.
  - 5.7.2.17 A quality control and improvement system exists, including a system for visitor feedback on accommodations, and visitors are actively encouraged to participate in the feedback process

- 5.7.2.18 Subject to functional requirements, built structures for visitors reflect local building traditions.
- 5.7.2.19 Built structures for visitors are clearly identified at the location with guide signs as required (this particularly applies to accommodation and any special tourist use areas).
- 5.7.2.20 Built structures do not include wild animal decoration, except where part of an interpretive display or part of local custom.
- 5.7.2.21 Adequate lighting and ventilation is provided inside all built structures for visitor use.
- 5.7.2.22 Structures are not placed within 20metres of any natural or cultural attraction or significant site, unless historically in that location or for cultural reasons.
- 5.7.2.23 Farm animals cannot enter structures used by visitors.
- 5.7.2.24 Parking and signage is available for visitor use and orientation.
- 5.7.2.25 All CBT accommodation providers are trained in basic first aid and are therefore competent in using first aid kits.
- 5.7.2.26 All CBT accommodation and visitor use areas have documented fire and emergency procedures, displayed in prominent positions.
- 5.7.2.27 The family and cross-culture experience is emphasised.

# 5.8. Standards for ensuring the performance of (in-bound) CBT Friendly Tour Operators (FTO)

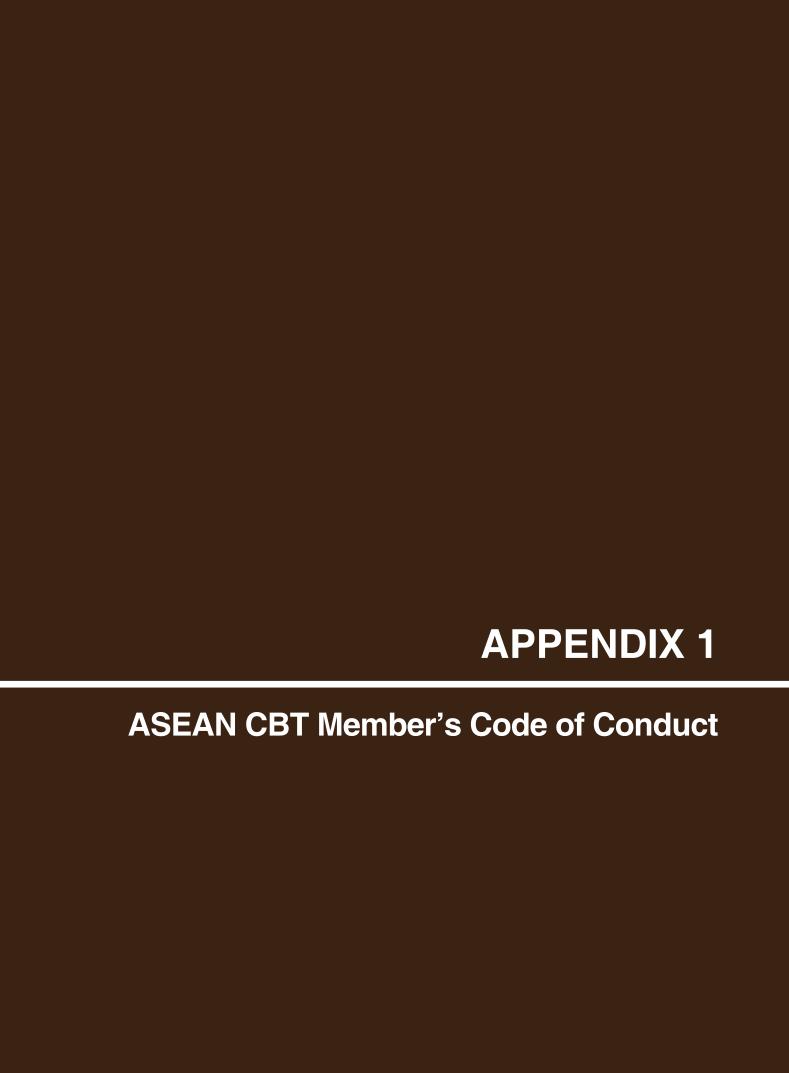
- 5.8.1 Standards for FTO commitment to CBT ideals
  - 5.8.1.1 FTOs are certified under any relevant standard produced for the purposes of improving tour operations (e.g., ASEAN Ecotourism Standard).
  - 5.8.1.2 FTOs meet all necessary license and permit requirements.
  - 5.8.1.3 Clearly defined and documented agreements exist between FTOs and the CBT Committee, requiring FTOs and staff to operate within the guidelines and regulations of the CBT initiative.
  - 5.8.1.4 FTOs and staff have signed and follow the ASEAN CBT Friendly Tour Operator's Code of Conduct (Appendix 5).
  - 5.8.1.5 Where available, FTOs are members of an appropriate professional organisation.
  - 5.8.1.6 FTOs and staff possess, or can demonstrate commitment to developing, sound knowledge of sustainable tourism and how to deliver quality tour services relating to experiencing local environments, cultures and livelihoods.
  - 5.8.1.7 FTOs and staff provide safe opportunities for visitors to experience community life and for knowledge exchange between hosts and guests.
  - 5.8.1.8 FTOs provide employees dealing with communities regular training on CBT and ecotourism (e.g. one day a year/paid).
  - 5.8.1.9 FTOs cooperate with natural and cultural heritage conservation organizations, authorities and local NGOs as required.
- 5.8.2 Standards for FTO contributions to community and nature protection
  - 5.8.2.1 FTOs demonstrate respect for CBT regulations and recommendations for

- behaviour in environmentally sensitive areas and while in the community.
- 5.8.2.2 FTOs and staff have a sound knowledge and understanding of the specific CBT site and local conditions.
- 5.8.2.3 FTOs demonstrate best practice environmental management in their operations (e.g., use of energy efficient products, waste minimisation and recycling).
- 5.8.2.4 FTOs minimises motorized transportation, especially in CBT areas.
- 5.8.2.5 FTOs consult with the CBT Committee and the community if there is a risk that activities might result in direct environmental or social impact.
- 5.8.2.6 FTOs take away all solid waste generated from products it brings into the CBT area.
- 5.8.2.7 FTOs provide visitors with nature, culture and community experiences that respect and apply a minimized disturbance policy.
- 5.8.2.8 FTOs and staff are actively involved in, or contribute to, CBT projects.
- 5.8.2.9 FTOs work with the community to improve community services and products offered by providing client feedback information.
- 5.8.2.10 FTOs support the CBT Committee in training local guides and wildlife rangers from indigenous and/or local people.
- 5.8.2.11 To the greatest extent possible, FTOs use eco-friendly accommodation and services prior to and after visiting the CBT area.
- 5.8.3 Standards for FTO support for the local economy
  - 5.8.3.1 FTOs maximise use and purchase of local and CBT products and services (e.g. accommodation, transport in and out, activities, food, souvenirs).
  - 5.8.3.2 FTOs have an agreement or contract with the community on CBT products, prices and procedures.
  - 5.8.3.3 FTOs provide advice to the CBT Committee on potential additional services that will increase CBT income.
  - 5.8.3.4 FTOs, staff and clients contribute to, or take part in, local development work (e.g., village projects, education, maintenance of local roads etc.).
- 5.8.4 Standards for FTO promotion of joy of discovery, knowledge and respect
  - 5.8.4.1 In cooperation with local guides, FTOs deliver high quality guiding and culture/nature interpretation, which generates respect for the cultural and natural values of the CBT area.
  - 5.8.4.2 FTOs explain codes of conduct to clients, emphasising the visitor's responsibility to treat local people with respect, and avoid environmental damage.
  - 5.8.4.3 Through agreement with the CBT Committee, FTOs limit group size based on the carrying capacity of the visited site with the objective of delivering quality experiences to clients that minimises impact on the community.
  - 5.8.4.4 FTOs have sound knowledge about the CBT area's cultural and natural values, and transfers this knowledge to their staff, especially guides and tour leaders.

- 5.8.4.5 FTOs provide accurate pre-tour information to clients about the tour and the CBT area, a list of needed equipment and codes of conduct.
- 5.8.5 Standards for FTO providing satisfying and safe experiences for tourists and the community
  - 5.8.5.1 FTOs encourage their clients to have travel insurance cover.
  - 5.8.5.2 FTOs ensure high risk activities are guided by specifically trained and skilled staff, assisted by CBT guides.
  - 5.8.5.3 FTOs practice responsible marketing that creates appropriate customer expectations of CBT areas and activities.
  - 5.8.5.4 FTO staff are trained in first aid, including CPR.
  - 5.8.5.5 FTOs are able to demonstrate their efforts in improving the quality of their operation through reporting of visitor satisfaction from client feedback surveys.





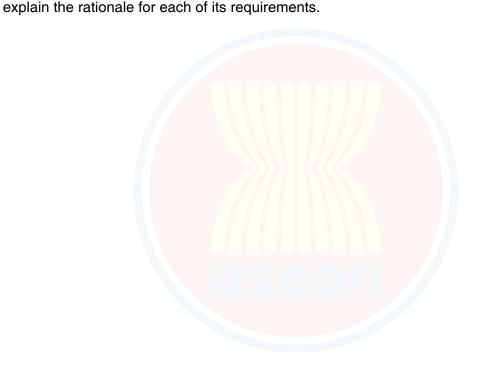


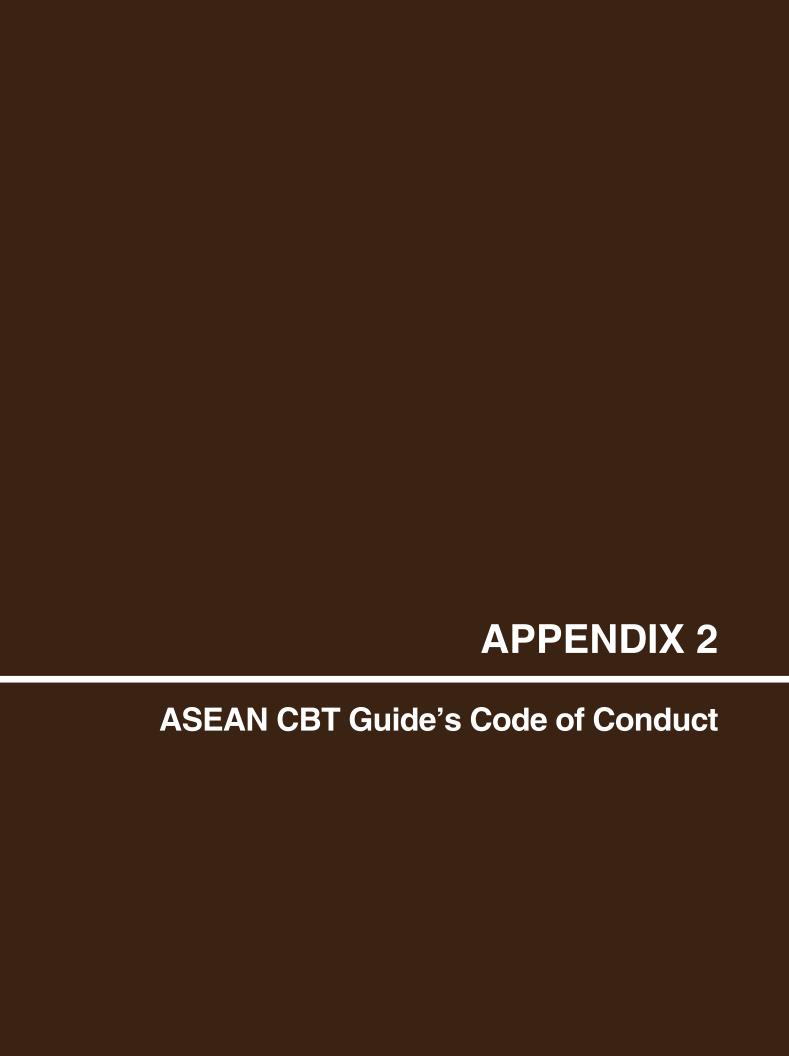


# Appendix 1 ASEAN CBT Member's Code of Conduct

My	commitment to on-going learning and effective communication	
	I will actively seek to increase my knowledge of and expertise in the area of CBT vi	sitor service
	with which I am involved.	(Mandatory)
	I will actively seek to increase my knowledge of: (1) group/visitor management tech	nniques, (2)
	communication techniques (including cross-cultural awareness/communication and	d verbal and
	non-verbal communication), and (3) first aid and safety.	(Mandatory)
	I will actively seek to increase my knowledge of the local environment and culture:	including
	history, cultural traditions, geography, flora and fauna and cultural/heritage sites, a	nd
	sustainable tourism principles.	(Mandatory)
	I will ensure current and relevant environmental and cultural information is included	d where
	required during my interactions with visitors.	(Mandatory)
My	commitment to ethical practices	
	I will be friendly, courteous and honest when dealing with the community and visito	rs.
		(Mandatory)
	I will demonstrate pride in representing my community and provide a role mod	del for other
	community members.	(Mandatory)
	I will not tolerate sex tourism, drug trafficking, child labour or human trafficking, and	I will support
	principles of gender equity and social inclusion.	(Mandatory)
	I will respect the right of all other CBT members to share equally in opportunit	ties for their
	involvement in income generating activities.	(Mandatory)
My	commitment to natural and cultural heritage protection	
	I will respect and contribute to the promotion and preservation/conservation of loca	l culture and
	natural environments.	(Mandatory)
	I will ensure visitors observe CBT Standards at all times when interacting with the cu	lture, natural
	environment and people of the community in the interests of avoiding or minimis	ing negative
	impacts.	(Mandatory)
	I will actively facilitate cross-cultural understanding and opportunities for tourists to	contribute to
	local activities alongside host community members.	(Mandatory)
	I will demonstrate best-practice waste management by collecting litter and app	olying avoid,
	reduce, reuse, recycle principles.	(Mandatory)
	I will ensure all relevant rules, regulations and laws regarding environmental	and wildlife
	protection or codes of conduct are followed.	(Mandatory)
Му	commitment to visitor care and safety	
	I will adhere to all CBT approved policies and codes of conduct regarding safety an	d security of
	visitors.	(Mandatory)
П	I will be aware of the nearest first aid kit at all times when interacting with visitors	(Mandatory)

	As required, I will wear a uniform or carry an ID card when interacting with visito	rs.
	I will be prepared to efficiently communicate with a responsible third party	in the event of
	emergencies or accidents.	(Mandatory)
Му	commitment to provide quality service and continuous improv	ement
	I will provide professional service by being on time, organized and prepared in	advance of all
	activities with which I am associated.	(Mandatory)
	I will never be under the influence of illegal substances.	(Mandatory)
	I will never be under the influence of alcohol or any intoxicating substances prior	to and/or during
	an activity (except when and if culturally appropriate).	(Mandatory)
	I will actively seek feedback on visitor experience satisfaction and the activity v	with which I am
	involved.	(Mandatory)
	I will demonstrate commitment to this ASEAN CBT Member's Code of Conduct	and be able to
	explain the rationale for each of its requirements.	(Mandatory)







## Appendix 2 ASEAN CBT Guide's Code of Conduct

I W	ill conform to the CBT Member's Code of Conduct by:
	Committing to on-going learning and improving my communication skills, particularly in the area
	of interpretive guiding; (Mandatory)
	Adopting ethical and visitor friendly practices, and taking pride in representing my community;
	(Mandatory)
	Contributing to the protection and presentation of my community's natural and cultural assets
	and traditions by providing cultural and natural environment awareness raising and education
	activities for visitors and the host community; (Mandatory)
	Following all CBT approved policies and codes of conduct regarding safety and security of
	visitors; (Mandatory)
	Providing a quality service and conforming to any standards developed by ASEAN for the
	purposes of improving the quality of guiding services. (Mandatory)
Му	commitment to ensuring the quality of tours and visitor activities
Vis	sitor briefing
	I will inform visitors of the tour/activity itinerary, level of difficulty and possible hazards and safety
	precautions. (Mandatory)
	I will inform visitors of regulations or rules that apply to their conduct on the tour. (Mandatory)
	I will inform visitors of opportunities to participate in the satisfaction feedback process.
То	ur/activity content
	I will ensure tours/activities with which I am associated are designed to be enjoyable, educational,
	participatory, organised, relevant and thematic.
	I will ensure tours/activities with which I am associated respect and contribute to the promotion
	and preservation/conservation of local culture and natural environment.
	To minimise negative impacts, I will make necessary efforts to ensure that visitors, at all times,
	observe CBT approved guidelines for interacting with the culture, natural environment and
	people of the community. (Mandatory)
	I will ensure tours/activities with which I am associated include relevant cultural information in
	the interpretation of the community and its surroundings.
	I will ensure tours/activities with which I am associated provide cultural and natural environment
	awareness raising and education for visitors and the host community.
	I will ensure tours/activities with which I am associated actively facilitate cross-cultural
	understanding and opportunities for tourists to contribute to local activities alongside host
	community members.
	I will ensure tours/activities with which I am associated demonstrate practical waste management
	including the application of avoid, reduce, reuse, recycle principles.
То	ur/activity conclusion
	I will invite visitors to participate in the satisfaction feedback process.
	I will encourage visitors to participate in other CBT tours/activities. (Mandatory)
	I will conclude the tour/activity with an expression of my pride in representing the community

and a wish for visitors to have a pleasant stay within the community and for the rest of their visit/
holiday. (Mandatory)
I will demonstrate commitment to this ASEAN CRT Guide's Code of Conduct and he able to

I will demonstrate commitment to this ASEAN CBT Guide's Code of Conduct and be able to explain the rationale for each of its requirements. (Mandatory)



## **APPENDIX 3**

ASEAN CBT Food and Beverage Service Provider's Code of Conduct



# Appendix 3 ASEAN CBT Food and Beverage Service Provider's Code of Conduct

I w	rill conform to the CBT Member's Code of Conduct by:	
	Committing to on-going learning and improving my communication skills, particular	ly in the area
	of quality food and beverage service;	(Mandatory)
	Adopting ethical and visitor friendly practices, and taking pride in representing my	community;
		(Mandatory)
	Contributing to the protection and presentation of my community's natural and co	ultural assets
	and traditions by providing and demonstrating traditional cooking practices;	(Mandatory)
	Following all CBT approved policies and codes of conduct regarding safety an	d security of
	visitors;	(Mandatory)
	Providing a quality service and conforming to any standards developed by AS	
	purposes of improving the quality of food and beverage services.	(Mandatory)
-	commitment to providing quality food and beverage services	
	ovision of meals	
	I will provide meals to CBT visitors at agreed times identified in consultation v	with the CBT
	Committee.	(Mandatory)
	I will advise visitors in advance of the price of meals.	(Mandatory)
	I will accommodate visitor dietary preferences.	
	I will provide sufficient food for visitor needs, including between-meal snacks.	(Mandatory)
	I will make maximum use of organically grown food, and local ingredients, includir	ng fresh meat
	and vegetables, but no bush meats prohibited by law.	(Mandatory)
	I will make maximum use of natural bio-degradable products when serving and pa (e.g. banana leaves).	ckaging food
	I will ensure the menu varies daily to promote local custom and traditional cuising	and provide
	variety for visitors.	(Mandatory)
	I will emphasise local custom and traditional cuisine by providing at least one traditional cuisine cuisin	tional meal at
	each dining period.	(Mandatory)
	I will provide dessert and/or fruit as part of each meal.	(Mandatory)
Ма	nintaining hygiene standards	, ,,,
	I will ensure animals are kept away from food storage, cooking and dining areas.	(Mandatory)
	I will ensure treated or boiled water is available for use in food preparation (e.g.	
	salad vegetables) and cleaning.	(Mandatory)
	I will ensure clean water and soap are available in food preparation areas.	(Mandatory)
	I will regularly wash my hands with soap before handling food and during cooking.	-
	3	(Mandatory)
	I will ensure cooking areas are maintained in a clean state (e.g. cleaned after	-
_	preparation activity).	(Mandatory)
	I will ensure food preparation and dining materials (e.g. utensils) are cleaned thoro	

	use.	(Mandatory)
	I will ensure food storage facilities are cleaned on a daily basis and kept in a good	order.
		(Mandatory)
	I will ensure all foodstuffs used on the premises are stored in hygienic containers.	(Mandatory)
	I will ensure pests and vermin are controlled in all food preparation and storage ar	eas.
		(Mandatory)
Ex	perience exchange	
	I will ensure opportunities exist for tourists to participate in my cooking activities	es and learn
	traditional cooking techniques.	
	I will encourage visitors to share recipes and cooking techniques with me.	
	I will demonstrate commitment to this ASEAN CBT Food Service Provider's Cod	e of Conduct
	and be able to explain the rationale for each of its requirements.	(Mandatory)



## **APPENDIX 4**

ASEAN CBT Accommodation Provider's Code of Conduct



# Appendix 4 ASEAN CBT Accommodation Provider's Code of Conduct

ı w	Committing to on-going learning and improving my communication skills, particular	ly in the area
ш	of accommodation and homestay services;	(Mandatory)
	Adopting ethical and visitor friendly practices, and taking pride in representing my	` ,
ш	Adopting ethical and visitor mendiy practices, and taking pride in representing my	(Mandatory)
	Contributing to the protection and procentation of my community's natural and or	` ,
ш	Contributing to the protection and presentation of my community's natural and co	
	and traditions by providing and demonstrating community lifestyle experiences to vis	_
_	the provision of accommodation and homestay services;	(Mandatory)
	Following all CBT approved policies and codes of conduct regarding safety an	-
_	visitors;	(Mandatory)
	Providing a quality service and conforming to any standards developed by AS	
	purposes of improving the quality of guiding services.	(Mandatory)
Му	commitment to providing quality accommodation	
	I will maintain a visitor booking system that includes an up-to-date log of arrivals, de	partures and
	returns to my accommodation.	(Mandatory)
	I will provide opportunities for guests to have an enjoyable cross-culture experi	ence and an
	insight to community and family life.	(Mandatory)
	I will provide materials to cover basic communication needs with my guests.	(Mandatory)
	I will maintain my accommodation area in a safe condition that minimises threats fro	
	species.	(Mandatory)
	I will ensure my domestic animals are healthy.	(Mandatory)
	I will maintain an effective means of communicating (e.g. cell phone) with a resp	
	party in the event of emergencies or accidents.	(Mandatory)
	Unless part of customary practice, I will not include wildlife decorations in guest acc	` ,
	I will ensure adequate lighting and ventilation is provided inside guest use areas.	
_	lest sleeping areas	
	I will ensure guest sleeping areas are available to guests at all times.	(Mandatory)
	I will ensure guest sleeping areas are designed to allow privacy (e.g. partitioned).	
	I will keep guest sleeping areas clean and tidy through daily servicing.	(Mandatory)
	I will provide clean bed linen, blanket, mat for each new letting.	(Mandatory)
	I will provide an arrival welcome 'gift' (e.g. locally produced craft) and a daily dem	onstration of
	local tradition (e.g. flower, fruit).	(Mandatory)
	I will provide a clean mosquito net for guest use as required and regularly spray	to minimise
	insect pests.	(Mandatory)
Ва	throoms and toilets	
	I will include in the bathroom and toilet adequate privacy and ventilation, a tank o	r jar of fresh.
	clean water, soap, a cup, toilet paper and a sanitary bin.	(Mandatory)

I will thoroughly clean and service the bathroom/toilet daily.	(Mandatory)
Safety and hygiene	
If I supply food or meals, I will meet the hygiene requirements identified in the	CBT Food and
Beverage Provider's Code of Conduct.	(Mandatory)
I will provide and be able to use a first aid kit for guest use and check it weekly for	or completeness
or replenished on use.	
I will provide a torch for night use by visitors.	(Mandatory)
I will demonstrate commitment to this ASEAN CBT Accommodation Provider's C	ode of Conduct
and he able to explain the rationale for each of its requirements	(Mandatory)





ASEAN CBT Friendly Tour Operator's (FTO)

Code of Conduct



# Appendix 5 ASEAN CBT Friendly Tour Operator's (FTO) Code of Conduct

My	commitment to on-going learning and effective communication	
	I will actively seek to increase my knowledge of and expertise in all areas of CBT visit	or service
	with which I am involved. (M	landatory)
	I will actively seek to increase my knowledge of: (1) sustainable tourism, (2) group mai	nagement
	techniques, (3) customer care/service, (4) communication techniques (including cros	ss-cultural
	awareness/communication and verbal and non-verbal communication), (5) first aid a	nd safety,
	and (6) cultural and environmental issues. (M	landatory)
	I will actively seek to increase my knowledge of the local environment and culture:	including
	history, cultural traditions, geography, flora and fauna and cultural/heritage sites, and su	ustainable
	tourism principles. (M	landatory)
	I will ensure current and relevant environmental and cultural information is includ	led where
	required during my interactions with visitors. (M	landatory)
	I will actively seek to improve my verbal and non-verbal communication skills to im	prove the
	quality of visitor experiences. (M	landatory)
My	/ commitment to ethi <mark>cal practices</mark>	
	I will be friendly, courteous and honest when dealing with the community and visitors. (M	landatory)
	I will not tolerate sex tourism, drug trafficking, child labour or human trafficking, and I w	vill support
	principles of gender equity and social inclusion. (M	landatory)
	I will respect the right of CBT members to share in opportunities for their involvement	in tourism
	related income generating activities. (M	landatory)
My	/ commitment to natur <mark>al and cultur</mark> al heritage protection	
	I will respect and contribute to the promotion and preservation/conservation of local contributes to the promotion and preservation of local contributes to the local contr	ulture and
	natural environments. (M	landatory)
	I will ensure my clients observe CBT standards for interacting with the culture, natural en	vironment
	and people of the community in the interests of avoiding or minimising negative impact	cts.
	(M	landatory)
	I will actively facilitate cross-cultural understanding and opportunities for tourists to con-	ntribute to
	local activities alongside host community members. (M	landatory)
	I will demonstrate best-practice waste management by collecting litter and applyi	ing avoid,
	reduce, reuse, recycle principles. (M	landatory)
	I will ensure all relevant rules, regulations and laws regarding environmental ar	nd wildlife
	protection or codes of conduct are followed. (M	landatory)
My	commitment to visitor care and safety	
	I will adhere to all CBT approved policies and codes of conduct regarding safety and s	security of
	visitors. (M	landatory)
	I will be aware of the nearest first aid kit at all times when interacting with visitors. (M	landatory)
	As appropriate, I will wear a uniform and carry an ID card at all times when interavisitors.	cting with

	I will be prepared to efficiently communicate with a responsible third party (i.e. use of portable radios, cell phones, flares or other means of attracting attention), in the event of emergencies or accidents.  (Mandatory)
My	commitment to providing quality service and continual improvement
	I will provide a quality service by being on time, organized and prepared in advance of all activities with which I am associated. (Mandatory)
	I will never be under the influence of alcohol or drugs or any other intoxicating substances prior to and/or during my visit to the CBT initiative. (Mandatory)
	I will actively seek feedback on visitor experience satisfaction and all activity with which I am involved.  (Mandatory)
My	commitment to the CBT initiative
	I will abide by the rules, regulations and practice requirements of the local community.  (Mandatory)
	I will demonstrate support of the CBT initiative and community by making maximum use of CBT
	services and being actively involved in, or contributing to, CBT projects. (Mandatory)  I will develop a sound knowledge and understanding of the specific CBT site and local conditions,
	especially cultural and natural values, and transfer this knowledge to my clients and fellow staff,
	especially guides and tour leaders. (Mandatory)
	I will respect community traditions, CBT regulations and requirements for use of environmentally
	sensitive areas and in-community behaviour. (Mandatory)
	I will consult with the CBT Committee and the community if there is a risk that activities might
	contribute to direct environmental damage. (Mandatory)
	I will monitor and provide feedback to the CBT Committee on activities based upon ecologically
	sustainable and ethically acceptable usage of community resources. (Mandatory)
Ш	I will take away all solid waste generated by my clients from products I bring into the CBT
	area. (Mandatory)  I will minimise use of motorized transportation, especially in CBT areas. (Mandatory)
	I will minimise use of motorized transportation, especially in CBT areas. (Mandatory) In cooperation with local guides, I will deliver high quality guiding and culture/nature interpretation
	and generate respect for the destinations' cultural and natural values. (Mandatory)
	I will explain codes of conduct to clients, emphasising the visitor's responsibility to treat local
	people with respect, and avoid environmental damage. (Mandatory)
Fo	r the CBT FTO operator/owner
	Through agreement with the CBT Committee, I will limit group size based on the carrying
	capacity of the site and the objective of delivering quality experiences to clients that minimises
П	impact on the community. (Mandatory)
	I will support the CBT Committee in training local guides and wildlife rangers from indigenous and/or local people.
	I will meet all necessary licenses and permit requirements. (Mandatory)
	I will actively encourage my clients to have travel insurance cover. (Mandatory)
	I will practice responsible marketing, which creates appropriate customer expectations of the

CBT experience and activities.	(Mandatory)
I will conduct my business with honesty and ethical behaviours.	(Mandatory)
I will ensure high risk activities are guided by specifically trained and skilled staff	, assisted by
CBT guides.	(Mandatory)
I will ensure staff are trained in first aid, including CPR.	
I will have in place a post-trip customer feed-back system and provide a summary	report to the
CBT Committee after each visit to the CBT initiative.	
I will maintain membership of a relevant professional tourism organisation, if availa	able.
	(Mandatory)
To the greatest extent possible, I will use eco-friendly accommodation and service	s prior to and
after visiting the CBT area.	
I will provide accurate pre-tour information to clients about the tour and the CBT in	nitiative, a list
of needed equipment and codes of conduct when in the CBT area.	
I will demonstrate commitment to this ASEAN CBT Friendly Tour Operator's Cod	e of Conduct
and be able to explain the rationale for each of its requirements.	(Mandatory)





# Asean Community Based Tourism Standard Checklist



## 1. CBT Concept, Definition, and Principles

## 1.1. The CBT Concept

Internationally, the tourism economic sector is dominated by small businesses that provide goods and services to a visiting tourist clientele. Community based tourism (CBT) is a form of tourism that seeks to empower communities to manage tourism growth and achieve communitygoals relating to well-being and economic, social and environmental sustainable development. Therefore, CBT not only involves a partnership between tourism businesses and the community to deliver benefits to both, but also involves community (and external) support for small tourism enterprises, which in turn commit to providing support for community projects that improve collective well-being.

CBT empowers local communities to determine and secure their socio-economic futures through fee-for-service activities that usually: present and celebrate local traditions and lifestyle; conserve natural and cultural resources; and foster equitable and mutually beneficial host-guest interaction.

CBT usually caters for niche markets such as adventure tourism, cultural tourism, eco-tourism and agri-tourism, but draws on local products and services to spread the economic benefit from engaging in tourism.

#### 1.1.1. CBT Definition

Community Based Tourism (CBT) is tourism activity, community owned and operated, and managed or coordinated at the community level that contributes to the well-being of communities through supporting sustainable livelihoods and protecting valued socio-cultural traditions and natural and cultural heritage resources.

## 1.1.2. CBT Principles

Based on the above definition, CBT must:

- 1. Involve And Empower Community To Ensure Ownership And Transparent Management,
- 2. Establish Partnerships With Relevant Stakeholders,
- 3. Gain Recognised Standingwithrelevant Authorities,
- 4. Improvesocial Well-Being And Maintenance Of Human Dignity,
- 5. Include A Fair And Transparent Benefit Sharing Mechanism,
- 6. Enhance Linkages To Local And Regional Economies,
- 7. Respect Local Culture And Tradition,
- 8. Contribute To Natural Resource Conservation,
- Improve The Quality Of Visitor Experiences By Strengthening Meaningful Host And Guest Interaction, And
- 10. Work Towards Financial Self-Sufficiency.

These principles are integrated in the performance standards as criteria, sub-criteria and indicators.

## 2. CBT Checklist Concept

## 2.1. Objectives and Uses of the Checklist

The ASEAN Community Based Tourism (CBT) Checklist is based on the ASEAN CBT Standard. The objective of this Checklist is to enable assessment of the performance and achievement of CBT initiatives in the ASEAN region. Assessment is based on the degree to which a CBT initiative meets the quality requirements specified in the ASEAN CBT Standard.

The Checklist was developed as a practical tool for CBT Committees, communities and assessors to evaluate the performance of a CBT initiative and for determining its qualification as an ASEAN CBT initiative. As well as being a tool for certification, the Checklist can be used by CBTCommittees and product providers as a self-administered test to identify short-comings in their current tourist services and take the necessary actions to improve the quality of their CBT operations.

## 2.2. ASEAN CBT Checklist Scope

The CBT Standard and Checklist provide umbrella performance indicators for the coordinated management of tourism products offered by communities under the organisation of a CBT Committee. Specific product standards adopted by ASEAN and relevant to CBT initiatives (e.g., the ASEAN Homestay Standard) form an integral part of the CBT Standard.

The intent of the CBT standards is not to exclude communities from being recognised as ASEAN community based tourism initiatives, but to provide direction to communities on the quality of service needed to assure tourists that they can expect a consistent level of quality and service across ASEAN-endorsed CBT initiatives.

#### Codes of conduct

Included with, and forming part of the Standard are Codes of Conduct for CBT Members, Guides, Food and Beverage Service Providers, Accommodation Providers and Friendly Tour Operators (Appendices 1 to 5).

#### 2.3. Checklist Definitions

CBT accommodation Criteria (see below) and sub-criteria are situations or outcomes

desired for a CBT initiative. Meeting of each criterion or sub-criterion is determined by assessment of indicators (see below). Assessment

of indicators is based on judgement of compliance levels.

**CBT** Accommodation

**Providers** 

Any structure and its surrounds provided within the CBT area for use

by visitors.

CBT Administration
Authority

CBT Members who provide accommodation services, including homestay, for visitors to a CBT area and who have committed to the ASEAN CBT Accommodation Provider's Code of Conduct (Appendix 4).

CBT central area

An organisation in each ASEAN country given the responsibility by government of supporting CBT initiatives and administration of CBT assessments. This organisation may be the Government's tourism organisation or National Tourism Organisation.

**CBT** Committee

An area or building established for welcoming visitors and administrative functions of the CBT initiative.

CBT Food and Beverage Providers

Shortened version of Community Based Tourism Management Committee, which consists of CBT Members elected by the community to represent their interests in CBT initiatives, and coordinate and manage related activities.

CBT Friendly Tour Operator (FTO)

CBT Members who provide food and beverage services for visitors to a CBT area and who have committed to the ASEAN CBT Food and Beverage Provider's Code of Conduct (Appendix 3).

**CBT** initiative

A responsible tour operator who:(1) brings tourists to a CBT area; (2) demonstrates care for the sustainability of nature and culture of the CBT area;(3) supports the economic and social development of the local community; and who has committed to the ASEAN CBT Friendly Tour Operator's Code of Conduct (Appendix 5).

**CBT Guides** 

Any activity or group of activities undertaken by the CBT Members and managed by the CBT Committee.

**CBT Members** 

CBT Members who provide tours and activities for visitors to a CBT area and who have committed to the ASEAN CBT Guide's Code of Conduct (Appendix 2).

CBT stakeholders

Members of a community participating in CBT Committee activities and who have committed to the CBT Members Code of Conduct (Appendix 1).

Criterion (plural criteria) Any individual, group, or organization that can affect or can be affected by CBT initiatives.

Compliance level

A desired outcome or condition of a CBT operation that can be assessed. Criteria can be divided into sub-criteria to suggest objectives or conditions needed to fulfil the desired outcome.

#### Evidence

The degree to which the nominated state of an indicator is met.

## Government Tourism Organisation

Proof that a CBT indicator is being achieved. Evidence may include quantitative measures (e.g. the level of profit identified in a financial statement may suggest the economic viability of a CBT activity) or qualitative measures (e.g. the level of community support may suggest the social viability of a CBT activity).

#### Indicator

The highest level of tourism administration established by each ASEAN state (e.g., Ministry, Department, National Tourism Organisation)

A condition that reflects a CBT criterion or sub-criterion.

## Independent Auditor

#### Measure

An appointee of the CBT Administration Authority, but not from government, appointed for the purposes of auditing CBT compliance with the ASEAN CBT Standards. They can be a tourism industry representative, an academic, a CBT committee member from an existing certified CBT initiative, or any person acknowledged by the CBT Administration Authorityas having sufficient experience to provide objective advice and recommendations. Independent Auditors should have a relevant tourism qualification and at least 10-years' experience in the tourism sector.

Independent Auditors will receive training on the ASEAN CBT Standards and the certification process.

Independent auditors may be assisted by a government representative to ensure relevant laws and regulations that apply to CBTs are given appropriate consideration.

Something that reflects the state of a CBT indicator. A measure may be quantitative (e.g., a count of something compared with a benchmark) or qualitative (e.g., the quality and extent of systems and procedures for assuring effective management).

#### 2.4. Prerequisite Entry Requirement to ASEAN CBT Standard Certification

For a CBT initiative in the ASEAN region to qualify for assessment and certification, itmust meet the following conditions:

- a. An elected CBT Committee exists that can represent community interests outside the community and coordinate CBT activities within the community; and
- b. CBT Committee members must be free of a criminal record; and
- c. The CBT initiative includes CBT Members or Member sub-committees responsible for

- specific tourism products and services; and
- d. The CBT Committee has completed a self-assessment (using this Checklist); and
- e. The CBT initiative has been registered with the nominated home country CBT Administration Authority, based on the self-assessment; and
- f. The CBT initiative has been registered or has been operating for at least one year; and
- g. The CBT initiative has been endorsed by the CBT Administration Authority for assessment towards certification.

## 3. CBT performance Criteria Summary

To evaluate the quality and performance of CBT initiatives, the ASEAN CBT Standard has been converted to a Checklist. The Checklist is divided into eight criteria, 23 Sub-criteria and 171 Indicators. Eighty-nine of the indicators are Minimum requirements,52 are Advanced requirements and 30 are Best practice requirements (Table 1). These are used in the ASEAN Certification process. It is expected that CBT initiatives will seek to fully comply with all requirements over time.

Table 1 Summary criteria and indicators for ASEAN CBT initiatives

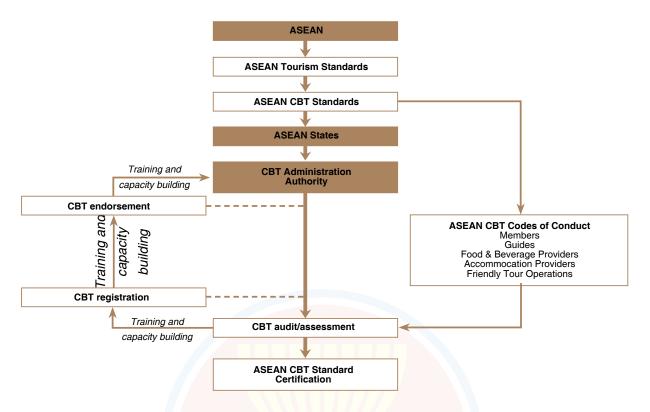
				Indica	ators	
Criteria		Sub-criteria	Minimum requirements	Advanced requirements	Best practice requirements	Total
1	Community	1.1 Effective and transparent governance arrangements exist	5	2	0	7
	ownership and	1.2 Legitimate establishment	2	0	0	2
	management	1.3 Effective and transparent management exists	5	2	1	8
		1.4 Effective partnerships exist	2	2	1	5
		Sub-total	14	6	2	22
2	Contribution to	2.1 Human dignity is maintained	2	1	1	4
	2.2 Benefits and costs are shared equitably 2.3 Links exist to regional economies 2.4 Cultural integrity is maintained and valued cultural traditions are enriched	2.2 Benefits and costs are shared equitably	1	1	1	3
		2	1	1	4	
			3	2	1	6
		Sub-total	8	5	4	17

Criteria				Indica	ators	
		Sub-criteria	Minimum requirements	Advanced requirements	Best practice requirements	Total
3	Contribution to	3.1 Natural resources are being conserved	1	2	1	4
	conserve and improve the	3.2 Conservation activities to improve the environment	4	1	2	7
	environment	Sub-total	5	3	3	11
4	Encouragement	4.1 Guest and local community interaction exists	2	3	3	8
	of interaction between the	4.2 Sustainability of Community-Based Tourism products	1	1	3	5
	local community and guests	Sub-total	3	4	6	13
5	Quality tour and	5.1 Ensuring local guide quality and expertise	3	2	1	6
	guiding services	5.2 Managed tours and activities to ensure quality	5	4	4	13
		Sub-total	8	6	5	19
6	Quality food	6.1 Ensuring food and beverage service provider quality	3	2	1	6
	and beverage services	6.2 Managed food and beverage services to ensure quality	12	3	1	16
		Sub-total	15	5	2	22
7	Quality	7.1 Ensuring accommodation service provider quality	4	1	1	6
	accommodations	7.2 Managed accommodations to ensure quality	16	10	1	27
		Sub-total	20	11	2	33
8	Performance of	8.1 Commitment to CBT ideals	5	2	2	9
	CBT Friendly Tour Operators	8.2 Contribution to community and nature protection	4	5	2	11
	·	8.3 Support for the local economy	2	1	1	4
		8.4 Promotion of joy of discovery, knowledge and respect	3	2	0	5
		8.5 Satisfying and safe experiences for tourists and the community	2	2	1	5
		Sub-total Sub-total	16	12	6	34
		Total	89	52	30	171

## 4. CBT Registration, Endorsement and Certification Processes

Application of the ASEAN CBT Standard to specific CBT initiatives involves registration with, and endorsement by, an in-country CBT Administration Authority, and for certification, under the auspices of ASEAN,through the National Tourism Organisation (Figure 1). Each process aims to encourage learning and improvement in performance. Each process element involves evaluation of performance against indicators of criteria; the achievement of which, suggests that a CBT initiative is conforming to the ASEAN CBT Standard. Evaluation is through either self-assessment or by an independent auditor. A key element of the processes is Community Member (and others) compliance with Codes of Conduct. These indicate behaviours that individuals should adopt to meet the ideals of CBT and contribute to the overall performance of the CBT initiative.

Figure 1 Summary of process towards Certification of a CBT initiative as meeting ASEAN CBT Standards



## 4.1. CBT Initiative Registration Process

CBT initiatives are registered formally by an in-country CBT Administration Authority towards endorsement when the CBT initiative fully complies with at least 50% of Minimum requirements and 40% of Advanced requirements for applicable indicators in each criterion (Figure 2). Registration compliance is undertaken through self-assessment by a CBT Committee, with the assistance of the CBT Administration Authority if required. The assessment is applied at the overall CBT initiative level, not individual services. However, if multiple services are involved (e.g., home stays, guiding services), each service must meet the 50% requirement before registration. Existing CBT initiatives may proceed to endorsement or certification if they meet the required performance standards.

CBT Committee established ✓ ASEAN CBT entry requirements met. CBT Committee contacts the CBT Administration Authority with an expression of interest in registering the CBT initiative CBT Administration Authority issues CBT CBT Committee determines that it fully checklist for self-assessment complies with 50% of the Minimum CBT Committee undertakes a self-assessment using the ASEAN CBT Standard Checklist requirements and 40% of Advanced requirements under each criterion. ı CBT training initiated CBT Committee identifies action towards CBT Administration Authority reviews ensuring compliance with 60% of Minimum the self-assessment with the CBT Committee to and 50% of Advanced requirements under confirm actions to improve performance each criterion. CBT Administration Authority determines that: the CBT initiative has the capacity to CBT Administration Authority may endorse meet the ASEAN CBT Standard, and and/or recommend proceeding directly to the ASEAN CBT Certification process ✓ the CBT Committee is addressing performance shortcomings CBT Administration Authority reviews registers the CBT initiative and issues CBT Registration Certificate

Figure 2 Process towards registration as a CBT initiative

#### 4.2. CBT Initiative Endorsement Process

CBT initiatives are endorsed by an in-country CBT Administration Authority towards proceeding to ASEAN CBT Standard certification when the CBT initiative fully complies with 60% of Minimum requirements and 50% of Advanced requirements for applicable indicators in each criterion (Figure 3). Endorsement compliance is undertaken through self-assessment by a CBT Committee, with the assistance of the CBT Administration Authority if required. The assessment is applied at the overall CBT initiative level, not individual services. However, if multiple services are involved (e.g., home stays, guiding services), 60% of Minimum and 50% of Advanced must fully comply with the requirements. Existing CBT initiatives may proceed to certification if they meet the required performance standards.

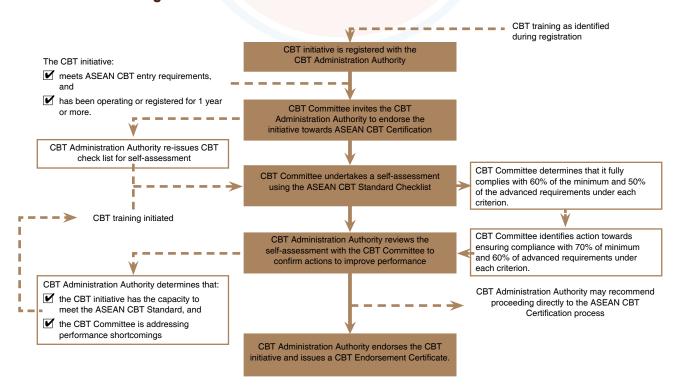


Figure 3 Process towards endorsement as a CBT initiative

#### 4.3. ASEAN CBT Certification Process

CBT initiatives are certified by Government Tourism Organisations based on the recommendation of the CBT Administration Authority and an audit of compliance with the ASEAN CBT Standard that covers all CBT services provided by the endorsed CBT initiative (Figure 4). An Independent Auditor and a representative of the CBT Administration Authority undertake the compliance audit with the CBT committee, and report directly to the CBT Administration Authority with their recommendation. The audit report is provided to the CBT Committee. Certification is recommended to the National Tourism Organisation when performance fully complies with 70% of relevant Minimum requirements and 60% of Advancedrequirements indicators in each criterion. It is expected that action is being undertaken to move towards achieving best practice requirements. The assessment is applied at the overall CBT initiative level, not individual services. However, if multiple services are involved (e.g., home stays, guiding services), 70% of these must fully comply with the Minimum requirements and 60% of Advanced requirements.

The Independent Auditor can be a tourism industry representative, an academic, a CBT committee member from an existing certified CBT initiative, or any person acknowledged by the Government Tourism Organisation as having sufficient experience to provide objective advice and recommendations.

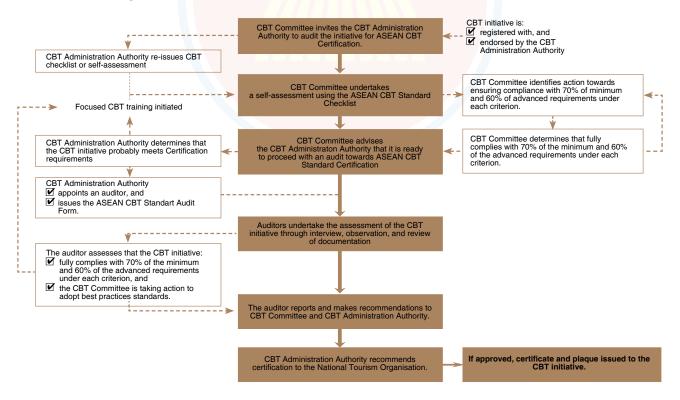


Figure 4 Process forcertification under the ASEAN CBT Standard

## 5. Assessment of Performance

## 5.1. Evidence Based Assessment

Assessment is evidence based. That is, evidence is required to confirm that an indicator has been achieved. Because many of the indicators ultimately require subjective assessment, more than one form of evidence is desirable. Evaluation is based on the probability that an indicator has been achieved, given the evidence.

#### 5.2. Forms of Evidence

Documents Documentary evidence may include plans, reports, minutes of meetings,

signed Codes of Conduct, written procedures, income and expenditure records and CBT constitutions. Where possible, the validity of documentary

evidence should be able to be verified by other forms of evidence.

Observations Observational evidence may include attendance at meetings, sighting of

maintenance activity or participation in a tour or activity. Many observations

can be supported by photographs.

Interviews Interview evidence involves multiple interviewees confirming that an

indicator has been achieved. The veracity of the information provided

should be supported by other forms of evidence wherever possible.

Photographic evidence can support observations, in particular. However,

they are particularly useful as a record of events and practices that occur

irregularly. They can also indicate change in conditions.

## 5.3. Level of Compliance with Indicators

Indicators are assessed on a three-point ordinal scale: Fully complies, Partly complies, Does not comply; with the option of indicating Not applicable.

Fully Sufficient evidence exists to confirm the probability that the nominated

complies state of the indicator has been achieved.

Partly Insufficient evidence exists to confirm that the nominated state of the

complies indicator has been achieved: more evidence is needed.

Does not This also applies where multiple elements are associated with the CBT comply' initiative (e.g., more than one home stay or guided activity). For minimum

requirement indicators, unless all elements achieve the indicated standard,

Not applicable the indicator should be assessed as partly complying. For advanced and best practice requirements, 80% of elements should be achieving the indicated standard to be assed as fully complying.

Evidence does not exist to confirm that the nominated state of the indicator has been achieved: evidence is needed.

The indicator is not relevant to the CBT initiative being assessed.

## 5.4. Scoring of Performance

Summary statistics (counts) are used to score the overall performance of CBT initiatives. Assessed indicator levels of performance are summed for each sub-criterion and each criterion and presented in the categories of Minimum requirements, Advanced requirements and Best practice requirements. These form the basis for progression to certification.

Registration The CBT initiative fully complies with 50% of relevant Minimum requirements

and 40% of Advanced requirements for indicators in each criterion.

Endorsement The CBT initiative fully complies with 60% of relevant Minimum requirements

and 50% of Advanced requirements for indicators in each criterion.

Certification The CBT initiative fully complies with 70% of relevant Minimum requirements

and 60% of Advanced requirements for indicators in each criterion.

#### 5.5. Reporting Performance

Workbooks have been prepared for the assessment of CBT performance.

The Community Workbook is for self-assessment and requires a simple 'ticking the box' approach and then tallying ticks.

The Audit Workbook is similar, but requires statements of what evidence is used to make the assessment.

An 'MS Excel' spreadsheet is available to ease the tallying and summarising.

For each sub-criterion, levels of performance are scored for each indicator, then scores are tallied (Figure 5).

Figure 5 Example tally for Sub-criterion 1.3

Sub-criterion 1.3: Effective and transparent management exists

Criterion	Sub- Criterion	Indicators	Fully complies	Partly complies	Does not comply	Not applicable
	ā	Minimum requirements 1.3.1 CBT management processes comply with all CBT standards and requirements, including for outside operators and FTOs.				
ŧ	ration	1.3.2 CBT Members agree to an angoing commitment to the ASEAN CBT Member's Code of Conduct (Appendix 1).				
ageme	ıt ope	1.3.3 The CBT initiative builds the capacity of the community to provide products, goods and services to visiting tourists.				
mans	gemer	1.3.4 The CBT initiative maximises use of goods and services provided by the community.				
ip and	mana	1.3.5 A clear financial management system exists and is accessible to community members.				
Community ownership and management	sparent	<b>Advanced requirements</b> 1.3.6 An annual action plan is documented and is accessible to community members.				
nity o	d tran	1.3.7 Long-term goals and objectives are documented and accessible to the community members.				
Commu	Effective and transparent management operations	<b>Best practice requirements</b> 1.3.8 Monitoring and evaluation mechanisms exist to assess the sustainability performance of individual and collective CBT activities.				
	표	Total minimum requirements	4	1		
		Total advanced requirements		2		
		Total best practice requirements			1	

These tallies for each sub-criterion are then transferred to a summary report for each criterion (Figure 6).

Figure 6 Example summary table for Criterion 1

Summary assessment for Criterion 1: Community ownership and management

Sub-crite	ria	Fully complies	Partly complies	Does not comply	Not applicable
Sub-criterion 1.1: Effective and transparent	Minimum requirement count	3	1	1	
governance arrangements exists	Advanced requirement count	2			
	Best practice requirement count				
Sub-criterion 1.2: Legitimate establishment	Minimum requirement count	2			
	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 1.3: Effective and transparent	Minimum requirement count	4	1		
management exists	Advanced requirement count		2		
	Best practice requirement count			1	
Sub-criterion 1.4: Effective partnerships exist	Minimum requirement count	2			
	Advanced requirement count	1			1
	Best practice requirement count				1
To	otal for minimum requirement indicators	11	2	1	
	Totals for advanced requirement indicator	3	2		1
To	otal for best practice requirement indicators			1	1

For the overall CBT initiative, criterion tallies are then transferred to a summary table (Figure 7).

Figure 7 Example summary table for a CBT

## Summary assessment

Criteria		Fully complies	Partly complies	Does not comply	Not applicable
Criterion 1: Community ownership and	Minimum requirement count	11	2	1	
management	Advanced requirement count	3	2		1
	Best practice requirement count			1	1
Criterion 2: Contribution to social well-being	Minimum requirement count	7	1		
	Advanced requirement count		3	1	1
	Best practice requirement count		1	3	
Criterion 3: Contribution to conserve and improve	Minimum requirement count	4	1		
the environment	Advanced requirement count	2			1
	Best practice requirement count		3		
Criterion 4: Encouragement of interaction between	Minimum requirement count	2	2		
the local community and guests	Advanced requirement count	2	2		
	Best practice requirement count	3	1	1	1
Criterion 5: Quality tour and guiding service	Minimum requirement count	8			
	Advanced requirement count	4	2		
	Best practice requirement count		2	2	1
Criterion 6: Quality food and beverage services	Minimum requirement count	13	2		
	Advanced requirement count	2	2	1	
	Best practice requirement count		1	1	
Criterion 7: Quality accommodations	Minimum requirement count	18	2		
	Advanced requirement count	8	3		
	Best practice requirement count			2	
Criterion 8: Performance of CBT Friendly Tour	Minimum requirement count	12	1	1	2
Operators (CBT FTO)	Advanced requirement count	8		3	1
	Best practice requirement count	1	3	1	1
Totals	Minimum requirement count	64	11	2	2
	Advanced requirement count	29	14	5	4
	Best practice requirement count	4	11	8	4

### 5.6. Recognition of Achievement

Each step in the process of a CBT initiative becoming certified is acknowledged with a certificate and, with certification, a plaque. Certificates are produced in laminated A4 (297mm x 210mm) card. Certification plaques are screen printed on, or etched into, A5 (210mm x 148mm) stainless steel.









## 6. CBT Performance Criteria and Indicators

6.1. Criterion 1: Community ownership and management

Community based tourism initiatives will be managed by communities to improve the well-being of communities.

6.1.1. Sub-criterion 1.1: Effective and transparent governance arrangements exist

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 1.1.1 The CBT initiative is managed by community members through a Committee elected for a maximum 5-year term.				
1.1.2 The CBT initiative has a clear management structure with agreed roles and responsibilities.				
1.1.3 Relevant national and provincial rules and regulations (including local by-laws) are followed by those directly involved in CBT activities/operations				
1.1.4 CBT Member recruitment meets any relevant national or local laws and regulations				
1.1.5 CBT Member recruitment to provide specific tourism products and services (e.g. guiding, accommodation, food and beverage services) is conducted fairly by the CBT Committee based on gender equity and social inclusion principles.				
Minimum requirements 1.1.6 CBT Members are recruited based on their appropriate levels of knowledge and commitment to the CBT initiative and the specific role.				
1.1.7 CBT Member appointments (and revocation of appointments) are approved by the CBT Committee.				
Total minimum requirements				
Totals advanced requirements				

## 6.1.2. Sub-criterion 1.2: Legitimate establishment is recognised

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 1.2.1 The CBT initiative is recognised by provincial and/or national level authorities.				
1.2.2 The CBT initiative is recognised by, and has the support of, any customary or legally recognised community-level governing body (e.g., community council).				
Total minimum requirements				

## 6.1.3. Sub-criterion 1.3: Effective and transparent management exists

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 1.3.1 CBT management processes comply with all CBT standards and requirements, including for outside operators and FTOs.				
1.3.2 CBT Members agree to an ongoing commitment to the ASEAN CBT Member's Code of Conduct (Appendix 1).				
1.3.3 The CBT initiative builds the capacity of the community to provide products, goods and services to visiting tourists.				
1.3.4 The CBT initiative maximises use of goods and services provided by the community.				
1.3.5 A clear financial management system exists and is accessible to community members.				
Advanced requirements 1.3.6 An annual action plan is documented and is accessible to community members.				
1.3.7 Long-term goals and objectives are documented and accessible to the community members.				
Best practice requirements  1.3.8 Monitoring and evaluation mechanisms exist to assess the sustainability performance of individual and collective CBT activities.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## 6.1.4. Sub-criterion 1.4: Effective partnerships exist

erri de enterior i i allegare pararetempe exist				
Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 1.4.1 Guidelines exist for inbound tour operator interaction with the community.				
1.4.2 In conducting activities, the CBT initiative avoids impacts on neighbouring communities.				
Advanced requirements 1.4.3 Relevant CBT stakeholders are identified and their roles in contributing to CBT initiatives are documented.				
1.4.4 An established procedure exists for regular consultation with stakeholders.				
Best practice requirements  1.4.5 Cooperation exists with neighbouring communities.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

6.2	Criterion	2.	Contribution	to	social	well-being
0.2.	OHIGHOR	<u>~</u> .		w	Social	WCII DCIIIQ

Community based tourism initiatives will make a significant contribution to social well-being of communities.

6.2.1. Sub-criterion 2.1: Human dignity is maintained

Indicators	Fully	Partly complies	Does not comply	Not applicable
Minimum requirements 2.1.1 Sex tourism, drug trafficking, human trafficking, and exploitation of child labour are not tolerated or supported explicitly or implicitly.				
2.1.2 CBT activities promote gender equity and social inclusion.				
Advanced requirements 2.1.3 CBT initiatives build the capacity for disadvantaged members of the community to appropriately benefit from tourism (this includes identifying roles for youth and the aged).				
<b>Best practice requirements</b> 2.1.4 CBT activities contribute to improving community access to basic services (water, sanitation, energy, education, health).				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## 6.2.2. Sub-criterion 2.2: Benefits and costs are sharedequitably

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 2.2.1 Clear and agreed benefit sharing arrangements exist.				
Advanced requirements 2.2.2 A community development fund exists that is used for initiatives benefiting the whole community.				
Best practice requirements 2.2.3 A process exists for equal opportunities in income generating activities.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## 6.2.3. Sub-criterion 2.3: Links exist to regional economies

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 2.3.1 Local community members dominate employment in CBT initiatives.				
2.3.2 Local/regional sourcing of products and services dominate CBT initiatives.				
Advanced requirements 2.3.3 Local community products are used in preference to imports (e.g., locally produced vs mass-produced souvenirs).				
<b>Best practice requirements</b> 2.3.4 Strong cooperation with other CBTs and regional private and government organisations exists to increase regional tourism.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## 6.2.4. Sub-criterion 2.4: Cultural integrity is maintained and valued cultural traditions are

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 2.4.1 Cultural assets of significance to the local community and valued cultural traditions are identified, documented and endorsed by relevant communities.				
2.4.2 Programs exist to authentically present, enhance and retain local cultural traditions towards protecting cultural integrity, identity and values.				
2.4.3 Practices ensure that all rules, regulations and laws relevant to protection of culture and heritage are followed.				
Advanced requirements 2.4.4 CBT management supports the retention of traditional livelihoods and initiatives that create alternative livelihoods.				
2.4.5 A code of visitor behaviour exists to inform visitors of appropriate behaviour within communities.				
<b>Best practice requirements</b> 2.4.6 A community decision-making process exists that identifies what cultural assets and traditions will be shared with visitors.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

6.3. Criterion 3: Contribution to conserve and improve the environment CBT initiatives conserve and improve the quality of environmental assets and values.

#### 6.3.1. Sub-criterion 3.1: Natural resources are being conserved

Indicators	Fully	Partly complies	Does not comply	Not applicable
Minimum requirements 3.1.1 Natural resources and environmentally sensitive sites and their community significance are identified, planned, documented and endorsed by relevant communities.				
Advanced requirements 3.1.2 A fund exists to support community-based conservation programs and actions.				
3.1.3 Programs exist to present the value of natural resources to local community well-being.				
<b>Best practice requirements</b> 3.1.4 Local rules and regulations exist relevant to the protection and presentation of nature.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

#### 6.3.2. Sub-criterion 3.2: Conservation activities to improve the environment

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 3.2.1 A fund is available to support community-based environmental improvement action.				
3.2.2 A locally appropriate solid waste management system exists that applies avoid, reduce, reuse, recycle principles and hygienic handling of putrescible waste (e.g., composting).				
3.2.3 Locally appropriate wastewater management uses technologies that minimise risk to human health and environmental impact.				
3.2.4 Practices ensure that all rules, regulations and laws relevant to environmental protection are followed.				
Advanced requirements 3.2.5 Solid waste generation is actively discouraged (e.g., through encouraging refilling of water bottles with treated water).				
Best practice requirements 3.2.6 Environmental information and education programs are available for hosts, guests and the community.				
3.2.7 Low carbon energy sources are used within the CBT area.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

6.4. Criterion 4: Encouragement ofinteraction between the local community and guests

The success of community based tourism initiatives depends on visitor satisfaction with
experiences and reciprocal benefits flowing to host communities that result in their satisfaction.

#### 6.4.1. Sub-criterion 4.1: Guest and local community interaction exists

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 4.1.1 Environmental and cultural information is included in the interpretation of the community and its surroundings.				
4.1.2 Policies and actions ensure safety and security for visitors.				
Advanced requirements 4.1.3 Codes of conduct exist for community, hosts and guests.				
4.1.4 Tourist expectations are managed by providing accurate information in marketing initiatives.				
4.1.5 A quality control and improvement system exists, including a process to obtain visitor feedback on their CBT experiences.				
Best practice requirements 4.1.6 A program of cross-cultural communication and understanding exists.				
4.1.7 Opportunities exist for tourists to contribute to local activities alongside community members.				
4.1.8 The quality control and improvement system is evaluated weekly and reported annually to Community members.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

#### 6.4.2. Sub-criterion 4.2: Sustainability of Community-Based Tourism products

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 4.2.1 Transparent and fair pricing exists for visitors with adequate returns on community investments.				
Advanced requirements 4.2.2 Positive returns on investment exist in terms of social, cultural, environmental and economic outcomes.				
Best practice requirements 4.2.3 Target market segments are identified with their servicing needs.				
4.2.4 Appropriate and unique products and services are in place to service identified market needs and protect and enrich environmental and cultural assets, products and services.				
4.2.5 A targeted and cost-effective marketing program exists to attract identified markets.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

#### 6.5. Criterion 5: Quality tour and guiding services

A community based tourism tour is an activity organised by community members for visitors to see and learn about local community, culture and environment.

Local guides will be community members who have been living in the community and recognised by the community as a trust-worthy person able to represent and communicate community interests. They must have good knowledge, skill, experience and attitudes, with preference given to those with minimum qualifications required by national regulations.

#### 6.5.1. Sub-criterion 5.1: Ensuring local guide quality and expertise

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 5.1.1 Guides are recruited based on appropriate levels of knowledge, physical health and fitness for proposed guided activities.				
5.1.2 Guides possess or can demonstrate commitment to developing sound knowledge of the local environment and culture; including history, cultural traditions, geography, flora and fauna and cultural/heritage sites, and sustainable tourism principles.				
5.1.3 Guides operate within the ASEAN CBT Standards and regulations of the CBT initiative and have signed and follow the ASEAN CBT Guide's Code of Conduct (Appendix 2).				
Advanced requirements 5.1.4 Guides are certified under any relevant standard produced for the purposes of improving guiding services.				
5.1.5 Guides facilitate environmentally, socially and culturally relevant and sensitive experiences for visitors that are protective of natural and cultural resources and values.				
Best practice requirements 5.1.6 Guides have access to ongoing capacity building and training opportunities to increase their skills and knowledge of:  • sustainable tourism,  • interpretative guiding,  • group management,  • customer care/service,  • communication (including cross cultural awareness/communication and verbal and non-verbal communication);  • first aid and safety,  • authentic local cultural traditions, integrity, identity and values,  • environmental protection issues,  • the guidelines and regulations of the CBT initiative, and  • any other area deemed necessary by the CBT Committee.				
Total minimum requirements				
Total heat are stice requirements				
Total best practice requirements				

#### 6.5.2. Sub-criterion 5.2: Managed tours and activities to ensure quality

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
<ul><li>Minimum requirements</li><li>5.2.1 Tours/activities operate within the objectives, guidelines, regulations and codes of conduct of the CBT initiative.</li></ul>				
5.2.2 Tours/activities ensure visitors, at all times, observe CBT approved guidelines for interacting with the culture, natural environment and people of the community.				
<ul><li>5.2.3 Tours/activities have a clearly defined:</li><li>itinerary and associated price; and</li><li>documented booking system.</li></ul>				
5.2.4 Tours/activities record the visitors on tours, including departure and return times.				
5.2.5 Visitors are informed of the tour itinerary, level of difficulty, possible hazards, safety precautions and regulations or rules that apply to their conduct on the tour.				
Advanced requirements 5.2.6 Tours operate on a cost recovery basis and yield a profit to the CBT initiative.				
5.2.7 A quality control and improvement system exists, including a system for visitor feedback on the tour/activity experience, and visitors are actively encouraged to participate in the feedback process.				
5.2.8 Tours/activities respect and contribute to the promotion and preservation/ conservation of local culture and natural environment and provide current and relevant cultural information.				
5.2.9 Tours/activities are designed to be enjoyable, educational, participatory, organised, relevant and thematic.				
<b>Best practice requirements</b> 5.2.10 The local (interpretative) guide to visitor ratio is not greater than 1:5-10.				
5.2.11 Where relevant, tours/activities have clearly defined and documented agreements with inbound tour operators.				
5.2.12 Tours/activities actively facilitate cross-cultural understanding and opportunities for tourists to contribute to local activities alongside host community members.				
5.2.13 Tours provide an appropriate and specialised service for identified tourist markets and attract identified tourist markets through cost-effective means.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

#### 6.6. Criterion 6: Quality food and beverage services

Food and beverage standards are applicable to all providers of food and beverage in the CBT area(s) targeted for visitor use or any service provided as part of a CBT activity.

#### 6.6.1. Sub-criterion 6.1: Ensuring food and beverage service provider quality

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 6.1.1 Food and beverage providers are recruited based on appropriate levels of knowledge and experience in providing locally relevant food and beverage services.				
6.1.2 Food and beverage providers possess or can demonstrate commitment to hygienic food preparation and service techniques.				
6.1.3 Food and beverage providers operate within the guidelines and regulations of the CBT initiative and have signed and follow the ASEAN CBT Food and Beverage Providers Code of Conduct (Appendix 3).				
Advanced requirements 6.1.4 Food and beverage providers are certified under any relevant standard produced for the purposes of improving food and beverage services.				
6.1.5 Food and beverage providers provide opportunities for knowledge exchange between hosts and visitors.				
Best practice requirements 6.1.6 Food and beverage providers have access to ongoing capacity building and training opportunities to increase their skills and knowledge of: • food preparation hygiene, • nutritional meal and menu preparation, • traditional cuisine and cooking techniques, • hospitality and service standards, • sustainable tourism, • group management, • customer care/service, • communication (including cross cultural awareness/communication and verbal and non-verbal communication); • first aid and safety, • authentic local cultural traditions, integrity, identity and values, • environmental protection issues, • the guidelines and regulations of the CBT initiative, and • any other area deemed necessary by the CBT Committee.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

#### 6.6.2. Sub-criterion 6.2: Managedfood and beverage services for quality

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
<ul><li>Minimum requirements</li><li>6.2.1 Food and beverage services are provided within the objectives, guidelines, regulations and codes of conduct of the CBT initiative.</li></ul>				
6.2.2 Menus are available with associated prices (if appropriate).				
6.2.3 Meals are provides at agreed times identified in consultation between food and beverage providers and the CBT committee.				
6.2.4 Sufficient food is provided for visitor needs, including between-meal snacks.				
6.2.5 Menus vary daily and include at least one traditional meal at each dining period.				
6.2.6 Maximum use is made of fresh, organically grown food and local ingredients, including fresh meat and vegetables, but no bush meats prohibited by law.				
6.2.7 Dessert and/or fruit forms part of each meal.				
6.2.8 Food preparation and dining areas are maintained in a clean state at all times.				
6.2.9 Food preparation and dining utensils are cleaned thoroughly before use (i.e. cleaned immediately after dining periods).				
6.2.10 Food service providers wash their hands with soap in clean water before and regularly during food preparation.				
6.2.11 Food is stored in clean containers, which are kept in good order.				
6.2.12 Animals (domestic and pest) are kept out of food storage, cooking and dining areas.				
Advanced requirements 6.2.13 Opportunities exist for tourists to participate in meal preparation and to learn traditional cooking techniques.				
6.2.14 A quality control and improvement system exists, including a system for visitor feedback on the dining experience, and visitors are actively encouraged to participate in the feedback process.				
6.2.15 Visitor dietary preferences are accommodated.				
Best practice requirements 6.2.16 Maximum use is made of natural bio-degradable products when serving and packaging food (e.g. banana leaves).				
5.2.13 Tours provide an appropriate and specialised service for identified tourist markets and attract identified tourist markets through cost-effective means.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

#### 6.7. Criterion 7: Quality accommodations

CBT accommodationincludes home-stay, communal or other guesthouse options that operate under the guidelines of the CBT Committee. The ASEAN Homestay Standard will apply these CBT accommodations. It also includes CBT central facilities (e.g., dining areas) and other infrastructure.

#### 6.7.1. Sub-criterion 7.1: Ensuring accommodation service provider quality

6.7.11. Out official 7.11. Encuring accommodation convice provider quality					
Indicators	Fully complies	Partly complies	Does not comply	Not applicable	
Minimum requirements 7.1.1 Accommodation providers are recruited based on appropriate levels of knowledge of accommodation service delivery and the appropriateness of their accommodations for targeted markets.					
7.1.2 Accommodation providers possess or can demonstrate commitment to developing sound knowledge of how to deliver quality accommodation services, and local environment, culture and sustainable tourism experiences.					
7.1.3 Accommodation providers operate within the guidelines and regulations of the CBT initiative and have signed and follow the ASEAN CBT Accommodation Provider's Code of Conduct (Appendix 4).					
7.1.4 Accommodation providers supply safe and clean accommodation opportunities for visitors to experience community life and for knowledge exchange between hosts and guests.					
Advanced requirements 7.1.5 Accommodation providers are certified under any relevant standard produced for the purposes of improving accommodation services (e.g. ASEAN Homestay Standard).					
Best practice requirements 7.1.6 Accommodation providers have access to ongoing capacity building and training opportunities to increase their skills and knowledge of:  accommodation and housekeeping services,  food preparation hygiene,  hospitality and service standards,  sustainable tourism,  group management,  customer care/service,  communication (including cross cultural awareness/communication and verbal and non-verbal communication);  first aid and safety,  authentic local cultural traditions, integrity, identity and values,  environmental protection,  the guidelines and regulations of the CBT initiative, and  any other area deemed necessary by the CBT Committee.					
Total minimum requirements					
Total advanced requirements					
Total best practice requirements					

#### 6.7.2. Sub-criterion 7.2: Managed accommodations to ensure quality

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 7.2.1 Accommodations are provided within the objectives, guidelines, regulations and codes of conduct of the CBT initiative.				
7.2.2 A clearly defined and documented visitor booking system exists for visitors to the CBT central area and accommodations.				
7.2.3 An up-to-date log of arrivals, departures and returns to the CBT central area is maintained.				
7.2.4 Visitors are informed on arrival of safety, security and behavioural requirements.				
7.2.5 Purpose-built structures for visitor use are attractive and appropriate to meeting tourist expectations and basic safety standards.				
7.2.6 Bathrooms and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations.				
7.2.7 All accommodations, especially bathrooms and toilets, are thoroughly cleaned and serviced daily.				
7.2.8 Bathrooms and toilets include a tank or adequate fresh, clean water, soap and cup; toilets include toilet paper and a sanitary bin.				
7.2.9 Toilets are of either squatting or sitting, and flushing or composting type, with consideration given to client preferences and local norms.				
7.2.10 The CBT area is maintained in a clean condition that minimises threats from dangerous species.				
7.2.11 Materials are available to cover basic communication needs between hosts and guests.				
7.2.12 A torch is available for night use in all accommodations and structures built for visitor use.				
7.2.13 All CBT accommodations and visitor use areas have procedures to ensure the security and safety of visitors and their belongings (visitors are to be informed of these upon arrival).				
7.2.14 A contingency plan exists for unexpected events, including a sick or injured guest, missing or lost guest, disruptive or undesirable behaviour from a guest, accident or injury to a guest or adverse weather conditions.				
7.2.15 All CBT accommodations and visitor use areas include a first aid kit for guest and staff use and checked weekly for completeness or replenished on use.				
7.2.16 All CBT accommodations and visitor use areas apply all appropriate standards of hygiene and cleanliness stated in the food and beverage section of these standards when including meals in the accommodation.				
<b>Advanced requirements</b> 7.2.17 A quality control and improvement system exists, including a system for visitor feedback on accommodations, and visitors are actively encouraged to participate in the feedback process				
7.2.18 Subject to functional requirements, built structures for visitors reflect local building traditions.				
7.2.19 Built structures for visitors are clearly identified at the location with guide signs as required (this particularly applies to accommodation and any special tourist use areas).				
7.2.20 Built structures do not include wild animal decoration, except where part of an interpretive display or part of local custom.				
7.2.21 Adequate lighting and ventilation is provided inside all built structures for visitor use.				
7.2.22 Structures are not placed within 20metres of any natural or cultural attraction or significant site, unless historically in that location or for cultural reasons.				
7.2.23 Farm animals cannot enter structures used by visitors.				

Indicators	Fully	Partly complies	Does not comply	Not applicable
7.2.24 Parking and signage is available for visitor use and orientation.				
7.2.25 All CBT accommodation providers are trained in basic first aid and are therefore competent in using first aid kits.				
7.2.26 All CBT accommodation and visitor use areas have documented fire and emergency procedures, displayed in prominent positions.				
Best practice requirements 7.2.27 The family and cross-culture experience is emphasised.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

6.8. Criterion 8: Performance of CBT Friendly Tour Operators (CBT FTO)

A CBT Friendly Tour Operator (FTO) is a responsible tour operator who demonstrates care for the sustainability of nature and culture of the CBT area and supports the economic and social development of the local community. The CBT Friendly Tour Operator may be from inside or outside the community. Permission to operate must be obtained from the CBT Committee and the community.

#### 6.8.1. Sub-criterion 8.1: Commitment to CBT ideals

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 8.1.1 FTOs are certified under any relevant standard produced for the purposes of improving tour operations (e.g., ASEAN Ecotourism Standard).				
8.1.2 FTOs meet all necessary license and permit requirements.				
8.1.3 Clearly defined and documented agreements exist between FTOs and the CBT Committee, requiring FTOs and staff to operate within the guidelines and regulations of the CBT initiative.				
8.1.4 FTOs and staff have signed and follow the ASEAN CBT Friendly Tour Operator's Code of Conduct (Appendix 5).				
8.1.5 Where available, FTOs are members of an appropriate professional organisation.				
Advanced requirements 8.1.6 FTOs and staff possess, or can demonstrate commitment to developing, sound knowledge of sustainable tourism and how to deliver quality tour services relating to experiencing local environments, cultures and livelihoods.				
8.1.7 FTOs and staff provide safe opportunities for visitors to experience community life and for knowledge exchange between hosts and guests.				
Best practice requirements 8.1.8 FTOs provide employees dealing with communities regular training on CBT and ecotourism (e.g. one day a year/paid).				
8.1.9 FTOs cooperate with natural and cultural heritage conservation organizations, authorities and local NGOs as required.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

#### 6.8.2. Sub-criterion 8.2: Contribution to community and nature protection

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 8.2.1 FTOs demonstrate respect for CBT regulations and recommendations for behaviour in environmentally sensitive areas and while in the community.				
8.2.2 FTOs and staff have a sound knowledge and understanding of the specific CBT site and local conditions.				
8.2.3 FTOs demonstrate best practice environmental management in their operations (e.g., use of energy efficient products, waste minimisation and recycling).				
8.2.4 FTOs minimises motorized transportation, especially in CBT areas.				
Advanced requirements 8.2.5 FTOs consult with the CBT Committee and the community if there is a risk that activities might result in direct environmental or social impact.				
8.2.6 FTOs take away all solid waste generated from products it brings into the CBT area.				
8.2.7 FTOs provide visitors with nature, culture and community experiences that respect and apply a minimized disturbance policy.				
8.2.8 FTOs and staff are actively involved in, or contribute to, CBT projects.				
8.2.9 FTOs work with the community to improve community services and products offered by providing client feedback information.				
<b>Best practice requirements</b> 8.2.10 FTOs support the CBT Committee in training local guides and wildlife rangers from indigenous and/or local people.				
8.2.11 To the greatest extent possible, FTOs use eco-friendly accommodation and services prior to and after visiting the CBT area.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

#### 6.8.3. Sub-criterion 8.3: Support for the local economy

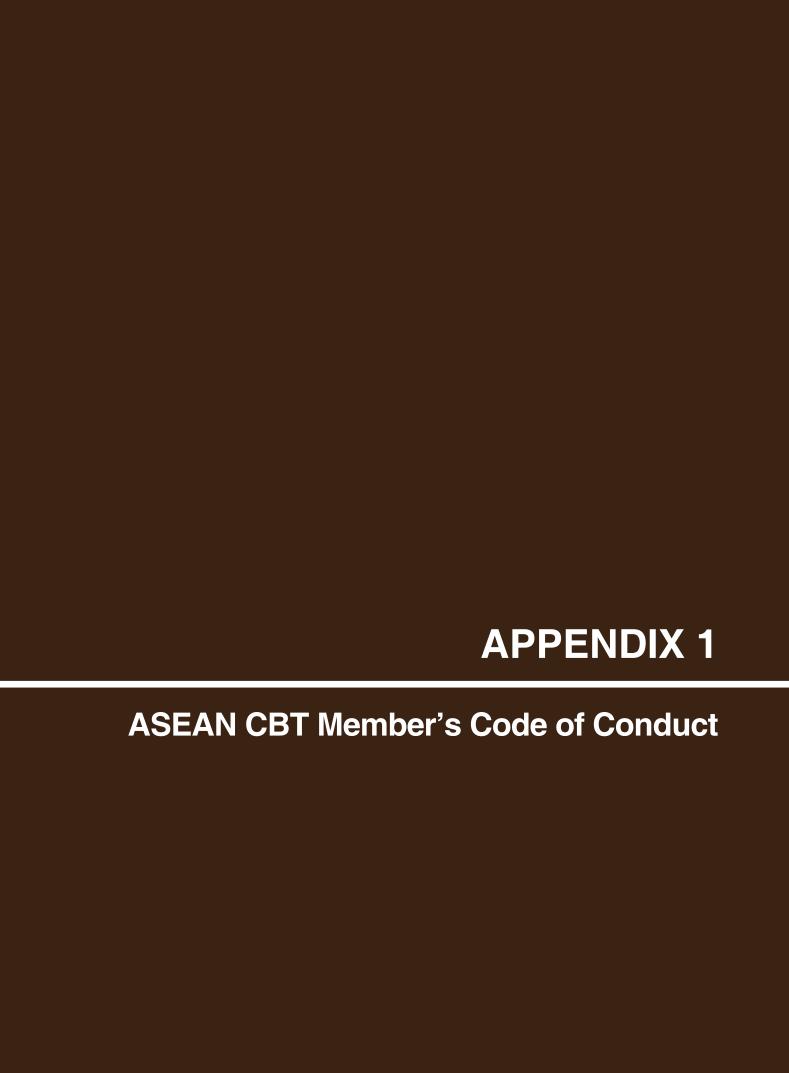
Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 8.3.1 FTOs maximise use and purchase of local and CBT products and services (e.g. accommodation, transport in and out, activities, food, souvenirs).				
8.3.2 FTOs have an agreement or contract with the community on CBT products, prices and procedures.				
Advanced requirements 8.3.3 FTOs provide advice to the CBT Committee on potential additional services that will increase CBT income.				
<b>Best practice requirements</b> 8.3.4 FTOs, staff and clients contribute to, or take part in, local development work (e.g., village projects, education, maintenance of local roads etc.).				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

#### 6.8.4. Sub-criterion 8.4: Promotion of joy of discovery, knowledge and respect

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 8.4.1 In cooperation with local guides, FTOs deliver high quality guiding and culture/ nature interpretation, which generates respect for the cultural and natural values of the CBT area.				
8.4.2 FTOs explain codes of conduct to clients, emphasising the visitor's responsibility to treat local people with respect, and avoid environmental damage.				
8.4.3 Through agreement with the CBT Committee, FTOs limit group size based on the carrying capacity of the visited site with the objective of delivering quality experiences to clients that minimises impact on the community.				
Advanced requirements 8.4.4 FTOs have sound knowledge about the CBT area's cultural and natural values, and transfers this knowledge to their staff, especially guides and tour leaders.				
Best practice requirements 8.4.5 FTOs provide accurate pre-tour information to clients about the tour and the CBT area, a list of needed equipment and codes of conduct.				
Total minimum requirements				
Total advanced requirements				

#### 6.8.5. Sub-criterion 8.5: Satisfying and safe experiencesfor tourists and the community

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 8.5.1 FTOs encourage their clients to have travel insurance cover.				
8.5.2 FTOs ensure high risk activities are guided by specifically trained and skilled staff, assisted by CBT guides.				
Advanced requirements 8.5.3 FTOs practice responsible marketing that creates appropriate customer expectations of CBT areas and activities.				
8.5.4 FTO staff are trained in first aid, including CPR.				
<b>Best practice requirements</b> 8.5.5 FTOs are able to demonstrate their efforts in improving the quality of their operation through reporting of visitor satisfaction from client feedback surveys.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				



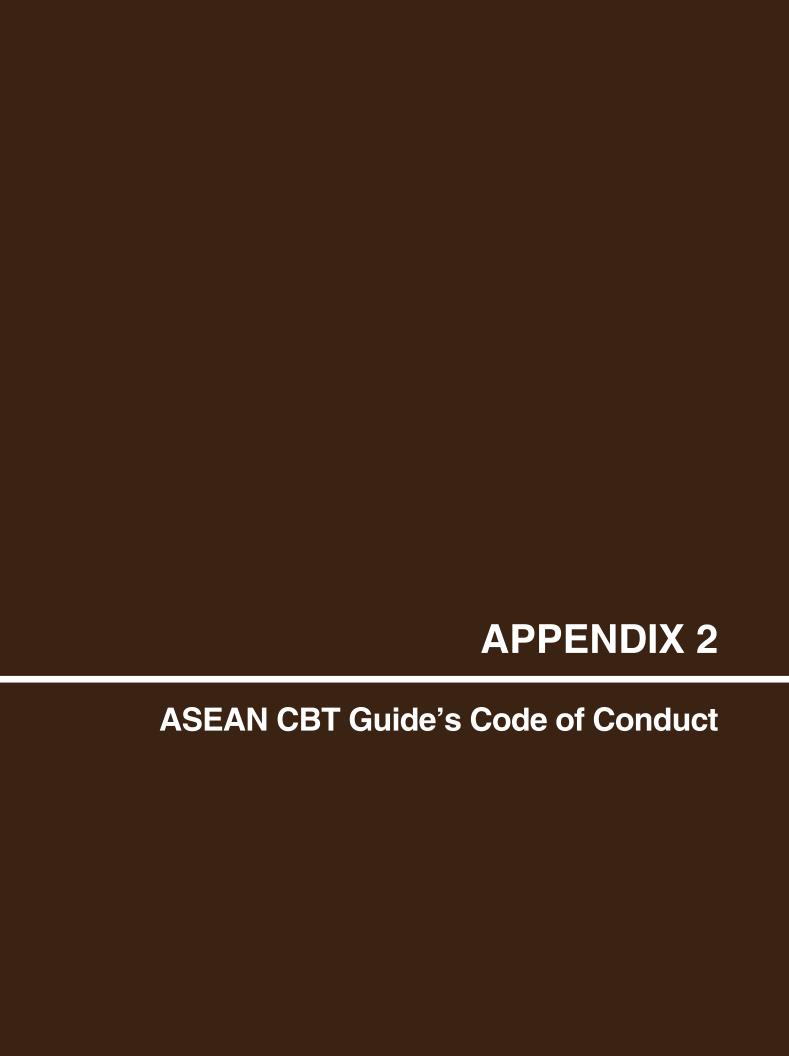


#### Appendix 1 ASEAN CBT Member's Code of Conduct

My	commitment to on-going learning and effective communication
	I will actively seek to increase my knowledge of and expertise in the area of CBT visitor service
	with which I am involved. (Mandatory)
	I will actively seek to increase my knowledge of: (1) group/visitor management techniques, (2)
	communication techniques (including cross-cultural awareness/communication and verbal and
	non-verbal communication), and (3) first aid and safety. (Mandatory)
	I will actively seek to increase my knowledge of the local environment and culture: including
	history, cultural traditions, geography, flora and fauna and cultural/heritage sites, and sustainable
	tourism principles. (Mandatory)
	I will ensure current and relevant environmental and cultural information is included where
	required during my interactions with visitors. (Mandatory)
My	commitment to ethical practices
	I will be friendly, courteous and honest when dealing with the community and visitors.
	(Mandatory)
	I will demonstrate pride in representing my community and provide a role model for other
	community members. (Mandatory)
	I will not tolerate sex tourism, drug trafficking, child labour or human trafficking, and I will support
	principles of gender equity and social inclusion. (Mandatory)
	I will respect the right of all other CBT members to share equally in opportunities for their
	involvement in income generating activities. (Mandatory)
Му	commitment to natural and cultural heritage protection
	I will respect and contribute to the promotion and preservation/conservation of local culture and
	natural environments. (Mandatory)
	I will ensure visitors observe CBT Standards at all times when interacting with the culture, natural
	environment and people of the community in the interests of avoiding or minimising negative
_	impacts. (Mandatory)
	I will actively facilitate cross-cultural understanding and opportunities for tourists to contribute to
	local activities alongside host community members. (Mandatory)
	I will demonstrate best-practice waste management by collecting litter and applying avoid,
_	reduce, reuse, recycle principles. (Mandatory)
	I will ensure all relevant rules, regulations and laws regarding environmental and wildlife
	protection or codes of conduct are followed. (Mandatory)
My	commitment to visitor care and safety
	I will adhere to all CBT approved policies and codes of conduct regarding safety and security of
_	visitors. (Mandatory)
	I will be aware of the nearest first aid kit at all times when interacting with visitors. (Mandatory)
	As required, I will wear a uniform or carry an ID card when interacting with visitors.

<ul> <li>□ I will never be under the influence of illegal substances. (Ma</li> <li>□ I will never be under the influence of alcohol or any intoxicating substances prior to and/</li> </ul>	ı <b>+</b>
activities with which I am associated. (Ma  I will never be under the influence of illegal substances. (Ma  I will never be under the influence of alcohol or any intoxicating substances prior to and/	11
☐ I will never be under the influence of illegal substances. (Ma☐ I will never be under the influence of alcohol or any intoxicating substances prior to and/	nce of all
☐ I will never be under the influence of alcohol or any intoxicating substances prior to and/	ındatory)
,	ındatory)
	or during
an activity (except when and if culturally appropriate). (Ma	ındatory)
$\square$ I will actively seek feedback on visitor experience satisfaction and the activity with wh	nich I am
involved. (Ma	ındatory)
☐ I will demonstrate commitment to this ASEAN CBT Member's Code of Conduct and b	e able to
explain the rationale for each of its requirements. (Ma	ındatory)







## Appendix 2 ASEAN CBT Guide's Code of Conduct

I W	mi comorni to the CBT Member's Code of Conduct by:	
	• committing to on-going learning and improving my communication skills, partic	cularly in the
	area of interpretive guiding;	(Mandatory)
	• adopting ethical and visitor friendly practices, and taking pride in representing	my
	community;	(Mandatory)
	• contributing to the protection and presentation of my community's natural and	cultural
	assets and traditions by providing cultural and natural environment awareness	raising and
	education activities for visitors and the host community;	(Mandatory)
	following all CBT approved policies and codes of conduct regarding safety and	d security of
	visitors;	(Mandatory)
	<ul> <li>providing a quality service and conforming to any standards developed by ASI</li> </ul>	EAN for the
	purposes of improving the quality of guiding services.	(Mandatory)
NЛS	, commitment to encuring the quality of tours and visitor activities	
	commitment to ensuring the quality of tours and visitor activities	5
	sitor briefing	
	I will inform visitors of the tour/activity itinerary, level of difficulty and possible hazar	_
_	precautions.	(Mandatory)
	I will inform visitors of regulations or rules that apply to their conduct on the tour.	` ,
	I will inform visitors of opportunities to participate in the satisfaction feedback proc	ess.
	our/activity content	
	I will ensure tours/activities with which I am associated are designed to be enjoyable	, educational,
_	participatory, organised, relevant and thematic.	
	I will ensure tours/activities with which I am associated respect and contribute to	the promotion
_	and preservation/conservation of local culture and natural environment.	
	To minimise negative impacts, I will make necessary efforts to ensure that visitors	
	observe CBT approved guidelines for interacting with the culture, natural env	
_	people of the community.	(Mandatory)
	I will ensure tours/activities with which I am associated include relevant cultural	information in
	the interpretation of the community and its surroundings.	
	I will ensure tours/activities with which I am associated provide cultural and natura	l environment
	awareness raising and education for visitors and the host community.	
	I will ensure tours/activities with which I am associated actively facilitate	cross-cultural
	understanding and opportunities for tourists to contribute to local activities al	ongside host
	community members.	
	I will ensure tours/activities with which I am associated demonstrate practical waste	management
	including the application of avoid, reduce, reuse, recycle principles.	

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I will invite visitors to participate in the satisfaction feedback process.	
I will encourage visitors to participate in other CBT tours/activities.	(Mandatory)
I will conclude the tour/activity with an expression of my pride in representing the	e community
and a wish for visitors to have a pleasant stay within the community and for the res	t of their visit
holiday.	(Mandatory)
I will demonstrate commitment to this ASEAN CBT Guide's Code of Conduct ar	nd be able to
explain the rationale for each of its requirements.	(Mandatory)



### **APPENDIX 3**

ASEAN CBT Food and Beverage Service Provider's Code of Conduct



# Appendix 3 ASEAN CBT Food and Beverage Service Provider's Code of Conduct

l w	ill	conform to the CBT Member's Code of Conduct by:	
	•	committing to on-going learning and improving my communication skills, partic	ularly in the
		area of quality food and beverage service;	(Mandatory)
	•	adopting ethical and visitor friendly practices, and taking pride in representing	my
		community;	(Mandatory)
	•	contributing to the protection and presentation of my community's natural and	cultural
		assets and traditions by providing and demonstrating traditional cooking practic	ces;
			(Mandatory)
	•	following all CBT approved policies and codes of conduct regarding safety and	I security of
		visitors;	(Mandatory)
	•	providing a quality service and conforming to any standards developed by ASE	EAN for the
		purposes of improving the quality of food and beverage services.	(Mandatory)
_		ommitment to providing quality food and beverage services sion of meals	
	Ιv	will provide meals to CBT visitors at agreed times identified in consultation v	with the CBT
	Co	ommittee.	(Mandatory)
	I۷	vill advise visitors in advance of the price of meals.	(Mandatory)
	۱w	vill accommodate visi <mark>tor dietary preferences.</mark>	
	۱w	vill provide sufficient food for visitor needs, including between-meal snacks.	(Mandatory)
	۱w	vill make maximum use <mark>of organically grown food, and local ing</mark> redients, includir	ng fresh meat
	an	nd vegetables, but no bus <mark>h meats prohibited by law.</mark>	(Mandatory)
	۱w	vill make maximum use of n <mark>atural bio-degradable products</mark> when serving and pa	ckaging food
	(e.	.g. banana leaves).	
	۱v	vill ensure the menu varies daily to promote local custom and traditional cuisine	and provide
	va	riety for visitors.	(Mandatory)
	۱w	vill emphasise local custom and traditional cuisine by providing at least one tradi	tional meal at
	ea	ach dining period.	(Mandatory)
		vill provide dessert and/or fruit as part of each meal.	(Mandatory)
	int	taining hygiene standards	
	۱w	vill ensure animals are kept away from food storage, cooking and dining areas.	(Mandatory)
		vill ensure treated or boiled water is available for use in food preparation (e.g.	_
	sa	lad vegetables) and cleaning.	(Mandatory)
	۱w	vill ensure clean water and soap are available in food preparation areas.	(Mandatory)
	۱w	vill regularly wash my hands with soap before handling food and during cooking.	(Mandatory)
		will ensure cooking areas are maintained in a clean state (e.g. cleaned after	
_	-	eparation activity).	(Mandatory)
	۱w	vill ensure food preparation and dining materials (e.g. utensils) are cleaned thore	
	us	e.	(Mandatory)

	I will ensure food storage facilities are cleaned on a daily basis and kept in a good order.	
	(Mandatory)	
	I will ensure all foodstuffs used on the premises are stored in hygienic containers.	
	(Mandatory)	
	I will ensure pests and vermin are controlled in all food preparation and storage areas.	
	(Mandatory)	
Ex	perience exchange	
	I will ensure opportunities exist for tourists to participate in my cooking activities and learn	
	traditional cooking techniques.	
	I will encourage visitors to share recipes and cooking techniques with me.	
	I will demonstrate commitment to this ASEAN CBT Food Service Provider's Code of Conduc	
	and be able to explain the rationale for each of its requirements. (Mandatory)	



### **APPENDIX 4**

ASEAN CBT Accommodation Provider's Code of Conduct



## Appendix 4 ASEAN CBT Accommodation Provider's Code of Conduct

l w	ill conform to the CBT Member's Code of Conduct by:	
	• committing to on-going learning and improving my communication skills, partic	ularly in the
	area of accommodation and homestay services;	(Mandatory)
	• adopting ethical and visitor friendly practices, and taking pride in representing	my
	community;	(Mandatory)
	• contributing to the protection and presentation of my community's natural and	cultural
	assets and traditions by providing and demonstrating community lifestyle expe	riences to
	visitors through the provision of accommodation and homestay services;	(Mandatory)
	• following all CBT approved policies and codes of conduct regarding safety and	security of
	visitors;	(Mandatory)
	• providing a quality service and conforming to any standards developed by ASE	EAN for the
	purposes of improving the quality of guiding services.	(Mandatory)
My	commitment to providing quality accommodation	
	I will maintain a visitor booking system that includes an up-to-date log of arrivals, de	partures and
	returns to my accommodation.	(Mandatory)
	I will provide opportunities for guests to have an enjoyable cross-culture experi	ence and an
	insight to community and family life.	(Mandatory)
	I will provide materials to cover basic communication needs with my guests.	(Mandatory)
	I will maintain my accommodation area in a safe condition that minimises threats fro	m dangerous
	species.	(Mandatory)
	I will ensure my domestic animals are healthy.	(Mandatory)
	I will maintain an effective means of communicating (e.g. cell phone) with a resp	onsible third
	party in the event of emergencies or accidents.	(Mandatory)
	Unless part of customary practice, I will not include wildlife decorations in guest acc	ommodation.
	I will ensure adequate lighting and ventilation is provided inside guest use areas.	(Mandatory)
Gu	est sleeping areas	
	I will ensure guest sleeping areas are available to guests at all times.	(Mandatory)
	I will ensure guest sleeping areas are designed to allow privacy (e.g. partitioned).	(Mandatory)
	I will keep guest sleeping areas clean and tidy through daily servicing.	(Mandatory)
	I will provide clean bed linen, blanket, mat for each new letting.	(Mandatory)
	I will provide an arrival welcome 'gift' (e.g. locally produced craft) and a daily dem	nonstration of
	local tradition (e.g. flower, fruit).	(Mandatory)
	I will provide a clean mosquito net for guest use as required and regularly spray	/ to minimise
	insect pests.	(Mandatory)

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	I will include in the bathroom and toilet adequate privacy and ventilation, a tank	or jar of fresh,
	clean water, soap, a cup, toilet paper and a sanitary bin.	(Mandatory)
	I will thoroughly clean and service the bathroom/toilet daily.	(Mandatory)
Sa	fety and hygiene	
	If I supply food or meals, I will meet the hygiene requirements identified in the 0	CBT Food and
	Beverage Provider's Code of Conduct.	(Mandatory)
	I will provide and be able to use a first aid kit for guest use and check it weekly for	completeness
	or replenished on use.	
	I will provide a torch for night use by visitors.	(Mandatory)
	I will demonstrate commitment to this ASEAN CBT Accommodation Provider's Co	de of Conduct
	and be able to explain the rationale for each of its requirements.	(Mandatory)





ASEAN CBT Friendly Tour Operator's (FTO)

Code of Conduct



# Appendix 5 ASEAN CBT Friendly Tour Operator's (FTO) Code of Conduct

My	commitment to on-going learning and effective communication	
	I will actively seek to increase my knowledge of and expertise in all areas of CBT vi	sitor service
	with which I am involved. (	Mandatory)
	I will actively seek to increase my knowledge of: (1) sustainable tourism, (2) group m	nanagement
	techniques, (3) customer care/service, (4) communication techniques (including cr	ross-cultural
	awareness/communication and verbal and non-verbal communication), (5) first aid	and safety,
	and (6) cultural and environmental issues. (	Mandatory)
	I will actively seek to increase my knowledge of the local environment and cultur	e: including
	history, cultural traditions, geography, flora and fauna and cultural/heritage sites, and	sustainable
		Mandatory)
	I will ensure current and relevant environmental and cultural information is incli	uded where
		Mandatory)
	I will actively seek to improve my verbal and non-verbal communication skills to	
		Mandatory)
	· · · · · · · · · · · · · · · · · · ·	3,
My	commitment to ethical practices	
	I will be friendly, courteous and honest when dealing with the community and visitors.	(Mandatory)
	I will not tolerate sex tourism, drug trafficking, child labour or human trafficking, and I	will support
		Mandatory)
	I will respect the right of CBT members to share in opportunities for their involvement	• •
		Mandatory)
	My commitment to natural and cultural heritage protection	,
	I will respect and contribute to the promotion and preservation/conservation of local	culture and
		Mandatory)
	I will ensure my clients observe CBT standards for interacting with the culture, natural e	environment
	and people of the community in the interests of avoiding or minimising negative imp	
	(	Mandatory)
	I will actively facilitate cross-cultural understanding and opportunities for tourists to	contribute to
	local activities alongside host community members. (	Mandatory)
	I will demonstrate best-practice waste management by collecting litter and app	lying avoid,
		Mandatory)
	I will ensure all relevant rules, regulations and laws regarding environmental	and wildlife
	protection or codes of conduct are followed. (	Mandatory)
N/Isa	commitment to visitor care and safety	
	I will adhere to all CBT approved policies and codes of conduct regarding safety and	d security of
_		Mandatory)
П	I will be aware of the nearest first aid kit at all times when interacting with visitors. (	• •

	As appropriate, I will wear a uniform and carry an ID card at all times when interacting with visitors.
	I will be prepared to efficiently communicate with a responsible third party (i.e. use of portable
	radios, cell phones, flares or other means of attracting attention), in the event of emergencies or
	accidents. (Mandatory)
	( 4 4 4 4 7 )
My □	commitment to providing quality service and continual improvement
Ц	I will provide a quality service by being on time, organized and prepared in advance of all activities with which I am associated. (Mandatory)
	I will never be under the influence of alcohol or drugs or any other intoxicating substances prior
	to and/or during my visit to the CBT initiative. (Mandatory)
	I will actively seek feedback on visitor experience satisfaction and all activity with which I am
	involved. (Mandatory)
	(Manadory)
Μv	commitment to the CBT initiative
	I will abide by the rules, regulations and practice requirements of the local community.
	(Mandatory)
	I will demonstrate support of the CBT initiative and community by making maximum use of CBT
	services and being actively involved in, or contributing to, CBT projects. (Mandatory)
	I will develop a sound knowledge and understanding of the specific CBT site and local conditions,
	especially cultural and natural values, and transfer this knowledge to my clients and fellow staff,
	especially guides and tour leaders. (Mandatory)
	I will respect community traditions, CBT regulations and requirements for use of environmentally
	sensitive areas and in-community behaviour. (Mandatory)
	I will consult with the CBT Committee and the community if there is a risk that activities might
	contribute to direct environmental damage. (Mandatory)
	I will monitor and provide feedback to the CBT Committee on activities based upon ecologically
	sustainable and ethically acceptable usage of community resources. (Mandatory)
	I will take away all solid waste generated by my clients from products I bring into the CBT
_	area. (Mandatory)
	I will minimise use of motorized transportation, especially in CBT areas. (Mandatory)
Ш	In cooperation with local guides, I will deliver high quality guiding and culture/nature interpretation
_	and generate respect for the destinations' cultural and natural values. (Mandatory)
Ц	I will explain codes of conduct to clients, emphasising the visitor's responsibility to treat local
	people with respect, and avoid environmental damage. (Mandatory)
Fo	r the CBT FTO operator/owner
	Through agreement with the CBT Committee, I will limit group size based on the carrying
	capacity of the site and the objective of delivering quality experiences to clients that minimises
	impact on the community. (Mandatory)
	I will support the CBT Committee in training local guides and wildlife rangers from indigenous
	and/or local people.
	I will meet all necessary licenses and permit requirements. (Mandatory)

I will actively encourage my clients to have travel insurance cover.	(Mandatory)
I will practice responsible marketing, which creates appropriate customer exper-	ctations of the
CBT experience and activities.	(Mandatory)
I will conduct my business with honesty and ethical behaviours.	(Mandatory)
I will ensure high risk activities are guided by specifically trained and skilled sta	ff, assisted by
CBT guides.	(Mandatory)
I will ensure staff are trained in first aid, including CPR.	
I will have in place a post-trip customer feed-back system and provide a summar	y report to the
CBT Committee after each visit to the CBT initiative.	
I will maintain membership of a relevant professional tourism organisation, if avail	ilable.
	(Mandatory)
To the greatest extent possible, I will use eco-friendly accommodation and service	es prior to and
after visiting the CBT area.	
I will provide accurate pre-tour information to clients about the tour and the CBT	initiative, a list
of needed equipment and codes of conduct when in the CBT area.	
I will demonstrate commitment to this ASEAN CBT Friendly Tour Operation	tor's Code of
Conduct and be able to explain the rationale for each of its requirements.	(Mandatory)
	I will practice responsible marketing, which creates appropriate customer expected common control of the greatest extent possible, I will use eco-friendly accommodation and service after visiting the CBT area.  I will provide accurate pre-tour information to clients about the tour and the CBT of needed equipment and codes of conduct when in the CBT area.  I will demonstrate commitment to this ASEAN CBT Friendly Tour Operation.





## $\prod$

### ASEAN Community Based Tourism Standard Audit Workbook



## 1. Guidelines for the Audit of CBT Performance

## 1.1. The CBT Concept

Internationally, the tourism economic sector is dominated by small businesses that provide goods and services to a visiting tourist clientele. Community based tourism (CBT) is a form of tourism that seeks to empower communities to manage tourism growth and achieve community goals relating to well-being and economic, social and environmental sustainable development. Therefore, CBT not only involves a partnership between tourism businesses and the community to deliver benefits to both, but also involves community (and external) support for small tourism enterprises, which in turn commit to providing support for community projects that improve collective well-being.

CBT empowers local communities to determine and secure their socio-economic futures through fee-for-service activities that usually: present and celebrate local traditions and lifestyle; conserve natural and cultural resources; and foster equitable and mutually beneficial host-guest interaction. CBT usually caters for niche markets such as adventure tourism, cultural tourism, eco-tourism and agri-tourism, but draws on local products and services to spread the economic benefit from engaging in tourism.

### 1.1.1. CBT Definition

Community Based Tourism (CBT) is tourism activity, community owned and operated, and managed or coordinated at the community level that contributes to the well-being of communities through supporting sustainable livelihoods and protecting valued socio-cultural traditions and natural and cultural heritage resources.

## 1.1.2. CBT Principles

Based on the above definition, CBT must:

- Involve and empower community to ensure ownership and transparent management,
- 2. Establish partnerships with relevant stakeholders,
- 3. Gain recognised standing with relevant authorities,
- 4. Improve social well-being and maintenance of human dignity,
- 5. Include a fair and transparent benefit sharing mechanism,
- 6. Enhance linkages to local and regional economies,
- 7. Respect local culture and tradition,
- 8. Contribute to natural resource conservation.
- Improve the quality of visitor experiences by strengthening meaningful host and guest interaction, and
- 10. Work towards financial self-sufficiency.

These principles are integrated in the performance standards as criteria, sub-criteria and indicators.

### 1.2. ASEAN CBT Audit Workbook

## 1.2.1. Objectives and Uses of the Workbook

The ASEAN CBT Audit Workbook is based on the ASEAN CBT Standard. The objective of this Workbook is to assist independent auditing of CBT initiatives. Assessment is based on the degree to which a CBT initiative meets the quality requirements specified in the ASEAN CBT Standard. This assessment is used by the National Tourism Organisation in certifying that the CBT initiative iss meeting the ASEAN CBT Standard.

## 1.2.2. ASEAN CBT Audit Workbook Scope

The ASEAN CBT Standard and Audit Workbook provide umbrella performance indicators for the coordinated management of tourism products offered by communities under the organisation of a CBT Committee. Specific product standards adopted by ASEAN and relevant to CBT initiatives (e.g., the ASEAN Homestay Standard) form an integral part of the ASEAN CBT Standard. The Workbook refers to Codes of Practice. These represent important evidence for some of the indicators and should be sighted by auditors.

The intent of the ASEAN CBT Standard is not to exclude communities from being recognised as ASEAN community based tourism initiatives, but to provide direction to communities on the quality of service needed to assure tourists that they can expect a consistent level of quality and service across ASEAN-endorsed CBT initiatives. This should be a key consideration in auditing the performance of a CBT initiative.

### 1.2.3. Workbook Definitions

Assessment	Criteria
criteria	desired

Criteria (see below) and sub-criteria are situations or outcomes desired for a CBT initiative. Meeting of each criterion or sub-criterion is determined by assessment of indicators (see below). Assessment of indicators is based on judgement of compliance levels.

CBT accommodation

Any structure and its surrounds provided within the CBT area for use by visitors. It includes home stay accommodation and central facilities.

CBT Accommodation Providers CBT Members who provide accommodation services, including homestay, for visitors to a CBT area and who have committed to the ASEAN CBT Accommodation Provider's Code of Conduct.

CBT Administration Authority An organisation in each ASEAN country given the responsibility by government of supporting CBT initiatives and administration of CBT assessments. This organisation may

be the Government's tourism organisation or National Tourism Organisation.

CBT central area

An area or building established for welcoming visitors and administrative functions of the CBT initiative.

**CBT Committee** 

Shortened version of Community Based Tourism Management Committee, which consists of CBT Members elected by the community to represent their interests in CBT initiatives, and coordinate and manage related activities.

CBT Food and Beverage Providers CBT Members who provide food and beverage services for visitors to a CBT area and who have committed to the ASEAN CBT Food and Beverage Provider's Code of Conduct.

CBT Friendly Tour Operator (FTO)

A responsible tour operator who: (1) brings tourists to a CBT area; (2) demonstrates care for the sustainability of nature and culture of the CBT area; (3) supports the economic and social development of the local community; and who has committed the ASEAN CBT Friendly Tour Operator's Code of Conduct.

**CBT Guides** 

CBT Members who provide tours and activities for visitors to a CBT area and who have committed to the ASEAN CBT Guide's Code of Conduct.

**CBT** initiative

Any activity or group of activities undertaken by the CBT Members and managed by the CBT Committee.

**CBT Members** 

Members of a community participating in CBT Committee activities and who have committed to the CBT Members Code of Conduct.

**CBT** stakeholders

Any individual, group, or organization that can affect or can be affected by CBT initiatives.

Criterion (plural criteria)

A desired outcome or condition of a CBT operation that can be assessed. Criteria can be divided into sub-criteria to suggest objectives or conditions needed to fulfil the desired outcome.

Compliance level

The degree to which the nominated state of an indicator is met.

### Evidence

Proof that a CBT indicator is being achieved. Evidence may include quantitative measures (e.g. the level of profit identified in a financial statement may suggest the economic viability of a CBT activity) or qualitative measures (e.g. the level of community support may suggest the social viability of a CBT activity).

Government Tourism Organisation The highest level of tourism administration established by each ASEAN state (e.g., Ministry, Department, National Tourism Organisation)

Indicator

A condition that reflects a CBT criterion or sub-criterion.

Independent Auditor An appointee of the CBT Administration Authority, but not from government, appointed for the purposes of auditing CBT compliance with the ASEAN CBT Standards. They can be a tourism industry representative, an academic, a CBT committee member from an existing certified CBT initiative, or any person acknowledged by the CBT Administration Authority as having sufficient experience to provide objective advice and recommendations. Independent Auditors should have a relevant tourism qualification and at least 10-years' experience in the tourism sector.

Measure

Independent Auditors will receive training on the ASEAN CBT Standards and the certification process.

Independent auditors may be assisted by a government representative to ensure relevant laws and regulations that apply to CBTs are given appropriate consideration.

Something that reflects the state of a CBT indicator. A measure may be quantitative (e.g., a count of something compared with a benchmark) or qualitative (e.g., the quality and extent of systems and procedures for assuring effective management).

## 1.2.4. Prerequisite Entry Requirement

For a CBT initiative in the ASEAN region to qualify for assessment and certification, it will have to meet the following conditions:

- an elected CBT Committee exists that can represent community interests outside the community and coordinate CBT activities within the community; and
- b. CBT Committee members must be free of a criminal record; and
- c. the CBT initiative includes CBT Members or Member sub-committees responsible

- for specific tourism products and services; and
- d. the CBT Committee has completed a self-assessment (using this Checklist); and
- e. the CBT initiative has been registered with the nominated home country CBT Administration Authority, based on the self-assessment; and
- f. the CBT initiative has been registered or has been operating for at least one year; and
- g. the CBT initiative has been endorsed by the CBT Administration Authority for assessment towards certification.

### 1.3 CBT Performance Criteria Summary

To evaluate the quality and performance of CBT initiatives, the ASEAN CBT Standard has been used to create a checklist of performance standards. The checklist is divided into eight criteria, 23 sub-criteria and 182 Indicators. Ninety-five of the indicators are Minimum requirements, 57 are Advanced requirements and 30 are Best practice requirements (Table 1). These are used by the CBT Committee in the CBT registration, endorsement and certification processes. It is expected that CBT initiatives will seek to fully comply with all requirements over time.

Table 1 Summary criteria and indicators for ASEAN CBT initiatives

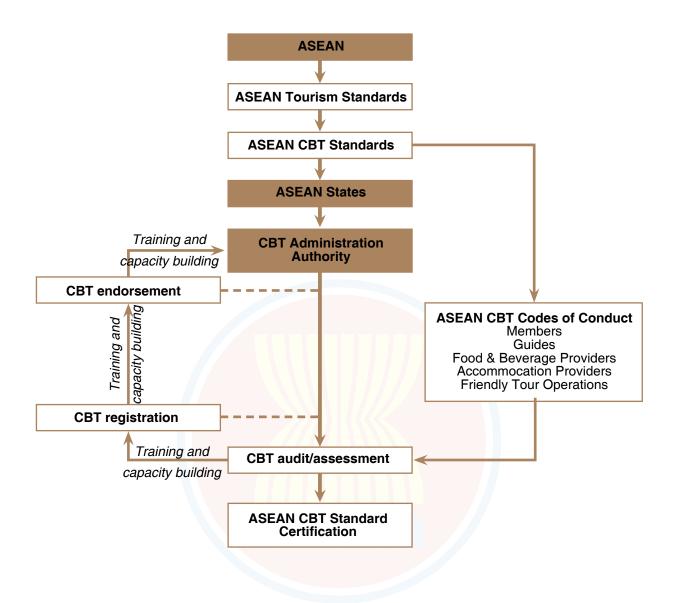
		Sub-criteria		Indica	ators	
	Criteria			Advanced requirements	Best practice requirements	Total
1	Community	1.1 Effective and transparent governance arrangements exist	5	2	0	7
	ownership and management	1.2 Legitimate establishment	2	0	0	2
		1.3 Effective and transparent management exists	5	2	1	8
		1.4 Effective partnerships exist	2	2	1	5
		Sub-total	14	6	2	22
2	Contribution to	2.1 Human dignity is maintained	2	1	1	4
	social well-being	2.2 Benefits and costs are shared equitably	1	1	1	3
		2.3 Links exist to regional economies	2	1	1	4
		2.4 Cultural integrity is maintained and valued cultural traditions are enriched	3	2	1	6
		Sub-total	8	5	4	17
3	Contribution to	3.1 Natural resources are being conserved	1	2	1	4
	conserve and improve the	3.2 Conservation activities to improve the environment	4	1	2	7
	environment	Sub-total	5	3	3	11
4	Encouragement	4.1 Guest and local community interaction exists	2	3	3	8
	of interaction between the local	4.2 Sustainability of Community-Based Tourism products	1	1	3	5
	community and guests	Sub-total	3	4	6	13

				Indica	ators	
	Criteria	Sub-criteria	Minimum requirements	Advanced requirements	Best practice requirements	Total
5	Quality tour and	5.1 Ensuring local guide quality and expertise	3	2	1	6
	guiding services	5.2 Managed tours and activities to ensure quality	5	4	4	13
		Sub-total	8	6	5	19
6	Quality food and	6.1 Ensuring food and beverage service provider quality	3	2	1	6
	beverage services	6.2 Managed food and beverage services to ensure quality	12	3	1	16
		Sub-total	15	5	2	22
7	Quality accommodations	7.1 Ensuring accommodation service provider quality	4	1	1	6
	accommodations	7.2 Managed accommodations to ensure quality	16	10	1	27
		Sub-total	20	11	2	33
8	Performance of CBT Friendly Tour	8.1 Commitment to CBT ideals	5	2	2	9
	Operators	8.2 Contribution to community and nature protection	4	5	2	11
		8.3 Support for the local economy	2	1	1	4
		8.4 Promotion of joy of discovery, knowledge and respect	3	2	0	5
		8.5 Satisfying and safe experiences for tourists and the community	2	2	1	5
		Sub-total	16	12	6	34
		Total	89	52	30	171

#### 1.4. CBT Registration, Endorsement and Certification Processes

Application of the ASEAN CBT Standard to specific CBT initiatives involves registration with, and endorsement by, an in-country CBT Administration Authority, and for certification, under the auspices of ASEAN through the National Tourism Organisation (Figure 1). Independent auditing occurs when a CBT initiative is endorsed and self-evaluation indicates that the initiative meets certification requirements. Each process aims to encourage learning and improvement in performance. Each process element involves evaluation of performance against indicators of criteria; the achievement of which, suggests that a CBT initiative is conforming to the ASEAN CBT Standard. A key element of the processes is Community Member (and others) compliance with Codes of Conduct. These indicate behaviours that CBT Members should adopt to meet the ideals of CBT and contribute to the overall performance of the CBT initiative.

Figure 1 Summary of process towards Certification of a CBT initiative as meeting **ASEAN CBT Standards** 



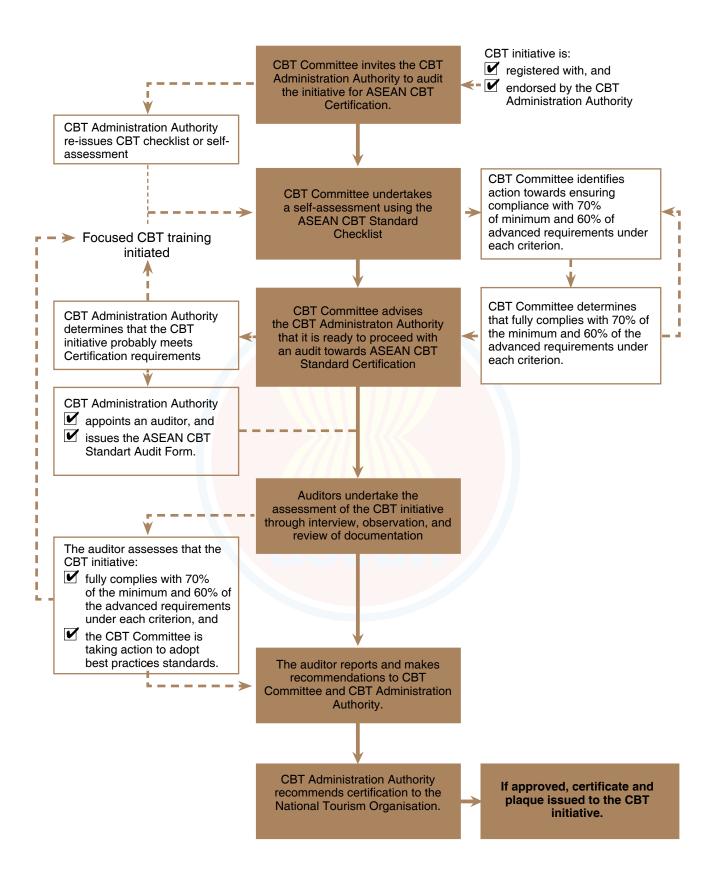
#### 1.5. **ASEAN CBT Certification Process**

CBT initiatives are certified by Government Tourism Organisations based on the recommendation of the CBT Administration Authority and an audit of compliance with the ASEAN CBT Standard that covers all CBT services provided by the endorsed CBT initiative (Figure 2). An Independent Auditor and a representative of the CBT Administration Authority undertake the compliance audit with the CBT committee and report to the Government Tourism Organization with their recommendation. The audit report is provided to the CBT Committee.

Certification is recommended for the CBT initiative when performance fully complies with 70% of relevant Minimum requirements and 60% of Advanced requirements indicators in each criterion. It is expected that action is being undertaken to move towards achieving best practice requirements. The assessment is applied at the overall CBT initiative level, not individual services. However, if multiple services are involved (e.g., home stays, guiding services), 70% of these must fully comply with the requirements.

The Independent Auditor can be a tourism industry representative, an academic, a CBT committee member from an existing certified CBT initiative, or any person acknowledged by the CBT Administration Authority as having sufficient experience to provide objective advice and recommendations.

Figure 2 Process for certification under the ASEAN CBT Standard



#### 1.6. Assessment of Performance

#### 1.6.1. **Evidence Based Assessment**

Assessment is evidence based. That is, evidence is required to confirm that an indicator has been achieved. Because many of the indicators ultimately require subjective assessment, more than one form of evidence is desirable. Evaluation is based on the probability that an indicator has been achieved, given the evidence.

No documentary evidence is needed to be included or attached to this form. The form signed by the Auditor, CBT initiative representative and the CBT Administration Authority representative, and photographic evidence is sufficient verification of performance.

However, the type of evidence and availability of documentary evidence used in the assessment must be indicated when sighted.

#### Forms of Evidence 1.6.2.

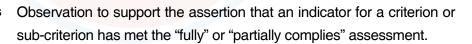
Documents



Documents available to support the assertion that an indicator for a criterion or sub-criterion has met the "fully" or "partially complies" assessment.

Documentary evidence may include plans, reports, minutes of meetings, signed Codes of Conduct, written procedures, income and expenditure records and CBT constitutions. Where possible, the validity of documentary evidence should be able to be verified by other forms of evidence.

Observations





Observational evidence may include attendance at meetings, sighting of maintenance standard or participation in a tour or activity. Many observations can be supported by photographs.

Interviews

Interview to support the assertion that an indicator for a criterion or subcriterion has met the "fully" or "partially complies" assessment.



Interview evidence involves multiple interviewees confirming that an indicator has been achieved. The veracity of the information provided should be supported by other forms of evidence.



Photographs Photographs that demonstrate improvement in condition and support the assertion that an indicator for a criterion or sub-criterion has met the "fully" or "partially complies" assessment.

> Photographic evidence can support observations, in particular. However, they are particularly useful as a record of events and practices that occur irregularly. They can also indicate change in conditions.

#### 1.6.3. Level of Compliance with Indicators

Indicators are assessed on a three-point ordinal scale: Fully complies, Partly complies, Does not comply; with the option of indicating Not applicable.

Fully complies Sufficient evidence exists to confirm the probability that the nominated state of the indicator has been achieved.

## Partly complies

Insufficient evidence exists to confirm that the nominated state of the indicator has been achieved: more evidence is needed.

This also applies where multiple elements are associated with the CBT initiative (e.g., more than one home stay or guided activity). For minimum requirement indicators, unless all elements achieve the indicated standard, the indicator should be assessed as partly complying. For advanced and best practice requirements, 80% of elements should be achieving the indicated standard to be assed as fully complying.

## Does not comply'

Evidence does not exist to confirm that the nominated state of the indicator has been achieved: evidence is needed.

Not applicable The indicator is not relevant to the CBT initiative being assessed.

#### 1.6.4. Scoring of Performance

Summary statistics (counts) are used to score the overall performance of CBT initiatives. Assessed indicator levels of performance are summed for each criterion and presented in the categories of Minimum requirements, Advanced requirements and Best practice requirements. These form the basis for progression to certification.

Registration The CBT initiative fully complies with 50% of relevant Minimum and 40% of Advanced requirements for indicators in each criterion.

Endorsement The CBT initiative fully complies with 60% of relevant Minimum requirements and 50% of Advanced requirements for indicators in each criterion.

Certification

The CBT initiative fully complies with 70% of relevant Minimum requirements and 60% of Advanced requirements for indicators in each criterion.

#### 1.6.5. Reporting performance

Workbooks have been prepared for the assessment of CBT performance. The Community Workbook is for self-assessment and requires a simple 'ticking the box' approach and then tallying ticks. This should be completed before the audit. The Audit Workbook is similar, but requires statements of what evidence is used to make the assessment. An 'MS Excel' spreadsheet is available to ease the tallying and summarising.

For each sub-criterion, levels of performance are scored for each indicator, then scores are tallied (Figure 3).

These tallies for each sub-criterion are then transferred to a summary report for each criterion (Figure 4).

Figure 3 Example tally for Sub-criterion 1.3

### Sub-criterion 1.3: Effective and transparent management exists

Criterion	Sub- Criterion	Indicators	Fully complies	Partly complies	Does not comply	Not applicable
	SI	Minimum requirements 1.3.1 CBT management processes comply with all CBT standards and requirements, including for outside operators and FTOs.				
ut	ratior	1.3.2 CBT Members agree to an angoing commitment to the ASEAN CBT Member's Code of Conduct (Appendix 1).				
ageme	nt ope	1.3.3 The CBT initiative builds the capacity of the community to provide products, goods and services to visiting tourists.				
mang	gemei	1.3.4 The CBT initiative maximises use of goods and services provided by the community.				
ip and	mana	1.3.5 A clear financial management system exists and is accessible to community members.				
Community ownership and management	sparent	Advanced requirements 1.3.6 An annual action plan is documented and is accessible to community members.				
nity o	d trans	1.3.7 Long-term goals and objectives are documented and accessible to the community members.				
Commu	1.3.2 CBT Members agree to an angoing commitment to the ASEAN CBT Member's Code of Conduct (Appendix 1).  1.3.3 The CBT initiative builds the capacity of the community to provide products, goods and services to visiting tourists.  1.3.4 The CBT initiative maximises use of goods and services provided by the community.  1.3.5 A clear financial management system exists and is accessible to community members.  Advanced requirements  1.3.6 An annual action plan is documented and is accessible to community members.  1.3.7 Long-term goals and objectives are documented and accessible to the community members.  Best practice requirements  1.3.8 Monitoring and evaluation mechanisms exist to assess the sustainability performance of individual and collective CBT activities.				V	
	Eff	Total minimum requirements	4	1		
		Total advanced requirements		2		
		Total best practice requirements			1	

Figure 4 Example summary table for Criterion 1

## Summary assessment for Criterion 1: Community ownership and management

Sub-criteri	Fully complies	Partly complies	Does not comply	Not applicable	
Sub-criterion 1.1: Effective and transparent	Minimum requirement count	3	1	1	
governance arrangements exists	Advanced requirement count	2			
	Best practice requirement count				
Sub-criterion 1.2: Legitimate establishment	Minimum requirement count	2			
	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 1.3: Effective and transparent	Minimum requirement count	4	1		
management exists	Advanced requirement count		2		
	Best practice requirement count			1	
Sub-criterion 1.4: Effective partnerships	Minimum requirement count	2			
exist	Advanced requirement count	1			1
	Best practice requirement count				1
Total for I	11	2	1		
Totals for a	ndvanced requirement indicators	3	2		1
Total for best	practice requirement indicators			1	1

For the overall CBT initiative, criterion tallies are then transferred to a summary table (Figure 5).

## **Summary assessment**

Criteria		Fully complies	Partly complies	Does not comply	Not applicable
Criterion 1: Community ownership and	Minimum requirement count	11	2	1	
management	Advanced requirement count	3	2		1
	Best practice requirement count			1	1
Criterion 2: Contribution to social well-being	Minimum requirement count	7	1		
	Advanced requirement count		3	1	1
	Best practice requirement count		1	3	
Criterion 3: Contribution to conserve and	Minimum requirement count	4	1		
improve the environment	Advanced requirement count	2			1
	Best practice requirement count		3		
Criterion 4: Encouragement of interaction between the local community and guests	Minimum requirement count	2	2		
between the local confindinty and guests	Advanced requirement count	2	2		
	Best practice requirement count	3	1	1	1

Criteria			Partly complies	Does not comply	Not applicable
Criterion 5: Quality tour and guiding service	Minimum requirement count	8			
	Advanced requirement count	4	2		
	Best practice requirement count		2	2	1
Criterion 6: Quality food and beverage	Minimum requirement count	13	2		
services	Advanced requirement count	2	2	1	
	Best practice requirement count		1	1	
Criterion 7: Quality accommodations	Minimum requirement count	18	2		
	Advanced requirement count	8	3		
	Best practice requirement count			2	
Criterion 8: Performance of CBT Friendly	Minimum requirement count	12	1	1	2
Tour Operators (CBT FTO)	Advanced requirement count	8		3	1
	Best practice requirement count	1	3	1	1
Totals	Minimum requirement count	64	11	2	2
	Advanced requirement count	29	14	5	4
	Best practice requirement count	4	11	8	4

### 2. **Audit Assessment**

# **CBT Profile**

Name of CBT initiative Address				
Year of establishment				
Contact numbers	Landline	Mobile	Fax	
Email address				
Website	http://			
Contact person				
Position				
Names of CBT				
Committee members				
No. of CBT Members				

# **Entry requirements**

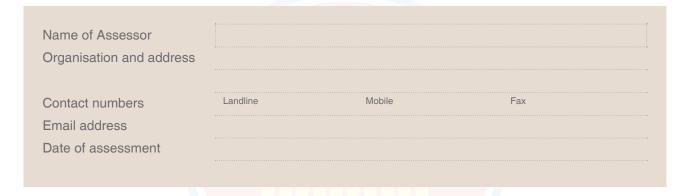
An elected CBT Committee exists that can represent community interests outside the community and coordinate CBT activities within the community, and	□Yes	□No
CBT Committee members are free of a criminal record, and	□Yes	□No
The CBT initiative includes:  • at least five CBT Members, other than committee members, who have been endorsed by the CBT Committee, and/or	□Yes	□No
at least two guided tours/activities for visitors and two CBT Guides who have been endorsed by the CBT Committee, and/or	□Yes	□No
at least two CBT accommodation opportunities and two CBT Accommodation Providers who have been endorsed by the CBT Committee, and/or	□Yes	□No
at least one CBT food and beverage service and two CBT Food and Beverage Service Providers who have been endorsed by the CBT Committee, and	□Yes	□No
The CBT Committee has completed a self-assessment, and	□Yes	□No
The CBT initiative has been registered with the nominated home country CBT Administering Authority.	□Yes	□No

# **Auditing Team**

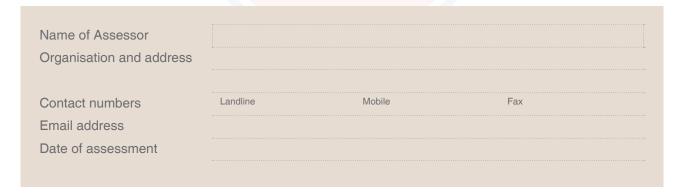
# **Independent assessor**



## **CBT** advisor



# CBT Administration Authority advisor or reviewer (as required)



### **Performance Criteria and Indicators** 3.

## 3.1. Criterion 1: Community ownership and management

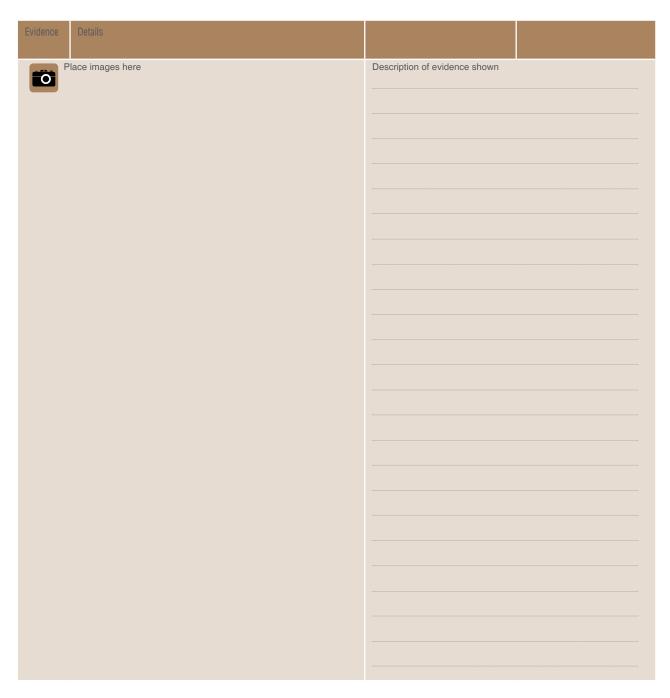
### Sub-criterion 1.1: Effective and transparent governance exists 3.1.1.

	n of evidence			Fully complies	Partly complies	Does not comply	Not applicable
	he CBT initiative is mana for a maximum 5-year to	iged by community memberm.	ers through a Committee  Minimum requiremme	ent 🗆			
Evidence	E.g., CBT constitution	E.g., Committee in action	E.g., Advice of members			Not es	sential
Action to in	mprove performance						
Explanation	n of evidence			lies	lies	not ly	able
				Fully complies	Partly compl	Does not comply	Not applicable
	The CBT initiative has an roles and responsibilitie	accountable managemen s.	t structure with clearly  Minimum requiremme	ent 🗆			
Evidence	Fa CPT constitution	- Fa Committee in ection				MI-I	
	E.g., CBT constitution	E.g., Committee in action	E.g., Advice of members			NOT es	sential
Action to in	mprove performance	C.y., committee in action				NOT es	sential
Action to in		C.y., committee in action				NOT es	sential
Action to in		Q				Not es	sential
		Q			y olies		
	mprove performance	Q		Fully complies	Partly complies	Does not comply	Not applicable
Explanation	nprove performance  n of evidence	incial rules and regulations d in CBT activities/operation	(including local by-laws) ar	Fully complies	☐ Partly complies		
Explanation	nprove performance  n of evidence	incial rules and regulations	(including local by-laws) ar	Fully complies	□ Partly complies		Not applicable
1.1.3 Refollowed	nprove performance  n of evidence  delevant national and provent by those directly involved	incial rules and regulations d in CBT activities/operation	(including local by-laws) arns.   Minimum requiremme  E.g., Advice of members	E Fully complies	Partly complies	Does not comply	Not applicable

Explanation	n of evidence						Fully	Partly complies	Does not comply	Not applicable
1.1.4 C	BT Memb	per recruitment m	eets any r	elevant national	or local laws and					
Evidence		E.g., CBT constitution	Q	E.g., Member types	E.g., Advice	of members	<u> </u>		Not es	sential
Action to in	nprove perfor	mance								
Explanation	n of evidence						Fully	Partly complies	Does not comply	Not applicable
guiding,	accommo mmittee b		beverage	services) is cor	roducts and serveducted fairly by to the terminal of the termi	he				
Evidence		E.g., CBT constitution	Q _	E.g., Member types		of members	<u> </u>		Not es	sential
		here (e.g., CBT Comm	ittee)		Description of eviden	ce snown				
Ation to imp	prove perforn	nance								
Explanation	n of evidence						Fully complies	Partly complies	Does not comply	Not applicable
1.1.6 C commitr	BT Memb nent to th	ers are recruited e CBT initiative a	based on and the spe	their appropriate ecific role.	e levels of knowle Advanced re	equirement				
Evidence		E.g., CBT constitution	Q _	E.g., Member types	E.g., Advice	of members	<b>o</b> 🗆		Not es	sential
Action to in	nprove perfor	mance								



# Supplementary photographic evidence for Sub-criterion 1.1



### 3.1.2. Sub-criterion 1.2: Legitimate establishment

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
1.2.1 The CBT initiative is recognised by provincial and/or national level authorities.              Minimum requiremment				
Evidence E.g., CBT constitution E.g., Committee in action E.g., Advice of members			Not es	sential
Action to improve performance				
Explanation of evidence	10	10		<u>e</u>
	Fully complies	Partly complies	Does no comply	Not applicable
1.2.2 The CBT initiative is recognised by, and has the support of, any customary or legally recognised community-level governing body (e.g., community council).				
Evidence E.g., CBT constitution E.g., Committee in action E.g., Advice of members			Not es	sential
Action to improve performance				

# Supplementary photographic evidence for Sub-criterion 1.2



### 3.1.3. Sub-criterion 1.3: Effective and transparent management exists

Explanation of evidence		Fully complies	Partly complies Does not comply Not	applicable
1.3.1 CBT management processes comply wit including for outside operators and FTOs.	<b>☑</b> Minin	num requiremment		
Evidence E.g., CBT constitution E.g.	, FTOs in action E.g	., Advice of members	Not essenti	ial
Action to improve performance				
Explanation of evidence		Fully complies	Partly complies Does not comply Not	applicable
1.3.2 CBT Members agree to an ongoing commode of Conduct.	<b>☑</b> Minin	num requiremment		כ
Evidence E.g., Signed codes E.g., N	Aember practice E.g	j., Advice of members	Not essenti	ial
Action to improve performance				
Explanation of evidence				
Explanation of evidence		Fully complies	Partly complies Does not comply Not	applicable
1.3.3 The CBT initiative builds the capacity of t goods and services to visiting tourists.		ride products, num requiremment		
Evidence E.g., CBT constitution C E.g., Pro	oducts available E.g	., Advice of members	Not essenti	ial
Action to improve performance				
Explanation of evidence		v u	lies not ly	able
		Fully complies	Partly complies Does not comply Not	applica
1.3.4 The CBT initiative maximises use of good community.		ded by the num requiremment		
Evidence E.g., CBT constitution E.g., Comm	nunity products E.g	,, Advice of members	Not essenti	ial
Action to improve performance				

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
1.3.5 A clear financial management system exists and is accessible to community members.				
			Not es	sential
Action to improve performance				
Explanation of evidence	40	40	_	<u>e</u>
	Fully complies	Partly complies	Does not comply	Not applicable
1.3.6 An annual action plan is documented and is accessible to community members.				
E.g., Action plan  E.g., Action plan  E.g., Community in action  E.g., Advice of members			Not es	sential
Action to improve performance				
Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
1.3.7 Long-term goals and objectives are documented and accessible to the				
community members.  Evidence  E.g., Goal statement  E.g., Community in action  E.g., Advice of members		_	Not es	sential
Action to improve performance				
Explanation of evidence	(n	w	<b>.</b>	<u>e</u>
	Fully complies	Partly complies	Does not comply	Not applicable
1.3.7 Long-term goals and objectives are documented and accessible to the	工 3		_ _ _ _	a Z
community members.	Ш	Ш	Not es	sential
Action to improve performance				- Target
- Constitution of the cons				

# Supplementary photographic evidence for Sub-criterion 1.3

Evidence	Details	
O	Place images here	Description of evidence shown

### 3.1.4. Sub-criterion 1.4: Effective partnerships exist

Explanation of evidence			Fully complies Partly complies	Does not comply Not applicable
1.4.1 Guidelines exist for inbou	nd tour operator interactio	n with the community.  Minimum requiremme	nt 🗆 🗆	
Evidence E.g., Agreements	E.g., Performance of operators	E.g., Advice of members	O _	Not essential
Action to improve performance				
Explanation of evidence			Fully complies Partly complies	Does not comply Not applicable
1.4.2 In conducting activities, the communities.	ne CBT initiative avoids im	pacts on neighbouring  Minimum requiremme		
Evidence	E.g., Member behaviour	E.g., Advice of neighbouring community	O _	Not essential
Action to improve performance				
Explanation of evidence			Fully complies Partly complies	Does not comply Not applicable
1.4.3 Relevant CBT stakeholde initiatives are documented.	ers are identified and their	roles in contributing to CB  Advanced requirement	т п п	
Evidence E.g., Action plan	E.g., Community in action			Not essential
Action to improve performance				
				······
Explanation of evidence			(0)	<u></u>
			Fully complies Partly complies	Does not comply Not applicable
1.4.4 An established procedure	exists for regular consulta			
Evidence E.g., Meeting minutes	E.g., Meetings	Minimum requiremme  E.g., Advice of members		Not essential
Action to improve performance	•			



# Supplementary photographic evidence for Sub-criterion 1.4



# **Summary assessment for Criterion 1: Community ownership and management**

Sub-Criteria			Partly complies	Does not comply	Not applicable
Sub-criterion 1.1: Effective and transparent	Minimum requirement count				
governance arrangements exists	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 1.2: Legitimate establishment	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 1.3: Effective and transparent Minimum requirement count					
management exists	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 1.4: Effective partnerships	Minimum requirement count				
exist	Advanced requirement count				
	Best practice requirement count				
Totals for minimum requirement indicators					
Totals fo	or advanced requirement indicators				
Totals for b	est practice requirement indicators				

# Recommendations for improving performance for Criterion 1: Community ownership and management

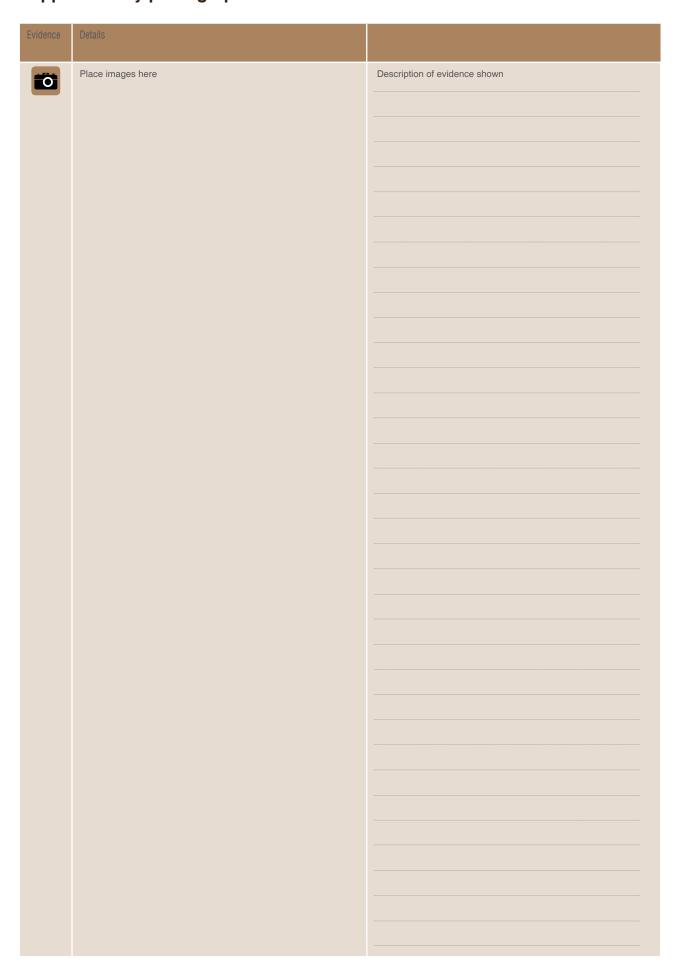
ndicator	Action	
litor's signature	CBT representative signature	

## 3.2. Criterion 2: Contribution to social well-being

### Sub-criterion 2.1: Maintenance of human dignity 3.2.1.

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
2.1.1 Sex tourism, drug trafficking, human trafficking, and exploitation of child labour are not tolerated or supported explicitly or implicitly.				
Evidence E.g., CBT constitution E.g., Member behaviour E.g., Community advice			Not ess	ential
Action to improve performance				
Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
2.1.2 CBT activities promote gender equity and social inclusion.   Minimum requiremment				
Evidence E.g., Signed codes E.g., Member mix in activities E.g., Community advice		Ì	Not ess	ential
Action to improve performance				
Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
2.1.3 CBT initiatives build the capacity for disadvantaged members of the community to appropriately benefit from tourism (this includes identifying roles for youth and the aged).				
Evidence E.g., Meeting minutes E.g., Meetings E.g., Advice of members			Not ess	ential
Action to improve performance				
Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
2.1.4 CBT activities contribute to improving community access to basic services (water, sanitation, energy, education, health).				
Evidence E.g., Agreements E.g., Cooperative action E.g., Advice of members			Not ess	ential
Action to improve performance				

# Supplementary photographic evidence for Sub-criterion 2.1



### 3.2.2. Sub-criterion 2.2: Equitable sharing of benefits and costs

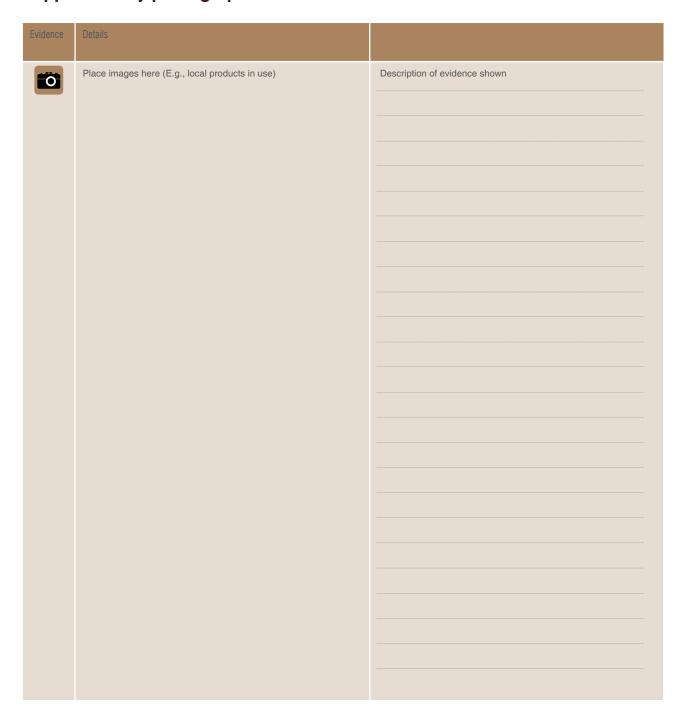
Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
2.2.1 Clear and agreed benefit sharing arrangements exist.				
			Not es	sential
Action to improve performance				
Explanation of evidence				ø
	Fully complies	Partly complies	Does not comply	Not applicable
		Par	O O	Not
2.2.2 A community development fund exists that is used for initiatives benefiting the whole community.  Minimum requiremment				
Evidence E.g., Bank account E.g., Community projects E.g., Advice of members			Not es	sential
Place images here (e.g., Community projects)  Description of evidence shown				
Action to improve performance				
Explanation of evidence	olies	/ olies	not oly	Not applicable
	Fully complies	Partly compl	Does no comply	Not
2.2.3 A process exists for equal opportunities in income generating activities.  ☑ Best practice requirement				
Evidence En Agreements Fig Cooperative action Fig Advice of members			Not es	sential
Action to improve performance				

### 3.2.3. Sub-criterion 2.3: Links to regional economies

Explanation of	evidence					Fully	Partly complies	Does not comply	Not applicable
2.3.1 Loca	al community members	dominate e	employment in C		atives. nimum requiremme	nt 🗆			
Evidence	E.g., CBT constitution	Q _	E.g., Member mix in activities		E.g., Community advice			Not es	sential
Place	e images here (e.g., Communit	y projects)		Description	on of evidence shown				
Action to impre	ove performance								
Explanation of	evidence					Fully complies	Partly complies	Does not comply	Not applicable
2.3.2 Loc	al/regional sourcing of	f products a	and services do		CBT initiatives. nimum requiremme	nt 🗆			
Evidence	E.g., CBT constitution	Q	E.g., Member mix in activities		E.g., Community advice	o _		Not es	sential
Action to impre	ove performance								
Explanation of	evidence					Fully complies	Partly complies	Does not comply	Not applicable
2.3.3 Loc produced	al community products	s are used i uvenirs).	n preference to		s (e.g., locally Ivanced requirement	. 🗆			
Evidence	E.g., Meeting minutes	Q	E.g., Meetings		E.g., Advice of members	O _		Not es	sential
Action to impro	ove performance								



# Supplementary photographic evidence for Sub-criterion 2.3



### 3.2.4. Sub-criterion 2.4: Cultural integrity is maintained and valued cultural traditions are enriched

Explanation of evidence					Partly complies Does not	comply Not applicable
2.4.1 Cultural assets of significance identified, documented and endors	e to the local community ar sed by relevant communities	nd valued cu Minim	num requiremme	are nt		
Evidence E.g., Asset register	Q _		E.g., Community knowledge of assets	<b>O</b>	N	ot essential
Action to improve performance						
Explanation of evidence				Fully	Partly complies Does not	comply Not applicable
2.4.2 Programs exist to authentic towards protecting cultural integrit	y, identity and values.		cultural tradition num requiremme			
Evidence E.g., CBT constitution	E.g., Member mix in activities		E.g., Community advice		N	ot essential
Place images here (e.g., a performant	ice)	Description of	evidence shown			
Action to improve performance						
Explanation of evidence				Fully	Partly complies Does not	comply Not applicable
2.4.3 Practices ensure that all ruculture and heritage are followed	ules, regulations and laws J.		num requirement			
Evidence E.g., CBT constitution	Q		E.g., Community awareness of rules		N	ot essential
Action to improve performance						

Explanation of evidence					Fully	Partly complies	Does not comply	Not applicable
2.4.4 CBT management support that create alternative livelihoods	s the retenti	on of tradition		and initiative	es 🗖	□ Be		☐ ☐
Evidence E.g., policy statement	Q _	E.g., diversity of livelihoods	E.g., Ad	lvice of members			Not es	sential
Action to improve performance								
Explanation of evidence					Selies	/ olies	not	Not applicable
					Fully	Partly compli	Does not comply	Not appli
2.4.5 A code of visitor behavious within communities.	exists to inf	orm visitors o		behaviour d requirement				
Evidence E.g., written code of conduct	Q _	E.g., behaviour of visitors		E.g., Advice of members	<b>o</b> _		Not es	sential
Action to improve performance								
Explanation of evidence					Fully	tly	Does not comply	Not applicable
					Fully	Partly compli	Doe	Not
2.4.6 A community decision-mal and traditions will be shared with		exists that id		cultural asse				
Evidence E.g., Identified in inventory	Q _	E.g., Presentation of cultural sites		E.g., Advice of members	o _		Not es	sential
Action to improve performance								

# Supplementary photographic evidence for Sub-criterion 2.4



# Summary assessment for Criterion 2: Contribution to social well-being

Sub-Criteria			Partly complies	Does not comply	Not applicable
Sub-criterion 2.1: Maintenance of human	Minimum requirement count				
dignity	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 2.2: Equitable sharing of	Minimum requirement count				
benefits and costs	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 2.3: Established links to	Minimum requirement count				
regional economies	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 2.4: Cultural integrity is	Minimum requirement count				
maintained and valued cultural traditions are enriched	Advanced requirement count				
are dimensed	Best practice requirement count				
Totals for					
Totals for	or advanced requirement indicators				
Totals for b	est practice requirement indicators				

# Recommendations for improving performance for Criterion 2: Contribution to social well-being

Indicator	Action							
Auditor's signature								
Auditor's signature CBT representative signature								
CBT Admin Authority representative signature	Date							

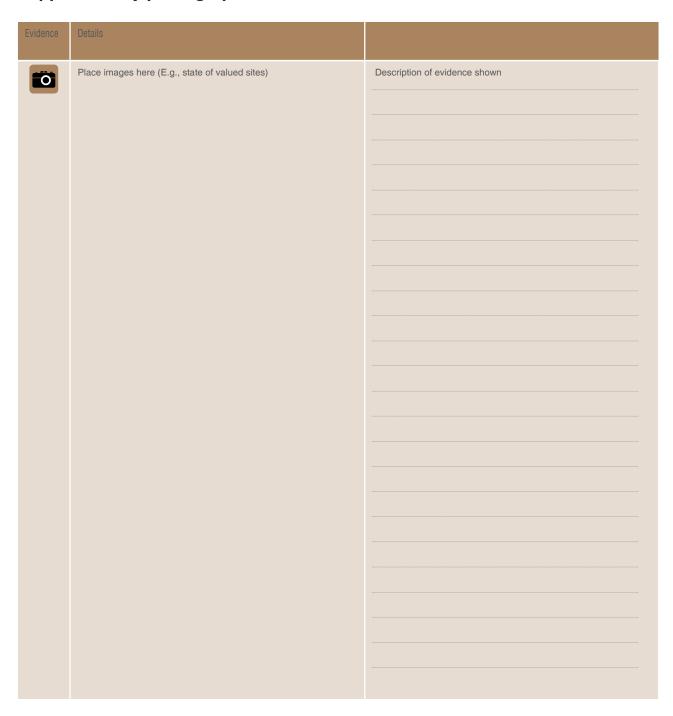
### 3.3. Criterion 3: Contribution to conserve and improve the environment

### Sub-criterion 3.1: Natural resources are being conserved 3.3.1.

Explanat	tion of evidence						es	ies ies	not ly	ple
							Fully complies	Partly compli	Does no comply	Not applicable
3.1.1 Natural resources and environmentally sensitive sites and their community significance are identified, planned, documented and endorsed by relevant communities.										
Evidence	EA	E.g., Inventory report	s. (a)	E.g., site management	Minimui 🕰	m requiremment E.g., Member			Not es	sential
	Place images	here (e.g., significant s	ite)		Description of ev		o _			
0	r lace images	nere (e.g., signilicant s	ne)		Description of ev					
Action to	improve perfor	mance								
Explanat	tion of evidence									0
							Fully complies	Partly complies	Does not comply	Not applicable
							Fully	Partly comp	Doe	Not appl
3.1.2	A fund exis	sts to support co	mmunity-	based conserva		ns and actions. ed requirement				
Evidence		E.g., line item is accounts	Q	E.g., conservation action	E.g., A	Advice of members	<u> </u>			
Action to	improve perfor	rmance								
Explanat	tion of evidence						(0)	(0)		<u> </u>
							Fully complies	tly nplies	Does not comply	Not applicable
							Fully	Partly compl	Doo	Not
3.1.3 well-b		exist to present	the value	of natural resou		community ed requirement				
Evidence		E.g., line item is accounts	Qn	E.g., conservation action		Advice of members	o n		Not es	sential
Action to	improve perfor	mance								



## Supplementary photographic evidence for Sub-criterion 3.1



### 3.3.2. Sub-criterion 3.2: Conservation activities to improve the environment

3.2.1 A fund is available to support community-based environmental improvement action.    Minimum requiremment
Action to improve performance  Explanation of evidence  Sequence  Sequence
Explanation of evidence  September 2  September 3.2.2 A locally appropriate solid waste management system exists that applies avoid,
3.2.2 A locally appropriate solid waste management system exists that applies avoid,
3.2.2 A locally appropriate solid waste management system exists that applies avoid,
3.2.2 A locally appropriate solid waste management system exists that applies avoid,
3.2.2 A locally appropriate solid waste management system exists that applies avoid,
reduce, reuse, recycle principles and hygienic handling of putrescible waste (e.g., composting).
Evidence E.g., reports C.g. sighting of waste treatment practices
Place images here (e.g., significant site)  Description of evidence shown
Action to improve performance
Explanation of evidence
Pully complies Partly complies Does not complicable applicable
3.2.3 Locally appropriate wastewater management uses technologies that minimise
risk to human health and environmental impact.
Evidence E.g., reports E.g., treatment system E.g., Community advice Not essential
Action to improve performance

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
3.2.4 Practices ensure that all rules, regulations and laws relevant to environmental protection are followed.				
E.g., CBT rules  E.g., Community behaviour  E.g., Community awareness of rules	<b>)</b> _		Not ess	sential
Action to improve performance				
Explanation of evidence				4
	Fully complies	Partly complies	Does not comply	Not applicable
3.2.5 Solid waste generation is actively discouraged (e.g., through encouraging refilling of water bottles with treated water).				
Evidence  E.g., water bottle refill station  E.g., Advice of members			Not ess	sential
Action to improve performance				
Cuplemetion of evidence				
Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
3.2.6 Environmental information and education programs are available for hosts,	<u>ш</u> о			
guests and the community.  Evidence E.g., printed rules E.g., host and guest E.g., Advice of members			Not ess	sential
Action to improve performance				
Explanation of evidence	W	v	<b>.</b>	ole .
	Fully complies	Partly complie	Does not comply	Not applicable
3.2.7 Low carbon energy sources are used within the CBT area.	<u>「</u>	2 2	٥٥	Ž
Evidence E.g., printed rules E.g., host and quest E.g., Advice of members en			Not ess	sential
Action to improve performance				

# Supplementary photographic evidence for Sub-criterion 3.2

Evidence	Details	
Ö	Place images here	Description of evidence shown

## Summary assessment for Criterion 3: Contribution to conserve and improve the environment

Sub-Criteria			Partly complies	Does not comply	Not applicable
Sub-criterion 3.1: Natural resources are	Minimum requirement count				
being conserved	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 3.2: Conservation activities to	Minimum requirement count				
improve the environment	Advanced requirement count				
	Best practice requirement count				
Totals for minimum requirement indicators					
Totals for	or advanced requirement indicators				
Totals for b	est practice requirement indicators				

## Recommendations for improving performance for Criterion 3: Contribution to conserve and improve the environment

Indicator	Action
Auditor's signature CBT representation	entative signature

### 3.4. Criterion 4: Interaction between the local community and guests

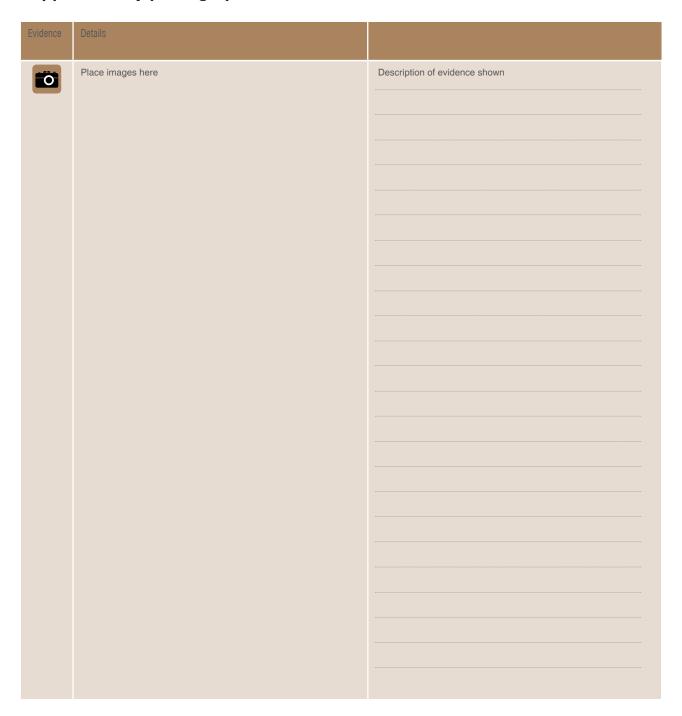
### Sub-criterion 4.1: Guest and local community interaction exists 3.4.1.

Explanation of evidence					olies	y	not oly	Not applicable
					Fully complies	Partly complies	Does no comply	Not appli
4.1.1 Environmental and cultural community and its surroundings.	information is in	ncluded in th		on of the				
Evidence E.g., activity guidelines	Q _	E.g., attend tour		F.a. Community				
Place images here (e.g., significant	site)		Description of ev	idence shown				
Action to improve performance								
Explanation of evidence					Fully complies	Partly complies	Does not comply	Not applicable
4.1.2 Policies and actions ensu	re safety and s	ecurity for v		n requirement				
E.g., policy statement	Q _	E.g., visitor care	E.g., 0	Community advice				
Action to improve performance								······
Explanation of evidence					Fully complies	Partly complies	Does not comply	Not applicable
4.1.3 Codes of conduct exist fo	r community, he	osts and gu		ed requirement				
E.g., code of conduct  Action to improve performance	Q	E.g., signage	E.g., A	dvice of members			Not es	sential

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
4.1.4 Tourist expectations are managed by providing accurate information in marketing initiatives.				
			Not ess	sential
Action to improve performance				
Explanation of evidence			l	0
	Fully complies	Partly complies	Does not comply	Not applicable
4.1.5 A quality control and improvement system exists, including a process to obtain visitor feedback on their CBT experiences.				
Evidence E.g., client survey E.g., review of feedback members			Not ess	sential
Action to improve performance				
Evaluation of evidence	_			
Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
4.1.6 A program of cross-cultural communication and understanding exists.				
Evidence E.g., host and guest E.g., Advice of members E.g., Advice of members	<u> </u>		Not ess	sential
Action to improve performance				
Explanation of evidence	S	S	ot	ple
	Fully complies	Partly compli	Does not comply	Not applicable
4.1.7 Opportunities exist for tourists to contribute to local activities alongside community members.				
Evidence E.a., auests working E.a., Advice of			Not ess	sential
Action to improve performance				



## Supplementary photographic evidence for Sub-criterion 4.1



### 3.4.2. Sub-criterion 4.2: Sustainability of Community-Based Tourism products

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
4.2.1 Transparent and fair pricing exists for visitors with adequate returns on community investments.				
Evidence E.g., profit and loss statement E.g., price list E.g., Community advice			Not ess	ential
Action to improve performance				
Explanation of evidence	ies	lies	y y	able
	Fully complies	Partly	Does not comply	Not applicable
4.2.2 Positive returns on investment exist in terms of social, cultural, environmental and economic outcomes.				
Evidence  E.g., village appearance and community happiness  E.g., Advice of members			Not ess	sential
Action to improve performance				
Explanation of evidence	es	es	not ly	able
	Fully complies	Partly complies	Does no comply	Not applicable
4.2.3 Target market segments are identified with their servicing needs.				
Evidence E.g., marketing plan E.g., character of guests E.g., Advice of members			Not ess	sential
Action to improve performance				
Explanation of evidence	es	ies	y ot	able
	Fully complies	Partly	Does n comply	Not applicable
4.2.4 Appropriate and unique products and services are in place to service identified market needs and protect and enrich environmental and cultural assets, products and services.				
Evidence E.g., marketing plan  E.g., product types  E.g., Advice of members			Not ess	sential
Action to improve performance				

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
4.2.5 A targeted and cost-effective marketing program exists to attract identified markets.   ☑ Best practice requirement				
E.g., marketing plan  E.g., character of guests  E.g., Advice of members			Not ess	sential.
Action to improve performance				
Explanation of evidence	lies	lies	not <del>V</del>	able
	Fully	Partly comp	Does n comply	Not applicable
4.2.6 Activities protect and enrich environmental and cultural assets, products and services.	П	П	П	П
Best practice requirement				_
E.g., marketing plan E.g., character of guests E.g., Advice of members			Not es	sential
Action to improve performance				

# Supplementary photographic evidence for Sub-criterion 4.2



# Summary assessment for Criterion 4: Activities encourage interaction between the local community and guests

Sub-Criteria			Partly complies	Does not comply	Not applicable
Sub-criterion 4.1: Guest and local	Minimum requirement count				
community interaction exists	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 4.2: Sustainability of	Minimum requirement count				
Community-Based Tourism products	Advanced requirement count				
	Best practice requirement count				
Totals for minimum requirement indicators					
Totals fo	or advanced requirement indicators				
Totals for b	est practice requirement indicators				

# Recommendations for improving performance for Criterion 4: Activities encourage interaction between the local community and guests

dicator	Action	
tor's signature	CBT representative signature	

### 3.5. Criterion 5: Quality tour and guiding service

### 3.5.1. Sub-criterion 5.1: Local guide qualities and expertise

Explanation of evidence			Fully complies	Partly complies	Does not comply	Not applicable
5.1.1 Guides are recruited based fitness for proposed guided activiti	on appropriate levels of kn es	owledge, physical healtl  Minimum require				
Evidence E.g., job statement	E.g., guide performance	E.g., Community a	dvice		Not es	sential
Action to improve performance						
Explanation of evidence			Fully complies	Partly complies	Does not comply	Not applicable
5.1.2 Guides possess or can den of the local environment and cultural and fauna and cultural/heritage si tourism principles.	ire; including history, cultu		y, flora			
Evidence	E.g., guide performance				Not ess	ential.
Place images here (e.g., guided active)  Action to improve performance						
Explanation of evidence			Fully complies	Partly complies	Does not comply	Not applicable
5.1.3 Guides operate within the initiative and have signed and for Guide's Code of Conduct.		and regulations of the  Minimum require				
E.g., signed code of conducts	E.g., guide performance		dvice C		Not es	sential
Action to improve performance						

Explanatio	n of evidence					Fully	Partly complies	Does not comply	Not applicable
	iuides are certified under ann ng guiding services.	ny relevan	t standard produ		rposes of ed requirement				
Evidence	E.g., certificate	Q		E.g., 1	Advice of members	<b>O</b> _		Not es	sential
Action to it	mprove performance								
Explanatio	n of evidence					Fully complies	Partly complies	Does not comply	Not applicable
	Guides facilitate environme nces for visitors that are pr			tural resource		-			
Evidence		Q	E.g., nature of activities		E.g., Advice of members	<b>o</b> _			
Action to in	mprove performance								
Explanatio	on of evidence					Fully	Partly complies	Does not comply	Not applicable
to incre group r awaren safety, protecti	Guides have access to on ease their skills and knowl nanagement, customer ca less/communication and values authentic local cultural tra- tion issues, the guidelines are area deemed necessa	edge of: sare/service verbal and aditions, in and regu	sustainable tour e, communicati d non-verbal con ntegrity, identity lations of the Cl	ism, interpretion (including mmunication) and values, BT initiative,	tative guiding, cross cultural ; first aid and environmenta	, -			
Evidence	E.g., training notes	Q	E.g., training activity		E.g., Advice of members	<b>O</b>		Not es	sential
Action to it	mprove performance								

# Supplementary photographic evidence for Sub-criterion 5.1

Evidonos	Dataile	
Evidence	Details	
O	Place images here	Description of evidence shown

### 3.5.2. Sub-criterion 5.2: Managed tours and activities to ensure quality

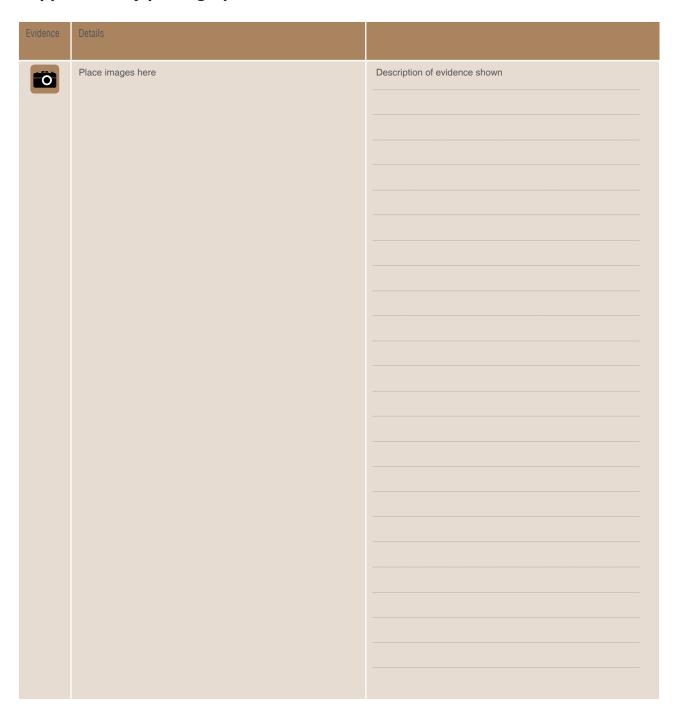
Explanation of evidence	Fully complies	complies Does not	Not applicable
5.2.1 Tours/activities operate within the objectives, guidelines, regulations and codes of conduct of the CBT initiative.			
	<b>O</b> _	Not ess	sential
Action to improve performance			
Explanation of evidence	Fully complies	complies Does not comply	Not applicable
5.2.2 Tours/activities ensure visitors, at all times, observe CBT approved guidelines	T S S		ap ap
for interacting with the culture, natural environment and people of the community.			
	O _	Not ess	sential
Action to improve performance			
Explanation of evidence	lies	lies not ly	Not applicable
	Fully complies	complies Does not	Not appli
5.2.3 Tours/activities have a clearly defined itinerary and associated price, and documented booking system.			
Evidence E.g., program of activities E.g., booking system E.g., Community advice	<b>O</b> _	Not ess	sential
Action to improve performance			
Explanation of evidence	ies	lies not ly	able
	Fully complies	ranny compli Does n comply	Not applicable
	正公百	- 9 - 1 - 9	
5.2.4 Tours/activities record the visitors on tours, including departure and return time  Minimum requiremment	s.		
Evidence E.g., record system E.g., data entry E.g., Community	s.	Not ess	
Evidence E.g., record system E.g., data entry E.g., Community	s.		

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
5.2.5 Visitors are informed of the tour itinerary, level of difficulty, possible hazards, safety precautions and regulations or rules that apply to their conduct on the tour.				
Evidence E.g., tour protocols E.g., guide performance E.g., Community advice			Not es	ential
Action to improve performance				
Explanation of evidence	S	S	t	əle
	Fully complies	Partly complies	Does not comply	Not applicable
5.2.6 Tours operate on a cost recovery basis and yield a profit to the CBT initiative.				
Evidence E.g., profit and loss statement E.g., Advice of members			Not es	sential
Action to improve performance				
Explanation of evidence				ø
	Fully complies	Partly complies	Does not comply	Not applicable
5.2.7 A quality control and improvement system exists, including a system for visitor feedback on the tour/activity experience, and visitors are actively encouraged to participate in the feedback process.				
Evidence E.g., feedback document E.g., guide behaviour E.g., Advice of members			Not es	sential
Action to improve performance		-	7	
Explanation of evidence	Fully complies	tly	Does not comply	Not applicable
	Fully	Partly	Does	Not
5.2.8 Tours/activities respect and contribute to the promotion and preservation/conservation of local culture and natural environment and provide current and relevant cultural information.				
Evidence E.g., activity outline E.g., tour content E.g., Advice of members			Not es	ential
Action to improve performance				

Explanation of	of evidence						Fully complies	Partly complies	Does not comply	Not applicable
5.2.9 To organise	urs/activities d, relevant a	s are design and thematic	ed to be e	enjoyable, educ		cipatory, ed requirement				
Evidence		E.g., certificate	Q		E.g., A	Advice of members	o _		Not es	sential
Action to imp	rove performanc	e								
Explanation of	of evidence									O
							Fully complies	Partly complies	Does not comply	Not applicable
5.2.10 T	he local (int	erpretative)	guide to v	risitor ratio is no	ot greater than	n 1:5-10.		П	П	П
					<b>☑</b> Best pra	actice requirem	ient			Ц
Evidence		E.g., activity advertising	Q	E.g., numbers on tours		E.g., Advice of members	<b>o</b> _		Not es	sential
Action to imp	rove performanc	e								
Explanation of	of evidence									O
							Fully complies	Partly complies	Does not comply	Not applicable
		ant, tours/act		ve clearly defin	ed and docun	nented				
					<b>☑</b> Best pra	actice requirem	ent			
Evidence		E.g., agreements		E.g., relationship between operator and CBT		E.g., Advice of members	<b>O</b>		Not es	sential
Action to imp	rove performanc	e								
Explanation of	of evidence									4
Explanation							Fully	y plies	s not ply	Not applicable
							Fully	Partly comp	Does no comply	Not
for tourist		ute to local a		oss-cultural un alongside		and opportuni				
Evidence	E.	g., training notes	Qn	E.g., training activity		E.g., Advice of members	O n		Not es	sential
Action to imp	rove performanc	e e			120,121					



### Supplementary photographic evidence for Sub-criterion 5.2



## Summary assessment for Criterion 5: Quality tour and guiding service

Sub-Criter	Fully complies	Partly complies	Does not comply	Not applicable	
Sub-criterion 5.1: Local guide qualities and	Minimum requirement count				
expertise	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 5.2: Ensuring tour/activity	Minimum requirement count				
quality	Advanced requirement count				
	Best practice requirement count				
Totals for	minimum requirement indicators				
Totals for	or advanced requirement indicators				
Totals for b	est practice requirement indicators				

# Recommendations for improving performance for Criterion 5: Quality tour and guiding service

dicator	Action	
itor's signature	CBT representative signature	
Admin Authority roproportative signet	re Date	

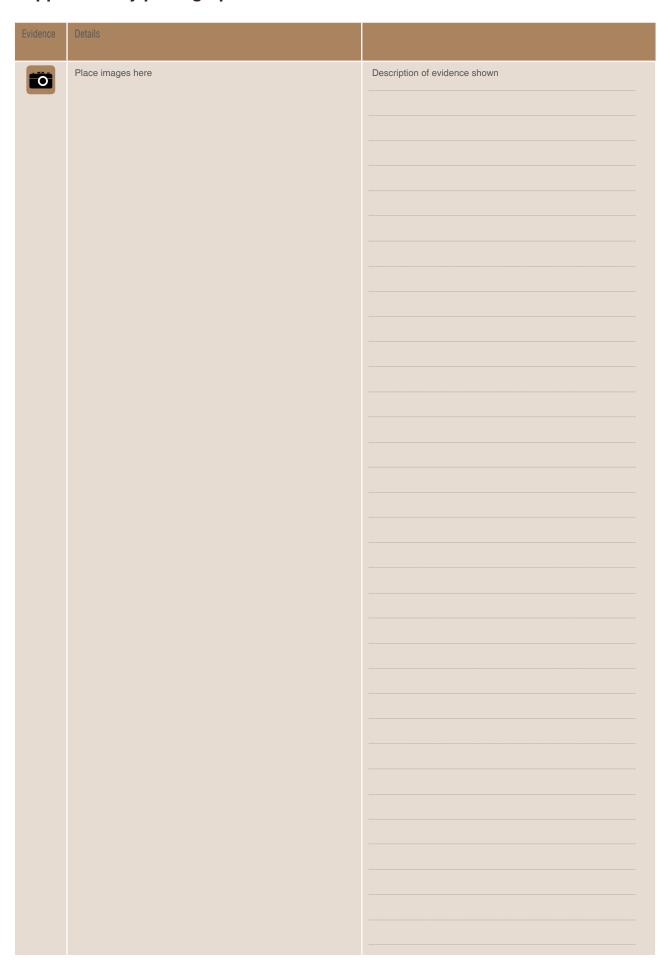
### Criterion 6: Quality food and beverage services 3.6.

### 3.6.1. Sub-criterion 6.1: Ensuring food and beverage service provider quality

Explanation of evidence					Fully	Partly complies	Does not comply	Not applicable
6.1.1 Food and beverage provider and experience in providing locally beverage services.	rs are recruited l relevant food a	based on ap nd		s of knowledo requiremme				
E.g., job statement	Q _	E.g., provider performance	E.g., Co	mmunity advice	<b>O</b> _		Not es	ential
Action to improve performance								
Explanation of evidence					Fully	Partly complies	Does not comply	Not applicable
6.1.2 Food and beverage provide food preparation and service tech		an demons		ent to hygien				
Evidence	Q	E.g., provider performance		E.g., provider knowledge	<b>o</b> _		Not ess	ential.
Place images here (e.g., guided active)	vity)		Description of evid	ence shown				
Action to improve performance								
Explanation of evidence					Fully	Partly complies	Does not comply	Not applicable
6.1.3 Food and beverage provid the CBT initiative and have sign CBT Food and Beverage Provid	ed and follow tl	ne ASEAN		egulations of requirement				
Evidence E.g., signed code of conducts  Action to improve performance	Q	E.g., guide performance		E.g., Community advice	<b>6</b>		Not es	sential

Explanatio	on of evidence						Fully	Partly complies	Does not comply	Not applicable
	ood and beve poses of impro					rd produced fo				
Evidence		E.g., certificate	Q _			E.g., Advice of members			Not es	sential
Action to in	mprove performand	ce								
Explanatio	n of evidence						Fully	Partly complies	Does not comply	Not applicable
	ood and beven hosts and vi		rs provide op	portunities for		exchange ed requirement				
Evidence			Q _	E.g., nature of activities		E.g., Advice of members	<b>O</b> _			
Action to in	mprove performan	ce								
Explanatio	n of evidence						Fully	Partly complies	Does not comply	Not applicable
training hygiene techniq awaren integrity regulati	Food and bever opportunities on the community, identity and the community, identity and the community on the community of the	s to increase meal and me ity and service ication; first d values; env BT initiative,	their skills a nu preparatice standards aid and safe rironmental p and any othe	and knowledg on, traditiona , sustainable ty, authentic l protection issu	e of: food pro l cuisine and tourism, cro ocal cultural ues, the guid	eparation I cooking ss cultural traditions,	□ nent			
Evidence		i.g., training notes	Q _ E	g., training activity		E.g., Advice of members	<b>O</b>		Not es	sential
Action to in	mprove performan	ce								

# Supplementary photographic evidence for Sub-criterion 6.1



### 3.6.2. Sub-criterion 6.2: Managed food and beverage services for quality

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
6.2.1 Food and beverage services are provided within the objectives, guidelines, regulations and codes of conduct of the CBT initiative.				
Evidence E.g., CBT guidelines E.g., provider performance E.g., provider performance			Not ess	ential
Action to improve performance				
Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
6.2.2 Menus are available with associated prices (if appropriate).    Minimum requirement				
Evidence E.g., written menus E.g., menu board E.g., Community advice			Not ess	ential
Action to improve performance				
Explanation of evidence	(0)	(0)		<u>_o</u>
	Fully complies	Partly complies	Does not comply	Not applicable
6.2.3 Meals are provides at agreed times identified in consultation between food and beverage providers and the CBT committee.				
Evidence E.g., written menus E.g., menu board E.g., Community advice			Not ess	ential
Action to improve performance				
Explanation of evidence	Fully	Partly complies	Does not comply	Not applicable
6.2.4 Sufficient food is provided for visitor needs, including between-meal snacks.	T 0	2 S	<u> </u>	ab K
✓ Minimum requiremment				
Evidence E.g., formal feedback E.g., meals provided E.g., visitor advice			Not ess	ential
Action to improve performance				

Explanation	n of evidence						Fully complies	Partly complies	Does not comply	Not applicable
6.2.5 Me	enus vary dail	y and include	e at least one	traditional me		ng period. n requirement				
Evidence		E.g., menus	Q _	E.g., attendance at meals	E.g., C	Community advice	o _		Not es	sential
Action to im	nprove performance	Э								
Explanation	of evidence						v	v	<b>.</b>	ole
							Fully complies	Partly complies	Does not comply	Not applicable
000 14							<u> </u>	Pa CO	<u>0</u> 0	a R
				ally grown food ush meats prof						
					<b>☑</b> Minimun	n requirement				
Evidence	E.g., re	ceipts from local providers	Q	E.g., purchasing		E.g., Community advice	<b>o</b> _			
O PI	ace images here (	e.g., sample of fo	ood supplies)		Description of evi	dence shown				
Action to im	nprove performance	e								
Explanation	of evidence						Sel	ies	y v	able
							Fully complies	Partly complies	Does not comply	Not applicable
6.2.7 D	essert and/or	fruit forms	part of each	meal.				_		
					<b>☑</b> Best pra	ctice requirem	ent			Ш
Evidence	E.	g., job statement	Q	E.g., provider performance		E.g., Community advice	<b>O</b>		Not es	sential
Action to im	nprove performance	Э								

Explanatio	n of evidence						Fully	Partly complies	Does not comply	Not applicable
							Fully	Pa	000	a Se
6.2.8 F	ood prepai	ration and dining	g areas ar	re maintained in a		e at all times. num requirement				
Evidence		E.g., No complaints	Qn	E.g., provider performance		E.g., Community advice	O n			
P	Place images h	ere (e.g., kitchen area			Description of	evidence shown				
Action to ir	mprove perforn	nance								
Explanatio	n of evidence						Fully complies	Partly complies	Does not comply	Not applicable
6.2.9 Fo	ood prepar ately after o	ation and dining lining periods).	utensils a	are cleaned thoro		use (i.e. cleane num requirement				
Evidence		E.g., client feedback	Qn	E.g., provider performance		E.g., Community advice	O n		Not es	sential
Action to ir	mprove perforn	nance								
Explanatio	n of evidence						Fully	Partly complies	Does not comply	Not applicable
		ce providers was od preparation.	h their ha	ands with soap in		before and num requirement				
Evidence		E.g., client fedback	Q	E.g., availability of soap, clean water and towel		E.g., Community advice	<b>o</b> _		Not es	sential
Action to ir	mprove perforn	nance								

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
6.2.11 Food is stored in clean containers, which are kept in good order.   Minimum requiremment				
			Not es	sential
Action to improve performance				
Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
	Full	Part	Doe	Not
6.2.12 Animals (domestic and pest) are kept out of food storage, cooking and dining areas.				
			Not es	sential
Action to improve performance				
Explanation of evidence	S	S	t .	ple
	Fully complies	Partly complies	Does not comply	Not applicable
6.2.13 Opportunities exist for tourists to participate in meal preparation and to learn traditional cooking techniques.				
E.g., advertising E.g., visitor participation in meal preparation			Not es	sential
Action to improve performance				
Explanation of evidence	10	10	_	<u>e</u>
	Fully complies	Partly complies	Does not comply	Not applicable
6.2.14 A quality control and improvement system exists, including a system for visitor feedback on the dining experience, and visitors are actively encouraged to participate in the feedback process.				
Evidence E.g., feedback form E.g., provider behaviour members			Not es	sential

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
6.2.15 Visitor dietary preferences are accommodated.				
Evidence E.g., welcome note E.g., signage E.g., advice of members			Not ess	ential.
Action to improve performance				
Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
6.2.16 Maximum use is made of natural bio-degradable products when serving and packaging food (e.g. banana leaves).				
Evidence E.g., meal service E.g., advice of members			Not es	sential
Action to improve performance				

# Supplementary photographic evidence for Sub-criterion 6.2



## Summary assessment for Criterion 6: Quality food and beverage services

Sub-Criter	ia	Fully complies	Partly complies	Does not comply	Not applicable
Sub-criterion 6.1: Ensuring food and	Minimum requirement count				
beverage service provider quality and expertise	Advanced requirement count				
'	Best practice requirement count				
Sub-criterion 6.2: Managed food and	Minimum requirement count				
beverage services for quality	Advanced requirement count				
Totals for minimum requirement indicators					
Totals for	or advanced requirement indicators				
Totals for b	est practice requirement indicators				

# Recommendations for improving performance for Criterion 6: Quality food and beverage services

Indicator	Action
Auditor's signature CBT represe	entative signature
	_
CBT Admin Authority representative signature	Date

### 3.7. Criterion 7: Quality accommodations

### 3.7.1. Sub-criterion 7.1: Ensuring accommodation service provider quality

			Fully complies	Partly complies	Does not comply	Not applicable
7.1.1 Accommodation providers knowledge of accommodation s accommodations for targeted m	ervice delivery and the ap		ent 🗆			
E.g., job description	E.g., home stay inspection	E.g., Community advice	O _		Not es	sential
Action to improve performance						
Explanation of evidence			Fully	Partly complies	Does not comply	Not applicable
7.1.2 Accommodation providers developing sound knowledge of local environment, culture and sexperiences.	how to deliver quality acc	ommodation services, an				
Evidence	English the second seco				Motor	
	E.g., provider performance	E.g., Community advice	<b>O</b> _		NOL 62	sential
Action to improve performance	E.g., provider performance				NOT es	sential 
	E.g., provider performance				NOT 68:	sential
	E.g. provider performance		<u>se</u>	Partly complies	Does not comply	
Action to improve performance	s operate within the guidel	ines and regulations of th	e e s, a complies	Partly complies	not ly	Not applicable
Action to improve performance  Explanation of evidence  7.1.3 Accommodation providers CBT initiative and have signed	s operate within the guidel	ines and regulations of the T Accommodation Provide	e e s, a complies	Partly complies	not ly	Not applicable

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
7.1.4 Accommodation providers supply safe and clean accommodation opportunities for visitors to experience community life and for knowledge exchange between hosts and guests.				
Evidence E.g., client feedback E.g., inspections E.g., Community advice				
Place images here (e.g., room)  Description of evidence shown				
Action to improve performance				
Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
7.1.5 Accommodation providers are certified under any relevant standard produced for the purposes of improving accommodation services (e.g. ASEAN Homestay Standard).				
Evidence E.g., welcome note E.g., signage E.g., advice of members			Not es	sential
Action to improve performance				
Explanation of evidence	S	es	ot	able
	Fully complie	Partly compli	Does r	Not applicable
7.1.6 Accommodation providers have access to ongoing capacity building and training opportunities to increase their skills and knowledge of: accommodation and housekeeping, food preparation hygiene, hospitality service standards, cross cultural communication; first aid and safety, authentic local cultural traditions, environmental protection, the guidelines and regulations of the CBT initiative, and any other area deemed necessary by the CBT Committee.				
Evidence E.g., meal service E.g., advice of members			Not es	sential
Action to improve performance				

# Supplementary photographic evidence for Sub-criterion 7.1

Evidence	Details	
Ö	Place images here	Description of evidence shown

### 3.7.2. Sub-criterion 7.2: Managed accommodations for quality

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
7.2.1 Accommodations are provided within the objectives, guidelines, regulations and codes of conduct of the CBT initiative.				
Evidence E.g., signed codes of conduct E.g., accommodations inspection E.g., Community advice			Not ess	sential
Action to improve performance				
Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
	Fully	Pal	00 00 00 00	No
7.2.2 A clearly defined and documented visitor booking system exists for visitors to the CBT central area and accommodations.				
			Not ess	sential
Action to improve performance				
Explanation of evidence	lies	lies	not <sup>j</sup> y	able
	Fully complies	Partly complies	Does no comply	Not applicable
7.2.3 An up-to-date log of arrivals, departures and returns to the CBT central area is maintained.				
Evidence E.g., log book E.g., Community advice			Not ess	sential
Action to improve performance				
Explanation of evidence	S	ies	not ly	ple
	Fully complies	Partly compli	Does n	Not applicable
7.2.4 Visitors are informed on arrival of safety, security and behavioural requirements.				
Evidence E.g., standard procedures manual procedures manual E.g., welcome service E.g., welcome service advice			Not ess	sential
Action to improve performance				

7.2.5 Purpose-built structures for visitor use are attractive and appropriate to meeting tourist expectations and basic safety standards.  Withinimum requirement  Evidence  Eg. inspection  Description of evidence shown  Action to improve performance  Explanation of evidence  Explanation of evidence  T.2.6 Bathrooms and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations.  Evidence  Eg. inspection  Eg. inspection  Action to improve performance  Explanation of evidence  Total Community advice and appropriate to meeting to information and properties and
Place images here (e.g., structures)  Description of evidence shown  Action to improve performance  Explanation of evidence  T.2.6 Bathrooms and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations.  Eddence  Eg., inspections  Reg., community
Action to improve performance  Explanation of evidence  Septential September 1  Action to improve performance  To Action to improve performance  September 2  Action to improve performance  September 3  Action to improve performance  September 3  Action to improve performance  September 4  Action to improve performance  Action to improve performance  September 4  Action to improve performance  Action to improve performance  September 4  Action to improve performance  Action to improve p
Explanation of evidence  7.2.6 Bathrooms and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations.    Minimum requirement
7.2.6 Bathrooms and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations.     Minimum requirement
7.2.6 Bathrooms and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations.   Minimum requirement  Evidence  E.g., inspections  E.g., Community
7.2.6 Bathrooms and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations.    Minimum requirement  Evidence  E.g., inspections  E.g., Community
use within all accommodations.    Minimum requirement
Evidence E.g., inspections E.g., Community
Place images here (e.g., bathroom)  Description of evidence shown
Action to improve performance

Explanation of evidence			Fully	Partly complies	Does not comply	Not applicable
7.2.7 All accommodations, espec serviced daily.		✓ Minimum requirement				
Evidence E.g., daily servicing procedure	E.g., inspections	E.g., Community advice	O _		Not ess	sential
Action to improve performance						
Explanation of evidence			Fully complies	Partly complies	Does not comply	Not applicable
				Part	Com	Not app
7.2.8 Bathrooms and toilets include toilets include toilet paper and a sa	ınitary bin.	☑ Minimum requirement				
Evidence	E.g., inspection	E.g., Community advice	<b>O</b>			
Action to improve performance						
Explanation of evidence			lies	lies	not <sup>I</sup> y	able
			Fully	Partly complies	Does no comply	Not applicable
7.2.9 Toilets are of either squattir consideration given to client preference.	rences and local norms.	☑ Minimum requirement				
Evidence	E.g., home stay inspection	E.g., Community advice	<b>O</b>		Not ess	ential.
Place images here (e.g., bathroom)		Description of evidence shown				
Action to improve performance						

Explanatio	n of evidence			Fully complies	Partly complies	Does not comply Not applicable
	The CBT area is maintaine ous species.	ed in a clean condition that ı	minimises threats fron			
Evidence		E.g., inspection	E.g., Comm a	unity dvice		Not essential.
F	Place images here (e.g., bathroom)		Description of evidence show	vn		
Action to ir	mprove performance					
Explanatio	n of evidence			Fully	Partly complies	Does not comply Not applicable
7.2.11 I guests.	Materials are available to c	over basic communication n	eeds between hosts a  '' Minimum require			
Evidence	E.g., signage	E.g., signage	E.g., Comm	unity dvice		Not essential
Action to ir	nprove performance					
Explanatio	n of evidence			Fully	Partly complies	Does not comply Not applicable
7.2.12 / and stru	A torch is available for nigh actures built for visitor use.	t use in all accommodations	<b>☑</b> Minimum require	ment $\Box$		
Evidence		E.g., inspection	E.g., Community a			
Action to in	mprove performance					

			Fully	Partly complies	Does not comply	Not applicable
7.2.13 All CBT accommodation security and safety of visitors are (visitors are to be informed of the	nd their belongings	ve procedures to ensure  Minimum requiremm				
Evidence	E.g., visitor arrival orientation	E.g., Community advice			Not es	sential
Action to improve performance						
Explanation of evidence			Fully complies	Partly complies	Does not comply	Not applicable
7.2.14 A contingency plan exist guest, missing or lost guest, dis or injury to a guest or adverse w	ruptive or undesirable bel		dent 🗌			
Evidence E.g., written plan	Q	E.g., Community advice	O _		Not es	sential
Action to improve performance						
Explanation of evidence			Fully complies	Partly complies	Does not comply	Not applicable
7.2.15 All CBT accommodation and staff use and checked week or replenished on use.		clude a first aid kit for gue	st	Partly complies	Does not comply	Not applicable
7.2.15 All CBT accommodation and staff use and checked weel	kly for completeness  E.g., inspection		st	Partly complies	Not ess	
7.2.15 All CBT accommodation and staff use and checked weel or replenished on use.  Evidence E.g., written operations	kly for completeness  E.g., inspection	Minimum requiremen	st 🔲	Partly complies	Does comp	
7.2.15 All CBT accommodation and staff use and checked weel or replenished on use.  Evidence  Evidence  E.g., written operations procedure	kly for completeness  E.g., inspection	Minimum requiremen	st 🔲	Partly Complies Complies	Does comp	
7.2.15 All CBT accommodation and staff use and checked weel or replenished on use.  Evidence	E.g., inspection  E.g., inspection  as and visitor use areas aped in the food and beveraged	Minimum requirements.  E.g., Community advice	st t t T T T T T T T T T T T T T T T T T	lies	Not ess	sential
7.2.15 All CBT accommodation and staff use and checked weel or replenished on use.  Evidence  E.g., written operations procedure  Action to improve performance  Explanation of evidence  7.2.16 All CBT accommodation of hygiene and cleanliness states	E.g., inspection  E.g., inspection  as and visitor use areas aped in the food and beverage commodation.  E.g., inspection	Minimum requirement E.g., Community advice	st t t T T T T T T T T T T T T T T T T T	lies	Not ess	Not applicable

Explanation of evidence					Fully complies	Partly complies	Does not comply	Not applicable
7.2.17 A quality control and imprefeedback on accommodations, ar feedback process.	ovement system and visitors are a	m exists, inclu actively encou	raged to partic	for visitor ipate in the d requirement				
E.g., feedback survey	Q	E.g., visitor participation		E.g., advice of members	<u> </u>		Not es	sential
Action to improve performance								
Explanation of evidence					Fully complies	Partly complies	Does not comply	Not applicable
7.2.18 Subject to functional requ traditions	iirements, built	t structures for		et local building ed requirement				
Evidence	Qn	E.g., inspection		E.g., advice of			Not ess	ential.
Place images here (e.g., buildings)  Action to improve performance			Description of evi	idence shown				
Explanation of evidence					Fully complies	Partly complies	Does not comply	Not applicable
7.2.19 Built structures for visitors required (this particularly applies tany special tourist use areas).				ide signs as m requirement				
Evidence	Q	E.g., signage		E.g., advice of members	<b>o</b> 🗆		Not es	sential
Action to improve performance								

Explanation of evidence					Fully	Partly complies	Does not comply	Not applicable
7.2.20 Built structure interpretive display or	s do not include part of local cu	wild animal destom.		where part of a	n 🗆			
Evidence	Q	E.g., in	spection	E.g., advice of members	<b>O</b> _		Not es	sential
Action to improve performance								
Explanation of evidence					Fully	Partly complies	Does not comply	Not applicable
7.2.21 Adequate light use.	ting and ventilat	ion is provided		ructures for visit	tor			
Evidence	Q	E.g., ir	nspection	E.g., advice of members	<b>O</b>		Not es	sential
Explanation of evidence					seiles	/ olies	not oly	cable
7.2.22 Structures are						Partly complies	Does not comply	Not applicable
significant site, unless	s historically in the		<b>☑</b> Advar	nced requirement		Ц	Ц	Ц
Evidence	Q	E.g., in	spection	E.g., advice of members	<b>o</b> _		Not es	sential
Action to improve performance	)							
Explanation of evidence					Fully complies	Partly complies	Does not comply	Not applicable
7.2.23 Farm animals	cannot enter st	ructures used		nced requirement				
Evidence	Q	E.g., in	spection	E.g., advice of members	<b>O</b> _		Not es	sential
Action to improve performance			,					

Explanation of evidence				Fully	Partly complies	Does not comply	Not applicable
7.2.24 Parking and signage is a	vailable for v	isitor use and	d requirement				
Evidence	Q _	E.g., inspection	E.g., advice of members	<b>o</b> _		Not ess	ential
Action to improve performance							
Explanation of evidence				Fully	Partly complies	Does not comply	Not applicable
7.2.25 All CBT accommodation therefore competent in using firs		e trained in ba	nd are d requirement				
Evidence E.g., training log	Q		E.g., advice of members	<b>o</b> _		Not ess	ential
Action to improve performance							
Explanation of evidence				Fully complies	Partly complies	Does not comply	Not applicable
7.2.26 All CBT accommodation emergency procedures, displayed			I fire and I requirement				
Evidence E.g., documented procedures	Q	E.g., inspection	E.g., advice of members	<b>o</b> 🗆		Not ess	ential
Action to improve performance			·				
Explanation of evidence				Fully complies	Partly complies	Does not comply	Not applicable
7.2.27 The family and cross-cult	ture experien	ce is emphas	ctice requireme	nt			
Action to improve performance	Q	E.g., experience	E.g., advice of members	<b>o</b> _		Not ess	ential

# Supplementary photographic evidence for Sub-criterion 7.2

Evidence	Details	
	Place images here	Description of evidence shown
O	Flace Illiages liele	Description of evidence shown

## **Summary assessment for Criterion 7: Quality accommodations**

Sub-Criteri	Fully complies	Partly complies	Does not comply	Not applicable	
Sub-criterion 7.1: Ensuring accommodation	Minimum requirement count				
service provider quality and expertise	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 7.2: Managed	Minimum requirement count				
accommodations for quality	Advanced requirement count				
	Best practice requirement count				
Totals for r	minimum requirement indicators				
Totals for advanced requirement indicators					
Totals for b	est practice requirement indicators				

## Recommendations for improving performance for Criterion 7: Quality accommodations

Indicator	Action
Auditor's signature CBT represe	entative signature
CPT Admin Authority representative signature	Data
CBT Admin Authority representative signature	Date

## 3.8. Criterion 8: Performance of CBT Friendly Tour Operators

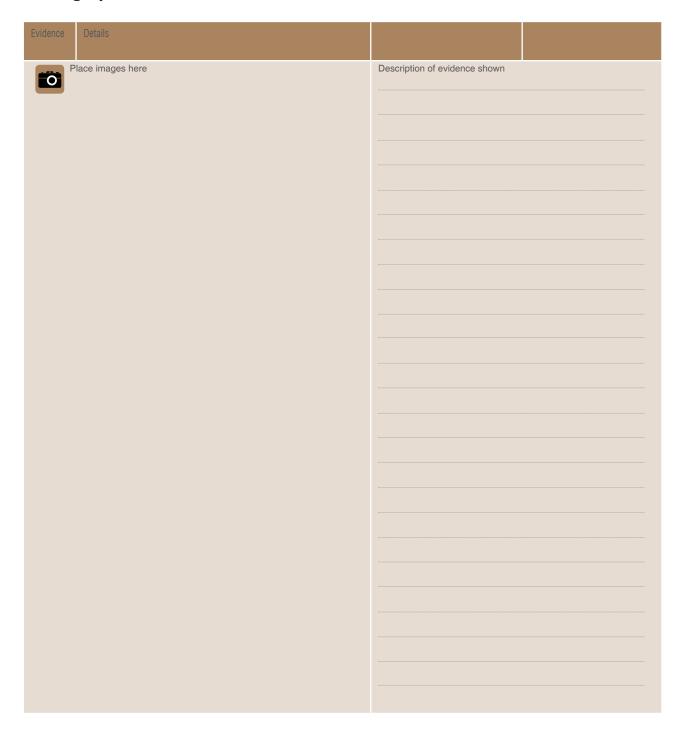
#### Sub-criterion 8.1: Commitment to CBT ideals 3.8.1.

Explanation of evidence			Fully complies complies	Does not comply Not applicable
8.1.1 FTOs are certified under improving tour operations (e.g., Standard).	any relevant standard pro ASEAN Ecotourism	duced for the purposes of  Minimum requiremme	ent	
E.g., copy of certificate		E.g., FTO advice	O _	Not essential
Action to improve performance				
Explanation of evidence			Fully complies Partly complies	Does not comply Not applicable
8.1.2 FTOs meet all necessary		ements.   Minimum requirement	. 00	
E.g., copy of licenses	Q	E.g., FTO advice		Not essential
Action to improve performance				
Explanation of evidence			Fully complies Partly complies	Does not comply Not applicable
8.1.3 Clearly defined and document the guidelines and regulations of	staff to operate within	between FTOs and the CE		
Evidence E.g., signed agreements	(38)	E.g., Community advice	<b>O</b> _	Not essential
Action to improve performance				
Explanation of evidence			Fully complies Partly complies	Does not comply Not applicable
8.1.4 FTOs and staff have sign Operator's Code of Conduct.		☑ Minimum requiremme	ent 🗆 🗆	
E.g., copies of signed codes of conduct	Q	E.g., Community advice	O _	Not essential
Action to improve performance				

Explanation	n of evidence						Fully	Partly complies	Does not comply	Not applicable
8.1.5 Worganis		able, FTOs are	e members o	of an appropr		um requiremme	nt 🗆			
Evidence		E.g., membership card	Q			E.g., Community advice			Not es	sential
Action to in	mprove performa	ance								
Explanation	n of evidence						Fully	Partly complies	Does not comply	Not applicable
knowled	dge of susta	ainable tourisn	n and how to	deliver qual	ity tour servi	veloping, sour ces relating to ced requirement				
Evidence		E.g., training log	Q			E.g., advice of members	0 _		Not es	sential
Action to in	mprove performa	ance								
Explanation	n of evidence						S	S	t	ble
							Fully complies	Partly complies	Does not comply	Not applicable
017 5	TOo and at	off provide co	fo opportuni	tion for vicitor	o to ovnorio	nce communit		<u> </u>	۵۵	Žĕ
		dge exchange			ts.	ced requirement				
Evidence		E.g., documented procedures	Q _	E.g., inspections		advice of members	O _		Not es	sential
Action to in	mprove performa	ance	• 🗀	_				7		
Explanation	n of evidence						Ñ	ő	<b>+</b>	ole See
							Fully complies	Partly complies	Does no comply	Not applicable
0.4.0.5						-i ODT -		Pa CO	<u> </u>	a N
		e employees one day a year/		communities		ning on CBT a ractice requirem				
Evidence			Q	E.g., experience		E.g., advice of members			Not es	sential
Action to in	mprove performa	ance								



## Photographic evidence for Sub-criterion 8.1



#### 3.8.2. Sub-criterion 8.2: Contribution to community and nature protection

				Fully	Partly complies	Does not comply	applicable
8.2.1 FTOs demonstrate respective behaviour in environmentally set while in the community.	ct for CBT nsitive area	as and	☑ Minimum requiremm				
Evidence	Q	E.g., FTO operations	E.g., Community advice			Not esser	ntial
Action to improve performance							
Explanation of evidence				Fully	Partly complies	Does not comply	applicable
8.2.2 FTOs and staff have a sol site and local conditions.	und knowle		☑ Minimum requiremen	nt 🗆			
Evidence	Q _	E.g., FTO operations	E.g., Community advice			Not esser	ntial
Action to improve performance							
Explanation of evidence							
				Fully	Partly complies	Does not comply	applicable
8.2.3 FTOs demonstrate best p (e.g., use of energy efficient prominimisation and recycling).			nagement in their operati	ions	Partly complies	Does not comply	applicable
(e.g., use of energy efficient prod				ions	Partly complies	Not essen	_
(e.g., use of energy efficient proc minimisation and recycling).		ste	☑ Minimum requiremen	ions	Partly complies		_
(e.g., use of energy efficient prod minimisation and recycling).		ste	☑ Minimum requiremen	ions	Partly Complies	Not esser	_
(e.g., use of energy efficient procuminimisation and recycling).  Evidence  Action to improve performance	Q _	E.g., FTO operations	Minimum requirement E.g., Community advice	ions Int Complies	les	Not esser	ntial
(e.g., use of energy efficient production minimisation and recycling).  Evidence  Action to improve performance  Explanation of evidence	Q _	E.g., FTO operations	Minimum requirement E.g., Community advice	Lent Fully and the second seco	les	Not esser	applicable

Explanation of evidence	Fully complies	Partly complies	Does not comply	Not applicable
	Fully	Par	Doo	Not
8.2.5 FTOs consult with the CBT Committee and the community if there is a risk that activities might result in direct environmental or social impact.				
Evidence E.g., advice of members	O _		Not es	sential
Action to improve performance				
Evaluation of evidence				
Explanation of evidence	lies	/ lies	not S	cable
	Fully complies	Partly complies	Does not comply	Not applicable
8.2.6 FTOs take away all solid waste generated from products it brings into the CB	т _			
area.		Ш	Ш	Ш
Evidence E.g., FTO operations E.g., advice of members	O _		Not es	sential
Action to improve performance				
Explanation of evidence	Se	Se	t .	ble
	Fully complies	Partly complies	Does not comply	Not applicable
8.2.7 FTOs provide visitors with nature, culture and community experiences that	<u>E 8</u>	<u> </u>	۵۵	ŽË
respect and apply a minimized disturbance policy.     Advanced requirement				
Evidence E.g., FTO operations E.g., advice of members	O		Not es	sential
Action to improve performance				_
Explanation of evidence	ဖွ	Ñ	<b>*</b>	əle
	Fully complies	Partly complies	Does not comply	Not applicable
	<u> </u>	Pa	88	a Se
8.2.8 FTOs and staff are actively involved in, or contribute to, CBT projects.				
Evidence E.g., FTO working with E.g., advice of				
the community members	Ö		Not es	sential
	Ö _		Not es	sential

Explanation of evidence			Fully complies	tly	Does not comply	Not applicable
			Fully	Partly comp	Doe	Not
8.2.9 FTOs work with the commoffered by providing client feedby		ity services and products  Advanced requiremen	t 🗆			
Evidence E.g., feedback report	Q _	E.g., advice of members	<b>O</b> _		Not ess	sential.
Action to improve performance						
Explanation of evidence			ies	lies	not V	able
			Fully	Partly comp	Does not comply	Not applicable
8.2.10 FTOs support the CBT (from indigenous and/or local pe		guides and wildlife range	rs			
		☑ Best practice requiren	nent			
Evidence E.g., training notes	E.g., training programs	E.g., advice of members			Not es	
Action to improve performance						
Explanation of evidence			g	S	Ħ	ple
			Fully complies	Partly complie	Does not comply	Not applicable
				<u>a</u> 8	۵۵	Žĕ
8.2.11 To the greatest extent poservices prior to and after visiting		endly accommodation and  Best practice requiren				
Evidence	Q	E.g., advice of FTO and CBT members			Not es	sential
Action to improve performance						

# Photographic evidence for Sub-criterion 8.2



#### 3.8.3. Sub-criterion 8.3: Support for the local economy

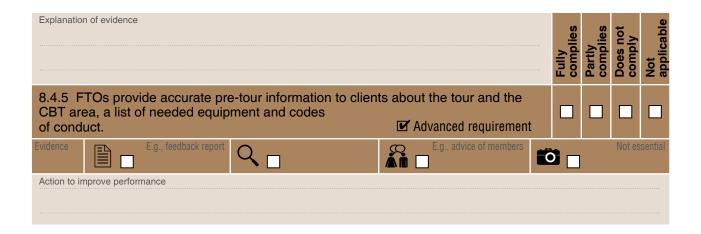
Explanation	of evidence					Fully	Partly complies	Does not comply	Not applicable
	TOs maximise use and p commodation, transport i			souver		nt 🗆			
Evidence			E.g., FTO operations		E.g., Community advice			Not ess	sential
Action to im	prove performance								
Explanation	of evidence					Fully	Partly complies	Does not comply	Not applicable
	TOs have an agreement nd procedures.	or contract v	with the comm		n CBT products, inimum requirement				
Evidence	E.g., signed contract	Q	E.g., FTO operations		E.g., Community advice			Not ess	sential
Action to im	prove performance								
Explanation	of evidence					Fully	Partly complies	Does not comply	Not applicable
8.3.3 F will incre	TOs provide advice to the case CBT income.	e CBT Comi	mittee on pote		lditional services the dvanced requirement				
Evidence	E.g., feedback report	Q			E.g., advice of members			Not ess	sential
Action to im	prove performance								
Explanation	of evidence					Fully complies	Partly complies	Does not comply	Not applicable
	TOs, staff and clients collage projects, education, c.).				evelopment work est practice requirem	ent			
Evidence		Q	E.g., FTO and CBT members working together		E.g., advice of members			Not ess	sential
Action to im	prove performance								

# Photographic evidence for Sub-criterion 8.3

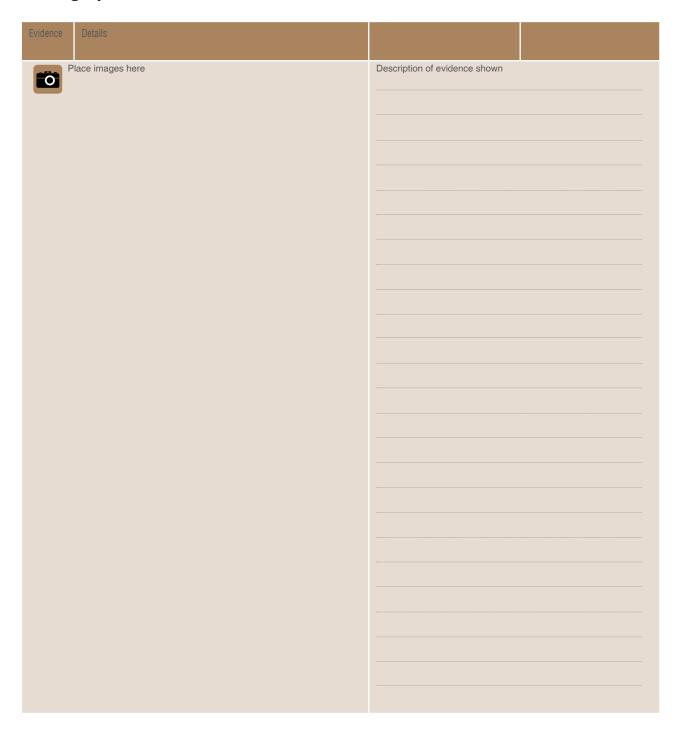
Evidence	Details	
Ö	Place images here	Description of evidence shown

#### 3.8.4. Sub-criterion 8.4: Promotion of joy of discovery, knowledge and respect

Explanation of evidence			Fully complies Partly complies	Does not comply Not applicable
8.4.1 In cooperation with local g nature interpretation, which gene cultural and natural values of the	erates respect for the	n quality guiding and culture  Minimum requiremme		
Evidence	E.g., FTO operations	E.g., Community advice		Not essential
Action to improve performance				
Explanation of evidence			Fully complies Partly complies	Does not comply Not applicable
8.4.2 FTOs explain codes of cor to treat local people with respect damage.		al 🗹 Minimum requirement		
Evidence	E.g., FTO operations	E.g., Community advice		Not essential
Action to improve performance				
Explanation of evidence			Fully complies Partly complies	Does not comply Not applicable
8.4.3 Through agreement with the on the carrying capacity of the viexperiences to clients that minimizent community.	sited site with the object			
Evidence	E.g., FTO operations	E.g., Community advice		Not essential
Action to improve performance				
Explanation of evidence			Fully complies Partly complies	Does not comply Not applicable
8.4.4 FTOs have sound knowled and transfers this knowledge to t guides and tour leaders.		☑ Advanced requirement		
Evidence E.g., feedback report	Q	E.g., advice of members		Not essential
Action to improve performance				



## Photographic evidence for Sub-criterion 8.4

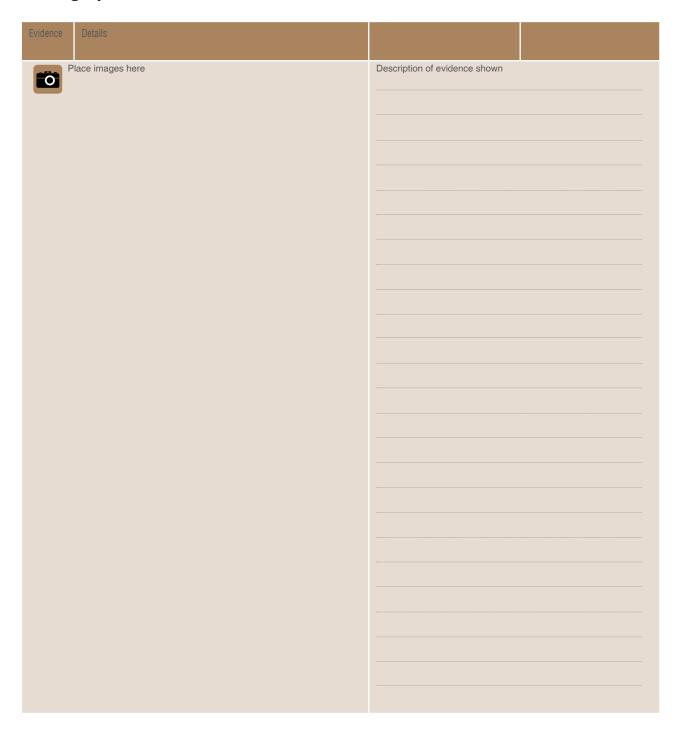


#### 3.8.5. Sub-criterion 8.5: Satisfying and safe experiences for tourists and the community

Explanation of evidence				Fully	Partly complies	Does not comply	Not applicable
8.5.1 FTOs encourage their clie	nts to have	e travel insuran	Minimum requiremme	ent 🗆			
Evidence	Q	E.g., FTO operations	E.g., Community advice	<b>o</b> _		Not es	sential
Action to improve performance							
Explanation of evidence				Fully complies	Partly complies	Does not comply	Not applicable
8.5.2 FTOs ensure high risk act	ivities are g	guided by spec	ifically trained and skilled	Що	ن ۵	ت ۵	Z @
staff, assisted by CBT guides.			Minimum requirement		Ш	Ш	Ш
Evidence	Q	E.g., FTO operations	E.g., Community advice	<b>o</b> _		Not es	sential
Action to improve performance							
Explanation of evidence				lies	lies	not <sup>j</sup> y	Not applicable
				Fully complies	Partly complies	Does not comply	Not appli
8.5.3 FTOs practice responsible expectations of CBT areas and a		that creates a	ppropriate customer  Minimum requirement				
Evidence	Q	E.g., FTO operations	E.g., Community advice			Not es	sential
Action to improve performance							
Explanation of evidence				es	es	ot /	ple
				Fully complies	Partly compli	Does not comply	Not applicable
8.5.4 FTO staff are trained in first	st aid, inclu	uding CPR.	Advanced requirement				
Evidence E.g., feedback report	Q		E.g., advice of members			Not es	sential
Action to improve performance	•						



## Photographic evidence for Sub-criterion 8.5



**Summary assessment for Criterion 8: Performance of CBT Friendly** 

I our Operators					
Sub-Criteri	Fully complies	Partly complies	Does not comply	Not applicable	
Sub-criterion 8.1: Commitment to CBT	Minimum requirement count				
ideals.	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 8.2: Contribution to	Minimum requirement count				
community and nature protection.	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 8.3: Support for the local economy.	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 8.4: Promotion of joy of	Minimum requirement count				
discovery, knowledge and respect.	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 8.5: Satisfying and safe	Minimum requirement count				
experience for tourists and the community.	Advanced requirement count				
•	Best practice requirement count				
Totals for minimum requirement indicators					
Totals fo	or advanced requirement indicators				
Totals for be	est practice requirements indicators				

# Recommendations for improving performance for Criterion 8: Performance of Friendly Tour Operators (CBT FTO)

Indicator	Action
Auditor's signature CBT represe	ntative signature

# **Summary assessment**

Sub-Criteri	Fully complies	Partly complies	Does not comply	Not applicable	
Criterion 1: Community ownership and	Minimum requirement count				
management	Advanced requirement count				
	Best practice requirement count				
Criterion 2: Contribution to social well-being	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Criterion 3: Contribution to conserve and	Minimum requirement count				
improve the environment	Advanced requirement count				
	Best practice requirement count				
Criterion 4: Encouragement of interaction	Minimum requirement count				
between the local community and guests	Advanced requirement count				
	Best practice requirement count				
Criterion 5: Quality tour and guiding service	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Criterion 6: Quality food and beverage	Minimum requirement count				
services	Advanced requirement count				
	Best practice requirement count				
Criterion 7: Quality accommodations	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Criterion 8: Performance of CBT Friendly	Minimum requirement count				
Tour Operators (CBT FTO)	Advanced requirement count				
	Best practice requirement count				
Totals	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				

Auditor's signature	CBT representative signature
CRT Admin Authority representative signature	Date

# Independent auditor's recommendation

	the available evidence, I declare that the assessment made of the name)						
CBT initiative against the ASEAN CBT Standard The assessment indicates that the CBT initiative							
meets 70% of Minimum requirements and criterion;	I 60% of Advanced requirements for each						
does not meet 70% of Minimum requirement each criterion.	ents and 60% of Advanced requirements for						
Therefore, the CBT initiative is recommende meeting the ASEAN Community Based Tourism S	ed (or is notrecommended)for certification as tandard.						
Signature of CBT assessor	Signature of CBT Administration Authority assessor						
Date	Date						
Office use only  CBT Administration Authority recommends	ation						
Certify the CBT as meeting the ASEAN C	Community Based Tourism Standard						
Date	Authorised officer's name and signature						
National Tourism Organisation approval							
Certify the CBT as meeting the ASEAN C	Community Based Tourism Standard						
Date							
CBT register has been updated	Date						
CBT certification notification and certification	ite has been forwarded to the CBT initiative						
Date	Officer's name and signature						



# IV

# ASEAN Community Based Tourism Standard Community Workbook



## 1. CBT Concept, Definition, and Principles

#### 1.1 The CBT Concept

Internationally, the tourism economic sector is dominated by small businesses that provide goods and services to a visiting tourist clientele. Community based tourism (CBT) is a form of tourism that seeks to empower communities to manage tourism growth and achieve community goals relating to well-being and economic, social and environmental sustainable development. Therefore, CBT not only involves a partnership between tourism businesses and the community to deliver benefits to both, but also community (and external) support for small tourism enterprises, which in turn commit to providing support for community projects that improve collective well-being.

CBT empowers local communities to determine and secure their socio-economic futures through fee-for-service activities that usually: present and celebrate local traditions and lifestyle; conserve natural and cultural resources; and foster equitable and mutually beneficial host-guest interaction. CBT usually caters for niche markets such as adventure tourism, cultural tourism, eco-tourism and agri-tourism, but draws on local products and services to spread the economic benefit from engaging in tourism.

#### 1.1.1 **CBT Definition**

Community Based Tourism (CBT) is tourism activity, community owned and operated, and managed or coordinated at the community level that contributes to the well-being of communities through supporting sustainable livelihoods and protecting valued socio-cultural traditions and natural and cultural heritage resources.

#### 1.1.2 **CBT** Principles

Based on the above definition, CBT must:

- 1. Involve and empower community to ensure ownership and transparent management,
- 2. Establish partnerships with relevant stakeholders,
- 3. Gain recognised standing with relevant authorities,
- Improve social well-being and maintenance of human dignity. 4.
- 5. Include a fair and transparent benefit sharing mechanism,
- Enhance linkages to local and regional economies,
- 7. Respect local culture and tradition,
- 8. Contribute to natural resource conservation,
- Improve the quality of visitor experiences by strengthening meaningful host and quest interaction, and
- 10. Work towards financial self-sufficiency.

These principles are integrated in the performance standards as criteria, sub-criteria and indicators.

#### **ASEAN CBT Community Workbook** 2.

#### 2.1 Objectives and Uses of the Workbook

The ASEAN CBT Community Workbook is based on the ASEAN CBT Standard. The objective of this Workbook is to enable CBT initiatives to self-assess their performance and achievement towards meeting the requirements for Certification. Assessment is based on the degree to which a CBT initiative meets the quality requirements specified in the ASEAN CBT Standard. This self-assessment is used also by the National Tourism Organisation in registering and endorsing the CBT initiative.

#### 2.2. ASEAN CBT Community Workbook Scope

The ASEAN CBT Standard and Community Workbook provide umbrella performance indicators for the coordinated management of tourism products offered by communities under the organisation of a CBT Committee. Specific product standards adopted by ASEAN and relevant to CBT initiatives (e.g., the ASEAN Homestay Standard) form an integral part of the ASEAN CBT Standard. The Workbook also includes Codes of Practice for CBT Members, Guides, Food and Beverage Providers, Accommodation Providers and Friendly Tour Operators.

The intent of the ASEAN CBT Standard is not to exclude communities from being recognised as ASEAN community based tourism initiatives, but to provide direction to communities on the quality of service needed to assure tourists that they can expect a consistent level of quality and service across ASEAN-endorsed CBT initiatives.

### **Codes of Conduct**

Included with, and forming part of the Standard are Codes of Conduct for CBT Members, Guides, Food and Beverage Service Providers, Accommodation Providers and Friendly Tour Operators (Appendices 1 to 5).

## 2.3. Workbook Definitions

Assessment criteria .Criteria (see below) and sub-criteria are situations or outcomes

> desired for a CBT initiative. Meeting of each criterion or sub-criterion is determined by assessment of indicators (see below). Assessment

of indicators is based on judgement of compliance levels.

**CBT** accommodation Any structure and its surrounds provided within the CBT area for

use by visitors. It includes home stay accommodation and central

facilities.

**CBT** Accommodation **Providers** 

CBT Members who provide accommodation services, including homestay, for visitors to a CBT area and who have committed to the ASEAN CBT Accommodation Provider's Code of Conduct (Appendix 4).

**CBT** Administration Authority

An organisation in each ASEAN country given the responsibility by government of supporting CBT initiatives and administration of CBT assessments. This organisation may be the Government's tourism organisation or National Tourism Organisation.

CBT central area

An area or building established for welcoming visitors and administrative functions of the CBT initiative.

**CBT** Committee

Shortened version of Community Based Tourism Management Committee, which consists of CBT Members elected by the community to represent their interests in CBT initiatives, and coordinate and manage related activities.

**CBT** Food and **Beverage Providers**  CBT Members who provide food and beverage services for visitors to a CBT area and who have committed to the ASEAN CBT Food and Beverage Provider's Code of Conduct (Appendix 3).

**CBT Friendly Tour** Operator (FTO)

A responsible tour operator who: (1) brings tourists to a CBT area; (2) demonstrates care for the sustainability of nature and culture of the CBT area; (3) supports the economic and social development of the local community; and who has committed the ASEAN CBT Friendly Tour Operator's Code of Conduct (Appendix 5).

**CBT Guides** 

CBT Members who provide tours and activities for visitors to a CBT area and who have committed to the ASEAN CBT Guide's Code of Conduct (Appendix 2).

**CBT** initiative

Any activity or group of activities undertaken by the CBT Members and managed by the CBT Committee.

**CBT Members** 

Members of a community participating in CBT Committee activities and who have committed to the CBT Members Code of Conduct (Appendix 1).

**CBT** stakeholders

Any individual, group, or organization that can affect or can be affected by CBT initiatives.

Criterion (plural criteria)

A desired outcome or condition of a CBT operation that can be assessed. Criteria can be divided into sub-criteria to suggest objectives or conditions needed to fulfil the desired outcome.

## Compliance level Evidence

The degree to which the nominated state of an indicator is met.

Proof that a CBT indicator is being achieved. Evidence may include quantitative measures (e.g. the level of profit identified in a financial statement may suggest the economic viability of a CBT activity) or qualitative measures (e.g. the level of community support may suggest the social viability of a CBT activity).

Government Tourism Organisation Indicator

The highest level of tourism administration established by each ASEAN state (e.g., Ministry, Department, National Tourism Organisation)

A condition that reflects a CBT criterion or sub-criterion.

Independent Auditor

An appointee of the CBT Administration Authority, but not from government, appointed to audit compliance with the ASEAN CBT Standards. They can be a tourism industry representative, an academic, a CBT committee member from an existing certified CBT initiative, or any person acknowledged by the CBT Administration Authority as having sufficient experience to provide objective advice and recommendations. Independent Auditors should have a relevant tourism qualification and at least 10-years' experience in the tourism sector.

Independent Auditors will receive training on the ASEAN CBT Standards and the certification process.

Independent auditors may be assisted by a government representative to ensure relevant laws and regulations that apply to CBTs are given appropriate consideration.

Measure

Something that reflects the state of a CBT indicator. A measure may be quantitative (e.g., a count of something compared with a benchmark) or qualitative (e.g., the quality and extent of systems and procedures for assuring effective management).

#### 2.4. Prerequisite Entry Requirement

For a CBT initiative in the ASEAN region to qualify for assessment and certification, it will have to meet the following basic conditions:

- An elected CBT Committee exists that can represent community interests outside the community and coordinate CBT activities within the community; and
- CBT Committee members must be free of a criminal record; and b.
- The CBT initiative includes CBT Members or Member sub-committees responsible for C. specific tourism products and services; and
- d. The CBT Committee has completed a self-assessment (using this Workbook); and
- The CBT initiative has been registered with the nominated home country CBT e. Administration Authority, based on the self-assessment; and
- The CBT initiative has been registered or has been operating for at least one year; and f.
- The CBT initiative has been endorsed by the CBT Administration Authority for assessment g. towards certification.

### **CBT Performance Criteria Summary** 3.

To evaluate the quality and performance of CBT initiatives, the ASEAN CBT Standard has been used to create a checklist of performance standards. The checklist is divided into eight criteria, 23 sub-criteria and 182 Indicators. Ninety-five of the indicators are Minimum requirements, 57 are Advanced requirements and 30 are Best practice requirements (Table 1). These are used by the CBT Committee in the registration, endorsement and certification processes. It is expected that CBT initiatives will seek to fully comply with all requirements over time.

Table 1 Summary criteria and indicators for ASEAN CBT initiatives

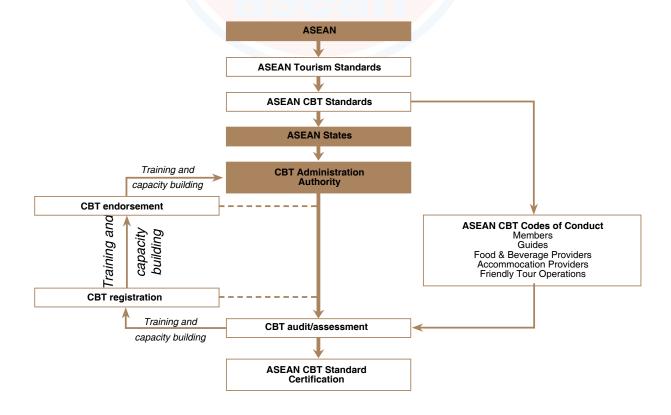
			v	Indje	ators	
	Criteria	Sub-criteria	Minimum requirements	Advanced requirement	Best practice requirements	Total
1	Community ownership and	1.1 Effective and transparent governance arrangements exist	5	2	0	7
	management	1.2 Legitimate establishment	2	0	0	2
		1.3 Effective and transparent management exists	5	2	1	8
		1.4 Effective partnerships exist	2	2	1	5
		Sub-total	14	6	2	22
2	Contribution to	2.1 Human dignity is maintained	2	1	1	4
	social well-being	2.2 Benefits and costs are shared equitably	1	1	1	3
		2.3 Links exist to regional economies	2	1	1	4
		2.4 Cultural integrity is maintained and valued cultural traditions are enriched	3	2	1	6
		Sub-total Sub-total	8	5	4	17
3	Contribution to	3.1 Natural resources are being conserved	1	2	1	4
	conserve and improve the 3.2 Conservation activities to improve the environment		4	1	2	7
	environment	Sub-total	5	3	3	11
4	Encouragement	4.1 Guest and local community interaction exists	2	3	3	8
	of interaction between the local community	4.2 Sustainability of Community-Based Tourism products	1	1	3	5
	and guests	Sub-total	3	4	6	13
5	Quality tour and	5.1 Ensuring local guide quality and expertise	3	2	1	6
	guiding services	5.2 Managed tours and activities to ensure quality	5	4	4	13
		Sub-total	8	6	5	19
6		6.1 Ensuring food and beverage service provider quality	3	2	1	6
		6.2 Managed food and beverage services to ensure quality	12	3	1	16
		Sub-total	15	5	2	22
7	Quality accommodations	7.1 Ensuring accommodation service provider quality	4	1	1	6
		7.2 Managed accommodations to ensure quality	16	10	1	27
		Sub-total	20	11	2	33

8	Performance of	8.1 Commitment to CBT ideals	5	2	2	9
CBT Friendly Tour Operators	8.2 Contribution to community and nature protection	4	5	2	11	
	8.3 Support for the local economy	2	1	1	4	
		8.4 Promotion of joy of discovery, knowledge and respect	3	2	0	5
		8.5 Satisfying and safe experiences for tourists and the community	2	2	1	5
		Sub-total	16	12	6	34
		Total	89	52	30	171

#### **CBT Registration, Endorsement and Certification Processes** 4.

Application of the ASEAN CBT Standard to specific CBT initiatives involves registration with, and endorsement by, an in-country CBT Administration Authority, and for certification, under the auspices of ASEAN through the National Tourism Organisation (Figure 1). Each process aims to encourage learning and improvement in performance. Each process element involves evaluation of performance against indicators of criteria; the achievement of which, suggests that a CBT initiative is conforming with the ASEAN CBT Standard. Evaluation is through either self-assessment or by an independent auditor. A key element of the processes is Community Member (and others) compliance with Codes of Conduct. These indicate behaviours that CBT Members should adopt to meet the ideals of CBT and contribute to the overall performance of the CBT initiative.

Figure 1 Summary of process towards Certification of a CBT initiative as meeting **ASEAN CBT Standards** 



#### 4.1. **CBT** Initiative Registration Process

CBT initiatives are registered formally by an in-country CBT Administration Authority towards endorsement when the CBT initiative fully complies with at least 50% of Minimum and 40% of Advanced requirements for applicable indicators in each criterion (Figure 2). Registration compliance is undertaken through self-assessment by a CBT Committee, with the assistance of the CBT Administration Authority if required. The assessment is applied at the overall CBT initiative level, not individual services. However, if multiple services are involved (e.g., home stays, guiding services), registration requires that 50% of these must fully comply with the requirements. Existing CBT initiatives may proceed to endorsement or certification if they meet the required performance standards.

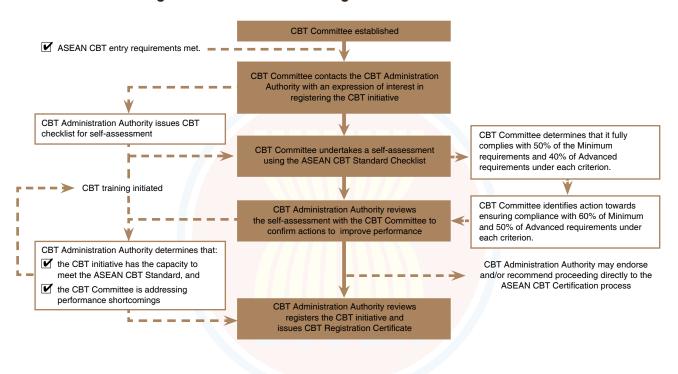


Figure 2 Process towards registration as a CBT initiative

#### 4.2. **CBT Initiative Endorsement Process**

CBT initiatives are endorsed by an in-country CBT Administration Authority towards proceeding to ASEAN CBT Standard certification when the CBT initiative fully complies with 60% of Minimum requirements and 50% of advanced requirements for applicable indicators in each criterion (Figure 3). Endorsement compliance is undertaken through self-assessment by a CBT Committee, with the assistance of the CBT Administration Authority if required. The assessment is applied at the overall CBT initiative level, not individual services. However, if multiple services are involved (e.g., home stays, guiding services), 60% of minimum and 50% of advanced must fully comply with the requirements. Existing CBT initiatives may proceed to certification if they meet the required performance standards.

CBT training as identified during registration The CBT initiative: **CBT Administration Authority** ✓ meets ASEAN CBT entry requirements, and ✓ has been operating or registered for 1 year CBT Committee invites the CBT or more. Administration Authority to endorse the initiative towards ASEAN CBT Certification CBT Administration Authority re-issues CBT check list for self-assessment CBT Committee determines that it fully CBT Committee undertakes a self-assessment complies with 60% of the minimum and 50% using the ASEAN CBT Standard Checklist of the advanced requirements under each criterion. CBT training initiated CBT Committee identifies action towards CBT Administration Authority reviews the self-assessment with the CBT Committee to ensuring compliance with 70% of minimum and 60% of advanced requirements under confirm actions to improve performance each criterion. CBT Administration Authority determines that: CBT Administration Authority may recommend the CBT initiative has the capacity to proceeding directly to the ASEAN CBT meet the ASEAN CBT Standard, and Certification process ✓ the CBT Committee is addressing performance shortcomings CBT Administration Authority endorses the CBT initiative and issues a CBT Endorsement Certificate

Figure 3 Process towards endorsement as a CBT initiative

#### 4.3. ASEAN CBT Certification Process

CBT initiatives are certified by Government Tourism Organisations based on the recommendation of the CBT Administration Authority and an audit of compliance with the ASEAN CBT Standard that covers all CBT services provided by the endorsed CBT initiative (Figure 4). An Independent Auditor and a representative of the CBT Administration Authority undertake the compliance audit with the CBT committee and report to the Government Tourism Organization with their recommendation. The audit report is provided to the CBT Committee.

Certification is recommended for the CBT initiative when performance fully complies with 100% of relevant Minimum requirements and 80% of Advanced requirements indicators in each criterion. It is expected that action is being undertaken to move towards achieving best practice requirements. The assessment is applied at the overall CBT initiative level, not individual services. However, if multiple services are involved (e.g., home stays, guiding services), 80% of these must fully comply with the requirements.

The Independent Auditor can be a tourism industry representative, an academic, a CBT committee member from an existing certified CBT initiative, or any person acknowledged by the Government Tourism Organisation as having sufficient experience to provide objective advice and recommendations.

CBT initiative is: CBT Committee invites the CBT Administration Authority to audit the initiative for ASEAN CBT Certification. registered with, and endorsed by the CBT Administration Authority V CBT Administration Authority re-issues CBT CBT Committee identifies action towards ensuring compliance with 70% of minimum and 60% of advanced requirements under CBT Committee undertakes a self-assessment using the ASEAN CBT Standard Checklist each criterion. Focused CBT training initiated CBT Committee determines that fully complies with 70% of the minimum and 60% of the advanced requirements under each criterion. CBT Committee advises the CBT Administraton Authority that it is ready to proceed with an audit towards ASEAN CBT Standard Certification CBT Administration Authority determines that the CBT initiative probably meets Certification requirements CBT Administration Authority appoints an auditor, and issues the ASEAN CBT Standart Audit Auditors undertake the assessment of the CBT initiative through interview, observation, and review of documentation The auditor assesses that the CBT initiative:

If fully complies with 70% of the minimum and 60% of the advanced requirements under each criterion, and the CBT Committee is taking action to adopt best practices standards. The auditor reports and makes recommendations t CBT Committee and CBT Administration Authority CBT Administration Authority recommends certification to the National Tourism Organisation If approved, certificate and plaque issued to the CBT initiative.

Figure 4 Process for certification under the ASEAN CBT Standard

#### 5. Assessment of Performance

#### 5.1. Evidence based assessment

Assessment is evidence based. That is, evidence is required to confirm that an indicator has been achieved. Because many of the indicators ultimately require subjective assessment, more than one form of evidence is desirable. Evaluation is based on the probability that an indicator has been achieved, given the evidence.

Forms	of	evidence
FOIIIS	OI	evidence

**Documents** Documentary evidence may include plans, reports, minutes of meetings, signed Codes of Conduct, written procedures, income and expenditure records and CBT constitutions. Where possible, the validity of documentary evidence should be able to be verified

by other forms of evidence.

Observations Observational evidence may include attendance at meetings, sighting of maintenance standards or participation in a tour or

activity. Many observations can be supported by photographs.

Interviews Interview evidence involves multiple interviewees confirming that an indicator has been achieved. The veracity of the information

provided should be supported by other forms of evidence.

**Photographs** 

Photographic evidence can support observations, in particular. However, they are particularly useful as a record of events and practices that occur irregularly. They can also indicate improvement in conditions and performance.

#### 5.2. Level of Compliance with Indicators

**Fully** complies Sufficient evidence exists to confirm the probability that the nominated state of the indicator has been achieved.

Partly complies

Insufficient evidence exists to confirm that the nominated state of the indicator has been achieved; more evidence is needed.

This also applies where multiple elements are associated with the CBT initiative (e.g., more than one home stay or guided activity). For minimum requirement indicators, unless all elements achieve the indicated standard, the indicator should be assessed as partly complying. For advanced and best practice requirements, 60% of elements should be achieving the indicated standard to be assed as fully complying.

Does not comply

Evidence does not exist to confirm that the nominated state of the indicator has been achieved: evidence is needed.

Not applicable

The indicator is not relevant to the CBT initiative being assessed.

#### 5.3. Scoring of Performance

Summary statistics (counts) are used to score the overall performance of CBT initiatives. Assessed indicator levels of performance are summed for each criterion and presented in the categories of Minimum requirements, Advanced requirements and Best practice requirements. These form the basis for progression to certification.

Registration The CBT initiative fully complies with 50% of relevant Minimum and

40% of Advanced requirements for indicators in each criterion.

**Endorsement** The CBT initiative fully complies with 60% of relevant Minimum

requirements and 50% of Advanced requirements for indicators in

each criterion.

Certification The CBT initiative fully complies with 70% of relevant Minimum

requirements and 60% of Advanced requirements for indicators in

each criterion.

## 5.4. Reporting performance

Workbooks have been prepared for the assessment of CBT performance.

The Community Workbook is for self-assessment and requires a simple 'ticking the box' approach and then tallying ticks.

The Audit Workbook is similar, but requires statements of what evidence is used to make the assessment.

An 'MS Excel' spreadsheet is available to ease the tallying and summarising.

For each sub-criterion, levels of performance are scored for each indicator, then scores are tallied (Figure 5).

Figure 5 Example tally for Sub-criterion 1.3

Sub-criterion 1.3: Effective and transparent management exists

Criterion	Sub- Criterion	Indicators	Fully complies	Partly complies	Does not comply	Not applicable
	2	Minimum requirements 1.3.1 CBT management processes comply with all CBT standards and requirements, including for outside operators and FTOs.				
ju (	ration	1.3.2 CBT Members agree to an angoing commitment to the ASEAN CBT Member's Code of Conduct (Appendix 1).				
ageme	nt ope	1.3.3 The CBT initiative builds the capacity of the community to provide products, goods and services to visiting tourists.				
l mana	geme	1.3.4 The CBT initiative maximises use of goods and services provided by the community.				
ip anc	mana	1.3.5 A clear financial management system exists and is accessible to community members.				
Community ownership and management	and transparent management operations	Advanced requirements 1.3.6 An annual action plan is documented and is accessible to community members.				
nity o	d tran	1.3.7 Long-term goals and objectives are documented and accessible to the community members.		V		
Commu	Effective and	<b>Best practice requirements</b> 1.3.8 Monitoring and evaluation mechanisms exist to assess the sustainability performance of individual and collective CBT activities.				
	Ħ	Total minimum requirements	4	1		
		Total advanced requirements		2		
		Total best practice requirements			1	

These tallies for each sub-criterion are then transferred to a summary report for each criterion (Figure 6).

Figure 6 Example summary table for Criterion 1

Summary assessment for Criterion 1: Community ownership and management

Sub-criteria		Fully complies	Partly complies	Does not comply	Not applicable
Sub-criterion 1.1: Effective and transparent governance arrangements exists	Minimum requirement count	3	1	1	
	Advanced requirement count	2			
	Best practice requirement count				
Sub-criterion 1.2: Legitimate establishment	Minimum requirement count	2			
	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 1.3: Effective and transparent management exists	Minimum requirement count	4	1		
	Advanced requirement count		2		
	Best practice requirement count			1	
Sub-criterion 1.4: Effective partnerships exist	Minimum requirement count	2			
	Advanced requirement count	1			1
	Best practice requirement count				1
Total for minimum requirement indicators		11	2	1	
Totals for advanced requirement indicator		3	2		1
Total for best practice requirement indicators				1	1

For the overall CBT initiative, criterion tallies are then transferred to a summary table (Figure 7).

Figure 7 Example summary table for a CBT

## Summary assessment

Criteria		Fully complies	Partly complies	Does not comply	Not applicable
Criterion 1: Community ownership and management	Minimum requirement count	11	2	1	
	Advanced requirement count	3	2		1
	Best practice requirement count			1	1
Criterion 2: Contribution to social well-being	Minimum requirement count	7	-		
	Advanced requirement count		3	1	1
	Best practice requirement count		1	3	
Criterion 3: Contribution to conserve and improve the environment	Minimum requirement count	4	1		
	Advanced requirement count	2			1
	Best practice requirement count		3		
Criterion 4: Encouragement of interaction between the local community and guests	Minimum requirement count	2	2		
	Advanced requirement count	2	2		
	Best practice requirement count	3	1	1	1
Criterion 5: Quality tour and guiding service	Minimum requirement count	8			
	Advanced requirement count	4	2		
	Best practice requirement count		2	2	1
Criterion 6: Quality food and beverage services	Minimum requirement count	13	2		
	Advanced requirement count	2	2	1	
	Best practice requirement count		1	1	
Criterion 7: Quality accommodations	Minimum requirement count	18	2		
	Advanced requirement count	8	3		
	Best practice requirement count			2	
Criterion 8: Performance of CBT Friendly Tour Operators (CBT FTO)	Minimum requirement count	12	1	1	2
	Advanced requirement count	8		3	1
	Best practice requirement count	1	3	1	1
Totals	Minimum requirement count	64	11	2	2
	Advanced requirement count	29	14	5	4
	Best practice requirement count	4	11	8	4

# 6. ASEAN Community Based Tourism Standard Self-Assessment

# **CBT** profile

Name of CBT initiative Address				
Year of establishment Contact numbers	Landline	Mobile	Fax	
Email address				
Website	http://			
Contact person				
Position				
Names of CBT				
Committee members				
No. of CBT Members				

# **Entry requirements**

An elected CBT Committee exists that can represent community interests outside the community and coordinate CBT activities within the community, and	□Yes	□No
CBT Committee members are free of a criminal record, and	□Yes	□No
The CBT initiative includes:  • at least five CBT Members, other than committee members, who have been endorsed by the CBT Committee, and/or	□Yes	□No
<ul> <li>at least two guided tours/activities for visitors and two CBT Guides who have been endorsed by the CBT Committee, and/or</li> </ul>	□Yes	□No
at least two CBT accommodation opportunities and two CBT Accommodation Providers who have been endorsed by the CBT Committee, and/or	□Yes	□No
at least one CBT food and beverage service and two CBT Food and Beverage Service Providers who have been endorsed by the CBT Committee, and	□Yes	□No
The CBT Committee has completed a self-assessment, and	□Yes	□No
The CBT initiative has been registered with the nominated home country CBT Administering Authority.	□Yes	□No

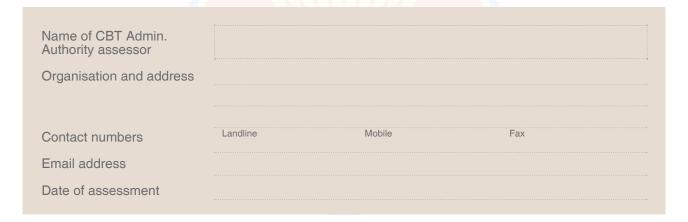
## Purpose of this self-assessment

This self-assessment is for:
☐ registration with the CBT Administration Authority; or
<ul> <li>endorsement by the CBT Administration Authority; or</li> </ul>
☐ in preparation for an audit towards ASEAN CBT Standard certification.

## **CBT** assessor



## **CBT Administration Authority assessor or reviewer (as required)**



# Notes for completing this assessment

## **Evidence requirements**

Registration and endorsement

No documentary, photographic or other forms of evidence are needed to be indicated, included or attached to this self-evaluation. The signature of the CBT assessor and the CBT Committee chairperson (and the CBT Administration Authority representative, if involved in the assessment) is sufficient verification of performance. The signatures confirm that the evaluation is an honest assessment.

Certification preparation

No documentary, photographic or other forms of evidence are needed to be indicated, included or attached to this self-evaluation. The signature of the CBT assessor and the CBT Committee chairperson (and the CBT Administration Authority representative, if involved in the assessment) is sufficient verification of performance. The signatures confirm that the evaluation is an honest assessment.

However, evidence will be needed as part of the audit of performance towards ASEAN CBT Standard certification. The CBT Committee should commence gathering evidence for Independent Auditor review.

## **7**. **CBT Performance Criteria and Indicators**

7.1. Criterion 1: Community ownership and management Community based tourism initiatives will be managed by communities to improve the wellbeing of communities.

#### 7.1.1. Sub-criterion 1.1: Effective and transparent governance arrangements exist

Indicators		Partly complies	Does not comply	Not applicable
Minimum requirements 1.1.1 The CBT initiative is managed by community members through a Committee elected for a maximum 5-year term.				
1.1.2 The CBT initiative has a clear management structure with agreed roles and responsibilities.				
1.1.3 Relevant national and provincial rules and regulations (including local by-laws) are followed by those directly involved in CBT activities/operations				
1.1.4 CBT Member recruitment meets any relevant national or local laws and regulations				
1.1.5 CBT Member recruitment to provide specific tourism products and services (e.g. guiding, accommodation, food and beverage services) is conducted fairly by the CBT Committee based on gender equity and social inclusion principles.				
Minimum requirements 1.1.6 CBT Members are recruited based on their appropriate levels of knowledge and commitment to the CBT initiative and the specific role.				
1.1.7 CBT Member appointments (and revocation of appointments) are approved by the CBT Committee.				
Total minimum requirements				
Totals advanced requirements				

#### 7.1.2. Sub-criterion 1.2: Legitimate establishment is recognised

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 1.2.1 The CBT initiative is recognised by provincial and/or national level authorities.				
1.2.2 The CBT initiative is recognised by, and has the support of, any customary or legally recognised community-level governing body (e.g., community council).				
Total minimum requirements				

## 7.1.3. Sub-criterion 1.3: Effective and transparent management exists

Indicators		Partly complies	Does not comply	Not applicable
Minimum requirements 1.3.1 CBT management processes comply with all CBT standards and requirements, including for outside operators and FTOs.				
1.3.2 CBT Members agree to an ongoing commitment to the ASEAN CBT Member's Code of Conduct (Appendix 1).				
1.3.3 The CBT initiative builds the capacity of the community to provide products, goods and services to visiting tourists.				
1.3.4 The CBT initiative maximises use of goods and services provided by the community.				
1.3.5 A clear financial management system exists and is accessible to community members.				
Advanced requirements 1.3.6 An annual action plan is documented and is accessible to community members.				
1.3.7 Long-term goals and objectives are documented and accessible to the community members.				
Best practice requirements 1.3.8 Monitoring and evaluation mechanisms exist to assess the sustainability performance of individual and collective CBT activities.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## Sub-criterion 1.4: Effective partnerships exist 7.1.4.

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 1.4.1 Guidelines exist for inbound tour operator interaction with the community.				
1.4.2 In conducting activities, the CBT initiative avoids impacts on neighbouring communities.				
Advanced requirements 1.4.3 Relevant CBT stakeholders are identified and their roles in contributing to CBT initiatives are documented.				
1.4.4 An established procedure exists for regular consultation with stakeholders.				
Best practice requirements 1.4.5 Cooperation exists with neighbouring communities.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

# Summary assessment for Criterion 1: Community ownership and management

Indicators		Partly complies	Does not comply	Not applicable
Minimum requirements 1.4.1 Guidelines exist for inbound tour operator interaction with the community.				
1.4.2 In conducting activities, the CBT initiative avoids impacts on neighbouring communities.				
Advanced requirements 1.4.3 Relevant CBT stakeholders are identified and their roles in contributing to CBT initiatives are documented.				
1.4.4 An established procedure exists for regular consultation with stakeholders.				
Best practice requirements 1.4.5 Cooperation exists with neighbouring communities.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

# Figure 6 Example summary table for Criterion 1

Summary assessment for Criterion 1: Community ownership and management

Sub-criteria		Fully complies	Partly complies	Does not comply	Not applicable
Sub-criterion 1.1: Effective and transparent	Minimum requirement count				
governance arrangements exists	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 1.2: Legitimate establishment	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 1.3: Effective and transparent	Minimum requirement count				
management exists	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 1.4: Effective partnerships exist	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
To	tal for minimum requirement indicators				
	Totals for advanced requirement indicators				
To	tal for best practice requirement indicators				

# **Actions to improve performance**

Indicator	Action

## Criterion 2: Contribution to social well-being 7.2.

Community based tourism initiatives will make a significant contribution to social well-being of communities.

#### 7.2.1. Sub-criterion 2.1: Human dignity is maintained

Indicators		Partly complies	Does not comply	Not applicable
Minimum requirements 2.1.1 Sex tourism, drug trafficking, human trafficking, and exploitation of child labour are not tolerated or supported explicitly or implicitly.				
2.1.2 CBT activities promote gender equity and social inclusion.				
Advanced requirements 2.1.3 CBT initiatives build the capacity for disadvantaged members of the community to appropriately benefit from tourism (this includes identifying roles for youth and the aged).				
Best practice requirements 2.1.4 CBT activities contribute to improving community access to basic services (water, sanitation, energy, education, health).				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

#### 7.2.2. Sub-criterion 2.2: Benefits and costs are shared equitably

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 2.2.1 Clear and agreed benefit sharing arrangements exist.				
Advanced requirements 2.2.2 A community development fund exists that is used for initiatives benefiting the whole community.				
Best practice requirements 2.2.3 A process exists for equal opportunities in income generating activities.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## 7.2.3. Sub-criterion 2.3: Links exist to regional economies

Indicators		Partly complies	Does not comply	Not applicable
Minimum requirements 2.3.1 Local community members dominate employment in CBT initiatives.				
2.3.2 Local/regional sourcing of products and services dominate CBT initiatives.				
<b>Advanced requirements</b> 2.3.3 Local community products are used in preference to imports (e.g., locally produced vs mass-produced souvenirs).				
<b>Best practice requirements</b> 2.3.4 Strong cooperation with other CBTs and regional private and government organisations exists to increase regional tourism.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## Sub-criterion 2.4: Cultural integrity is maintained and valued cultural traditions are 7.2.4. enriched

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 2.4.1 Cultural assets of significance to the local community and valued cultural traditions are identified, documented and endorsed by relevant communities.				
2.4.2 Programs exist to authentically present, enhance and retain local cultural traditions towards protecting cultural integrity, identity and values.				
2.4.3 Practices ensure that all rules, regulations and laws relevant to protection of culture and heritage are followed.				
Advanced requirements 2.4.4 CBT management supports the retention of traditional livelihoods and initiatives that create alternative livelihoods.				
2.4.5 A code of visitor behaviour exists to inform visitors of appropriate behaviour within communities.				
Best practice requirements 2.4.6 A community decision-making process exists that identifies what cultural assets and traditions will be shared with visitors.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

# Summary assessment for Criterion 2: Contribution to social well-being

Sub-criteria		Fully complies	Partly complies	Does not comply	Not applicable
Sub-criterion 2.1: Maintenance of human dignity	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 2.2: Equitable sharing of benefits and costs	Minimum requirement count				
COSIS	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 2.3: Established links to regional	Minimum requirement count				
economies	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 2.4: Cultural integrity is maintained	Minimum requirement count				
and valued cultural traditions are enriched	Advanced requirement count				
	Best practice requirement count				
Total for minimum requirement indicators					
Totals for advanced requirement indicators					
Tota	al for best practice requirement indicators				

# Actions to improve performance

Indicator	Action

7.3. Criterion 3: Contribution to conserve and improve the environment Community based tourism initiatives conserve and improve the quality of environmental assets and values.

#### 7.3.1. Sub-criterion 3.1: Natural resources are being conserved

Indicators		Partly complies	Does not comply	Not applicable
Minimum requirements 3.1.1 Natural resources and environmentally sensitive sites and their community significance are identified, planned, documented and endorsed by relevant communities.				
Advanced requirements 3.1.2 A fund exists to support community-based conservation programs and actions.				
3.1.3 Programs exist to present the value of natural resources to local community well-being.				
<b>Best practice requirements</b> 3.1.4 Local rules and regulations exist relevant to the protection and presentation of nature.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

#### 7.3.2. Sub-criterion 3.2: Conservation activities to improve the environment

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 3.2.1 A fund is available to support community-based environmental improvement action.				
3.2.2 A locally appropriate solid waste management system exists that applies avoid, reduce, reuse, recycle principles and hygienic handling of putrescible waste (e.g., composting).				
3.2.3 Locally appropriate wastewater management uses technologies that minimise risk to human health and environmental impact.				
3.2.4 Practices ensure that all rules, regulations and laws relevant to environmental protection are followed.				
Advanced requirements 3.2.5 Solid waste generation is actively discouraged (e.g., through encouraging refilling of water bottles with treated water).				
<b>Best practice requirements</b> 3.2.6 Environmental information and education programs are available for hosts, guests and the community.				
3.2.7 Low carbon energy sources are used within the CBT area.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

# Summary assessment for Criterion 3: Contribution to conserve and improve the environment

Sub-criteria	3	Fully complies	Partly complies	Does not comply	Not applicable
Sub-criterion 3.1: Natural resources are being conserved	Minimum requirement count				
35/150/150	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 3.2: Conservation activities to improve the environment	Minimum requirement count				
improve the environment	Advanced requirement count				
	Best practice requirement count				
Total for minimum requirement indicators					
Totals for advanced requirement indicators					
Tota	al for best practice requirement indicators				

# Actions to improve performance

Indicator	Action	

7.4. Criterion 4: Encouragement of interaction between the local community and guests The success of community based tourism initiatives depends on visitor satisfaction with experiences and reciprocal benefits flowing to host communities that result in their satisfaction.

#### 7.4.1. Sub-criterion 4.1: Guest and local community interaction exists

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
<ul><li>Minimum requirements</li><li>4.1.1 Environmental and cultural information is included in the interpretation of the community and its surroundings.</li></ul>				
4.1.2 Policies and actions ensure safety and security for visitors.				
Advanced requirements 4.1.3 Codes of conduct exist for community, hosts and guests.				
4.1.4 Tourist expectations are managed by providing accurate information in marketing initiatives.				
4.1.5 A quality control and improvement system exists, including a process to obtain visitor feedback on their CBT experiences.				
Best practice requirements 4.1.6 A program of cross-cultural communication and understanding exists.				
4.1.7 Opportunities exist for tourists to contribute to local activities alongside community members.				
4.1.8 The quality control and improvement system is evaluated weekly and reported annually to Community members.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

#### 7.4.2. Sub-criterion 4.2: Sustainability of Community-Based Tourism products

Indicators	Fully	Partly complies	Does not comply	Not applicable
Minimum requirements 4.2.1 Transparent and fair pricing exists for visitors with adequate returns on community investments.				
Advanced requirements 4.2.2 Positive returns on investment exist in terms of social, cultural, environmental and economic outcomes.				
Best practice requirements 4.2.3 Target market segments are identified with their servicing needs.				
4.2.4 Appropriate and unique products and services are in place to service identified market needs and protect and enrich environmental and cultural assets, products and services.				
4.2.5 A targeted and cost-effective marketing program exists to attract identified markets.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

Summary assessment for Criterion 4: Activities encourage interaction between the local community and guests

Sub-criteria		Fully complies	Partly complies	Does not comply	Not applicable
Sub-criterion 4.1: Guest and local community interaction exists	Minimum requirement count				
including of the control of the cont	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 4.2: Sustainability of Community- Based Tourism products	Minimum requirement count				
based roundin products	Advanced requirement count				
	Best practice requirement count				
Total for minimum requirement indicators					
Totals for advanced requirement indicators					
Tota	al for best practice requirement indicators				

## Actions to improve performance

Indicator	Action

## 7.5. Criterion 5: Quality tour and guiding services

A community based tourism tour is an activity organised by community members for visitors to see and learn about local community, culture and environment.

Local guides will be community members who have been living in the community and recognised by the community as a trust-worthy person able to represent and communicate community interests. They must have good knowledge, skill, experience and attitudes, with preference given to those with minimum qualifications required by national regulations.

# 7.5.1.Sub-criterion 5.1: Ensuring local guide quality and expertise

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 5.1.1 Guides are recruited based on appropriate levels of knowledge, physical health and fitness for proposed guided activities.				
5.1.2 Guides possess or can demonstrate commitment to developing sound knowledge of the local environment and culture; including history, cultural traditions, geography, flora and fauna and cultural/heritage sites, and sustainable tourism principles.				
5.1.3 Guides operate within the ASEAN CBT Standards and regulations of the CBT initiative and have signed and follow the ASEAN CBT Guide's Code of Conduct (Appendix 2).				
Advanced requirements 5.1.4 Guides are certified under any relevant standard produced for the purposes of improving guiding services.				
5.1.5 Guides facilitate environmentally, socially and culturally relevant and sensitive experiences for visitors that are protective of natural and cultural resources and values.				
Best practice requirements 5.1.6 Guides have access to ongoing capacity building and training opportunities to increase their skills and knowledge of:  • sustainable tourism,  • interpretative guiding,  • group management,  • customer care/service,  • communication (including cross cultural awareness/communication and verbal and non-verbal communication);  • first aid and safety,  • authentic local cultural traditions, integrity, identity and values,  • environmental protection issues,  • the guidelines and regulations of the CBT initiative, and  • any other area deemed necessary by the CBT Committee.				
Total minimum requirements				
Total heat practice requirements				
Total best practice requirements				

## 7.5.2. Sub-criterion 5.2: Managed tours and activities to ensure quality

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 5.2.1 Tours/activities operate within the objectives, guidelines, regulations and codes of conduct of the CBT initiative.				
5.2.2 Tours/activities ensure visitors, at all times, observe CBT approved guidelines for interacting with the culture, natural environment and people of the community.				
<ul><li>5.2.3 Tours/activities have a clearly defined:</li><li>itinerary and associated price; and</li><li>documented booking system.</li></ul>				
5.2.4 Tours/activities record the visitors on tours, including departure and return times.				
5.2.5 Visitors are informed of the tour itinerary, level of difficulty, possible hazards, safety precautions and regulations or rules that apply to their conduct on the tour.				
Advanced requirements 5.2.6 Tours operate on a cost recovery basis and yield a profit to the CBT initiative.				
5.2.7 A quality control and improvement system exists, including a system for visitor feedback on the tour/activity experience, and visitors are actively encouraged to participate in the feedback process.				
5.2.8 Tours/activities respect and contribute to the promotion and preservation/conservation of local culture and natural environment and provide current and relevant cultural information.				
5.2.9 Tours/activities are designed to be enjoyable, educational, participatory, organised, relevant and thematic.				
<b>Best practice requirements</b> 5.2.10 The local (interpretative) guide to visitor ratio is not greater than 1:5-10.				
5.2.11 Where relevant, tours/activities have clearly defined and documented agreements with inbound tour operators.				
5.2.12 Tours/activities actively facilitate cross-cultural understanding and opportunities for tourists to contribute to local activities alongside host community members.				
5.2.13 Tours provide an appropriate and specialised service for identified tourist markets and attract identified tourist markets through cost-effective means.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

# Summary assessment for Criterion 5: Quality tour and guiding service

Sub-criteria		Fully complies	Partly complies	Does not comply	Not applicable
Sub-criterion 5.1: Local guide qualities and expertise	Minimum requirement count				
САРОТИОС	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 5.2: Ensuring tour/activity quality	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Tota	al for minimum requirement indicators				
То	otals for advanced requirement indicators				
Tota	al for best practice requirement indicators				

# Actions to improve performance

Indicator	Action

## Criterion 6: Quality food and beverage services 7.6.

Food and beverage standards are applicable to all providers of food and beverage in the CBT area(s) targeted for visitor use or any service provided as part of a CBT activity.

## Sub-criterion 6.1: Ensuring food and beverage service provider quality 7.6.1.

Indicators	Fully	Partly complies	Does not comply	Not applicable
Minimum requirements 6.1.1 Food and beverage providers are recruited based on appropriate levels of knowledge and experience in providing locally relevant food and beverage services.				
6.1.2 Food and beverage providers possess or can demonstrate commitment to hygienic food preparation and service techniques.				
6.1.3 Food and beverage providers operate within the guidelines and regulations of the CBT initiative and have signed and follow the ASEAN CBT Food and Beverage Providers Code of Conduct (Appendix 3).				
Advanced requirements 6.1.4 Food and beverage providers are certified under any relevant standard produced for the purposes of improving food and beverage services.				
6.1.5 Food and beverage providers provide opportunities for knowledge exchange between hosts and visitors.				
Best practice requirements 6.1.6 Food and beverage providers have access to ongoing capacity building and training opportunities to increase their skills and knowledge of:  • food preparation hygiene, • nutritional meal and menu preparation, • traditional cuisine and cooking techniques, • hospitality and service standards, • sustainable tourism, • group management, • customer care/service, • communication (including cross cultural awareness/communication and verbal and non-verbal communication); • first aid and safety, • authentic local cultural traditions, integrity, identity and values, • environmental protection issues, • the guidelines and regulations of the CBT initiative, and • any other area deemed necessary by the CBT Committee.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## 7.6.2. Sub-criterion 6.2: Managed food and beverage services for quality

Indicators		Partly complies	Does not comply	Not applicable
Minimum requirements 6.2.1 Food and beverage services are provided within the objectives, guidelines, regulations and codes of conduct of the CBT initiative.				
6.2.2 Menus are available with associated prices (if appropriate).				
6.2.3 Meals are provides at agreed times identified in consultation between food and beverage providers and the CBT committee.				
6.2.4 Sufficient food is provided for visitor needs, including between-meal snacks.				
6.2.5 Menus vary daily and include at least one traditional meal at each dining period.				
6.2.6 Maximum use is made of fresh, organically grown food and local ingredients, including fresh meat and vegetables, but no bush meats prohibited by law.				
6.2.7 Dessert and/or fruit forms part of each meal.				
6.2.8 Food preparation and dining areas are maintained in a clean state at all times.				
6.2.9 Food preparation and dining utensils are cleaned thoroughly before use (i.e. cleaned immediately after dining periods).				
6.2.10 Food service providers wash their hands with soap in clean water before and regularly during food preparation.				
6.2.11 Food is stored in clean containers, which are kept in good order.				
6.2.12 Animals (domestic and pest) are kept out of food storage, cooking and dining areas.				
Advanced requirements 6.2.13 Opportunities exist for tourists to participate in meal preparation and to learn traditional cooking techniques.				
6.2.14 A quality control and improvement system exists, including a system for visitor feedback on the dining experience, and visitors are actively encouraged to participate in the feedback process.				
6.2.15 Visitor dietary preferences are accommodated.				
<b>Best practice requirements</b> 6.2.16 Maximum use is made of natural bio-degradable products when serving and packaging food (e.g. banana leaves).				
5.2.13 Tours provide an appropriate and specialised service for identified tourist markets and attract identified tourist markets through cost-effective means.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## Summary assessment for Criterion 6: Quality food and beverage services

Sub-criteria	3	Fully complies	Partly complies	Does not comply	Not applicable
Sub-criterion 6.1: Ensuring food and beverage service provider quality and expertise	Minimum requirement count				
correct quant, and experies	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 6.2: Managed food and beverage services for quality	Minimum requirement count				
Services for quanty	Advanced requirement count				
	Best practice requirement count				
Tota	al for minimum requirement indicators				
То	otals for advanced requirement indicators				
Tota	al for best practice requirement indicators				

## Actions to improve performance

Indicator	Action

## 7.7. Criterion 7: Quality accommodations

CBT accommodation includes home-stay, communal or other guesthouse options that operate under the guidelines of the CBT Committee. The ASEAN Homestay Standard will apply these CBT accommodations. It also includes CBT central facilities (e.g., dining areas) and other infrastructure.

## 7.7.1. Sub-criterion 7.1: Ensuring accommodation service provider quality

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 7.1.1 Accommodation providers are recruited based on appropriate levels of knowledge of accommodation service delivery and the appropriateness of their accommodations for targeted markets.				
7.1.2 Accommodation providers possess or can demonstrate commitment to developing sound knowledge of how to deliver quality accommodation services, and local environment, culture and sustainable tourism experiences.				
7.1.3 Accommodation providers operate within the guidelines and regulations of the CBT initiative and have signed and follow the ASEAN CBT Accommodation Provider's Code of Conduct (Appendix 4).				
7.1.4 Accommodation providers supply safe and clean accommodation opportunities for visitors to experience community life and for knowledge exchange between hosts and guests.				
Advanced requirements 7.1.5 Accommodation providers are certified under any relevant standard produced for the purposes of improving accommodation services (e.g. ASEAN Homestay Standard).				
Best practice requirements 7.1.6 Accommodation providers have access to ongoing capacity building and training opportunities to increase their skills and knowledge of:  • accommodation and housekeeping services,  • food preparation hygiene,  • hospitality and service standards,  • sustainable tourism,  • group management,  • customer care/service,  • communication (including cross cultural awareness/communication and verbal and non-verbal communication);  • first aid and safety,  • authentic local cultural traditions, integrity, identity and values,  • environmental protection,  • the guidelines and regulations of the CBT initiative, and  • any other area deemed necessary by the CBT Committee.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## 7.7.2. Sub-criterion 7.2: Managed accommodations to ensure quality

Minimum requirements	Indicators	Fully complies	Partly complies	Does not comply	Not applicable
CBT central area and accommodations.  7.2.3 An up-to-date log of arrivals, departures and returns to the CBT central area is maintained.  7.2.4 Visitors are informed on arrival of safety, security and behavioural requirements.  7.2.5 Purpose-built structures for visitor use are attractive and appropriate to meeting clouds recommodations and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations, especially bathrooms and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations, especially bathrooms and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations, especially bathrooms and toilets include a tank or adequate fresh, clean water, soap and serviced daily.  7.2.8 Bathrooms and toilets include a tank or adequate fresh, clean water, soap and especially bathrooms and sanitary bin.  7.2.9 Toilets are of either squatting or sitting, and flushing or composting type, with consideration given to client preferences and local norms.  7.2.10 The CBT area is maintained in a clean condition that minimises threats from dangerous species.  7.2.11 Materials are available to cover basic communication needs between hosts and guests.  7.2.12 A torch is available for night use in all accommodations and structures built for wisitor use areas have procedures to ensure the security and safety of visitors and their belongings (visitors are to be informed of these upon arrival.)  7.2.14 A contingency plan exists for unexpected events, including a sick or injured guest, missing or lost guest, disruptive or undesirable behaviour from a guest, accident or injury to a guest or adverse weather conditions.  7.2.15 All CBT accommodations and visitor use areas include a first aid kit for guest and staff use and checked weekly for completeness or replenished on use.  7.2.16 All CBT accommodations and visitor use areas include a first at with the formation of the process of the process and process are acti	7.2.1 Accommodations are provided within the objectives, guidelines, regulations and				
maintained. 7.2.4 Visitors are informed on arrival of safety, security and behavioural requirements.       7.2.5 Purpose-built structures for visitor use are attractive and appropriate to meeting course expectations and basic safety standards. 7.2.6 Bathrooms and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations. 7.2.7 All accommodations, especially bathrooms and toilets, are thoroughly cleaned and serviced daily. 7.2.8 Bathrooms and toilets include a tank or adequate fresh, clean water, soap and cup; toilets include toilet paper and a sanitary bin. 7.2.9 Toilets are of either squatting or sitting, and flushing or composting type, with consideration given to client preferences and local norms. 7.2.10 The CBT area is maintained in a clean condition that minimises threats from dangerous species. 7.2.11 Materials are available to cover basic communication needs between hosts and guests. 7.2.12 A torch is available for night use in all accommodations and structures built for visitor use. 7.2.13 All CBT accommodations and visitor use areas have procedures to ensure the security and safety of visitors and their belongings (visitors are to be informed of these upon arrival.) 7.2.14 A contingency plan exists for unexpected events, including a sick or injured quest, missing or lost guest, disruptive or undesirable behaviour from a guest, accident or injury to a guest or adverse weather conditions. 7.2.15 All CBT accommodations and visitor use areas include a first aid kit for guest and staff use and checked weekly for completeness or replenished on use. 7.2.16 All CBT accommodations and visitor use areas apply all appropriate standards or hygiene and cleanliness stated in the food and beverage section of these standards when including meals in the accommodations.  7.2.17 A quality control and improvement system exists, including a system for visitor feedback process 7.2.18 Built structures for visitors are actively encouraged to participate in the feedback process 7.2.					
7.2.5 Purpose-built structures for visitor use are attractive and appropriate to meeting tourist expectations and basic safety standards.  7.2.6 Bathrooms and toilets, with adequate privacy and ventilation, are available for guest use within all accommodations.  7.2.7 All accommodations, especially bathrooms and toilets, are thoroughly cleaned and serviced daily.  7.2.8 Bathrooms and toilets include a tank or adequate fresh, clean water, soap and cup; toilets include toilet paper and a sanitary bin.  7.2.9 Toilets are of either squatting or sitting, and flushing or composting type, with consideration given to client preferences and local norms.  7.2.10 The CBT area is maintained in a clean condition that minimises threats from dangerous species.  7.2.11 Materials are available to cover basic communication needs between hosts and guests.  7.2.12 A torch is available for night use in all accommodations and structures built for visitor use.  7.2.13 All CBT accommodations and visitor use areas have procedures to ensure the security and safety of visitors and their belongings (visitors are to be informed of these upon arrival).  7.2.14 A contingency plan exists for unexpected events, including a sick or injured guest, missing or lost guest, disruptive or undesirable behaviour from a guest, accident or injury to a guest or adverse weather conditions.  7.2.15 All CBT accommodations and visitor use areas include a first aid kit for guest and staff use and checked weekly for completeness or replenished on use.  7.2.16 All CBT accommodations and visitor use areas apply all appropriate standards of hygiene and cleaniness stated in the food and beverage section of these standards when including meals in the accommodation.  Advanced regulirements  7.2.17 A quality control and improvement system exists, including a system for visitor feedback on accommodations, and visitors are actively encouraged to participate in the feedback process  7.2.18 Built structures for visitors are clearly identified at the location with guide si					
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7.2.23 Farm animals cannot enter structures used by visitors.	7.2.22 Structures are not placed within 20metres of any natural or cultural attraction or significant site, unless historically in that location or for cultural reasons.				
	7.2.23 Farm animals cannot enter structures used by visitors.				

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
7.2.24 Parking and signage is available for visitor use and orientation.				
7.2.25 All CBT accommodation providers are trained in basic first aid and are therefore competent in using first aid kits.				
7.2.26 All CBT accommodation and visitor use areas have documented fire and emergency procedures, displayed in prominent positions.				
Best practice requirements 7.2.27 The family and cross-culture experience is emphasised.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				



## Summary assessment for Criterion 7: Quality accommodations

Sub-criteria		Fully complies	Partly complies	Does not comply	Not applicable
Sub-criterion 7.1: Ensuring accommodation service provider quality and expertise	Minimum requirement count				
provider quality and experies	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 7.2: Managed accommodations for quality	Minimum requirement count				
quanty	Advanced requirement count				
	Best practice requirement count				
Tota	al for minimum requirement indicators				
To	otals for advanced requirement indicators				
Tota	al for best practice requirement indicators				

## Actions to improve performance

Indicator	Action

#### 7.8. Criterion 8: Performance of CBT Friendly Tour Operators (CBT FTO)

A CBT Friendly Tour Operator (FTO) is a responsible tour operator who demonstrates care for the sustainability of nature and culture of the CBT area and supports the economic and social development of the local community. The CBT Friendly Tour Operator may be from inside or outside the community. Permission to operate must be obtained from the CBT Committee and the community.

#### 7.8.1. Sub-criterion 8.1: Commitment to CBT ideals

Indicators	Fully	Partly complies	Does not comply	Not applicable
Minimum requirements 8.1.1 FTOs are certified under any relevant standard produced for the purposes of improving tour operations (e.g., ASEAN Ecotourism Standard).				
8.1.2 FTOs meet all necessary license and permit requirements.				
8.1.3 Clearly defined and documented agreements exist between FTOs and the CBT Committee, requiring FTOs and staff to operate within the guidelines and regulations of the CBT initiative.				
8.1.4 FTOs and staff have signed and follow the ASEAN CBT Friendly Tour Operator's Code of Conduct (Appendix 5).				
8.1.5 Where available, FTOs are members of an appropriate professional organisation.				
Advanced requirements 8.1.6 FTOs and staff possess, or can demonstrate commitment to developing, sound knowledge of sustainable tourism and how to deliver quality tour services relating to experiencing local environments, cultures and livelihoods.				
8.1.7 FTOs and staff provide safe opportunities for visitors to experience community life and for knowledge exchange between hosts and guests.				
<b>Best practice requirements</b> 8.1.8 FTOs provide employees dealing with communities regular training on CBT and ecotourism (e.g. one day a year/paid).				
8.1.9 FTOs cooperate with natural and cultural heritage conservation organizations, authorities and local NGOs as required.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## 7.8.2. Sub-criterion 8.2: Contribution to community and nature protection

Indicators	Fully complies	Partly complies	Does not comply	Not applicable
Minimum requirements 8.2.1 FTOs demonstrate respect for CBT regulations and recommendations for behaviour in environmentally sensitive areas and while in the community.				
8.2.2 FTOs and staff have a sound knowledge and understanding of the specific CBT site and local conditions.				
8.2.3 FTOs demonstrate best practice environmental management in their operations (e.g., use of energy efficient products, waste minimisation and recycling).				
8.2.4 FTOs minimises motorized transportation, especially in CBT areas.				
Advanced requirements 8.2.5 FTOs consult with the CBT Committee and the community if there is a risk that activities might result in direct environmental or social impact.				
8.2.6 FTOs take away all solid waste generated from products it brings into the CBT area.				
8.2.7 FTOs provide visitors with nature, culture and community experiences that respect and apply a minimized disturbance policy.				
8.2.8 FTOs and staff are actively involved in, or contribute to, CBT projects.				
8.2.9 FTOs work with the community to improve community services and products offered by providing client feedback information.				
<b>Best practice requirements</b> 8.2.10 FTOs support the CBT Committee in training local guides and wildlife rangers from indigenous and/or local people.				
8.2.11 To the greatest extent possible, FTOs use eco-friendly accommodation and services prior to and after visiting the CBT area.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## Sub-criterion 8.3: Support for the local economy 7.8.3.

Indicators		Partly complies	Does not comply	Not applicable
Minimum requirements 8.3.1 FTOs maximise use and purchase of local and CBT products and services (e.g. accommodation, transport in and out, activities, food, souvenirs).				
8.3.2 FTOs have an agreement or contract with the community on CBT products, prices and procedures.				
Advanced requirements 8.3.3 FTOs provide advice to the CBT Committee on potential additional services that will increase CBT income.				
<b>Best practice requirements</b> 8.3.4 FTOs, staff and clients contribute to, or take part in, local development work (e.g., village projects, education, maintenance of local roads etc.).				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

## 7.8.4. Sub-criterion 8.4: Promotion of joy of discovery, knowledge and respect

Indicators		Partly complies	Does not comply	Not applicable
Minimum requirements 8.4.1 In cooperation with local guides, FTOs deliver high quality guiding and culture/ nature interpretation, which generates respect for the cultural and natural values of the CBT area.				
8.4.2 FTOs explain codes of conduct to clients, emphasising the visitor's responsibility to treat local people with respect, and avoid environmental damage.				
8.4.3 Through agreement with the CBT Committee, FTOs limit group size based on the carrying capacity of the visited site with the objective of delivering quality experiences to clients that minimises impact on the community.				
Advanced requirements 8.4.4 FTOs have sound knowledge about the CBT area's cultural and natural values, and transfers this knowledge to their staff, especially guides and tour leaders.				
Best practice requirements 8.4.5 FTOs provide accurate pre-tour information to clients about the tour and the CBT area, a list of needed equipment and codes of conduct.				
Total minimum requirements				
Total advanced requirements				

## 7.8.5. Sub-criterion 8.5: Satisfying and safe experiences for tourists and the community

Indicators		Partly complies	Does not comply	Not applicable
<ul><li>Minimum requirements</li><li>8.5.1 FTOs encourage their clients to have travel insurance cover.</li></ul>				
8.5.2 FTOs ensure high risk activities are guided by specifically trained and skilled staff, assisted by CBT guides.				
Advanced requirements 8.5.3 FTOs practice responsible marketing that creates appropriate customer expectations of CBT areas and activities.				
8.5.4 FTO staff are trained in first aid, including CPR.				
<b>Best practice requirements</b> 8.5.5 FTOs are able to demonstrate their efforts in improving the quality of their operation through reporting of visitor satisfaction from client feedback surveys.				
Total minimum requirements				
Total advanced requirements				
Total best practice requirements				

# Summary assessment for Criterion 8: Performance of CBT Friendly Tour Operators

Sub-criteria	Fully complies	Partly complies	Does not comply	Not applicable	
Sub-criterion 8.1: Commitment to CBT ideals.	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 8.2: Contribution to community and nature protection.	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 8.3: Support for the local economy.	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 8.4: Promotion of joy of discovery, knowledge and respect.	Minimum requirement count				
and respect	Advanced requirement count				
	Best practice requirement count				
Sub-criterion 8.5: Satisfying and safe experience for tourists and the community.	Minimum requirement count				
ior tourists and the community.	Advanced requirement count				
	Best practice requirement count				
Total for minimum requirement indicators					
Totals for advanced requirement indicators					
Tota	al for best practice requirement indicators				

# Actions to improve performance

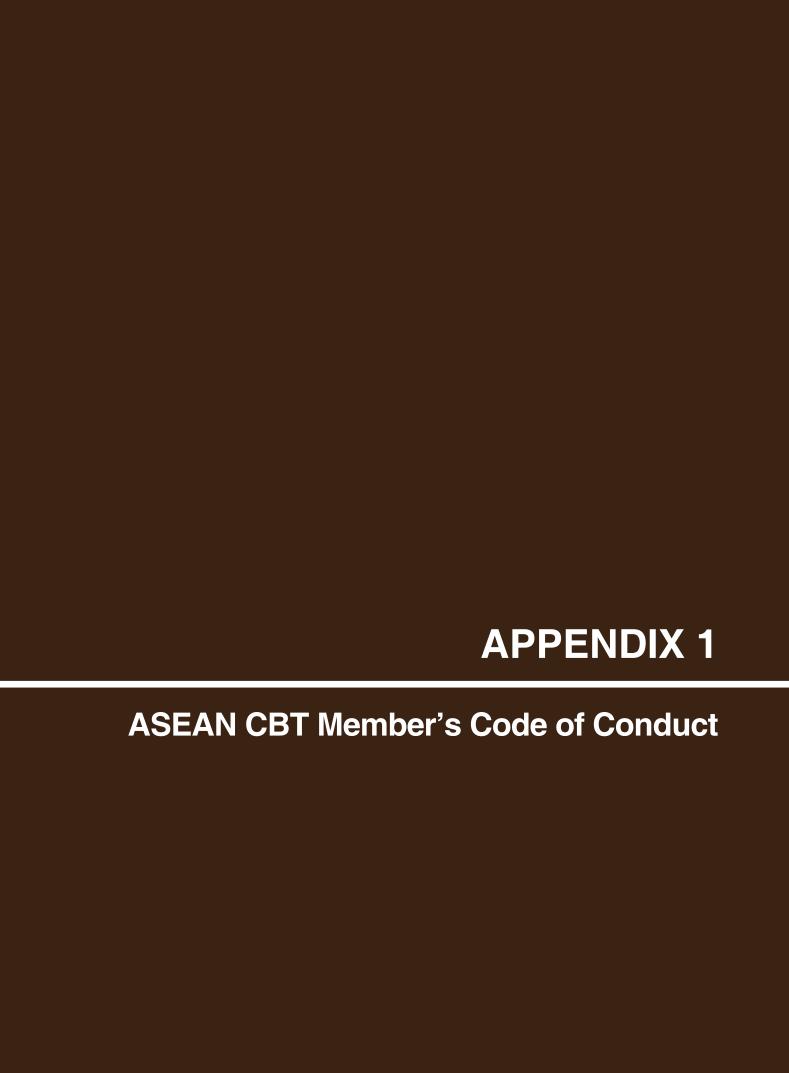
Indicator	Action

# Summary assessment

Sub-criteria			Partly complies	Does not comply	Not applicable
Criterion 1: Community ownership and management	Minimum requirement count				
<b>3</b>	Advanced requirement count				
	Best practice requirement count				
Criterion 2: Contribution to social well-being	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Criterion 3: Contribution to conserve and improve the environment	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Criterion 4: Encouragement of interaction between the local community and guests	Minimum requirement count				
the local community and guodic	Advanced requirement count				
	Best practice requirement count				
Criterion 5: Quality tour and guiding service	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Criterion 6: Quality food and beverage services	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Criterion 7: Quality accommodations	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
Criterion 8: Performance of CBT Friendly Tour Operators (CBT FTO)	Minimum requirement count				
	Advanced requirement count				
	Best practice requirement count				
	Minimum requirement count				
Total	Advanced requirement count				
	Best practice requirement count				

#### **Declaration** 8.

From the available evidence, I declare that the assessment made of the (CBT name).... CBT initiative against the ASEAN CBT Standard is true and accurate. The assessment indicates that the CBT initiative: meets more than 50% of Minimum requirement indicators for each criterion; or meets more than 60% of Minimum requirements and 50% of Advanced requirements for each criterion; or meets 70% of Minimum requirements and 60% of Advanced requirements for each criterion. Therefore, the CBT initiative should be considered for: registration as an ASEAN CBT initiative; or ☐ endorsement as an ASEAN CBT initiative; or an Independent Audit towards certification that it meets the ASEAN Community Base Tourism Standard. Signature of CBT assessor Signature of CBT Administration Authority assessor Office use only **CBT Administration Authority recommendation** ☐ Register the CBT initiative ☐ Endorse the CBT initiative Proceed with appointing an Independent Auditor towards certifying that the CBT initiative meets the ASEAN CBT Standard. ...... Authorised officer's name and signature Date **National Tourism Organisation approval** ☐ Register the CBT initiative ☐ Endorse the CBT initiative ☐ Proceed with appointing an Independent Auditor towards certifying that the CBT initiative meets the ASEAN CBT Standard. ...... Authorised officer's name and signature Date ☐ CBT register has been updated ......Date ☐ CBT registration or endorsement notification and certificate has been forwarded to the 

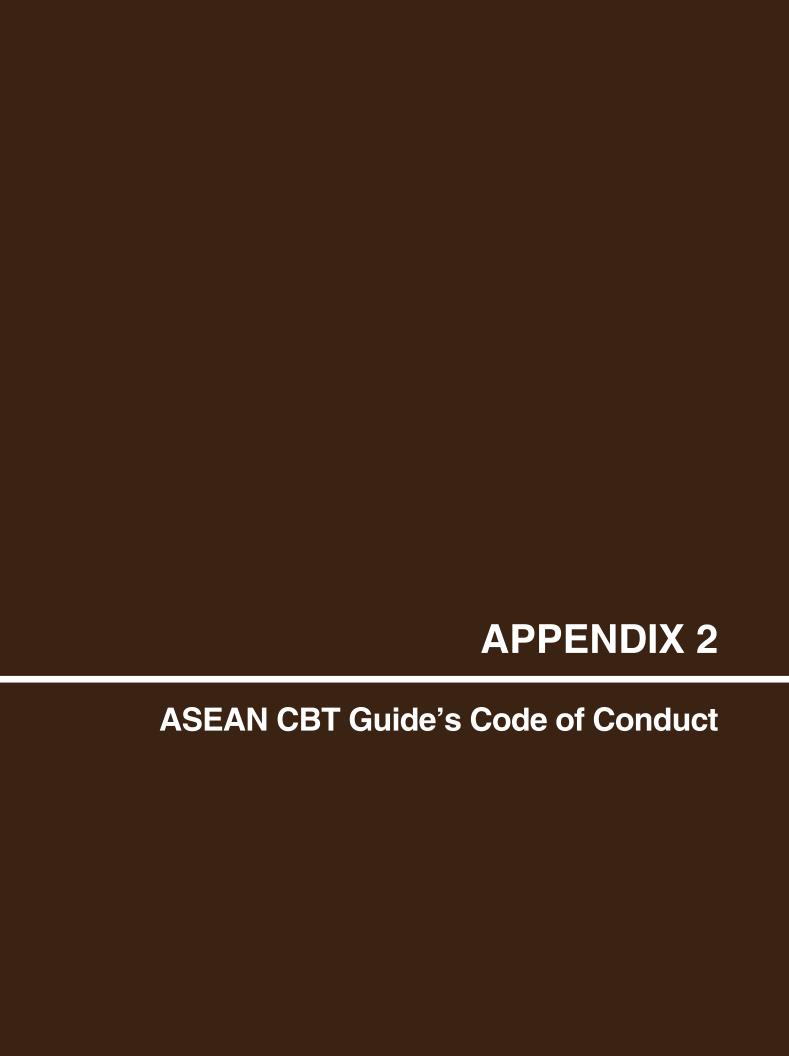




# Appendix 1 ASEAN CBT Member's Code of Conduct

As	an endorsed CBT Member for the (CBT name)	BT initiative,
I, (\	our name), (ID Number)	,
of (	Your address)commi	t to this ASE-
AN	Member's Code of Conduct to ensure the quality of services offered by the CBT is	nitiative.
Му	commitment to on-going learning and effective communication	
	I will actively seek to increase my knowledge of and expertise in the area of CBT	visitor service
	with which I am involved.	(Mandatory)
	I will actively seek to increase my knowledge of: (1) group/visitor management	echniques, (2)
	communication techniques (including cross-cultural awareness/communication a	and verbal and
	non-verbal communication), and (3) first aid and safety.	(Mandatory)
	I will actively seek to increase my knowledge of the local environment and cu	lture: including
	history, cultural traditions, geography, flora and fauna and cultural/heritage sites, a	nd sustainable
	tourism principles.	(Mandatory)
	I will ensure current and relevant environmental and cultural information is in	ncluded where
	required during my interactions with visitors.	(Mandatory)
My	commitment to ethical practices	
	I will be friendly, courteous and honest when dealing with the community and visitor	rs. (Mandatory)
	I will demonstrate pride in representing my community and provide a role m	nodel for other
	community members.	(Mandatory)
	I will not tolerate sex tourism, drug trafficking, child labour or human trafficking, ar	nd I will support
	principles of gender equity and social inclusion.	(Mandatory)
	I will respect the right of all other CBT members to share equally in opportu	inities for their
	involvement in income generating activities.	(Mandatory)
RЛ.	, commitment to noticed and cultivial boutons protection	
	or commitment to natural and cultural heritage protection	
Ц	I will respect and contribute to the promotion and preservation/conservation of lo	
	natural environments.	(Mandatory)
	I will ensure visitors observe CBT Standards at all times when interacting with the	
	environment and people of the community in the interests of avoiding or minin	
	impacts.	(Mandatory)
	I will actively facilitate cross-cultural understanding and opportunities for tourists	
	local activities alongside host community members.	(Mandatory)
Ш	I will demonstrate best-practice waste management by collecting litter and a	
	reduce, reuse, recycle principles.	(Mandatory)
Ц	I will ensure all relevant rules, regulations and laws regarding environment	
	protection or codes of conduct are followed.	(Mandatory)

Wy	commitment to visitor care and	safety		
	I will adhere to all CBT approved policies	and codes of conduct regarding safety a	and security of	
	visitors.		(Mandatory)	
	I will be aware of the nearest first aid kit a	at all times when interacting with visitors.	(Mandatory)	
	As required, I will wear a uniform or carry	an ID card when interacting with visitors	3.	
	I will be prepared to efficiently commun	nicate with a responsible third party in	the event of	
	emergencies or accidents.		(Mandatory)	
Му	commitment to provide quality s	service and continuous improve	ment	
	I will provide professional service by bei	ng on time, organized and prepared in a	advance of all	
	activities with which I am associated.		(Mandatory)	
	I will never be under the influence of illeg	al substances.	(Mandatory)	
	I will never be under the influence of alcoh	nol or any intoxicating substances prior to	and/or during	
	an activity (except when and if culturally	appropriate).	(Mandatory)	
	I will actively seek feedback on visitor experience satisfaction and the activity w			
	involved.		(Mandatory)	
	I will demonstrate commitment to this	s ASEAN CBT Member's Code of Cor	nduct and be	
	able to explain the rationale for each of	of its requirements.	(Mandatory)	
Mer	nber's name	Member's signature		
CBT	representative 1 name	CBT representative 1 signature		
CBT	representative 2 name	CBT representative 2 signature		
Date		Expiry date		





## Appendix 2 ASEAN CBT Guide's Code of Conduct

As	an endorsed CBT Guide for the (CBT name)	. CBT initiative,
I, (\	our name), (ID Number)	,
of (	Your address)co	mmit to this ASE-
ΑN	Guide's Code of Conduct to ensure the quality of guiding services offered by	by the CBT initia-
tive	e.	
Lva	rill comply with the CBT Member's Code of Conduct by:	
ı w	<ul> <li>committing to on-going learning and improving my communication skills,</li> </ul>	particularly in the
	area of interpretive guiding;	(Mandatory)
	<ul> <li>adopting ethical and visitor friendly practices, and taking pride in represe</li> </ul>	
_	community;	(Mandatory)
	<ul> <li>contributing to the protection and presentation of my community's natura</li> </ul>	` -,
ш	assets and traditions by providing cultural and natural environment awar	
	education activities for visitors and the host community;	(Mandatory)
	<ul> <li>following all CBT approved policies and codes of conduct regarding safe</li> </ul>	•
ш	visitors;	(Mandatory)
	<ul> <li>providing a quality service and conforming to any standards developed by</li> </ul>	,
	purposes of improving the quality of guiding services.	(Mandatory)
	pulposes of improving the quality of guiding services.	(Mandatory)
Μv	commitment to ensuring the quality of tours and visitor acti	vities
_	sitor briefing	
	I will inform visitors of the tour/activity itinerary, level of difficulty and possible	hazards and safety
	precautions.	(Mandatory)
	I will inform visitors of regulations or rules that apply to their conduct on the	`
	I will inform visitors of opportunities to participate in the satisfaction feedback	,
То	ur/activity content	
	I will ensure tours/activities with which I am associated are designed to be enjo	yable, educational,
	participatory, organised, relevant and thematic.	
	I will ensure tours/activities with which I am associated respect and contribu	te to the promotion
	and preservation/conservation of local culture and natural environment.	•
	To minimise negative impacts, I will make necessary efforts to ensure that v	risitors, at all times,
	observe CBT approved guidelines for interacting with the culture, natura	l environment and
	people of the community.	(Mandatory)
	I will ensure tours/activities with which I am associated include relevant cul	tural information in
	the interpretation of the community and its surroundings.	
	I will ensure tours/activities with which I am associated provide cultural and r	atural environment
	awareness raising and education for visitors and the host community.	

Ш	I will ensure tours/activities with whic understanding and opportunities for tou community members.	•	
	I will ensure tours/activities with which I an	n associated demonstrate practical was	ste management
	including the application of avoid, reduce	, reuse, recycle principles.	
То	ur/activity conclusion		
	I will invite visitors to participate in the sa	tisfaction feedback process.	
	I will encourage visitors to participate in c	other CBT tours/activities.	(Mandatory)
	I will conclude the tour/activity with an e	xpression of my pride in representing	the community
	and a wish for visitors to have a pleasant	stay within the community and for the i	est of their visit
	halida.		/B. B
	holiday.		(Mandatory)
	I will demonstrate commitment to this		
	•		
	I will demonstrate commitment to this		uct and be able
	I will demonstrate commitment to this	requirements.	uct and be able (Mandatory)
	I will demonstrate commitment to this to explain the rationale for each of its	requirements.	uct and be able (Mandatory)
Guid	I will demonstrate commitment to this to explain the rationale for each of its	requirements.  Guide's signature	uct and be able (Mandatory)
Guid	I will demonstrate commitment to this to explain the rationale for each of its de's name	Guide's signature	uct and be able (Mandatory)
Guid	I will demonstrate commitment to this to explain the rationale for each of its	Guide's signature	uct and be able (Mandatory)

#### **APPENDIX 3**

ASEAN CBT Food and Beverage Service Provider's Code of Conduct



#### Appendix 3 ASEAN CBT Food and Beverage Service Provider's Code of Conduct

As	an	endorsed CBT Food and Beverage Service Provider for the	
(CE	3T r	name)CBT initiative, I, (Your name)	,
(ID	Nur	mber), commit to this ASEAN Food	d and
		age Service Provider's Code of Conduct to ensure the quality of food and beverall by the CBT initiative.	age services
l w	ill	conform to the CBT Member's Code of Conduct by:	
	•	committing to on-going learning and improving my communication skills, partic	cularly in the
		area of quality food and beverage service;	(Mandatory)
	•	adopting ethical and visitor friendly practices, and taking pride in representing	my
		community;	(Mandatory)
	•	contributing to the protection and presentation of my community's natural and	cultural
		assets and traditions by providing and demonstrating traditional cooking practi	ces;
			(Mandatory)
	•	following all CBT approved policies and codes of conduct regarding safety and	d security of
		visitors;	(Mandatory)
	•	providing a quality service and conforming to any standards developed by ASI	EAN for the
		purposes of improving the quality of food and beverage services.	(Mandatory)
_		ommitment to providing quality food and beverage services sion of meals	
	Ιv	will provide meals to CBT visitors at agreed times identified in consultation	with the CBT
		ommittee.	(Mandatory)
	Ιv	vill advise visitors in advance of the price of meals.	(Mandatory)
	Ιv	vill accommodate visitor dietary preferences.	`
	Ιv	vill provide sufficient food for visitor needs, including between-meal snacks.	(Mandatory)
	Ιv	vill make maximum use of organically grown food, and local ingredients, includir	ng fresh meat
		nd vegetables, but no bush meats prohibited by law.	(Mandatory)
	۱v	vill make maximum use of natural bio-degradable products when serving and pa	ackaging food
	(e	.g. banana leaves).	
	Ιv	vill ensure the menu varies daily to promote local custom and traditional cuising	e and provide
	va	riety for visitors.	(Mandatory)
	۱v	vill emphasise local custom and traditional cuisine by providing at least one tradi	tional meal at
	ea	ach dining period.	(Mandatory)
	Ιv	vill provide dessert and/or fruit as part of each meal.	(Mandatory)
Ma	int	taining hygiene standards	
	Ιv	vill ensure animals are kept away from food storage, cooking and dining areas.	(Mandatory)

Ш	I will ensure treated or boiled water is avail	able for use in food preparation (e.g.	_
_	salad vegetables) and cleaning.	alala da fara di anno annollon anno a	(Mandatory)
	I will ensure clean water and soap are availa	· ·	(Mandatory)
	I will regularly wash my hands with soap bef	ore handling food and during cooking.	
_			(Mandatory)
	I will ensure cooking areas are maintaine	d in a clean state (e.g. cleaned afte	
	preparation activity).		(Mandatory)
	I will ensure food preparation and dining ma	terials (e.g. utensils) are cleaned thoro	
	use.		(Mandatory)
	I will ensure food storage facilities are clean	ed on a daily basis and kept in a good	order.
			(Mandatory)
	I will ensure all foodstuffs used on the premi	ses are stored in hygienic containers.	
			(Mandatory)
	I will ensure pests and vermin are controlled	I in all food preparation and storage ar	eas.
			(Mandatory)
Ex	perience exchange		
	I will ensure opportunities exist for tourists	s to participate in my cooking activition	es and learn
	traditional cooking techniques.		
	I will encourage visitors to share recipes and	d cooking techniques with me.	
	I will demonstrate commitment to this	ASEAN CBT Food Service Provide	r's Code of
	Conduct and be able to explain the ration	nale for each of its requirements.	(Mandatory)
			`
Foo	d Service Provider's name Fo	ood Service Provider's signature	
CB	representative 1 name C	BT representative 1 signature	
CB	representative 2 name C	BT representative 2 signature	
	•		
Date	e E	xpiry date	

### **APPENDIX 4**

ASEAN CBT Accommodation Provider's Code of Conduct



## Appendix 4 ASEAN CBT Accommodation Provider's Code of Conduct

As	an endorsed CBT Accommodation Provider for the (CBT name)	
CB	T initiative, I, (Your name), (ID N	umber)
	, commit to this ASEAN Accommodation	
Cod	de of Conduct to ensure the quality of accommodation services offered by the CBT	initiative.
Ιw	ill conform to the CBT Member's Code of Conduct by:	
	• committing to on-going learning and improving my communication skills, partic	cularly in the
	area of accommodation and homestay services;	(Mandatory)
	• adopting ethical and visitor friendly practices, and taking pride in representing	my
	community;	(Mandatory)
	• contributing to the protection and presentation of my community's natural and	cultural
	assets and traditions by providing and demonstrating community lifestyle expe	riences to
	visitors through the provision of accommodation and homestay services;	(Mandatory)
	• following all CBT approved policies and codes of conduct regarding safety and	d security of
	visitors;	(Mandatory)
	<ul> <li>providing a quality service and conforming to any standards developed by ASI</li> </ul>	EAN for the
	purposes of improving the quality of guiding services.	(Mandatory)
Му	commitment to providing quality accommodation	
	I will maintain a visitor booking system that includes an up-to-date log of arrivals, de	epartures and
	returns to my accommodation.	(Mandatory)
	I will provide opportunities for guests to have an enjoyable cross-culture exper	ience and an
	insight to community and family life.	(Mandatory)
	I will provide materials to cover basic communication needs with my guests.	(Mandatory)
	I will maintain my accommodation area in a safe condition that minimises threats from	m dangerous
	species. (Mandatory)	
	I will ensure my domestic animals are healthy.	(Mandatory)
	I will maintain an effective means of communicating (e.g. cell phone) with a response	ponsible third
	party in the event of emergencies or accidents.	(Mandatory)
	Unless part of customary practice, I will not include wildlife decorations in guest acc	commodation.
	I will ensure adequate lighting and ventilation is provided inside guest use areas.	(Mandatory)
Gu	est sleeping areas	
	I will ensure guest sleeping areas are available to guests at all times.	(Mandatory)
	I will ensure guest sleeping areas are designed to allow privacy (e.g. partitioned	l).
		(Mandatory)
	I will keep guest sleeping areas clean and tidy through daily servicing.	(Mandatory)
	I will provide clean bed linen, blanket, mat for each new letting.	(Mandatory)

	of local tradition (e.g. flower, fruit).		
Ba	throoms and toilets		
	I will include in the bathroom and toilet a	dequate privacy and ventilation, a tank	or jar of
_	fresh, clean water, soap, a cup, toilet pa	•	(Mandatory)
	I will thoroughly clean and service the ba	athroom/toilet daily.	(Mandatory)
Sa	fety and hygiene		
	If I supply food or meals, I will meet the	hygiene requirements identified in the C	CBT Food
	and Beverage Provider's Code of Condu	uct.	(Mandatory)
	I will provide and be able to use a first aid kit for guest use and check it weekly for		
	completeness or replenished on use.		
	I will provide a torch for night use by visi	tors.	(Mandatory)
	I will demonstrate commitment to this	ASEAN CBT Accommodation Provide	der's Code of
	Conduct and be able to explain the ra	tionale for each of its requirements.	(Mandatory)
Acc	ommodation Provider's name	Accommodation Provider's signature	
CBT	representative 1 name	CBT representative 1 signature	
CBT	representative 2 name	CBT representative 2 signature	
Date	ə	Expiry date	



ASEAN CBT Friendly Tour Operator's (FTO)

Code of Conduct



# Appendix 5 ASEAN CBT Friendly Tour Operator's (FTO) Code of Conduct

As	an endorsed CBT Friendly Tour Operator for the (CBT name)	
CB	Γ initiative, I, (Your name), of	,
(То	ur operator's name) commit to this	<b>;</b>
	EAN Friendly Tour Operator's Code of Conduct to ensure the quality of services offered within CBT initiative and to protect the values of the CBT community.	
Му	commitment to on-going learning and effective communication	
	I will actively seek to increase my knowledge of and expertise in all areas of CBT visitor service	е
	with which I am involved. (Mandatory	<sub>′</sub> )
	I will actively seek to increase my knowledge of: (1) sustainable tourism, (2) group manageme	nt
	techniques, (3) customer care/service, (4) communication techniques (including cross-culture)	al
	awareness/communication and verbal and non-verbal communication), (5) first aid and safet	y,
	and (6) cultural and environmental issues. (Mandatory	')
	I will actively seek to increase my knowledge of the local environment and culture: includir	ıg
	history, cultural traditions, geography, flora and fauna and cultural/heritage sites, and sustainab	le
	tourism principles. (Mandatory	′
	I will ensure current and relevant environmental and cultural information is included when	е
	required during my interactions with visitors. (Mandatory	,
	I will actively seek to improve my verbal and non-verbal communication skills to improve the	
	quality of visitor experiences. (Mandatory	′)
My	commitment to ethical practices	
	I will be friendly, courteous and honest when dealing with the community and visitors. (Mandator	y)
	I will not tolerate sex tourism, drug trafficking, child labour or human trafficking, and I will suppo	rt
	principles of gender equity and social inclusion. (Mandatory	<i>ı</i> )
	I will respect the right of CBT members to share in opportunities for their involvement in touris	m
	related income generating activities. (Mandatory	')
My	commitment to natural and cultural heritage protection	
	I will respect and contribute to the promotion and preservation/conservation of local culture ar	ıd
	natural environments. (Mandatory	<b>'</b> )
	I will ensure my clients observe CBT standards for interacting with the culture, natural environme	nt
	and people of the community in the interests of avoiding or minimising negative impacts.	
	(Mandatory)	
	I will actively facilitate cross-cultural understanding and opportunities for tourists to contribute	to
	local activities alongside host community members. (Mandatory	<sub>′</sub> )
	I will demonstrate best-practice waste management by collecting litter and applying avoid	d,
	reduce, reuse, recycle principles. (Mandatory	<u>()</u>

Ц	I will ensure all relevant rules, regulations and laws regarding environmenta protection or codes of conduct are followed.	I and wildlife (Mandatory)
My	commitment to visitor care and safety	
	I will adhere to all CBT approved policies and codes of conduct regarding safety a visitors.	nd security of (Mandatory)
	I will be aware of the nearest first aid kit at all times when interacting with visitors. As appropriate, I will wear a uniform and carry an ID card at all times when in visitors.	
	I will be prepared to efficiently communicate with a responsible third party (i.e. us radios, cell phones, flares or other means of attracting attention), in the event of eraccidents.	•
My □	r commitment to providing quality service and continual improved I will provide a quality service by being on time, organized and prepared in a	
	activities with which I am associated.	(Mandatory)
	I will never be under the influence of alcohol or drugs or any other intoxicating sub	` ,
	to and/or during my visit to the CBT initiative.	(Mandatory)
	I will actively seek feedback on visitor experience satisfaction and all activity with	
	involved.	(Mandatory)
Му	commitment to the CBT initiative	
	I will abide by the rules, regulations and practice requirements of the local commu	ınity.
		(Mandatory)
	I will demonstrate support of the CBT initiative and community by making maximu	m use of CBT
	services and being actively involved in, or contributing to, CBT projects.	(Mandatory)
	I will develop a sound knowled <mark>ge and understanding of the spe</mark> cific CBT site and loc	cal conditions,
	especially cultural and natural values, and transfer this knowledge to my clients ar	
_	especially guides and tour leaders.	(Mandatory)
Ш	I will respect community traditions, CBT regulations and requirements for use of en	-
_	sensitive areas and in-community behaviour.	(Mandatory)
Ш	I will consult with the CBT Committee and the community if there is a risk that a	_
	contribute to direct environmental damage.	(Mandatory)
Ц	I will monitor and provide feedback to the CBT Committee on activities based upo	
П	sustainable and ethically acceptable usage of community resources.	(Mandatory)
	I will take away all solid waste generated by my clients from products I bring	
	area.	(Mandatory)
	I will minimise use of motorized transportation, especially in CBT areas.  In cooperation with local guides, I will deliver high quality guiding and culture/nature	(Mandatory)
Ц	and generate respect for the destinations' cultural and natural values.	(Mandatory)
	I will explain codes of conduct to clients, emphasising the visitor's responsibility	
_	people with respect, and avoid environmental damage.	(Mandatory)

Fo	r the CBT FTO operator/owner			
	☐ Through agreement with the CBT Committee, I will limit group size based on the carrying			
	capacity of the site and the objective of d	lelivering quality experiences to clients t	hat minimises	
	impact on the community.		(Mandatory)	
	I will support the CBT Committee in train	ing local guides and wildlife rangers fro	m indigenous	
	and/or local people.			
	I will meet all necessary licenses and per	mit requirements.	(Mandatory)	
	I will actively encourage my clients to have	e travel insurance cover.	(Mandatory)	
	I will practice responsible marketing, wh	ich creates appropriate customer exped	tations of the	
	CBT experience and activities.		(Mandatory)	
	I will conduct my business with honesty a	nd ethical behaviours.	(Mandatory)	
	I will ensure high risk activities are guide	ed by specifically trained and skilled sta	ff, assisted by	
	CBT guides.		(Mandatory)	
	I will ensure staff are trained in first aid, in	ncluding CPR.		
	I will have in place a post-trip customer fe	eed-back system and provide a summar	y report to the	
	CBT Committee after each visit to the CB	T initiative.		
	I will maintain membership of a relevant p	<mark>orofessional tourism</mark> organisation, if avai	lable.	
			(Mandatory)	
	To the greatest extent possible, I will use	eco-friendly accommodation and service	es prior to and	
	after visiting the CBT area.			
	I will provide accurate pre-tour information	n to clients about the tour and the CBT	initiative, a list	
	of needed equipment and codes of condu	uct when in the CBT area.		
	I will demonstrate commitment to thi	s ASEAN CBT Friendly Tour Operat	or's Code of	
	Conduct and be able to explain the rat		(Mandatory)	
			, ,,,	
FTC	D's name	FTO's signature	perator/owner	
CBT	Γrepresentative 1 name	CBT representative 1 signature		
CBT	Γ representative 2 name	CBT representative 2 signature		
Date	e	Expiry date		



