

**EVALUATING THE EFFICACY OF INSTITUTIONAL SYSTEMS IN THE
MANAGEMENT OF WILD LIFE TRADE IN UGANDA**

BY

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CHAPTER ONE

INTRODUCTION

1.1 Introduction

This study intends to evaluate the efficacy of institutional systems in the management of trade in wildlife products in Uganda. The efficacy of institutional systems is conceived as the independent variable and the management of trade in wildlife products is the dependent variable. The efficacy of the institutional systems will refer to the legal and institutional frameworks. The legal framework will be measured in terms of existing laws, rules and policies. The institutional framework will refer to the way structures, processes and systems have been laid down to facilitate legal trade in wildlife products and curb illegal trade in wild life products. The management of illegal trade in wildlife products will be measured by detection of illegal wildlife products at border points, specifically Entebbe International Airport, enactment of anti-illegal wildlife trade laws and regulations, arresting of illegal wildlife traders, arresting of poachers facilitating illegal wildlife trade, presence and effectiveness of intelligence and patrolling systems, prosecution of criminals and stiffer sentences. The moderating variable is management factors, which will be defined basing on the managerial functions which are planning, coordination and control.

This chapter presents the background to the study, statement of the problem, purpose of the study, objectives, research questions, research hypotheses, conceptual framework, significance of the study, justification, scope of the study and operational definitions.

1.2 Back ground to the Study

1.2.1 Historical background

Each year, hundreds of millions of plants and animals are caught or harvested from the wild and then sold as food, pets, ornamental plants, leather, tourist curios, and medicine (WWF, 2014:12). While a great deal of this trade is legal and is not harming wild populations, a worryingly large proportion is illegal and threatens the survival of many endangered species. Overexploitation is the second-largest direct threat to many species after habitat loss (WWF, 2014:13).

Since the 14th Century, illegal trade in wild life has been going on (Wolfam, 2013:6). Whenever people used to sell or exchange wild animal and plant resources, this was considered wildlife trade (Dedan, 2013:34). It involved live animals and plants or all kinds of wild animal and plant products (WWF, 2013:9). People used to trade wildlife for cash and other useful objects for example, utensils in exchange for wild animal skins (Wolfam, 2013:67). Since 1920, wildlife trade has involved hundreds of millions of wild plants and animals from tens of thousands of species. To provide a glimpse of the scale of wildlife trafficking, there are records of over 100 million tonnes of fish, 1.5 million live birds and 440,000 tonnes of medicinal plants in trade in just one year (WWF, 2010:23). Illegal wildlife trade (IWT) is a global threat. The value of global illegal trade has been estimated at between \$5 and \$20 billion per year (World Bank, 2014)

The problem is particularly acute in Africa, where iconic species like the African elephant, white and black rhinos, and pangolins are being poached to extinction. In 2013, over 20,000 elephants were slaughtered for their ivory. As species are poached and illegally harvested at increasingly

unsustainable levels, wildlife crime has become the fourth most lucrative illegal business after narcotics, human trafficking, and weapons.

South Africa which boasts of the biggest population of rhinos on the continent lost over 700 rhinos. Rhino poaching in South Africa increased from 13 to 1,004 between 2007 and 2013 (WWF, 2010: 34). In 2013, the country lost 1004 rhinos while in 2011; rhino killings in South Africa were as many as 448 according to the global wildlife trade monitoring network (Feen, 2013:34). A 2013 report released by the World Wildlife Fund, the International Union for Conservation of Nature and the wildlife trade monitoring network (TRAFFIC) said rhino poaching had reached a 15-year high, pushing the animals close to extinction. Rhinos are listed as critically endangered species and only around 25,000 remain in the wild a figure which is just a quarter of the estimated numbers that roamed Africa in the early 20th century (Dedan, 2013:45). In 2015, 1175 rhinos were poached in South Africa resulting in an increase of over 8,900%.

In the East African region, the main challenge to combat illegal wildlife trade is the high demand for these products in Asia, particularly China where they are signs of pride and prestige.

In Uganda, Illegal wildlife trade has been driven by growing demand from Asia for ivory and rhino horn and similar products. The high demand for some animals like pangolins, whose scales are high in demand in china, has further worsened the situation. Locally, the demand for wild meat has also seen poachers kill animals.

The unfortunate situation is that no ivory king pin has been charged in court. In most cases, the people who have been arrested are the foot soldiers, while the king pins continue financing this

illicit trade in the National Parks within the country. The ivory is later disguised and loaded into shipping containers and exported to Asia.

There have been cases where the ivory trophies have been impounded within Uganda and outside Uganda. On March 2014, for example, Police impounded 106 pieces of illegal raw ivory tusks weighing 1004.4 Kg at Pasir Panjang Export Inspection point in Singapore. The shipment was declared as coffee berries by Shipper Kyagulanyi Coffee Limited located on 5th Street in Bugolobi, Kampala, Uganda. The cartels are able to beat security right from the National Parks to the final destination through corruption. (Sunday Vision November 6, 2016: 9).

Illegal wildlife trade in Uganda is enabled by insufficient law enforcement and access to profitable markets for wildlife products. Law enforcement is hampered by inadequate funding for frequent ranger patrols and equipment and weak laws resulting into low rates of prosecution and penalties that are not deterrents (Harrison Mariel, 2015:8).

In Uganda, rhinos got extinct but however, there is an effort to reintroduce the same in Uganda's protected areas. Currently, 15 Rhinos exist at the Zziwa Rhino sanctuary, a former cattle ranch comprising about 7000-hectares (70 sq km) of savannah and woodlands (Seten, 2013:34). 78 elephants were killed illegally by poachers in 2013 in Uganda. Poachers are motivated by the high value of animal products for example Ivory, for example, can be sold for as much as \$2,000/kilogram on the black market, and rhino horn can fetch as much as \$65,000/kilogram (Jiako, 2013:12).

According to the Uganda Wildlife Authority, Uganda loses sh1bn in illegal wildlife trade annually. Uganda remains the top-most used route for many wildlife items in East Africa

because of its porous borders and weak laws. Many items go undetected due to poor coordination of various agencies and lack of skills by law enforcers. Uganda Wildlife Authority (UWA) seized some 4,000kg of ivory between 2014 and 2015(UWA, 2014). Uganda Revenue Authority (URA) and Uganda Police also impounded 4,310kg of ivory and rhino horns in 2015(UWA, 2014).

The presence of wildlife in protected areas ensures that an ecosystem can function and maintain natural capital (soil, forests, air, water, etc.). As natural resource crime such as poaching increases, it results in environmental degradation. This adversely affects ecosystem services which in turn affect the survival of these communities who depend upon these services for livelihoods, fuel and food. The cost of environmental crime to developing countries is estimated to be more than US\$70 billion a year (World Bank, 2014).

According to Jordan (2014:65), wildlife products worth about 160 US billion dollars were imported around the globe between 1960 to 1990s. In addition to this, there is a large and profitable illegal wildlife trade, but because it is conducted covertly no-one can judge with any accuracy what this may be worth (Donaldson, 2013:19). African elephants once numbered in the millions throughout Africa, but by 1990, uncontrolled hunting for their ivory tusks had driven the number of African elephants in the wild to fewer than 500,000 African elephants (Donaldson, *ibid*). With a ban on international ivory sales and trade in 1990, the population of African elephants began to recover in some countries (USFWS, 2011:34).

Illegal ivory trade activity worldwide has more than doubled since 2007, with ivory fetching up to US\$2,000 per kilo at end point of sale and elephant numbers in all four African sub-regions are now in decline (IUCN, 2014:21). Organised crime groups, especially those with smuggling

capabilities, find wildlife trafficking attractive because of its low risks, high profits, and weak penalties (Wolfam, 2013:13). Extinction is the greatest threat to animals that are victims of wildlife poaching. In 2011, the International Union for the Conservation of Nature (IUCN, 2014:13) declared the Western Black Rhinoceros extinct and Sumatran Tiger extinct. Sumatran Tiger are poached and sold for its parts (skin, teeth, bones, and claws) which sell for up to \$5,000. Elephants are killed for their tusks because, while it is possible to remove the tusks without killing the elephant, they are too dangerous to remove when they are alive (Nwane , 2012:69).

According to Juan (2013:12), there were an estimated 1.3 million African elephants 35 years ago. But a decade later, widespread poaching had reduced that figure by more than half. In the 1980s, during the so-called 'Ivory Wars' it is estimated that at least 700,000 elephants were killed across Africa by hunters and poachers. The global community in 1989, during the CITES conference in Lausanne, Switzerland, voted to ban all trade in elephant ivory. By this time, the elephant population had gone down by 80% and only about 600,000 African elephants remained. The ban led to a slow rise in elephant populations as the ivory market slumped.

1.2.2 Theoretical Background

The study will be underpinned by the institutional theory by Scott (2001). The Institutional theory adopts a sociological perspective to explain organizational structures and behavior (Dunn, 2010:4). The theory draws attention to how organizations decision making is influenced by the institutional, social and cultural factors as identified by Scott (2001:32), and in particular how rationalized activities are adopted by organizations. The theory emphasizes the use of rules, laws and sanctions as enforcement mechanisms, with expedience as basis for compliance (Scott 2004:23).

When applied, the institutional theory will explain the institutional decision making and the influence of the regulatory and oversight agencies in curbing illegal trade in wild life products (Scott, *ibid*). The institutional theory will help in showing the relevance of structures, processes and systems (DiMaggio & Powell, 2003:34). The institution above is useful in that when coercive pressures are high (e.g., under state mandate), organizations quickly adopt new structures. Under low coercive pressures the rate of adoption is much slower (DiMaggio & Powell, 2003:34). However, increased adoption builds legitimacy in the institutional environment, accelerating the rate of adoption of the new structural form.

The Broken Window Crime theory propounded by social scientists Wilson and Kelling, in an article titled "Broken Windows" which appeared in the March 1982 edition of *The Atlantic Monthly*. Wilson and Kelling (1992:44) argued that there is an important relationship between disorder and Crime. The Broken Window theory states that, incivilities and disorder exacerbate the fear of Crime which, in turn, weakens the social cohesion in the neighborhood. If there are physical and social signs that reveal that a particular area is unattended, other kinds of disorder might be attracted to that area. Overall, this climate makes the neighborhood crime prone, and more serious crime are likely to occur (Wilson & Kelling, 1992:44). The Broken Windows theory is a criminological theory of the norm-setting and signaling effect of urban disorder and vandalism on additional crime and anti-social behavior (Wilson & Kelling, 1992:56). The theory states that maintaining and monitoring urban environments in a well-ordered condition may stop further vandalism and escalation into more serious crime.

The broken window crime theory will be a motivator for several reforms in criminal policy, including the controversial mass use of "stop, question, and frisk" by the

This theory will be relevant in demystifying the fact that those who commit disorder and crime have a clear tie to groups suffering from financial instability and may be of minority status. Essentially, everyone perceives disorder differently, and can contemplate seriousness of a crime based on those perceptions. The only way the law enforcement organs can foster observance of the law, order and peace is by partnering with the community to maintain order.

1.2.3 Conceptual Background

The efficacy of the institutional systems will refer to the legal and institutional frameworks. An institution is any structure or mechanism of social order governing the behaviour of a set of individuals within a given community; may it be human or a specific animal one. Institutions are identified with a social purpose, transcending individuals and intentions by mediating the rules that govern living behavior (Rogit, 2013:7). According to Bardo (2013:76), institutional framework refers to the way institutional regulate the operations of an institution. According to Sharma (2009:19), institutional framework refers to the systems of formal laws, regulations, and procedures. For purposes of this study, institutional framework refers to the structures, processes and standards that are used to curb illegal trade in Wild life products. For purposes of this study, legal framework will refer to laws and statutes in existence in Uganda that regulate the control of trade in illegal products. According to Rack well (2010:12) management factors refers to factors that enable optimum utilization of resources like leading, planning, directing, control and organizing. For purposes of this study, management factors will refer to planning, control and coordination of trade in illegal wild life products.

Wildlife trade is perhaps the most immediate threat to animals in many parts of the world. Around the globe, wildlife is being bought and sold on an increasingly massive scale as pets,

meat, and food, as medicine, furs, feathers, skins, and trophies (Sharma, 2009:21). Illegal wildlife trade is also often unsustainable, harming wild populations of animals and plants and pushing endangered species towards extinction (Gede, 2014:67). Endangered animals and plants are often the target of wildlife crime because of their rarity and increased economic value.

Illegal wildlife trade is estimated to be a multibillion-dollar business involving the unlawful harvest of and trade in live animals and plants or parts and products derived from them(Gede, 2014:62). Wildlife is traded as skins, leather goods or souvenirs; as food or traditional medicine; as pets, and in many other forms (Sonia, 2013:34). Illegal wildlife trade runs the gamut from illegal logging of protected forests to supply the demand for exotic woods, to the illegal fishing of endangered marine life for food, and the poaching of elephants to supply the demand for ivory. For purposes of this study, curbing of illegal and unsustainable trade in Wild life products will be measured by detection of illegal wildlife products at border points, specifically Entebbe International Airport, enactment of anti-poaching laws, arresting of poachers, prosecution of criminals and stiffer sentences. The management of illegal and unsustainable trade in wildlife products will be measured by detection of illegal wildlife products at border points, specifically Entebbe International Airport, enactment of anti-poaching laws, arresting of poachers, prosecution of criminals and stiffer sentences.

1.2.4 Contextual Background

Wildlife is vital to the lives of a high proportion of the world's population, often the poorest. Some rural households depend on local wild animals for their meat protein and on local trees for fuel, and both wild animals and plants provide components of traditional medicines used by the majority of people in the world (Donaldson, 2013:27). Trade in illegal wildlife products has the

potential to be very damaging (Dedan, 2013:31). Populations of species on earth declined by an average 40% between 1970 and 2000 and the second-biggest direct threat to species survival, after habitat destruction, is wildlife trade (Ruthworth, 2014:12). Extinction is the greatest threat to animals that are victims of wildlife poaching. In 2011, the International Union for the Conservation of Nature (IUCN, 2014) declared the Western Black Rhinoceros extinct (Razor, 2013:56). This subspecies of the critically endangered Black Rhino was poached due to the belief in the healing properties of its horn.

Poaching remains a serious threat to the preservation of wild life in Uganda. However, the continuation of poaching leaves a question as to whether the wild life management in Uganda is playing its role in the preservation of wild life, but this question is subject to debate hence prompting the researcher to carry out an investigation on trade in illegal wildlife products and poaching with the related management factors in wild life preservation in Uganda (WWF, 2013:34). This issue of poaching is argued a lot in the government, in terms of poaching laws and zoning laws. And there are many other things to address, but none are coming to mind (WWF, 2013:45). The most disturbing trend has been the horrific increase in poaching in Uganda. Prior to 2006, illegal killing of mountain Gorillas in Uganda was being maintained at consistently low levels. Since 2008, mountain Gorilla poaching in Uganda has skyrocketed year on year, culminating in a total of 34 Gorilla killed in 2011(WWF, 2013:44). The face of rhino poaching has also changed, with trusted wildlife industry professionals adding to the ranks of the more traditional poaching demographic (WWF, 2014:51). Unfortunately, there is no indication that the rhino, elephant and mountain Gorilla poaching crisis is coming under control in Africa, as the animal deaths continue despite the government responses to combat poaching, including

the deployment of army personnel in National parks (WWF, 2014:19). It is against this background that the researcher seeks to evaluate the efficacy of institutional systems in the management of illegal and unsustainable trade in wildlife products in Uganda

1.3 Problem Statement

Much as some trade in wildlife products is legal, a large portion of wildlife trade is illegal. Trade in illegal wildlife products is a major criminal industry worth more than 27 trillion Uganda shillings (6b Pounds) each year worldwide. It threatens the existence of some of the world's most iconic species such as elephants and rhinos. It drives corruption and instability, undermines the rule of law and steals valuable resources from some of the world's poorest communities. Despite the existence of institutional systems tasked with the responsibility of managing wildlife in Uganda vis-viz curbing illegal wild life trade, there are gaps within the institutional and legal framework that manages and regulates wild life trade in Uganda. For example inadequacies in the law (Wildlife Act Cap 200), inadequate resources, security provided to curb illegal wild life trade, corruption leading to rampant trafficking of the wild life products through the borders and Entebbe International Airport. Uganda is listed among the so-called eight countries that are heavily involved in illicit ivory trade (16th Convention on International Trade in Endangered Species, CITES, conference in Bangkok, 2014). According to CITES (2012:27), from 2009 to June 2014, criminal networks trafficked as much as 170,000 kilogrammes of ivory implying that the number of elephants that are being killed far exceeds the number being born. The managerial function coupled with the existing legal and institutional framework is under question over the rampant and continued existence of trade in illegal wild life products. The above scenarios indicate failure of existing systems. Yet, no much linkage has been done empirically to demystify the proposition surrounding the curbing of trade in illegal wildlife products in Uganda

and this has created a knowledge gap. There is fear that if trade in illegal wild life products is not curbed, fauna is likely to be extinct in a few years to come. It is under this background that the researcher seeks to investigate the management factors influencing the curbing of trade in illegal wildlife products in Uganda which is a serious threat to the conservation of wildlife attributed to management factors in Uganda.

1.4 Purpose of the Study

The study will focus on evaluating the efficacy of institutional systems in the management of trade in wildlife products in Uganda.

1.5 Objectives of the Study

1. To document the existing processes involved in facilitating legal wildlife trade in Uganda.
2. To establish the influence of the institutional framework on the management of wildlife trade in Uganda
3. To analyze the influence of the legal framework on the management of wildlife trade in Uganda
4. To assess the moderating effect of management factors on the relationship between the institutional and legal framework and the management of wildlife trade in Uganda.

1.6 Research Questions

1. What are the existing processes facilitating legal wildlife trade in Uganda?
2. How does the institutional framework influence the management of wildlife trade in Uganda?
3. How does the legal framework influence the management of wildlife trade in Uganda?

4. What is the moderating effect of management factors on the relationship between the management of wildlife trade in Uganda?

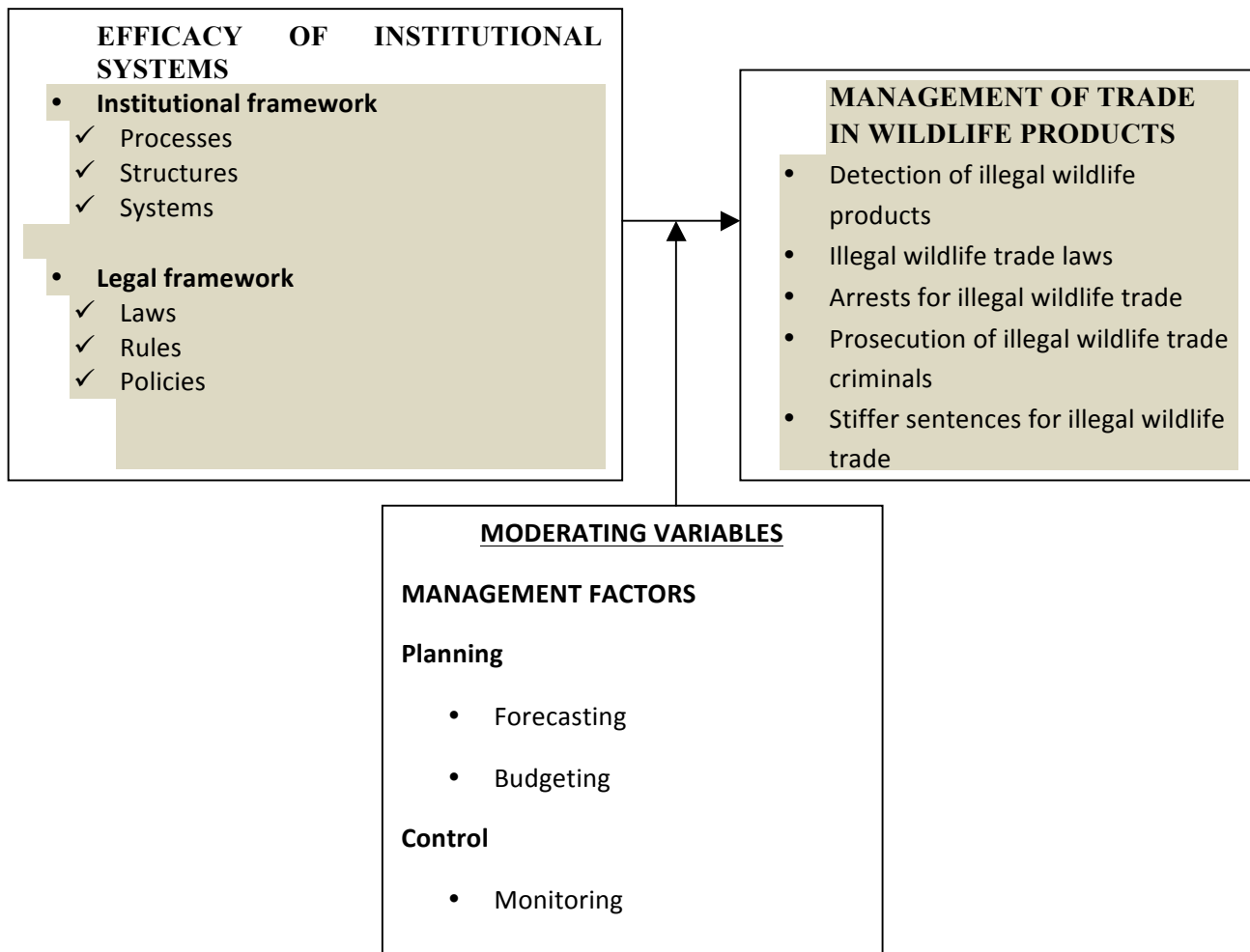
1.7 Research Hypotheses

1. There are existing processes facilitating legal wildlife trade in Uganda.
2. The institutional framework significantly influences the management of wildlife trade in Uganda
3. The legal framework significantly influences the management of wildlife trade in Uganda
4. There is a significant relationship between the moderating effect of management factors and the management of wildlife trade in Uganda.

1.8 Conceptual Framework

This sub section illustrates the conceptual framework of the study and provides a discussion of the main areas of focus in the conceptual review. It seeks to delineate the palpable and crucial link between the issues and as a final point it seeks to summarize the conceptual framework for the study.

Figure 1.1: Conceptual framework illustrating the relationship between the study variables



Source: Adapted from Kasara, L., A. (2013). *Evaluating trade in Illegal Wild Life products in East Africa.*: Master in Wild Life Conservation Thesis University of Nairobi pp.121 (modified by the researcher).

The independent variable is evaluating the efficacy of the institutional systems and the dependent variable is the management of trade in wildlife products. An institution is any structure or mechanism of social order governing the behavior of a set of individuals within a given community (Dedan, 2013:96). The efficacy of the institutional systems will refer to the legal and institutional framework. The institutional work will be measured in terms of structures, processes and systems. The legal framework will be measured in terms of laws, rules and policies. The moderator variable is management factors which will be measured in terms of planning, control

and coordination. Planning will refer to forecasting and budgeting. Control and coordination will be measured in terms of monitoring, supervision and organizing. The dependent variable is the management of illegal and unsustainable trade in wildlife products in Uganda which will be measured in terms of detection of illegal wild life products, poaching laws, arrests, prosecution of criminals and stiffer sentences.

1.9 Significance of the Study

The results of the study may be used in policy formulation and implementation by the government in management of wildlife resources in Uganda. The study may, stimulate interest in curbing illegal wild life trade. It is hoped that the study may be used to develop a more comprehensive and efficient policy on wild life conservation. The study may give the researcher a more practical analytical insight relating theory to practice. In this regard, the study may broaden the researcher's knowledge on wild life conservation.

It is also hoped that the study will highlight the different interventions that have been put in place to curb illegal wildlife trade to inform different policy debates on what has worked and what has not worked in order to change course where need be.

It is hoped that the study may highlight workable interventions on curbing illegal trade in wild life products. It may also inform the ongoing policy debates on wild life conservation. The findings may bring more insight to policy makers to come up with proper mechanisms that may help foster the improvement of wild life conservation in Uganda. The research may act as a foundation to indicate areas of further research to subsequent scholars in the field of wildlife management in Uganda.

1.10 Justification to the Study

Poaching for illegal wildlife trade is more lucrative than other jobs that are available in the region; a harsh reality faced by many individuals and communities. In 2011, the International Union for the Conservation of Nature (IUNC, 2013:33) declared the Mountain Gorillas in Uganda extinct. Since 2008, mountain Gorilla poaching in Uganda has skyrocketed year on year, culminating in a total of 34 Gorilla killed in 2011(UWA, 2013:12). The illegal wildlife trade robs states and communities of their natural capital and cultural heritage, with serious economic and social consequences. It undermines the livelihoods of natural resource dependent communities and it damages the health of the ecosystems they depend on, undermining sustainable economic development. Poaching remains a serious threat to the preservation of wild life in Uganda. The continuation of trade in illegal wild life products prompts this study and the question remains whether the wild life management in Uganda is playing a key role in the preservation of wild life.

1.11 Scope of the Study

1.11.1 Geographical scope: The study will be carried out in Central and Western Uganda in the key gazetted Wild life National Parks and reserves. In Central Uganda, the key study areas will be the Uganda Wildlife Authority head offices, Entebbe International Airport and Uganda Wildlife Education Centre.

1.11.2 Content scope: The study will focus on evaluating the efficacy of institutional systems on the management of illegal trade in wildlife products in Uganda which is a serious threat to the conservation of wildlife attributed to management factors. The independent variable is evaluating

the efficacy of institutional systems and the dependent variable is the management of illegal trade in wildlife products in Uganda.

1.11.3 Time scope: The study will cover the period 1990-2015 because this is the period when there has been increased trade in illegal wild life products in Uganda. In 2014, illegally acquired ivory was impounded at Entebbe International Airport. In 2011, more than 23 metric tons of illegal ivory were seized that of nearly 2,500 elephants (Kalumba, 2014:67). Uganda Wildlife Authority (UWA) has lost 1,335Kg of ivory from its stores from 1990 to 2014. Also, between 2010 and 2013, Uganda lost 50 elephants at Queen Elizabeth National Park and 56 Elephants at Muchison Falls National Park (Sunday vision November 6th, 2016:9).

1.12 Definitions Of Key Terms and Concepts

An institution is any structure or mechanism of social order governing the behavior of a set of individuals within a given community (Dedan, 2013:96).

Institutional framework refers to the systems of formal laws, regulations, and procedures, and informal conventions, customs, norms, that shape socio-economic activity and behavior in the curbing of illegal trade in wild life products. For purposes of this study, *institutional framework* refers to the processes and structures used in wildlife management.

Legal framework refers to laws, regulations and policies in existence in Uganda that regulate the control of wildlife resources (Jembu, 2014:23) such as the Uganda Wild life Act and the Penal Code Act etc.

This chapter reviews the concepts of the institutional and legal framework and trade in illegal wildlife products. The aim, problem statement, objectives, research questions, significance and operational definitions are the key areas discussed in this chapter. The parameters of the study

scope and limitations are highlighted in this chapter. The next chapter provides an overview of literature on institutional and legal framework and illegal trade in wildlife products.

CHAPTER TWO

REVIEW OF LITERATURE

2.1 Introduction.

This chapter provides a review of literature on the institutional and legal framework for the management of wildlife resources. The presentation of this chapter begins with the theoretical review, review of related literature and the summary of the literature reviewed. The literature reviewed is from journals, textbooks, working papers, dissertations and internet websites.

2.2 Theoretical Review

Under the institutional theory, Scott (2004:56) identifies three pillars of institutions as regulatory, normative and cultural cognitive. The regulatory pillar emphasizes the use of rules, laws and sanctions as enforcement mechanism, with expedience as basis for compliance. Institutional theorists assert that the institutional environment can strongly influence the development of formal structures in an organization, often more profoundly than market pressures. At this point new and existing organizations will adopt the structural form even if the form doesn't improve efficiency (DiMaggio and Powell, 1983:23; Meyer and Rowan, 1977:77). Meyer and Rowan (1977:67) argue that often these "institutional myths" are merely accepted ceremoniously in order for the organization to gain or maintain legitimacy in the institutional environment. DiMaggio and Powell (1983:42) conclude that the net effect of institutional pressures is to increase the homogeneity of organizational structures in an institutional environment (Obed, 2013:34).

The institution above is useful in that when coercive pressures are high (e.g., under state mandate), organizations quickly adopt new structures. Under low coercive pressures the rate of adoption is much slower (Meyer and Rowan, 1977:77). However, increased adoption builds legitimacy in the institutional environment, accelerating the rate of adoption of the new structural form.

The Broken Window Crime Theory states that, incivilities and disorder exacerbate the fear of Crime which, in turn, weakens the social cohesion in the neighborhood. If there are a physical and social signs that reveal that a particular area is unattended, other kinds of disorder might be attracted to that area (Weask, 2014:24).

Overall this climate makes the neighborhood crime prone, and more serious crime are likely to occur. The Broken Windows theory is a criminological theory of the norm-setting and signaling effect of urban disorder and vandalism on additional crime and anti-social behavior (Weask, 2014:25). The theory states that maintaining and monitoring urban environments in a well-ordered condition may stop further vandalism and escalation into more serious crime. The broken window crime theory has been used as a motivation for several reforms in criminal policy, including the controversial mass use of "stop, question, and frisk" by the Department (Wasserman, 2008:34). It considers a building with a few broken windows. If the windows are not repaired, the tendency is for vandals to break a few more windows. Eventually, they may even break into the building, and if it is unoccupied, perhaps become squatters or light fires inside (Jeiden, 2012:32).

The proponents of the Broken Window state that the successful strategy for preventing vandalism is to fix the problems when they are small. Repair the broken windows within a short time, say, a day or a week, and the tendency is that vandals are much less likely to break more windows or do further damage (Oden, 2012:27). This theory will be relevant in demystifying the fact that those who commit disorder and crime have a clear tie to groups suffering from financial instability and may be of minority status (Dedan, 2013:56). Essentially, everyone perceives disorder differently, and can contemplate seriousness of a crime based on those perceptions. The only way the law enforcement organs can foster observance of the law, order and peace is by partnering with the community to maintain order.

2.3.1 Institutional framework and the management of illegal trade in wildlife products in Uganda

Gainura (2014:33) who carried out a study on trade in illegal wildlife products noted that participation in wildlife trade is determined by the degree of people's awareness, and that this therefore needs to be changed if the illegal and unsustainable trade in wild species is to be reduced Gainura (2014:34). Literatures indicate that Awareness interventions relating to the wildlife trade have been applied via a diverse range of mechanisms (for example media campaigns, school curricula, roadshows, documentaries and poster series), to a broad range of target audiences (including harvesters, traders, consumers, hoteliers, medical practitioners, customs officials and the general public (Dedan, 2013:45). In investigating the problem, the earlier scholar used secondary data. The view that wild life authorities are attracted by strong economic fundamental in the host country, the most important being regulations has begun to change as the views on the importance of institutional policies gains ground. In bridging the gap between the past and proposed study, it is imperative to note that as a result of this change of

dynamics, wild life institutional policies can become the main competition tools for attracting good tourism management.

Empirical literatures on the effectiveness of wild life authorities in promoting good wild life management are mixed. Earlier studies have pointed out that wild life institutions should be at the peak of the management framework and this is very insignificant (Jacobs, 2014:34). The dynamics of wild life authorities seem to be related more with economic fundamentals. Many other studies also tried to see how effective the wild life institutions can be were by comparing the costs and benefits of these institutions. Among the studies that found insignificant impact of the institutional framework are a broad cross country analysis in EU member countries by Meden (2013:41). The study used primary surveys that involved the tourism agencies themselves that are a go between. They have found that the advantages of wild life authorities in terms of attracting tourism and good management are not very limited.

Kabumba (2013:45), in his Article that evaluates the regulatory framework for Wild life Conservation in Uganda notes that efforts to improve wildlife resource management have had a strong focus both on improving the sustainability of wild harvests and on promoting non-wild alternative supplies of traded plants and animals, such as through cultivation, domestication or captive breeding (Kabumba, *ibid*:44). Resource management interventions for both wild and cultivated harvests are often linked to efforts to strengthen local profit and value-added, including the provision of credit, support to business planning and marketing, the organisation of producer or harvester associations and co-operatives, and various market-based mechanisms, such as labelling or certification (Walph, 2014:51). The variability of the wildlife trade can be perfect if the institutions properly execute their tasks. The study aims at determining whether

distinct types or groups of “cases” as represented by the different institutions that regulate wild life tourism.

Gede (2014:34) who carried out a study on illegal trade in Wild life illegal products in Uganda notes that despite internationally-recognised protection, and protection at national levels, poaching networks in the region are generally well developed and are professional, particularly where the trade in Tigers is concerned (Gede, 2014:34). Therefore, reducing the poaching of Tigers is a significant challenge. For example, in Indonesia, despite the establishment of specialised units by the government to reduce Tiger poaching, Edrian (2013:42)’s research indicates that Tigers in Sumatra continue to be poached on a large scale and Tiger parts are widely available in markets on the island (Shepherd and Magnus, 2014:55 and Nemora, 2014:34). This corresponds with the conclusions of Nowell and Xu, 2007:31), based on data provided in Sanderson(2006), that the institutional framework still has a number of gaps that need to be closed, while international trade bans have helped conserve wild Tigers, national trade bans appear to have been even more effective.

Given the open availability of Tiger parts in Indonesia, and the continual decline of wild Tiger populations in all four countries, it is not clear if national legislation is effective in a practical sense, or if awareness alone of national legislation is high, but enforcement is still lacking. Zoning and establishment of protected areas for Tiger conservation was considered somewhat to slightly effective with no response indicating that it was very effective. This study therefore will adopt the notion of examining management factors affecting illegal wildlife trade without special focus on a particular field and this will bridge the gap of having limited data on a particular field.

Egbeni (2014:55) in his study on Illegal trade in Wild life in Nigeria notes that most conservation organisations have raised the issue in one form or another, but there has yet to be a concerted campaign directed solely at the various stakeholder groups involved in the hunting, trading, processing and consuming of Tigers (Egbeni, 2014:13). Awareness-raising in the four target countries was largely considered to be unsuccessful as an intervention aimed at altering consumer behaviour although it should be noted that, in Vietnam, at least, consumer awareness that Tigers are endangered is very high (Ilechi, 2013:14). However, it is worth noting that while awareness-raising efforts aimed at reducing the consumption of wild life products, in combination with regulatory approaches, is generally considered to have been successful according to a recent study by Ilechi (2013:61), awareness-raising has not seemed to have had a noticeable effect on the levels of poaching in Indochina or Indonesia, where these animals are often sourced. This is a minor criticism but actually one that would seem to indicate that Ilechi (2013)'s study may be broader in applicability than the proposed study that is centered specifically on Uganda.

2.4 Legal Framework and the Management of illegal trade in wildlife products in Uganda

A joint study by justice network Africa on illegal trade in wild life products in East Africa has indicated Kenya, Uganda, Tanzania and Rwanda are losing up to USD 2.8 billion a year because of the rampant trade in illegal tourism products (Kante, 2013:11). This study, however, used simple descriptive analysis that it is difficult to separate the impact of illegal trade in wild life when it comes to attracting and stimulating tourism development. Similarly, there are arguments forwarded against illegal trade in tourism products. In the proposed study this will be investigated in relation to the institutional framework. A study by Rossette (2013:22) that focused on middle income country, particularly on South Africa, looked at the topic from micro

ecological perspectives by using firm level data. He found that the institutional and legal framework for wild life management complement each other.

According to this study, other factors play a negligible role in wild life management hence the legal/ institutional fundamentals are more important. The study also argues there are cases in which managers themselves may play a positive role. This could be related to Kaplan (2010:56) argument that once the decision to set up in a broad area is made managers may affect the decision regarding the more precise issues Georgian (2013:54). On the other hand, most of the studies conducted in the past decade have shown positive impact of the institutional and legal framework on wild life development.

Kabumba (2013:88) in his study on the growing extinction of mountain Gorillas in Uganda notes that the Wildlife Act governs the conservation, sustainable management and utilization of the wildlife resources. The Act is also designed to enhance economic and social benefits from wildlife management through the establishment of wildlife use rights and the promotion of tourism (Kabumba, 2013:89). The Uganda Wildlife Authority is the lead agency responsible for wildlife and some of its functions that could provide avenues for revenue sharing including the development and implementation of collaborative arrangements for the management of wildlife ; the establishment of policies and procedures for the sustainable utilization of wildlife by and for the benefit of communities living in proximity (Section 7(e) Section 7(g) Wildlife Act 1996 ; The Act further provides for the development of tourist facilities in wildlife protected areas and the collection of fees and licensing for such services (Kibuuka, 2013:23). Although the Wildlife Act is in place, it has not been invoked as required in stopping of illegal trade in Wildlife products.

It is also believed, tourism development may go up as a result of forward and backward leakage with foreign tourism (Eimad, 2013:19). Some of the researchers tried to identify the key illegal products traded in. which type of incentives work best instead of generalizing. Ddamba (2013:23) in his study on illegally traded wild life resources noted that Uganda Wildlife Authority has developed Guidelines on how to curb the vice but this has not been effective given the loopholes in the law, the interpreters of the law with specific focus on the courts while passing judgments. The judgments are light compared to the crimes committed.

According to this study, the illegally traded products are not confiscated since the criminals connive with the law enforcement officers to escape arrest. The study recommended that countries should put in place strong laws and institutions to curb the vice. Kakuma (2013:23) also argue that under a certain condition the criminals escape prosecution. According to Kakuma (2013:12), the criminals should be trapped and the products confiscated before they are imported. It is under these conditions that law will have a significant impact on wild life development. Nwane (2012:11), unlike the other studies in the 2000s, in his study found that laws are weak in Africa and so the first step should be amending the existing laws to suit the situation on ground. His finding also shows that the law is an important determinant of tourism growth, which is in line with the other studies that identified the law and other sets of regulations as the best means of preventing illegal trade in wild life products.

Opio (2013:45) in his study on challenges facing tourism in Uganda notes that the Wildlife Act makes express provision for revenue sharing under Section 70(4) where the Board of UWA is obliged to pay 20 percent of the park entry fees collected from a wildlife protected area to the adjacent local governments (Opio, 2013:47). Uganda Wildlife Authority has developed Guidelines on the revenue sharing programme around protected areas. According to Ddamba

(2010:13) notes that Uganda Wildlife Authority, local communities and local governments for sustainable management of resources in and around protected areas focuses much on the Act. However, the Wildlife Act 1996 does not provide for how the derivation funds are allocated between local governments and the communities surrounding the protected areas (inter and intra-jurisdictional equity).

Omachi (2011:23) in his study on the endangered species in Kenya states that the Forestry and Tree Planting Act sets out the regulatory framework for the conservation, sustainable management and development of forests for the benefit of the people of Uganda. Under the Act, the categories of forests include central forest reserves, local forest reserves, community forests and private forests that are all managed by different institutions (Omachi, 2011:25). Central and local forest reserves are managed by the National Forestry Authority and local governments, respectively for the benefit of the people. These two institutions are responsible for the conservation and sustainable utilization of the forest resources. Non probability sampling techniques specifically convenient sampling was adopted to select the sample in the earlier study, in creating a nexus between the two studies, the proposed study will rely on both probability and non-probability sampling techniques to select the sample.

A study by Opio (2013:21) even though it did not directly address the impact of trade in illegal products on tourism development, it has tried to capture the general sensitiveness of this trade measured by an index. The study constructed an index based on the evaluation obtained from respondents. The result showed a significant positive relationship between the legal framework and wild life development. Another strong support comes from Omach (2011:45) who argued that laws are good and appropriate for wild life development. He justified the effectiveness of laws by addressing the main arguments forwarded by the opponents of the legal framework. But

according to Omachi (2011:41) as far as laws attract tourism development that would not come otherwise, it is not inefficient even if it create distortion. His arguments have the notion that the effectiveness of the legal framework should only be evaluated against its primary goal of discouraging trade in illegal wild life products. In general this study supports the notion that good laws are effective in attracting tourism development. On the other hand, Nwane (2012:23) witnessed a mixed result, countries' experience showed a success and failure story of using the law in stimulating wild life development. The arguments presented so far have ignored the fact that laws may have loopholes although laws are good. Omachi (2011:17) presented a rather balanced view after a thorough review of literatures; it could not be said laws in every country are good but it depends on how they are applied.

Jordan (2014:23) in his study on Wild life Conservation in Canada noted that there was a high level of consensus among experts that the abundance of traded species in the wild had declined over the past decade, confirming the findings of the large body of data and literature that draws attention to alarming rates of loss of commercially valuable biodiversity in the region as a result of overexploitation and trade (Jordan, 2014:29). Many of the species that are declining are used to support subsistence needs, e.g. for food and medicine, as well as providing a source of income (Nwane, 2012:78). Further declines will not only affect the status of traded species and the ecosystems in which they occur, undermining achievement of the existing legal framework (environmental sustainability), but will also hamper efforts to achieve the goals related to poverty, hunger and health (Were, 2013:65). The effectiveness of interventions to control illegal and unsustainable wildlife trade are minimal in Africa given the weak management framework (Gamba, 2014:43). However, based on survey responses and information from the literature, assumptions made, the design of intervention approaches may in some cases be misplaced. It is

therefore perhaps not surprising that interventions, which tend to focus on particular parts of the trade chain, may not be successful in reducing illegal and unsustainable trade overall. The data in the past study was analyzed using qualitative data that falls short of what is expected in the proposed study whose analysis will be based on mixed methodological approaches. Using a mixed approach, data will be cross-validated and captured using different dimensions of the same phenomenon.

Cogam (2012:12), notes that efforts to reduce poverty, increase income and diversify livelihoods among rural communities were believed by experts surveyed to have relatively low impact on participation in harvesting wildlife for trade. The links between the law, wealth, poverty and engagement in the wildlife trade are complex: people involved in the trade are not necessarily poor, and the poor who are involved usually do not drive the trade (Cogam, 2012:27). Further, they do not capture the majority of the trade's monetary value because of poor control and coordination. Expert opinions suggested that improving the income or livelihood status of harvester communities often did. Cogam (2012:27), study was based on purely quantitative data analysis techniques with more emphasis on multiple regression analysis compared to the proposed study that will analyse data using both qualitative and quantitative methodological approaches. Another related argument forwarded by the above author is that the sources of the law determine its applicability.

According to Milliken and Shaw (2012:34), in his study on Tourism growth in Asia notes that Asian operatives involved across the illegal rhino horn trade have exploited Singapore's 'unusually high' levels of crime and institutional corruption to establish an extremely sophisticated criminal enterprise linking key demand countries such as Vietnam to South Africa. The (2013) report by the Environmental Investigation Agency states that between 2009 and

2012, 185 Vietnamese nationals engaged in rhino hunts in South Africa, accounting for 48 per cent of total hunts in that period (Rehem, 2014:56). Much information was needed on the process of transiting wildlife goods from source countries along transit routes to artisans and consumers and the legal approach to these issues. However, the study still did not address heterogeneity of countries, in terms of the existing legal framework, as it was conducted in aggregate (regional) level. It has also been argued that a good legal framework is needed to remain competitive. This is supportive of the view that, once the basic factors like the law is in place, the management will have no worries.

The potential for a legal trade in ivory is explored by Martin (2012:12) in his study on Wildlife conservation evaluation: attributes, criteria and values points out that the failure of African elephant range states to implement CITES regulations to control the ivory trade (Juan, 2013:18). Also, Juan notes: ‘most countries in Africa appear to be unable to meet the high costs. This may soon change following the latest Conference of the Parties, which resolved to improve funding for the elephant range states to administer the African Elephant Action Plan. Implementation of legislation monitoring the illegal trade in ivory and rhino horn in source countries remains a problem for governments lacking the resources required to protect their endangered species indefinitely (Smith, 2011:23). However, the political will to tackle the legal related concerns is growing. The only way in which range states will be able to counter organized crime syndicates exploiting national legislative and institutional weaknesses is to participate in a coordinated response across the illegal wildlife trade chain. It is clear that there has been a sharp rise in the illegal wildlife trade over the past few years (Dedan, 2013:27). However, the true extent of the trade has not yet been ascertained. This would be difficult to analyse, as this trade may cross

over into a variety of illicit trades, including, as noted, drug-smuggling and money-laundering. However, concerted efforts by transnational agencies such as INTERPOL , domestic laws should be strengthened in relation to illegal trade in wild life products. Most courts of laws in Uganda have found no evidence-based illegal. An investigation is needed to understand how reliant these groups are on trade in illegal wild life products and it is this gap that this study seeks to bridge. However, none of the studies above analysed the impact of the legal framework; this study is believed to fill this gap by taking sectors as cross sectional units and applying panel data analysis technique, and focusing on only the wild life sector.

2.5 Management Factors and the Management of illegal trade in wildlife products in

Uganda

Planning

Nwane (2012:14) who carried out a study on the brief history of Bunyoro's Wild Kingdom notes that poaching is dangerous to the environment. Our ecosystems are sensitive and must be preserved. The economic challenges of a community can lead to poaching, which in turn can lead to endangerment (and in the worst cases, extinction) of different species. There is need for various species of flora and fauna in the environmental ecosystems so that it can be maintained healthy and balanced but this calls for serious planning (Nwane, 2012:15). The above study adopted qualitative techniques of data analysis compared to the proposed study that will adopt mixed methodological approaches of data analysis.

According to the African Wildlife Foundation (2011:67), poachers have claimed more than 900 rhinos across Africa in the past three years. Between 2007 and 2011, rhino poaching increased by 3,000 percent in South Africa alone (Rehem, 2014:12). Black market prices, driven by

surging prices for wildlife products in East Asia, with rhino horn at times more valuable per ounce than gold (WWF, 2014:9). In 2011, more than 23 metric tons of illegal ivory were seized that of nearly 2,500 elephants. Senator John Kerry remarked that “Poaching is not just a security threat in Africa but it is also a menace to developing economies, and it thrives where governance is weakest (WWF, 2014:12). Poachers with heavy weapons are a danger to lightly armed rangers and civilians as well as the animals they target.”

According to Kakuma (2013:41), in his study on factors influencing illegal trade in Wild life products notes that poaching is interwoven into some of Central and East Africa’s most brutal conflicts and many of those combatants are essentially members of criminal gangs, preying upon the communities (Kabumba, 2014:39). The illegal trade could have been minimal if there was good planning but this also seems to be lacking (Edeno, 2013:33). The scope and lethality of the poaching industry are only increasing as armed groups expand their criminal networks and profit from the lucrative trade in conflict minerals and illegal timber (Kakuma, 2011:34).

According to Mokoane (2002:65) in his study on Huge haul of dead owls and live lizards in South Africa notes that although there have been a number of recent breakthroughs, there is also a need for increased number of arrests, prosecutions and stiffer sentencing, preferably mandatory imprisonment for poachers and this will necessitate planning. The debate about whether legalizing international trade in rhino horn could be part of the solution to rhino poaching in South Africa is growing in intensity and becoming increasingly emotional and polarized between strong pro and anti-factions. Lithuli (2014:34) attributes the illegal trade in wild life that is

rampant to inadequate planning. However, such debates should not distract from what the most immediate issue is at hand stemming the increasing tide of illegal killing of animals in the world.

According to Kasara (2013:75), in his study carried out in Kenya on Wild life conservation, he notes that the world is dealing with an unprecedented spike in illegal wildlife trade, threatening to overturn decades of conservation gains (Kasara, 2013:77). Ivory estimated to weigh more than 23 metric tons a figure that represents 2,500 elephants was seized in the 13 largest seizures of illegal ivory in 2011. If thorough planning is not done, poaching threatens the last of our wild tigers that number as few as 3,200. Wildlife crime is a big business (Kasara, 2013:76). Run by dangerous international networks, wildlife and animal parts are trafficked much like illegal drugs and arms. By its very nature, it is almost impossible to obtain reliable figures for the value of illegal wildlife trade (Lunda, 2014:29). Some examples of illegal wildlife trade are well known, such as poaching of elephants for ivory and tigers for their skins and bones (Dedan, 2013:14).

Countless other species are similarly overexploited, from marine turtles, pangolins, parrots to timber trees. Not all wildlife trade is illegal. Wild plants and animals from tens of thousands of species are caught or harvested from the wild and then sold legitimately as food, pets, ornamental plants, leather, tourist ornaments and medicine. Wildlife trade escalates into a crisis when an increasing proportion is illegal and unsustainable directly threatening the survival of many species in the wild.

According to Rosette (2013:46), in her study carried out in Nigeria on preservation of fauna notes that stamping out wildlife crime is a priority for WWF because it's the largest direct threat to the future of many of the world's most threatened species. It is second only to habitat

destruction in overall threats against species survival (Rosette, 2013:44). The primary motivating factor for wildlife traders is economic, ranging from small scale local income generation to major profit-oriented business, such as marine fisheries and logging companies (Wolfam, 2013:41). Between collectors of wildlife and the ultimate users, any number of middlemen may be involved in the wildlife trade, including specialists involved in storage, handling, transport, manufacturing, industrial production, marketing, and the export and retail businesses (Harrison, 2011:38). In fact most of us are involved in wildlife trade in some way, even if it just as end consumers of wildlife products. The wildlife trade involves hundreds of millions of individual plants and animals from tens of thousands of species. On the other hand, the above study was a narrative research compared to the proposed study that will use mixed methodological approaches in investigating the problem.

According to the United Nations Food and Agriculture Organization (FAO, 2013:11) more than \$100 billion of fish were traded and nearly \$200 billion timber in 2009. To put this into perspective, in the same year, the global trade value of tea, coffee and spices all together was \$24.3 billion. It is estimated that 70 000 species of plant are used for medicinal purposes alone. Additionally, approximately 25% of 'modern' pharmacy medicines have been developed based on the medicinal properties of wild species (Eimad, 2013:101). Little is known about the status of many of these species, although those that have been assessed show a concerning picture (FAO, 2013:12). Although all this is in place, thorough planning is very important in this case. International trade in species of conservation concern is monitored by CITES (2012). From 2005 - 2009, East Africa recorded an annual average of more than 317,000 live birds, just over 2 million live reptiles, 2.5 million crocodilian skins, 1.5 million lizard skins, 2.1 million snake

skins, 73 tonnes of caviar, 1.1 million coral pieces and nearly 20,000 hunting trophies (FAO, 2013:13). In creating a nexus between the past work and the proposed study, the proposed study will use a much bigger sample compared to earlier study.

2.5.1 Control as a Management Factor

Osborne (2010:14) in his study carried out on Illegal Poaching in East Africa notes that the design of interventions is shaped by a series of assumptions made by governments, nongovernmental organisations, and others of what drives illegal and unsustainable wildlife trade, and which conditions therefore need to change in order to reduce it (Osborne, *ibid*). The interventions that are then set in place employ a series of measures to manipulate, influence and change these key conditions (Kante, 2013:45). While many of the assumptions that guide the design of wildlife trade interventions are based on common-sense thinking, and most are informed by long experience and lessons learned by practitioners in the field, they are rarely made explicit, or investigated thoroughly prior to or during the course of project design (Georgian, 2013:24). To improve the effectiveness of interventions, there is therefore a need to ascertain whether the assumed economic and social drivers of wildlife trade, and related chains of causalities, linkages and outcomes that are being acted upon, are actually borne out by evidence. This can be done through serious control and coordination (Osborne, 2010:76).

According to Kaplan (2010:49), as human populations have grown, so has the demand for wildlife. People in developed countries have become used to a lifestyle which fuels demand for wildlife; they expect to have access to a variety of sea foods, leather goods, timbers, medicinal ingredients, textiles etc (Kaplan, 2010:41). Conversely, extreme poverty of others means they

regard wildlife as a means to meet their short-term needs and will trade it for whatever they can get (Kaplan, 2014:19). Wildlife is vital to a high proportion of the world's population (Lunda, 2014:34). People depend directly on wildlife for consumption and as a way of earning cash (Kaplan, 2010:39). However, irresponsible coordination and control of wildlife trade is threatening this resource, and those most affected tend to be the poorest people, in developing nations. Illegal wildlife trade causes additional problems (Jesmain, 2013:23). The species traded are often already highly threatened and in danger of extinction, conditions under which wildlife is transport are often appalling, operators are unscrupulous and do not care how they damage the environment (for example they use cyanide to kill fish, or log in protected areas; illegal trade undermines nations' efforts to manage their natural resources sustainably and causes massive economic losses in lost earnings (Edeno, 2014:12). It is often said that illegal wildlife trade is the third most valuable illicit commerce behind drugs and arms. The conclusion and recommendations of the above authors were basically based on the field of fauna and in this case the researcher intends to widen the scope as he draws his conclusions and recommendations.

According to Dedan (2013:44), seeks and activates solutions to the problems created by illegal and unsustainable wildlife trade. Our aim is to encourage sustainability by providing decision-makers, traders and others involved in wildlife trade reliable information about the environmental harm irresponsible trade can cause, and present guidance on how to counteract it (O'connell, 2015:27). Legislation is a vital way to control wildlife trade, but to be successful, laws need to be widely understood, accepted and practical to apply (Wolfam, 2013:56). A major part Dedan(2013:45)'s programme is working closely with law makers, law enforcers and the judiciary, to ensure appropriate laws are in place, are fully understood by those enforcing them and transgressors receive appropriate penalties.

According to Idran (2014:17), in his study on wild life conservation in Pakistan noted that the conservation impacts of the wildlife trade in south-east Asia are immense. Unsustainable, and often illegal, exploitation of wild plants and animals is having devastating effects on the region's biodiversity (Idran, *ibid*). There has been a drastic decline in the populations of many wildlife species due to poor control and coordination arising from a number of factors. Many species have been depleted, endangered or locally extinct such as the Tiger, Sumatran Rhinoceros *Dicerorhinus sumatrensis*, Javan Rhinoceros *Rhinoceros sondaicus*, Asian Elephant *Elephas maximus*, pangolins *Manis spp.*, freshwater turtles and tortoises, agarwood and numerous wild orchid species (Meden, 2013:34). Where it continues at unsustainable levels, the wildlife trade may also undermine efforts to achieve sustainable development and poverty alleviation in the region, because it is depleting valuable natural assets upon which millions of people depend at least in part (Jacobs, 2014:12). In agreement with the above authors, the above development, in turn may have important positive consequences on the public finance management system.

2.6 Synthesis and Gap Analysis

The findings in the studies reviewed indicate that most countries have made efforts to curb illegal trade in Wild life. However, the laws should help recapitulate the areas of illegal wild life trade and revamp them to the standard expected. This is a central concern in the proposed study. Most works posit that misunderstandings exist between the laws and the institutions. The laws are in existence but have not been enforced. However, the issues that seems to be widening the gap when it comes to curbing trade in illegal wild life products are basically related to communication and understanding the law. The conclusion and recommendations are basically drawn based on specific fields in illegal trade in wild life. This study therefore will adopt the notion of examining illegal trade in wild life fields without special focus on a particular field and

this will bridge the gap of having limited data on a particular field of Wild life. The earlier works draw conclusions and recommendations drawn based on specific fields. The researcher intends to widen the scope as he draws his conclusions and recommendations. Some findings are drawn based on qualitative methodological approaches as compared to the proposed study that will adopt mixed methodological approaches. On the other hand, there has been less empirical investigation of the phenomenon of integration between deliberate and emergent perspectives in illegal wild life trade. The literature survey basically indicates a qualitative approach for data analysis for most of the literature reviewed compared to the proposed study whose data will be analyzed statistically using the SPSS and R packages through tabulation, proportions and logit analysis.

CHAPTER THREE

METHODOLOGY

3.1 Introduction

This chapter presents and describes the approaches and techniques the researcher will use to collect data and investigate the research problem. They include the research design, study population, sample size and selection, sampling techniques and procedure, data collection methods, data collection instruments, data quality control (validity and reliability), procedure of data collection, data analysis and measurement of variables.

3.2 Research Design

A descriptive cross sectional survey design will be adopted for the proposed study as it is intended to permit in-depth study of fundamental themes. According to Creswell (2009), data is collected from a cross-section of respondents at a single point in time. Kothari (2004:100) states that cross sectional survey; contain multiple wealth of details, totality and variation which allows the author to understand fully how and where intervention may have worked collectively with correlated general effects. The descriptive cross sectional survey designs validate emerging constructs and proposition in the data set; guiding the study of various units within the identified case by underlining the mechanism by which an incident is brought to being (Kothari, 2004:101). A cross sectional survey contributes significantly to a researcher's own learning process by shaping the skills needed to do a good research. The above design is usually the simplest and least costly alternative. Though proof may be hard to come by owing to absence of hard theory, learning is certainly possible (Kothari, *ibid*). The study will also apply both quantitative and qualitative approaches.

Creswell (2009: 65) notes that quantitative methods are more objective and help to investigate the relationships between the identified variables. This study will apply qualitative approaches which will involve in depths probe and application of subjectively interpreted data. Qualitative researchers aim to gather an in-depth understanding of human behavior and the reasons that govern such behavior (Earl-Babbie, 2013:45).

The quantitative and qualitative approaches will be adopted in sampling, collection of data, data quality control and in data analysis. Triangulation will be adopted for purposes of getting quality data. Triangulation means using more than one method to collect data on the same topic (Somekh and Lewin, 2005:35). This is a way of assuring the validity of research through the use of a variety of methods to collect data on the same topic, which involves different types of samples as well as methods of data collection (Groves, Fowler, Couper, Lepkowski, Singer, Tourangeau, and 2009:79). However, the purpose of triangulation is not necessarily to cross validate data but rather to capture different dimensions of the same phenomenon (Kothari, 2004:44). Uganda is selected as a single case study focusing on the country's respective public financial management system with respect to the legal and institutional framework, with the view of being informed about best practices of policies, institutions and governance issues.

3.3 Study Population

The target population is 406 and the sampled size is 323. The population under study will be 406. The study population break down will be as follows 60 Officials from UWA, 50 Officials from UWEC, 95 Game rangers, 145 UWA Law Enforcement Officers, 56 Magistrates and Judges. This population will enable the researcher to obtain the necessary data for this study. Creswell (2009) formula as quoted by Earl-Babbie (2013).

The formula is stated as follows:

$$n = \frac{t^2 \times p(1-p)}{m^2}$$

Description:

n = required sample size

t = confidence level at 95% (standard value of 1.96)

p = estimated prevalence of malnutrition in the project area

m = margin of error at 5% (standard value of 0.05)

$$n = \frac{1.96^2 \times .3(1-.3)}{.05^2}$$

$$n = \frac{3.8416 \times .21}{.0025}$$

$$n = \frac{.8068}{.0025}$$

$$n = 323$$

3.4 Determination of Sample Size

The study will be based on a sample size of 323 that will be drawn from a population of 406. The sample size of 323 will be sufficient for the proposed study. The sample size is estimated using the statistical formula above

Table 3.1: Population, Sample Size and Sampling Techniques

Category	Target population	Sample Size	Sampling Technique
Officials from UWA	60	45	Stratified Sampling
Officials from UWEC	50	35	Stratified Sampling
Game rangers	95	81	Convenient Sampling
UWA Law Enforcement Officers	100	80	Stratified Sampling
Entebbe Airport Personnel and Border point Personnel	45	41	Convenient Sampling
Judges and Magistrates	56	41	Stratified Sampling
Total	406	323	

Source: primary data (2016)

3.4.1 Sampling Techniques and Procedure

Probability sampling, or random sampling, is a sampling technique in which the probability of getting any particular sample may be calculated (Ezeani, 2009:44). The advantage of non-probability sampling is its lower cost compared to probability sampling. One however, can say much less on the basis of a non-probability sample than on the basis of a probability sample (Glenn-Firebaugh, 2008:76). Selection of respondents to have representative samples will be based on the non-probability sampling methods (convenient sampling technique). According to Ezeani (2009:45), convenient sampling methods are outstanding in the phenomenological studies where the objective is to identify and clarify enriching phenomenon. Convenient sampling will be used to game rangers. Preference of this process will include use of convenience sampling method as an effective way to build the sample frame where one or two respondents are drawn.

Some of the selected respondents (four in number) will exercise a chain referral method after reviewing the shared questionnaires by identifying other suitable respondents (depending on availability, area of responsibility and technicality) who will be referred to the researcher for help and collection of desired empirical data to inform the research. Similarly, convenience sampling will work well with the general public. Stratified sampling will be adopted in sampling Officials from UWA, Officials from UWEC, Game rangers, UWA Law Enforcement Officers, Magistrates and Judges. According to Creswell (2009:48), stratified sampling ensures that every member has an equal chance of being recruited into the sample. A sample frame will be constructed and then the members will be randomly sampled.

3.5 Data Collection Methods

Both primary and secondary data will be obtained. In the proposed study, data will be collected using two key methods: the survey method and the interview method

3.5.1 Questionnaire Survey

Surveys studies the sampling of individual units from a population and the associated survey data collection techniques, such as questionnaire construction and methods for improving the number and accuracy of responses to surveys (Kothari, 2004:71). Survey methodology as a scientific field seeks to identify principles about the sample design, data collection instruments, statistical adjustment of data, and data processing, and final data analysis that can create systematic and random survey errors. Survey errors are sometimes analyzed in connection with survey cost (Groves, Fowler, Couper, Lepkowski, Singer &Tourangeau, and 2009:43). Survey methodology is both a scientific field and a profession, meaning that some professionals in the field focus on

survey errors empirically and others design surveys to reduce them. For survey designers, the task involves making a large set of decisions about thousands of individual features of a survey in order to improve it (Earl-Babbie, 2013:87). The questionnaire will be self administered to Officials from UWA, Officials from UWEC, Game rangers, UWA Law Enforcement Officers, Magistrates and Judges, Airport Personnel and Border point Personnel and Game rangers.

3.5.2 Interviews

Interviews will be face to face and will be carried out with a selected few respondents. According to Kothari (2004:19), interviews describe the life events and experiences of the respondents with respect to analysis of the significance of the portrayed phenomena. As Groves, Fowler, Couper, Lepkowski, Singer & Tourangeau (2009:43) argue, interviews are basically the correct technique to use when exploring sensitive topics, to create conducive environment for respondent to take part. This method will constitute the fundamental part of the data collection for this study where three types of interviews will be used. These will consist of; face-to-face interviews (conducted by the peer research assistant in Uganda), telephone interviews and email interviews will be used in areas where extensive access will be an obstacle (Ragin, 2007:41). Both structured interview and semi structured interviews will follow the why and how questions. Interviews will be used because they have the advantage of ensuring probing for more information, clarification and capturing facial expression of the interviewees. Follow up questions can be asked, provide better understanding of the answers of the respondents (Somekh and Lewin, 2005:56). In addition they also give an opportunity to the researcher to revisit some of the issues that have been an over-sight in other instruments and yet they are considered vital for the study. The researcher will conduct interviews with a few selected respondents among the following categories of respondents Officials from UWA, Officials from UWEC, Game rangers,

UWA Law Enforcement Officers, Magistrates and Judges, Airport Personnel and Border point Personnel and Game rangers

3.5.3 Documentary Review.

In the secondary analysis of qualitative data, good documentation cannot be underestimated as it provides necessary background and much needed context both of which make re-use a more worthwhile and systematic endeavor (Kothari., 2004:65). Secondary data is obtained through the use of published and unpublished documents (Junker and Pennink, 2010:61). Various publications, magazines, newspapers, reports, hand books, wild life reports, historical documents and other sources of published information will be reviewed by the researcher. According to Ragin (2011:32), secondary data can be helpful in the research design of subsequent primary research and can provide a baseline with which the collected primary data results can be compared to other methods. According to Somekh and Lewin (2005:59), documents can be helpful in the research design of subsequent primary research and can provide a baseline with which the collected primary data results can be compared to other methods.

3.6 Data Collection Instruments.

The key data collection instruments to be used will be the questionnaires, interview guide and documentary review checklist.

3.6.1 Questionnaire

A questionnaire is a reformulated written set of questions to which respondents record their answers, usually within rather closely defined alternatives (Kothari, 2004:78). The questionnaire will be used on the basis that the variables under study cannot be observed, for instance,

respondents' views, opinions, perceptions and feelings. The questionnaire will be equally used because the information will have to be collected from a large sample in a short period of time yet the respondents could read and write (Bill, 2011:55). In this research, a self-administered questionnaire will be used to draw information regarding the study. The researcher will choose the questionnaire as an instrument because the study is virtually descriptive and the tool is an easy method of data collection. The questionnaire will be self administered to Officials from UWA, Officials from UWEC, Game rangers, UWA Law Enforcement Officers, Magistrates and Judges, Airport Personnel and Border point Personnel and Game rangers

3.6.2 Interview Guide

The researcher will also conduct interviews. An interview is a dialogue between an interviewer and interviewee. It is an organized conversation aimed at gathering data about a particular topic (Junker and Pennink, 2010:77). This is a method where a researcher interviews respondents to obtain information on the issue of interest. Interviews will be used because they have the advantage of ensuring probing for more information, clarification and capturing facial expression of the interviewees (Ragin, 2007:90). Interviews will be used to explore in details the study variables which are management factors and trade in illegal wild life products.

3.6.3 Documentary Review Check list

The documentary review checklist will be used for purposes of reviewing documentary data. Documentary data will be obtained through the use of published and unpublished documents. According to Groves, Fowler, Couper, Lepkowski, Singer & Tourangeau (2009:43), documents

can be helpful in the research design of subsequent primary research and can provide a baseline with which the collected primary data results can be compared to other methods.

3.7 Quality Control of Data Collection/Pretesting (Validity and Reliability)

Data quality control techniques will ensure that data collected is valid and reliable; the instruments will be first tested to ensure validity and reliability.

3.7.1 Validity

Validity refers to the truthfulness of findings or the extent to which the instrument is relevant in measuring what it is supposed to measure (Earl-Babbie, 2013:58). The validity of the instrument quantitatively will be established using the Content Validity Index (CVI). This will involve the expert scoring of the relevance of the questions in the instrument in relation to the study variables. The instruments that will yield a CVI above 0.7 will be within the accepted ranges. Index (CVI) will be computed using the formula below:

$$CVI = \frac{\text{Number of relevant items}}{\text{Total number of items}} \times 100$$

To establish validity qualitatively, the instruments will be given to the experts (supervisor) to evaluate the relevance of each item in the instrument to the objectives and rate each item on the scale of very relevant (4), quite relevant (3), somewhat relevant (2), and not relevant (1).

3.7.2 Reliability

Reliability is a measure of the degree of which the research instruments yield consistent results or data after repeated trials (Ragin, 2011:23). For qualitative data, the researcher will give the

instruments to the experts who will help to confirm that responses against previous answers are appropriate and detect questions likely to elicit inadmissible responses (Creswell, 2009:27). The researcher will also use the standardized methods and protocols for capturing observations, alongside recording forms with clear instructions. And lastly, a pretest of the instrument in a time lapse of 2 weeks will be carried out to establish consistence in responses. According to Ragin (2007:32), test-retest reliability can be used to measure the extent to which the instrument can produce consistent scores when the same group of individuals is repeatedly measured under same conditions. The results from the pretest will be used to modify the items in the instruments.. In the case of psychometric tests, must fall within the range of 0.7 above for the test to be reliable (Barifaijo, Basheka & Oonyu, 2010:38).

3.8 Data Collection Procedure

The researcher through proper channels will ask for an introductory letter from Uganda Technology and Management University which he will use for purposes of introduction before the participants when collecting data from the field. The researcher will ensure confidentiality of the survey sheet since the identities are not important. Participants will be given time to respond and after the researcher will collect the surveys the next day. The researcher will not offer them any incentives for participating in the research.

3.9 Data Analysis Techniques

The researcher will use both qualitative and quantitative methods of data analysis. Data Analysis follows an inductive content analysis that permits identification of themes and patterns of explicit word used in raw data and literature reviews (Ragin, 2007:99).

3.9.1 Quantitative Data Analysis

Data will be sorted using the Statistical Package for Social Scientists (SPSS) method. Both Excel and SPSS have a similar feel, with pull-down menus, a host of built-in statistical functions and a spreadsheet format for easy data entry. SPSS has faster and easier basic function access, it has a wider variety of graphs and charts and it is easier to find statistical tests (Junker and Pennink, 2010:111). The analysis will rely on both descriptive and inferential statistics. Quantitative data got from the questionnaires will be computed into frequency counts and percentage. In addition to frequency distribution, tables, mean, standard deviation and other measures of central tendency will be used in data analysis. The descriptive statistics will include use of frequency tables, mean, and standard deviation. The researcher will adopt multivariate, bivariate and univariate analysis techniques in analyzing his data. Multivariate, bivariate and univariate analysis is the simplest form of quantitative (statistical) analysis.

3.9.2 Qualitative Data Analysis

To grasp the meaning of all qualitative data produced by the interviews and document analysis, explanation building through content analysis as an interpretive technique will be adopted (Junker and Pennink, 2010:97). The case content analysis is informed by deducing the inference of content textual data holding on to naturalistic patterns. These are; direct content analysis, conventional and summative content analysis (Earl-Babbie, 2013:67). The proposed study will take on a summative content analysis whose basis will be to understand why certain issues are held. Summative content analysis describes studied keywords to construct meaning to the themes being studied in a broader context. All primary data will thus be structured through formation of categories and examining the theories fully to understand the variables of the study (Creswell, 2009:23). It is through this lens that meaningful concepts, themes and other concerns

informed by the research questions will be extracted to generate credibility to raw data to meaningful processed data and draw conclusion.

3.10 Measurement of Variables

The independent variable and the dependent variable will be measured on a five point Likert type scale (1- strongly disagree, 2-Disagree, 3-Not sure, 4- Agree and 5-Strongly agree). The choice of this measurement is that each point on the scale carries a numerical score which is used to measure the respondents' attitude and it is the most frequently used summated scale in the study of social attitude. According to Bill (2011:54), the Likert scale is able to measure perception, attitudes, values and behaviours of individuals towards a given phenomenon.

3.11 Ethical Considerations

There are several reasons why it is important to adhere to ethical norms in research. First, norms promote the aims of research, such as knowledge, truth, and avoidance of error. For example, prohibitions against fabricating, falsifying, or misrepresenting research data promote the truth and avoid error. Secondly, since research often involves a great deal of cooperation and coordination among many different people in different disciplines and institutions, ethical standards promote the values that are essential to collaborative work, such as trust, accountability, mutual respect, and fairness (Groves, Fowler, Couper, Lepkowski, Singer &Tourangeau (2009:67). In order to promote ethics in the proposed study, respondents' names will be withheld to ensure anonymity and confidentiality in terms of any future prospects. In order to avoid bias, the researcher will interview the respondents one after the other and will ensure that he informs them about the nature and extent of his study and on the other hand he will give them reasons as to why is interviewing them.

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APPENDIX (i):

QUESTIONNAIRE FOR OFFICIALS FROM UWA, OFFICIALS FROM UWEC, GAME

RANGERS, UWA LAW ENFORCEMENT OFFICERS

**TOPIC: EVALUATING THE EFFICACY OF INSTITUTIONAL SYSTEMS IN THE
MANAGEMENT OF TRADE IN WILDLIFE PRODUCTS IN UGANDA**

Dear Respondent

I am James Musinguzi a Doctor of Philosophy in Management student of Mbarara University of Science and Technology carrying out a study titled *Evaluating the Efficacy of Institutional Systems in the Management of Trade in Wildlife Products in Uganda*. You have been sampled to participate in this study and the information you give will be used strictly for academic purposes and will never be used against you or your office. The information got from you will be kept confidential. You are also requested not to write your name on this questionnaire. After filling out the questionnaire, put in the provided envelop and seal it and return to me. Your participation in this study is entirely voluntary. Your consent to participate is implied by your decision to complete this questionnaire. I will greatly appreciate your assistance in this exercise. If you have any questions or concerns about being in this study or any other questions, contact me on telephone 071 2 222 182 or 0704160486. Mbarara University of Science and Technology Doctoral committee has approved this study.

SECTION A: Background Information

(Tick the best option)

1. Gender of Respondents

Gender	Tick	
Male		1
Female		2

2. Age Groups of Respondents

Age group	Tick	
<i>10 - 19 Years</i>		1
<i>20- 29Years</i>		2
<i>30- 39Years</i>		3
<i>40-49 Years</i>		
<i>Over 50 Years</i>		4

3. Highest Level of Education

Education Level	Tick	
Certificate & Below		1
Diploma		2
Degree		3
Post Graduate Qualifications		4

5 Respondents Marital Status

Marital Status	Tick	Measure
Married		1
Single		2
Divorced		3
Separated		4
Widow		5
Others		6

SECTION B:

PART I- Please fill in appropriately, by ranking the questions provided under each section,

according to the scores provided; (5, 4, 3, 2 and 1)

		SCORES				
		Strongly Agree	Agree	Not sure	Disagree	Strongly Disagree
		5	4	3	2	1
Section B1: Legal framework						
	Laws					
	Uganda has laws in place for wild life conservation and management	5	4	3	2	1
	The public is aware of the existing laws on wildlife conservation and management	5	4	3	2	1
	The wildlife conservation laws are effectively utilized	5	4	3	2	1
	The loopholes in the laws cannot adequately address the challenge of illegal wildlife trade in Uganda	5	4	3	2	1
	Judicial officers are inadequately informed about illegal wildlife trade					
	Policies					
	Uganda has policies in place for wildlife conservation and management	5	4	3	2	1
	The policy which addresses community involvement in Wildlife conservation is lacking	5	4	3	2	1
	The policies in place are effectively utilized	5	4	3	2	1
	The institutions have tried to effectively implement the existing policies on illegal wild life trade	5	4	3	2	1
	There is good evaluation of the policy implementation in relation to illegal wildlife trade	5	4	3	2	1
	There are adequate mechanisms to address indigenous knowledge on Wildlife conservation	5	4	3	2	1
	Regulations					
	The regulations available to control illegal Wildlife are in place	5	4	3	2	1
	The regulatory framework for the management of illegal wildlife trade has loopholes	5	4	3	2	1
	The regulations for wildlife conservation in place needs to be revised	5	4	3	2	1
	The general public is not aware of the existing regulatory framework on illegal wildlife trade in Uganda	5	4	3	2	1

		SCORES				
		Strongly Agree	Agree	Not sure	Disagree	Strongly Disagree
		5	4	3	2	1
	Regulations that are currently used in Uganda are not duly followed by some stakeholders	5	4	3	2	1
	The regulations available to enforce Wildlife conservation are inadequate					
	The revenue sharing guidelines inadequately addresses community needs for wildlife conservation					

Section B2: Institutional framework

Structures						
	The structures and facilities in the wildlife management sector are adequate	5	4	3	2	1
	The Uganda Wildlife Authority has well developed institutional framework structures	5	4	3	2	1
	There are loopholes within the structures for wild life conservation and management	5	4	3	2	1
	The Wildlife and conservation management institutions' level of functioning is satisfactory	5	4	3	2	1
	Uganda Wild life authority observes all its functions as laid down in the Wild life Act	5	4	3	2	1
Processes						
	The general public is aware of the existence, roles and functions of the Uganda Wild life Authority	5	4	3	2	1
	Uganda Wildlife Authority coordinates the organs under it effectively	5	4	3	2	1
	Monitoring and Evaluation processes are in place to check the effective functions of the Uganda Wildlife Authority	5	4	3	2	1
	The allocation of funds is done as per the mandates of Uganda Wildlife Authority	5	4	3	2	1
	Uganda Wildlife Authority had a well functional and achievable strategic plan	5	4	3	2	1
	Audit and evaluation of finances follows the set guidelines in Uganda Wildlife Authority	5	4	3	2	1
Systems						
	The systems are well functional with regard to illegal wild life trade	5	4	3	2	1
	There are well developed systems to guard against poaching	5	4	3	2	1
	Uganda Wildlife Authority has got effective intelligence gathering systems with regard to illegal wild life trade	5	4	3	2	1
	Uganda Wildlife Authority has put in place a system to	5	4	3	2	1

	sensitise other stakeholders about trade in illegal wild life products					
	Uganda Wildlife Authority has put in place a system to value Wildlife economically	5	4	3	2	1
	Uganda Wildlife Authority has got a partnership policy to ensure joint efforts against illegal wildlife trade	5	4	3	2	1
Section B3: Management factors						
	There is thorough planning to address illegal wildlife trade in Uganda by Uganda Wild Life Authority	5	4	3	2	1
	The budget drawn by Uganda Wildlife Authority annually adequately addresses the concern of illegal wild life trade	5	4	3	2	1
	There is thorough organization for the effective management of the illegal trade in wild life products	5	4	3	2	1
	Uganda Wildlife has ensured adequate staff to address the issue of illegal wildlife trade	5	4	3	2	1
	Illegal wildlfe trade has been adequately controlled by the concerned authority using the available resources	5	4	3	2	1
	Uganda Wildlife Authority has coordinated well with the relevant organs to curb illegal wild life trade in Uganda	5	4	3	2	1
		SCORES				
		Strongly Agree	Agree	Not sure	Disagree	Strongly Disagree
		5	4	3	2	1
Section B3: Management of Illegal Trade in Wildlife Products						
	There are mechanism to detect illegal wildlife products at ports of entry and exit/border points	5	4	3	2	1
	The customs officials are adequately trained in illegal wildlife products at Ports of entry and exit/border points	5	4	3	2	1
	There is a forum for collecting views from stakeholder about management of illegal wildlife trade	5	4	3	2	1
	The public is sensitized about illegal wildlife trade	5	4	3	2	1
	Research is carried out on illegal wildlife trade in Uganda	5	4	3	2	1
	There exists a bush meat crisis that exacerbates illegal wildlife trade in Uganda	5	4	3	2	1
	The community is not adequately involved in Wildlife Conservation	5	4	3	2	1
	There is no alternative animal protein provided to the community to reduce illegal wildlife trade/poaching	5	4	3	2	1
	Poverty in Uganda's communities has increased illegal wildlife trade	5	4	3	2	1
	Lack of alternative livelihoods has pushed communities to engage in illegal wildlfe trade	5	4	3	2	1
	Budget Execution	5	4	3	2	1

There is enough budget allocated to curbing illegal wildlife trade in Uganda	5	4	3	2	1
Adequate participation by all stakeholders in the budgeting process is practiced at UWA	5	4	3	2	1
There is effective monitoring and evaluation of budget performance at UWA	5	4	3	2	1
Budgeting at UWA follows the core mandates of the institution	5	4	3	2	1
UWA has consistently met the budget performance planned at the beginning of a financial year	5	4	3	2	1
The UWA budget addresses community involvement in Wildlife Conservation	5	4	3	2	1
The UWA budget deals with community compensation with regard to Human Wildlife conflicts	5	4	3	2	1

APPENDIX (ii):

INTERVIEW GUIDE FOR OFFICIALS FROM UWA, OFFICIALS FROM UWEC, GAME RANGERS, UWA LAW ENFORCEMENT OFFICERS

Institutional Framework

- 1) What is your current position in this institution?
- 2) How long have you worked in your current department?
- 3) What is your opinion on illegal wildlife trade in Uganda?
- 4) What are the four main illegal wildlife products seized in Uganda, mainly through border points?
- 5) What are the main drivers of illegal wildlife trade in Uganda?
- 6) How effective has Uganda Wildlife Authority been in curbing illegal wildlife trade in Uganda?
- 7) What is your opinion on the systems put in place by Uganda Wildlife Authority in addressing illegal wildlife trade in Uganda?
- 8) What role has your institution played in the management of illegal wildlife trade in Uganda?
- 9) What are the strategies in place to curb illegal wildlife trade in Uganda?
- 10) Comment on involving the community to do controlled harvest of wildlife products in consultation with Uganda Wildlife Authority.
- 11) To what extent has the ignorance of concerned authorities about the economic value of wildlife products contributed to illegal wildlife trade in Uganda?
- 12) What have been the challenges of combating illegal wildlife trade in Uganda?
- 13) How best can the function of Uganda Wildlife Authority in the management of illegal wildlife trade be improved?

Legal Framework

- 1) Which are the common laws in existence in Uganda on the Wildlife conservation and Management?
- 2) How effective have these laws been as far as trade in illegal wild life products is concerned?
- 3) What are the gaps in the existing laws on illegal wildlife trade
- 4) How has the judiciary helped to curb illegal wild life trade in Uganda?
- 5) Comment on the nature of punishments given by the courts of judicature to those found guilty in trading in illegal wildlife products?
- 6) How adequate are the punishments given
- 7) Comment on the effective formulation of the laws and policies by the authorities concerned
- 8) Comment on the effective implementation of the laws and policies by the authorities concerned
- 9) Comment on the effective evaluation of the laws and policies by the authorities concerned
- 10) What measures can the government put in place to ensure effective implementation of the existing laws and policies on wildlife conservation in Uganda?

Management factors

- 1) Comment on the adequacy of planning towards illegal trade in wildlife products by UWA?
- 2) Comment on the adequacy of staffing in UWA in relation to curbing illegal wildlife trade in Uganda
- 3) How has UWA ensured that the staffing levels adequately curb trade in illegal wild life

products?

- 4) To what extent is the budget dealing with illegal wildlife trade adequate?
- 5) What coordination mechanisms are in place for the management of illegal wildlife trade?
- 6) What control mechanisms are in place for the management of illegal wildlife trade?
- 7) How has UWA organized the existing structures and systems to manage trade in illegal wild life trade

Management of Illegal Trade in Wildlife Products

- 1) What mechanisms are being used to sensitize the public on trade in illegal wildlife products?
- 2) What role have other stakeholders played in curbing illegal wildlife trade in Uganda?
- 3) To what extent can partnerships play a role in curbing illegal wildlife trade
- 4) Comment on the adequacy of the research carried out on illegal wild life trade
- 5) In your view, why has Entebbe International Airport continued to be a key transit route for illegal wildlife products in Uganda?
- 6) To what extent has corruption in the concerned institutions enhanced trade in illegal wildlife trade in Uganda

APPENDIX (iii):

INTERVIEW GUIDE FOR MAGISTRATES AND JUDGES

Institutional Framework

1. What is your current position in this institution?
2. How long have you worked in your current department?
3. What is your opinion on illegal wildlife trade in Uganda?
4. How effective has Uganda Wildlife Authority been in curbing illegal wildlife trade in Uganda?
5. What role has your institution played in the management of illegal wildlife trade in Uganda?
6. What are the strategies in place to curb illegal wildlife trade in Uganda?
7. To what extent has the ignorance of concerned authorities about the economic value of wildlife products contributed to illegal wildlife trade in Uganda?
8. What have been the challenges of your institution in executing this task?
9. How best can the function of your institution in the management of illegal wildlife trade be improved?

Legal Framework

1. Which are the common laws in existence in Uganda on the Wildlife conservation and Management?
2. How effective have these laws been as far as trade in illegal wild life products is concerned?
3. What are the gaps in the existing laws on illegal wildlife trade?
4. How has the judiciary helped to curb illegal wild life trade in Uganda?

5. Comment on the nature of punishments given by the courts of judicature to those found guilty in trading in illegal wildlife products?
6. How adequate are the punishments given
7. Comment on the effective formulation of the laws and policies by the authorities concerned
8. Comment on the effective implementation of the laws and policies by the authorities concerned
9. Comment on the effective evaluation of the laws and policies by the authorities concerned
10. What measures can the government put in place to ensure effective implementation of the existing laws and policies on wildlife conservation in Uganda?

Appendix (iv):

Comments from Reviewer A, B, C and Panelists and how they have been addressed.

MUSINGUZI JAMES- 2015/PhD/060/PS COMMENTS FROM REVIEWER A,B, C AND PANELISTS AND HOW THEY HAVE BEEN ADDRESSED BY THE STUDENT	
COMMENTS FROM REVIEWER A	
Issue raised	Action taken
<p>Preliminary issues</p> <p>i. All preliminary issues have been satisfactorily addressed save for the numbering and headings of appendices. The title of the research proposal: “Evaluating the Efficacy of Institutional Systems in the Management of Illegal and Unsustainable Trade in Wildlife Products in Uganda” is worth investigating and falls within the acceptable number of word.</p> <p>ii. However, the candidate needs to revise his numbering. I note that his title page is (ii) which is not correct. Also the appendices should reflect what they are, but not reflect the name of Mbarara University of Science and Technology as is the case in this proposal</p>	<p>Noted. Appendices appropriately numbered. The appendices have been worked on and are reflecting what they are as opposed to the name of Mbarara University of Science and Technology.</p>
<p>Introduction</p> <p>The proposal has chapter entitled Introduction which has been appropriately broken down to address issues of historical, theoretical, conceptual and contextual significance in the study background. However, the candidate needs to pay attention to certain minor editorial things/issues like missing pages, punctuations etc as is shown on p. 5</p>	<p>Editorial issues like missing pages and punctuations have been addressed appropriately.</p>
<p>Problem statement</p> <p>The discrepancy between the intended situation and actual has been well formulated and is brief enough to qualify for a very good problem statement</p>	<p>Noted and appreciated</p>
<p>Purpose of the study</p> <p>The purpose of the study is well stated.</p>	<p>Noted and appreciated</p>
<p>Objectives</p> <p>The research objectives are clearly formulated and do reflect the key issues in the statement of the purpose of the study and the conceptual framework proposed to guide the</p>	<p>Noted and appreciated.</p>

study	
<p>Research questions The research questions are properly formulated and aligned with the research objectives and do flow coherently. They too, address the issues highlighted in the conceptual framework</p>	Noted
<p>Research hypotheses The research hypotheses are logically linked to the research questions and are in line with the purpose of the study. However, while the candidate has provided detailed information on the conceptual framework that follows the hypotheses, he could include the details in the references section and only cite the date and page number.</p>	Noted
<p>Literature review A comprehensive review of body of literature has been conducted and the candidate does provide synthesis of it. However, he provides a heading on p. 35 “Empirical Studies” without any substance following it and also having no numbering. That needs to be revised or addressed.</p>	“Empirical Studies” have been removed as advised.
<p>Methodology The candidate has adequately addressed the methodological parameters of the study including the ethical considerations which is very good.</p>	Noted.
<p>References The candidate has provided a comprehensive list of references. However, he needs to make sure that the recommended APA referencing style is followed throughout both in the in-text citation and at the time compiling the reference list. There are many in-text citations requiring page numbers and those need to be addressed</p>	APA reference style adhered to both in the body and references.
<p>) Instruments The candidate has appended the appropriate research instruments</p>	Noted.
Other comments	Noted

<p>The proposal is well written and flows coherently save for minor editorial issues. He can be allowed to proceed to the next level of the research</p>	
<p>Overall recommendation The proposal be accepted with MINOR corrections</p>	<p>Corrections done.</p>
<p>COMMENTS FROM REVIEWER B</p>	
<p>Issue raised</p>	<p>Action taken</p>
<p>Preliminary issues</p> <p>This was handled as expected. Except, the title is too biased such that it does not seem to give a positive perspective right from the word go. I believe it is about regulating trade. The issues should then be discussed in the contextual background.</p>	<p>Title improved to focus on illegal wildlife trade as advised</p>
<p>Introduction</p> <p>There is a logical flow in the introduction, right from the historical, to the theoretical, conceptual and contextual perspectives, which seem to create a logical linkage.</p>	<p>Noted.</p>
<p>Problem statement</p> <p>Some good effort in this area but the actual issues do not seem to come out clearly.</p>	<p>Problem statement improved to reflect the institutional gaps and legal framework in place, overlaps, and weakness within the system and what has been achieved</p>
<p>Purpose of the study</p> <p>This is okay, but like the topic, you need to establish your positionality in this research and avoid biasness.</p>	<p>Revised</p>
<p>Objectives</p> <p>These are smart but should also avoid biasness</p> <p>Research questions</p> <p>These are okay, but should avoid biasness</p>	<p>Noted. The issue of biasness has been addressed.</p> <p>The objectives, research questions and hypotheses adjusted to avoid bias. The negativity has been dropped through leaving out “unsustainable” in these</p>

<p>Research hypotheses These are okay but should avoid biasness as well</p>	<p>parameters.</p>
<p>Literature review There is need to exercise critical reading in order to write critically. The literature is a little conversational and narrative.</p>	<p>Concerns noted and specific areas addressed. More improvements have been done. Gap identification improved basing on a critical analysis</p>
<p>Methodology This section was well handled</p>	<p>Noted.</p>
<p>References These are okay Instruments This is okay</p>	<p>Noted Noted.</p>
<p>Overall recommendation The proposal be accepted with MINOR corrections.</p>	<p>Corrections made</p>
<p>COMMENTS FROM REVIEWER C</p>	
<p>Preliminary issues The candidate has addressed all aspects of the preliminary pages very well. Introduction: Not sure whether the candidate’s research is on the institutional systems of illegal trade in wildlife products. This conceptual confusion runs throughout the proposal. At the introduction the candidate also mentions of institutional systems at the entry points or ports and uses EBB entry point, surprisingly and nowhere in the proposal is EBB mentioned. Revise the case study approaches and familiarize yourself with its tenets.</p>	<p>Noted however, the study is examining the institutional systems in place to address illegal wildlife trade in Uganda.</p>
<p>Problem Statement In the problem statement, the candidate diverts completely from evaluating the efficacy of institutional systems and focuses on poaching. There is no concrete picture of the case – the problem is too general and focuses more state of poaching globally and in Uganda. Yet he should be pointing to institutional gaps, overlaps, and weakness – perhaps, within the system. But still if the candidate is to go that route, he should for example provide the number of game reserves in the country or national parks, what are the estimates of the animal population which have been affected by poaching? Purpose of the study</p>	<p>The statement of the problem has been revised accordingly as per the ideal and real situation principle. Candidate pointed out the institutional gaps and legal framework in place, overlaps, and weakness within the system and what has been achieved The purpose of the study has been revised.</p>

The purpose of the study is not clear.	
Literature review: There is evidence of massive body of literature related to the topic of study that has been reviewed. The literature review section is critical and well-structured with a summary section that shows the gaps identified in the review. The literature needs to be identified	The gap synthesis and summary has been improved to rhyme with the literature above.
Methodology: The candidate described and justified methodical dimensions of the study but needs to come out clearly about the research design. Under this section, the candidate has only described the research approach and is silent on the specific design. EBB/Airport Personnel to be made part of the sample	Addressed, Entebbe Airport Personnel have been to be made part of the sample.
References: The candidate's reference list is okay, though not sure about the recommended referencing style by UTAMU.	APA reference style has been followed as recommended by UTAMU
Instruments: The instrument need to be further tightened to generate answers that will address the research questions.	Addressed : All instruments attached and well designed
Other comments: The proposal still has a number of numerous grammatical errors, typos and language rules. The candidate is advised to thoroughly revise the proposal to eliminate the above.	The researcher has gone through the work, identified all grammatical errors and thoroughly attended to them
Overall Recommendation: The proposal be accepted with MINOR corrections	Noted. Corrections made.
Comments from Panelists	
Preliminary issues <ol style="list-style-type: none"> i. Title very biased and does not leave room for further examination. ii. The dependent variable in the topic seem to out rightly distort the perspective of the study. Revise and avoid words like “illegal and un sustainable” iii. Title; Efficacy of institutional systems in management of manufacturing firms and unsustainable trade in wild life. iv. Core issues: Wild life trafficking v. Theory- Institutional theory; broken window vi. Adjust the topic to appear “Evaluating Institutional Efficacy in Management of Illegal Wild life Trade in Uganda”. vii. Conceptual framework is good. 	<p>Title revised. Words like “illegal and unsustainable” have been dropped accordingly.</p> <p>The topic has been refined from “Evaluating the efficacy of institutional systems in the management of illegal and unsustainable trade in illegal wildlife products in Uganda” to “Evaluating the efficacy of institutional systems in the management of wild life trade in Uganda”</p>

<p>Introduction</p> <ul style="list-style-type: none"> i. Logical ii. What do you mean by institutional Efficacy iii. Establish your positionality. iv. Fairly presented. 	
<p>Problem statement</p> <ul style="list-style-type: none"> i. Should clearly articulate the issues at hand. ii. Problem must clearly come up iii. Avoid bias iv. Criticality-conversational/narrative v. Intellectual humility vi. Management-regulation vii. Descriptive-Cross sectional – Explanatory, exploratory, correlational viii. Problem- Base it on the dependent variable. <p>Good but can still be improved upon.</p>	<p>Bias avoided. Intellectual humility exercised through leaving the study open without any bias.</p>
<p>Purpose of the study</p> <ul style="list-style-type: none"> i. Be neutral. ii. Justification-Critical iii. Ok, but should be aligned to all objectives iv. Purpose- Align these to objectives. v. Good. 	<p>Neutrality achieved by dropping the terms “illegal and unsustainable”</p>
<p>Objectives</p> <ul style="list-style-type: none"> i. Okay ii. Objective 1 does not fit in the purpose. Can this information be obtained in literature review or in background? iii. Objectives need to fit in the purpose. iv. Improve on the wording of objectives e.g Investigate, assess etc... v. Change the word drivers from objective one to determinants (causes) 	<p>Objective 1 was improved and linked to the purpose of the study.</p>
<p>Research questions</p> <ul style="list-style-type: none"> i. Okay ii. Well presented. 	<p>Noted.</p>
<p>Research hypotheses</p> <ul style="list-style-type: none"> i. Okay. 	<p>Noted.</p>
<p>Literature review</p>	

<ul style="list-style-type: none"> i. Be critical. ii. What is the use of the moderating variable. It seems to cover components of the independent variable- revise iii. Framework could be improved. iv. Improve on theoretical literature. It appears as if it is an empirical literature. 	
<p>Methodology</p> <ul style="list-style-type: none"> i. Okay ii. Very good but improve on it for clarity. 	Noted. Methodology improved for clarity.
<p>References</p> <ul style="list-style-type: none"> i. Okay ii. Good 	Noted.
<p>Instruments</p> <ul style="list-style-type: none"> i. Okay ii. Improve on this and harmonize it with the objectives of the study. 	Noted and done.
<p>) Other comments</p> <ul style="list-style-type: none"> i. Refine your topic. ii. Generally a good proposal. iii. Good proposal. 	The topic has been refined from “Evaluating the efficacy of institutional systems in the management of illegal and unsustainable trade in illegal wildlife products in Uganda” to “Evaluating the efficacy of institutional systems in the management of wild life trade in Uganda”
<p>Overall recommendation</p> <ul style="list-style-type: none"> i. The topic should be refined to make the entire write up flow. ii. Correct and proceed. <p>Make the necessary adjustments in this proposal and proceed to write your dissertation</p>	Topic refined. Corrections made in the entire proposal including typos, punctuations etc.