



East African Community
(EAC)



Federation of East African Freight
Forwarders Associations (FEAFFA)

THE EAST AFRICA CUSTOMS AND FREIGHT
FORWARDING PRACTICING CERTIFICATE

BASIC MANAGEMENT MODULE

- CUSTOMER CARE AND COMMUNICATION SKILLS
- NUMERACY SKILLS
- DIGITAL LITERACY
- ENGLISH LITERACY
- EMPLOYABILITY SKILLS
- OCCUPATIONAL SAFETY, HEALTH AND ENVIRONMENTAL PRACTICES
- ETHICS AND INTEGRITY

FEAFFA in collaboration with East Africa Revenue Authorities





East African Community (EAC)

The East African Community (EAC) is a regional intergovernmental organization of six (6) Partner States, comprising Burundi, Kenya, Rwanda, South Sudan, Tanzania and Uganda, with its headquarters in Arusha, Tanzania.



Federation of East African Freight Forwarders Associations (FEAFFA)

The Federation of East African Freight Forwarders Associations (FEAFFA) is a regional private sector apex body of the Customs Clearing and Freight Forwarding (CFA) industry in East Africa. It aims at promoting a professional freight logistics industry for trade facilitation and regional economic growth. FEAFFA strives to address the challenges experienced by its members through training, provision of information, and other aspects of capacity building. It advocates for the full implementation of the East African Community (EAC) Customs Union. The East Africa Customs and Freight Forwarding Practicing Certificate (EACFFPC) is the Federation's and the industry's premier training program in East Africa since 2007.

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Copies may be obtained through the following address:

C/O. Federation of East African Freight Forwarders Associations
P.O. Box 22694-00400, Tom Mboya, Nairobi.
Hillcrest Court, Waiyaki Way, Slip Road Westlands, Nairobi, Kenya

Tel: +254 202-684802 | Cell: +254 738 150 673
Email: info@feaffa.com | Website: www.feaffa.com



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Table of contents

Foreword	2
Acknowledgment	3
UNIT 1: CUSTOMER CARE AND COMMUNICATION SKILLS	13
UNIT 2: NUMERACY SKILLS	84
UNIT 3: DIGITAL LITERACY	140
UNIT 4 : ENGLISH LITERACY	242
UNIT 5: EMPLOYABILITY SKILLS	292
UNIT 6: OCCUPATIONAL SAFETY, HEALTH AND ENVIRONMENTAL PRACTICES	417
UNIT 7: ETHICS AND INTEGRITY	471

FOREWORD

Customs Clearing Agents, Freight forwarders, and Warehouse Operators in the East African Community (EAC) region continue to play a vital role in the facilitation of trade particularly with regards to the assessment tax, storage of goods, transportation, and last-mile delivery to clients. This, in turn, facilitates cargo movement and clearance from all ports.

The agents handle goods worth millions of dollars on behalf of the shippers. Besides, they originate documents that facilitate movement and clearance of cargo culminating in errors that slow down the flow of business. The movement of cargo depends on how fast and correctly documentation is done for verification by the respective Customs Authorities. A delay in customs clearance increases the cost of doing business.

This pointed to the need for these agents to be equipped with the requisite knowledge, skills, and attitudes to carry out their work efficiently, just as their counterparts from customs.

The EAC region, with support from TradeMark East Africa (TMEA), has made significant steps towards bridging the knowledge and skills gap in the customs clearing and freight forwarding industry. The introduction of the East Africa Customs and Freight Forwarding Practicing Certificate (EACFFPC) in 2006, a regional training programme jointly implemented by the EAC directorate of customs, the East African Revenue Authorities (EARAs), the National Association of the Freight Forwarding Industry, and FEAFFA was a big step. Since its inception, over 7000 agents have graduated from this training.

A review of the programme in 2015 and a market survey conducted in 2020 supported by TradeMark East Africa (TMEA) highlighted key areas of improvement for the EACFFPC programme to achieve the aim of producing competent customs agents, freight forwarders, and warehouse keepers. The revised curriculum has therefore been designed to address these challenges and shortcomings. The revamped EACPPFC programme is designed to enhance the ability of freight forwarders to provide competitive and high-quality end-to-end services thereby reducing inventory costs and increasing safety levels in warehousing operations in the East African region.

With the revised EACFFPC curriculum, the dream of attaining a professional and compliant freight logistics industry in the East African region has been strongly boasted.

ACKNOWLEDGMENT

The Curriculum Implementation Committee (CIC) is grateful to the EAC sectoral council on Trade Industry Finance and Investment for adopting the EACFFPC as an EAC training programme for clearing and forwarding agents in the region. This is a testimony to the effect the programme has had on the clearing and forwarding industry in the EAC region.

The CIC is also grateful to the EAC Directorate of Customs, the Commissioners of Customs of the East Africa Revenue Authorities, the Chairpersons of National Associations of clearing and forwarding agents, and the President of FEAFFA for their dedication and support to the EACFFPC programme.

Special appreciation for the National Curriculum Implementation Committees for providing their trainers to participate in the development and validation of the curriculum and training materials. CIC also acknowledges the FEAFFA secretariat for excellently coordinating the curriculum and training materials development and validation process.

The CIC in a very special way recognizes TradeMark East Africa (TMEA) who provided the financial support to update the curriculum, develop and publish the 2021 edition of the EACFFPC training materials. We remain indebted to you forever.

We also appreciate all EACFFPC trainers, students, and stakeholders for the constant feedback that has been incorporated in this edition of the training materials.

UNIT 1:

**CUSTOMER CARE AND
COMMUNICATION
SKILLS**

Table of contents

UNIT 1: CUSTOMER CARE AND COMMUNICATION SKILLS	13
1.0 UNIT OVERVIEW	13
1.1 . . Unit Description	13
1.2 . . Unit Summary Learning Outcomes	13
2.0 CUSTOMER CARE OVERVIEW	13
2.1 . . Specific Learning Outcomes	13
2.2 . . Concept of Customer Care	13
2.3 . . Importance of Customer Service/Care	14
2.4 . . Nature of Customer Care	15
2.5 . . Types of customers in C&F industry	15
2.6 . . Principles of Customer Care	16
2.7 . . Learning Activities	16
2.8 . . Self-Assessment Questions and Activities	16
2.9 . . References	17
3.0 CUSTOMER HANDLING PROCESS	18
3.1 . . Specific Learning Outcomes	18
3.2 . . Steps of Handling Customers	18
3.3 . . Customer's Expectations	18
3.4 . . Customer Engagement	19
3.5 . . Learning Activities	21
3.6 . . Self-Assessment Questions and Activities	21
3.7 . . References	22
4.0 DEALING WITH CHALLENGING CUSTOMERS	23
4.1 . . Specific Learning Outcomes	23
4.2 . . Challenging Customers	23
4.3 . . Causes of Customers Challenging	23
4.4 . . Types of Customers Behaviors	23
4.5 . . Types of Challenging Customers	23
4.6 . . Strategies to Manage Challenging Customers	24
4.7 . . Handling Difficult Customers and Situations	26
4.8 . . Development of Strategies for Retaining Challenging Customers	26
4.9 . . Learning Activities	28
4.10 . Self-Assessment Questions and Activities	28
4.11 . References	29
5.0 DEALING WITH CUSTOMERS COMPLAINTS	30
5.1 . . Specific Learning Outcomes	30
5.2 . . Types of Customer Complaints	30
5.3 . . Sources of Customers Complaints	30
5.4 . . Causes of Customer Complaints	30
5.5 . . Preventing Customer Complaints	30
5.6 . . Handling Customer Complaints	31
5.7 . . Challenges of Handling Customer's Complaints	31
5.8 . . Learning Activities	32
5.9 . . Self-Assessment Questions and Activities	32
5.10 . References	33
6.0 CUSTOMERS SATISFACTION	34
6.1 . . Specific Learning Outcomes	34
6.2 . . Scope of Customer Satisfaction	34
6.3 . . General Characteristics of Customer Satisfaction	34
6.4 . . Components of Customer Satisfaction	34
6.5 . . Customer Satisfaction Process	35
6.6 . . Drivers of Customer Satisfaction and Dissatisfaction	36
6.7 . . Creating Customer Loyalty	37
6.8 . . Customer Satisfaction Measurement	38
6.9 . . Learning Activities	39
6.10 . Self-Assessment Questions and Activities	39
6.11 . References	40

7.0	EFFECTIVE COMMUNICATION	41
7.1	Specific Learning Outcomes	41
7.2	Overview of Communication	41
7.3	The Communication Process	41
7.4	Objectives of Communication	43
7.5	Principles of Effective Communication	44
7.6	Types of Audiences, Needs and Characteristics	45
7.7	Different Types of Communication	45
7.8	Forms of written communication	47
7.9	Channels of Communication	48
7.10	Selecting Channels of Communication	49
7.11	Handling Telephone Communication	50
7.12	Learning Activities	51
7.13	Self-Assessment Questions and Activities	51
7.14	References	52
8.0	BARRIERS TO COMMUNICATION CHANNELS	53
8.1	Specific Learning Outcomes	53
8.2	Barriers to Communication	53
8.3	Effect of Barriers to Communication	53
8.4	Sources of Communication Barriers	54
8.5	Mitigating Communication Barriers	54
8.6	Overcoming Barriers of Communication	55
8.7	Learning Activities	56
8.8	Self-Assessment Questions and Activities	57
8.9	References	58
9.0	EFFECTIVE LISTENING SKILLS	59
9.1	Specific Learning Outcomes	59
9.2	Overview of Effective Listening	59
9.3	Types/Forms of Listening	60
9.4	Barriers to Effective Listening	61
9.5	Effective Listening Techniques	61
9.6	Questioning Techniques	63
9.7	Learning Activities	64
9.8	Self-Assessment Questions and Activities	64
9.9	References	65
10.0	INTERPERSONAL COMMUNICATION	66
10.1	Specific Learning Outcomes	66
10.2	Meaning of Interpersonal Communication	66
10.3	Importance of Interpersonal Communication	66
10.4	Principles of Interpersonal Communication	67
10.5	Types of Interpersonal Communication Skills	68
10.6	Learning Activities	70
10.7	Self-Assessment Questions and Activities	70
10.8	References	71
11.0	REPORT WRITING	72
11.1	Specific Learning Outcomes	72
11.2	Purpose and Scope of Reports	72
11.3	Types of Reports	72
11.4	Forms of Reports	72
11.5	Business Reports	73
11.6	Components of the Reports	73
11.7	Preparation of the Business Reports	73
11.8	Basic Principles in Preparing a Report	75
11.9	Structure and Contents of Business Reports	76
11.10	Field Report	76
11.11	Learning Activities	78
11.12	Self-Assessment Questions and Activities	78
11.13	References	79

LIST OF ABBREVIATIONS AND ACRONYMS

UNIT 1: CUSTOMER CARE AND COMMUNICATION SKILLS

1.0 UNIT OVERVIEW

1.1 Unit Description

This unit analyses the competencies required to develop and manage loyal customers through effective customer care and communication. The unit addresses various principles, strategies and techniques to create customer relationships including effectively managing different types of customers, attracting, retaining and growing satisfied customers, effective communication skills, managing barriers to communication, developing effective listening skills and interpersonal communication skills.

1.2 Unit Summary Learning Outcomes

At the end of the unit, the trainee should be able to:

1. Carry out effective customer care
2. Handle customers within the Clearing and forwarding sector
3. Manage challenging customers
4. Manage customer's complaints
5. Attract, retain and grow satisfied customers
6. Effectively communicate with clients
7. Use appropriate communication channels
8. Reduce barriers to effective communication
9. Develop effective listening skills
10. Develop effective reports
11. Carry out interpersonal communication

2.0 CUSTOMER CARE OVERVIEW

2.1 Specific Learning Outcomes

At the end of this topic the trainee should be able:

- i. Describe the concept of Customer care
- ii. Explain the importance of Customer care
- iii. Describe the nature of customer care
- iv. Identify types of customers in C&F industry
- v. Describe the principles of Customer care

2.2 Concept of Customer Care

2.2.1 Meaning of a Customer

Customers can be described as people who buy / use a firm's product(s) or services. Customers are the lifeblood of an organization. Their satisfaction is closely linked to retention and its less attractive sibling, churn, repeat business, and the positive word of mouth that attracts new customers. There is only one boss: the customer. And he/she can fire everyone in the company from the chairman on down; simply by spending his money somewhere else. Customer is equal to revenue which is equal to jobs. This means treating every customer as if they sign ones pay check because they do. Customers, buyers and clients want to pay a fair price for quality service or products, and feel satisfied they have paid for a service/product and received what they have paid for in return. They also want someone to take care of them. They need someone to understand their needs and help answer them. They need someone to hold their hands and walk them through a process.

Customer service starts with the ability to listen to the customer and find out through polite questioning what he/she needs or wants. The satisfaction of customers requires one to resolve their issues and do it quickly. At minimum, customers expect to be listened to and understood, taken seriously, treated with respect, and to receive timely action.

2.2.2 Customer Care

Customer care and customer service is all about thinking of the welfare of the customers. These two are always present no matter how large or small a company is. Companies are always striving in providing good care and service to their clients. Customer care means how well customers are taken care of while they interact with the brand. Customer care is actually caring for customers, listening to their needs, and finding the right solution. In many instances, customer care moves one step beyond basic customer service by building an emotional connection.

Customer care moves one step beyond basic customer service by building an emotional connection. It doesn't include the entire customer lifecycle, but it consists of a string of interactions. Hence

customer care is the act of providing and delivering professional, helpful, high-quality assistance before, during, and after the customer's requirements are met.

Customer care is focusing on customers in making them satisfied and knowing their interests while customer service focuses on the jobs involved when servicing customers rather than their needs. Customer care is more of a supportive management, where procedures are pretty essential in encouraging responsiveness to client's needs and find methods where management can support in achieving commercial goals. Customer service is a hierarchical management that follows procedures and strives to meet administrative and technical requirement.

2.2.3 Customer Service

Customer service is the act of taking care of the customer's needs by providing and delivering professional, helpful, high-quality service and assistance before, during, and after the customer's requirements are met. Customer service is a method when the company deals with its clients. This is most apparent in sales and post-sales service. These are designed to improve the stage of customer satisfaction, the feeling that the service or item has reached customer expectation. This method has the commitment of giving significant services to internal and external customers. This includes attitude, knowledge, quality of service and technical support.

Customer service is forming a relationship with customers. This is a relationship where individual customer feels that he/she would like to pursue. This is the kind of service that makes customer feel special, service that makes him/her want to come back and do more business with the company and recommending the company to other people. Customer Service is the lifeblood of an organization. Exceptional customer service will make customers often pay more, drive farther, and inconvenience themselves to do business with a company that appreciates them, thus building the bond that keeps customers coming back time and time again. Exceptional customer service increases productivity, efficiency and effectiveness. Satisfying an unhappy customer cost, a lot more, both in pesos and sense, than satisfying a customer on the first try. Customers when satisfied with the service given to them, is a large factor for customer retention. This fulfils

personal and organizational needs since customers buy experiences, and have repeat businesses.

Therefore, good customer service means:

- Providing quality product or service
- Satisfying the needs / wants of the customer
- Resulting in a repeat customer

Good customer service results in:

- Continued success
- Increased profits.
- Higher job satisfaction.
- Improved company or the Organization morale.
- Better teamwork.
- Market expansion of services / products.

2.3 Importance of Customer Service/Care

The benefits of customer care depend on quality service. This leads to loyalty, increment of business, attraction of new customers, savings in advertising and promotion budgets, reducing complaints, expending positive reputation, creating differentiation, improving the morale of the employee and hence their productivity. Beyond the routine handling of transactions, customers want also human satisfaction. They want to perceive empathy and supportiveness for their goals. They want to be listened and be given a feed-back to their requests. They want to be given politeness, knowledge and help.

A customer is:

- The most important person in any business;
- Not dependent and the organisation is dependent upon him/her;
- Not an interruption of work but is the sole purpose of it;
- Does the organisation a favour when he/she comes in
- An essential part of the business but not an outsider;
- Not just money in the cash register but is a human being with feelings and deserves to be treated with respect;
- A person who comes to the business with needs and wants which are met by the business
- Deserving the most courteous attention.

Today's customers are becoming:

- More sophisticated
- Highly knowledgeable and exposed
- More informed
- More skilled
- Aware of their rights and options in the market place and
- Have higher expectations.

The business world is getting increasingly competitive and the only differentiating factor is in the level of service given to customers. Therefore, a business must:

- Do ordinary things extraordinary well
- Go beyond what is expected
- Add value to every interaction
- Be at best with every customer
- Discover new ways to delight
- Taking care of customers like family members.

2.4 Nature of Customer Care

The customer is a person who seeks a service to satisfy a need. The business has to understand the customer's needs, wishes and expectations. Customer service is the act of taking care of the customer's needs by providing and delivering professional, helpful, high-quality service and assistance before, during, and after the customer's requirements are met. Some characteristics of good customer service include:

- **Promptness:** Promises for delivery of products must be on time. Delays and cancellations of products should be avoided.
- **Politeness:** Politeness is almost a lost art. Saying 'hello,' 'good afternoon,' 'sir,' and 'thank you very much' are a part of good customer service. For any business, using good manners is appropriate whether the customer makes a purchase or not.
- **Professionalism:** All customers should be treated professionally, which means the use of competence or skill expected of the professional. Professionalism shows the customer they are cared for.
- **Personalization:** Using the customer's name is very effective in producing loyalty. Customers like the idea that whom they do business with knows them on a personal level.

When the customers are satisfied and happy, profits and sales increases. The customer is always a priority;

customers are like blood to the life of clearing and forwarding industry therefore freight forwarding agents are obliged to show respect, remain one step ahead of the customer, keep all promise, deliver the service on time or ahead of time this awards good customer relationship.

2.5 Types of customers in C&F industry

Every business has customers who must be taken care of. These customers include both internal and external. The relationship which exists between internal and external customers is the key factor to identify the type of customer. Every employee plays an important role towards fulfilling customers' needs. There are two categories of customers:

a) **An internal customer** is a client or a purchaser, who uses goods or services directly from an organisation they are affiliated with. Internal customers are in most cases employees or shareholders. All staff (permanent or short-term employees) of the Clearing and Forwarding Industry who depend on each other to get their job done these includes:

- Managing Director
- Management
- Supervisors
- Subordinates
- Board of Directors

The employees of an organization are a key factor in facilitating its success and should be treated with respect. Internal customer care enables people to work as a team.

b) **An external customer** is someone who uses a firm's products or services but is not part of the organization. Among the external customers there are three types.

- **Indecisive Customer:** This type of customer can't seem to make a decision no matter how many questions they ask. The thing to do here is acknowledge the indecision. Avoid being pushy. Instead, help the customer make a decision by offering facts and possible best solutions for their needs.
- **Highly Critical Customer:** Critical customers can be a huge challenge. They seem to know it all and are very critical of any suggestions. One needs to be patient

and attentive. Don't take anything personally. Use clarifying statements, weaving in new information and ideas about the product of which they are being critical.

- **Aggressive Customer:** This type of customer is angry and feels their needs should be prioritized above all others. Stay calm and don't argue with them. Avoid responding to their outbursts or arguments in an agitated or emotional manner. Instead, one show to understand their feelings. Then one has to look for alternatives and offer other solutions.

External customers for C&F are:

- Importers
- Exporters
- Shippers and shipping lines
- Warehouse owners
- Banks
- Insurance companies
- Transporters
- Taxpayers,
- Service provider
- Suppliers,
- Community,
- Students or researchers and
- Government.

2.6 Principles of Customer Care

The purpose of these principles is to retain customers and keep them transacting with business. The principles build and maintain a strong customer care culture in the organization. They include:

- Listening carefully
- Remaining solution focused
- Not being defensive/ dismissive
- Using rules and policies
- Describing well the services to deliver
- Being spontaneous to serve
- Showing the customer that that they are understood well
- Treating all customers equally
- Being flexible when necessary.

2.7 Learning Activities

Identify a firm in the freight logistics industry that you may be familiar with.

Required:

1. Describe the two types of customers for that organization
2. Describe the characteristics of the firm's customers
3. What are the customers' expectations from the firm?
4. What should the organization do to ensure its customers are happy?

2.8 Self-Assessment Questions and Activities

1. Describe what you understand by the terms:
 - a. Customer
 - b. Customer care
 - c. Customer service
 - d. Internal customer
 - e. External customer
2. What are the benefits of good customer care in the C&F industry?
3. Explain the principles of customer care. How do these principles align with the customers in the C&F sector?

2.9 References

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3.0 CUSTOMER HANDLING PROCESS

3.1 Specific Learning Outcomes

At the end of this topic the trainee should be able:

- i. Describe steps in handling customers
- ii. Identify customer expectation
- iii. Describe customer engagement methods

3.2 Steps of Handling Customers

The process of handling customers consists of how to deal with a customer from the time the customer gets in touch with the organization until the service is consumed - from the entry point to the after-delivery phase.

1. Point of entry:

At this step, it is important to create a lasting impression. Let the customers know that they are valued and set a positive mood.

- Look at them in the eye
- Smile/Be jolly
- Welcome them
- Ask them how they feel.

2. Point of contact:

a) Response Time

- Customers are sensitive about time; they want to be helped quickly yet correctly,
- Avoid delays
- Listen to clients
- Offer more than just a product or service
- Exceed client's expectations
- Find out what their needs are. One should not assume to know what the problem is but encourage the customer to explain the situation.
- Individuals are different. Listen attentively and actively to see these differences.
- Ask questions to identify their needs.
- Look for opportunities to do something extra.

b) Delivery of service

- Only start to respond to customers after one has clarified customer's needs.
- Act promptly
- Agree on course of action
- Find opportunity to exceed expectations

3. Point of exit:

- Make it a lasting impression
- Check for feedback on customer's level of satisfaction. If no, find out why.
- Commit to follow up if necessary
- Thank the customer
- Say goodbye appropriately
- Keep in touch
- Follow up
- Communicate regularly.

3.3 Customer's Expectations

This is what a potential buyer thinks or feels about product or service he/she needs. There are preconceived ideas of a customer about a product or service. Customer expectation will be influenced by his/ her perception of the product or service. This can be created by previous experience, advertising, hearsay, awareness of competitors, and image perceived. A customer might expect to encounter efficiency, helpfulness, reliability, confidence in the staff and a personal interest in his or her investment.

Customers always expect a TREAT.

- **T**rust (ability to provide what was promised, dependably and accurately)
- **R**esponsiveness (willingness to help customers promptly)
- **E**mpathy (degree of caring and individual attention to be shown to customers)
- **A**ssurance (knowledge and courtesy shown to customers, and ability to convey trust)
- **T**angibles (physical facilities and equipment, and own (and others') appearance)

Ethics in Customer Service

Customers also expect to deal with an employee who is ethical. Ethics is a set of principles that govern the conduct of an individual or a group. In an ethically challenging situation, ask yourself the following questions:

1. Is it legal?
2. Is it fair?
3. How do you feel about it?
4. Would the court of public opinion find in my behaviour incorrect?
5. Am I fearful of what those I trust would say about my actions?

3.4 Customer Engagement

3.4.1 Meaning of Customer Engagement

Customer Engagement is the process of fostering and optimizing the relationship between consumer needs and a company or group's objectives to produce the most viable deliverable. The concept of customer engagement aggregates the multiple ways customer behaviours beyond transactions may influence the business.

Customer Engagement is also the emotional connection between a customer and a brand. Highly engaged customers buy more, promote more, and demonstrate more loyalty. Providing a high-quality customer experience is an important component in your customer engagement strategy. Customer engagement is more focused on value creation rather than revenue generation.

Digital customer engagement is the process of engaging customers interactively and deeply on digital channels like social media, email, website among others. Meaningful engagement on social media comes from more than just posting content. Digital customer engagement focuses more on customer experience and engagement and not on interruption. The entire process is about how to artfully use all the digital platforms to start a conversation and build a customer-brand relationship.

3.4.2 Importance of Customer Engagement

Customer engagement drives the success, product development and overall growth of a business. When clients are highly engaged, businesses will see an increase in sales, active participation in product launches and, ultimately, a strong loyalty to a brand. This means that engagement is an excellent indicator for how well a business is reaching its audience and addressing their needs or wants.

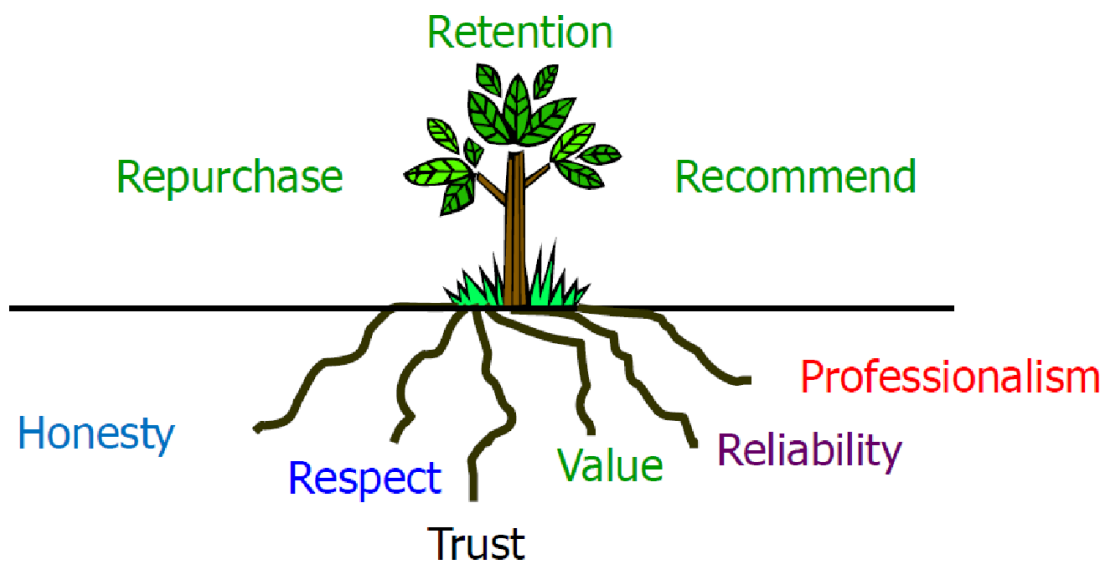
Customer engagement is important as it allows the team to ensure that they are providing the best possible overall solution most suited to the customer's expectations. It increases satisfaction scores and gives the customer the impression of a more professional and user-centric mind-set. It ensures a much higher likelihood of brand loyalty and advocacy.

Effective customer engagement aims to build mutual trust. The purpose of effective engagement is to develop a mutually beneficial working relationship between a business and its customers. It is not only about developing satisfied customers, but also about fostering customers' trust in the decisions of the business and sense of legitimacy in the business more broadly. To be effective, customer engagement must be treated as vital to the broader strategy and ongoing operations of a business. At times it may be conducted outside the plan due to certain circumstances but it is not primarily conducted in an ad hoc or reactive manner.

Research has found that engaged customers display some of the behaviours (Three Rs) below:

1. Repurchase
 - More repeat business
 - Greater volume of purchases of goods and services
 - Increased frequency of service acquisition
 - Very high likelihood to repurchase when compared to those not engaged.
2. Retention
 - Increased customer life span
 - Lower customer attrition rates
 - Longer period of time as an active customer
 - More likely to be a customer even after a long time without a need for the service or product.
3. Recommend
 - One customer can motivate others to buy
 - Word of mouth "viral" endorsement marketing
 - Provide positive testimonies and referrals
 - Customers act as ambassadors and even assist other customers in the buying process

The Roots and Fruits of Customer Engagement



3.4.3 Customer Engagement Strategies

There is no single best way to undertake customer engagement, and effective engagement must be tailored to the specific needs and characteristics of the business, their customer base (which is often comprised of different customer segments) and the local, environmental, and regional issues facing them. Businesses need to develop their own customer engagement strategy that sets clear goals for the overall engagement process; identifies specific, preferred engagement methods and techniques for achieving these goals and defines ways of evaluating the success of achieving these goals and identifying potential opportunities for improving engagement strategies.

Effective engagement also:

- Values and incorporates customer feedback.
- Uses suitable avenues to report back to the community about engagement processes and outcomes.
- Adheres to ethical principles of privacy, confidentiality, respect for persons, and diligence

Customer engagement is a complex process and can be represented by a range of activities and experiences. Business customer engagement methods are as varied depending on the customers that business is trying to reach. Customer-engagement approaches are the most effective for establishing lasting bonds.

One should have a pulse on customer needs. To do this one listens to customers by regularly surveying and providing support, as well as making sure customers' needs are met. Listening to and understanding customer ultimately helps in fulfilling organisation goal of levelling the playing field for businesses, in order to grow and compete.

In summary, key customer engagement strategies include:

- Create positive customer experiences whenever you interact with them whether physical or online
- Always follow up with customers, even if only to find out how they are doing since the last engagement
- Personalize your communications as this makes the customer feel valued
- Seek customer feedback, comments, suggestions on ways to improve the service experience
- Use social media wisely with customers. Know the preference and perception of your customers with different social media platforms before engaging

3.5 Learning Activities

Read the statements below and indicate whether TRUE or FALSE

Statement	True	False
Laziness, poor communication skills, moodiness, inability to handle stress, and inadequate staff are all enhancements to customer service		
The way we see something based on our experience is our perception		
Expectations are always negative		
Expectations are always based on our perceptions		
The reputation of a company really is not important to perspective customers		
Our personal credibility can be the one characteristic that determines our success as people and as customer service providers		
Once credibility is lost, it is easy to regain		
Ethics are a set of principles that govern the conduct of an individual or group		
It is always popular to do the right thing and to have high ethical standards.		

3.6 Self-Assessment Questions and Activities

1. What do you understand by customer expectations? What are the different sources of customer expectations?
2. Why is it important to understand customer expectations in the C&F Sector?
3. What steps would you go through in handling a new customer in your organization?
4. Discuss the importance of customer engagement in the C&F Sector.

3.7 References

- a) Wellington, P. (2010). Effective Customer Care: Understand Needs, Improve Service, Build Relationships. Kogan Page. United Kingdom
- b) Shep Hyken (2020). The cult of the customer. Amazon book Clubs
- c) Harris, K. E. (2013). Customer Service: A Practical Approach, 6th Edition. Pearson Higher Education

4.0 DEALING WITH CHALLENGING CUSTOMERS

4.1 Specific Learning Outcomes

At the end of this topic the trainee should be able:

- i. Identify challenging customers
- ii. Discuss the causes of challenging customers
- iii. Identify strategies to manage challenging customers
- iv. Develop strategies for retaining challenging customers

4.2 Challenging Customers

A reality of life is that some people are easier and more enjoyable to be around than others. Challenging customers are those customers with problems, questions, fears, and personalities that require us to work to achieve true communication. Individuals are unique and, therefore, may not all be seen as challenging customers. Regardless of how difficult we find our customers to be, it is still our responsibility to serve them.

4.3 Causes of Customers Challenging

Customers may have personalities or communication styles with which we find difficulty in interacting. Customers may be perceived as challenging because of the following reasons:

- They do not speak your language.
- They do not have expertise or an understanding of the specific product or situation.
- They may be openly hostile.
- They are visibly upset about something (and it may not have anything to do with you or your company).
- They show an attitude of superiority.
- They are impatient.
- They imply that they are doing you and your company a big favor by doing business with you.
- They are extremely angry.
- They have difficulty in making decisions.

Regardless, any customer with whom we interact deserves to be treated extremely well and appropriately based on the circumstances.

4.4 Types of Customers Behaviors

There are many types of customers' behavior. The most frequent are:

a) The happy chatty customer:

Customers of this nature take much time such that others may be waiting. They should be serviced immediately and shaped to the official duties only. Use diplomacy to show them that time is being wasted. You may wish to stand while she/he is still sitting and automatically she/he will stand and walk them out. However, that should be done tactically.

b) Pompous customers:

This represents customers who pretend or have a lot of money, assets and has been abroad for a long period of time. They want to be praised by their achievement. Listen to them, praise them, and ask about things abroad. One should pretend not to have been in foreign countries. Take care of them. Make him feel at home then control time.

c) The fussy customers:

These are selective and those that takes long to decide. Be a patient listener; do not loose temper, read their highest expected standard. They may complain even for small mistake. They can magnify the mistakes unnecessarily

d) Rude customers:

Do not fight back. Keep on saying sorry and keep silent. If one reacts they can even report the matter differently to management. The situation is difficult if the customer is high placed person in the society.

e) Illiterate customers:

Illiteracy is not a barrier of giving customers services. Interview them and write what they have said. Read in turn what has been written. Advise them to come with a person who can focus on extreme cases. Use mother tongue if possible. Have a helping desk or a person who can help? Patience is necessary to educate them.

4.5 Types of Challenging Customers

a) Argumentative Customers: These are customers who questions, disagrees, take issues which an employee makes, always looking for errors or mistakes, quick tempered and sometimes typically slow in making decisions

Handling argumentative customers:

- Practice self-control
- Use merchandise knowledge
- Sell benefits, features
- Do not push a decision
- Give logical explanations
- Customer needs more information

b) Complaining/hard to please

This is a customer who thinks everything is wrong, no matter what the employee does it is wrong, tries to get employee to take side against the company and passes judgment on everything

How to please hard to please customer

- Listen to him/her
- Stress on product/service knowledge
- Let them feel they have made the decision
- Don't push the sale of the product or service

c) Irritable/moody customers

This is a customer who is irritable, moody, unpredictable, smiling and happy one day but hardly speaking the next.

Tips to handle the irritable

- Offer a place to rest if possible
- Lower voice
- Slow one's physical action
- Do not argue
- Practice empathy, consideration
- Listen

d) Insulting/snobbish: These customers are typically rude, loud, rough, may bluff and swear and are always ready to take advantage of a situation.

How to sell snobbish

- Do not be offended by this customer
- Quiet dignity is needed by an employee
- Be very pleasant
- Appeal to exclusiveness
- Make them feel special

e) Impatient: These customers expect immediate service without regard, indicate through actions, body language, and facial expressions that they cannot wait. These customers expect immediate service without

regard. They indicate through actions, body language, and facial expressions that they cannot wait.

How to deal with impatient

- Acknowledge that they need help
- Calm them down
- Get another employee to help them
- Suggest an alternative option
- Bottom line is get them in and out quickly

f) Leave me alone/just looking

These customers usually let people know right away they don't need help, prefer making their own decisions, may lack information which is needed to make buying decisions.

How to deal with just looking

- Do not pressure or ride this customer
- Stand at a distance
- Watch for shoplifting
- Inform customer the availability of help in case needed

g) Domineering/superior know it all customers: These difficult customers can be overbearing, have all the answers and opinion on the subject, overly self-confident, very talkative, pushy, think that they are always right

Know-it-all customers

- Let customer do the talking
- Will sell himself/herself if handled properly
- Let customer's opinion stand, if acceptable
- Don't argue with customer

4.6 Strategies to Manage Challenging Customers

Upset customer can be managed. The following strategies can be used in dealing with upset customers:

- Don't argue
- Avoid being the expert
- Avoid creating more anger
- Watch your words red flag words
- Avoid personal feelings

Steps of dealing with upset customers

1. Step One: Begin with a positive attitude

People are not born with an attitude. Begin with a positive attitude.

Keeping a positive attitude

- Start each day fresh
- Enjoy the moment
- Surround with Positives

Causes of poor customer attitude

- Low self-esteem
- Fear
- Boredom
- Resentment
- Unresolved conflict

In positive attitudes there are two types of people in life that is fountains and drains. The fountains are filled with positivity, hope and purpose that inspires others while the drains deplete others' resources by focusing on negative thoughts and emotions. In relationships with customers, most people are usually a fountain or a drain. They either flow and overflow onto others, or they just drain people of their energy. They either refresh the life in others or they dry it up. Driven by a positive attitude, great leaders focus on empowering people rather than exploiting them. This can be used in dealing with difficult customers.

2. Step Two: Let customer vent

Nothing can be solved while customer is angry. Venting allows anger to subside. In this step:

- Accept anger.
- Don't take it personally.
- Listen carefully and attentively to the customer.
- Do not interrupt the customer when venting off
- Never ask the customer to calm down
- Let the customer vent off before responding.

3. Step Three: Be empathetic to the customer

Customer empathy is understanding the underlying needs and feelings of customers. It goes beyond recognizing and addressing their tactical requirements and puts things into further context by viewing things from their perspective. Empathy is an important and necessary component to customer

service that allows you to connect with customers, which means that they feel you understand where they are coming from. In turn, this helps to increase customer satisfaction and build loyalty. Expressing genuine empathy may include:

a) Listening carefully

Be a good a listener and try to repeat what the customer says to assure them that you are listening and that you understand their concerns.

b) Smile

It may sound cheesy, but smiling when talking to customers can make a huge difference. It comes across over the phone and they will feel it in your voice.

c) Make it your problem

Take ownership of the customer's questions, especially if it is a complaint. Have a one-to-one relationship with your customer so that they have a point of contact that they can come back to.

d) Allow them to 'get it all out'

When the customer is angry, allow them to vent without interruption. Listen to the person carefully while using the time to figure out what you can do to fix their issue.

e) Be respectful

Make sure you talk to the customer with respect. Never talk down to the customer or talk over them. Approach it like a regular, professional conversation and they will appreciate you for it.

f) See it through their eyes

Share your customer's perspectives and try to see what their struggling with and why. What is their end goal, and what can you do to help them achieve it?

g) Understand their priorities

Every customer, particularly in an emergency situation, will have a list of priorities. Make them your priorities too and address them in the right order (mirroring them). This will reassure the customer that you know what they want and are taking care of them.

h) Show that you care

You can build rapport by showing a personal interest in the customer. For example, if a

customer says they have been sick, show that you care by asking them about their recovery.

i) **Begin with a positive statement**

If the customer has spent some time explaining a frustrating problem, then beginning your response with a short, direct statement of intent can gain their confidence. Something like “Okay, we can fix this...” or “Right, let’s get this problem sorted for you...” will reassure the customer that you are taking ownership of the problem.

j) **Avoid assumptions**

Don’t make assumptions about what the customer is telling you – actively listen!

4. Step Four: Demonstrate you understand

Paraphrase to the customer to show understanding. Refine vague objections to something specific, something which can be handled. Press for specifics to clarify the concern and respond with appropriate facts and/or benefits.

5. Step Five: Mutually agree on the solution

- Remember and make customer part of solution. Ask informative questions and don’t display power. Look for underlying reasons and be professional. Acknowledge that the customer’s concerns are valid. Ensure there is aligning with the customer, agreeing that one would feel the same in their shoes. Assure the customer that there will be a solution to their problem to their satisfaction.
- Dealing with emotional customers. Look for an emergency solution. Look for underlying cause of reaction if its frustration, fear or confusion. Reassure the customer that the organisation is there to help. Listen and limit responses. Acknowledge the customer’s underlying reactions. Take notes even when customer venting, save time later and help listening without interrupting.

4.7 Handling Difficult Customers and Situations

When dealing with difficult situations treat them confidently and effectively, establish the needs of the customers quickly and overcome objections. At all

times one must be polite, treat the customer with tact and in the same manner as they would wish to be treated. In general:

- Do not take complaints personally;
- Do not argue with the customer, remain calm;
- Do not interrupt customer, but find a suitable pause to respond;
- Find out the facts, apologize for a specific fault and ensure the complaint is dealt with quickly and efficiently;
- Never show annoyance or boredom;
- Give the customer full attention and interest at all times;
- One ensures to have an extensive knowledge of procedures of the organization;
- Investigate fully and always follow-up

While dealing with difficult customers such as angry customers:

- Listen carefully and attentively to his complaints. Be polite and do not be angry. Give him undivided attention. Show body language e.g. looking at him, nodding the head as a sign of acceptance.
- Sympathize. Try to put oneself in his/her shoes i.e. show sympathy and empathy, apologize if necessary, and say I apologize for.
- Don’t say no (do not immediately disagree with the customer to show that he is wrong);
- Don’t respond with anger, take positive action to resolve the problem, smile and if the customer stays angry, refer him/her to a senior manager or a later appointment.

In brief:

- Appreciate instead of blaming,
- Apologize for one’s own problem /fault
- Answer to any question raised.

4.8 Development of Strategies for Retaining Challenging Customers

Customer retention refers to a company’s ability to keep its customers over time, which in turn means they continue to buy products and services. In marketing, customer retention is the process of engaging existing customers to continue buying products or services from a business. Customer retention is deeply held commitment to using a preferred product or service consistently in the future, despite situational influences and marketing

efforts having the potential to cause switching behaviour. In other words, customer retention means to maintain existing customers. This happens if there exists a positive relationship between the company and the customer.

Customer retention is the activity that a selling organization undertakes in order to reduce customer defections. Successful customer retention starts with the first contact an organization has with a customer and continues throughout the entire lifetime of a relationship. A company's ability to attract and retain new customers, is not only related to its product or services, but strongly related to the way it services its existing customers and the reputation it creates within and across the marketplace. Customer retention is more than giving the customer what they expect, it's about exceeding their expectations so that they become loyal advocates for a brand. To retain customers over the long term, organizations must turn them into partners and proactively seek their input rather than waiting for and reacting to feedback provided after a problem has occurred

Customer satisfaction is a fundamental cornerstone of customer retention. An organisation develops a customer focus to be better able to satisfy its customer. Consequently, forward-looking organisation use customer satisfaction data to measure success. But measuring customer satisfaction alone is not enough. Customer satisfaction is the critical component in customer retention.

Importance of customer retention

Neglecting existing customers in pursuit of new ones is a common mistake. While customer acquisition is important for business growth, meeting the needs of the existing customer base can be just as critical. Businesses who implement a strong customer retention strategy will reap the benefits:

- Retained customers tend to buy other services from same company
- Retained customers are known to be less price/cost sensitive
- Positive word of mouth
- Repeat customers are more profitable
- You can save on marketing
- Customer retention can drive customer acquisition
- Retaining customers using insight
- The probability of selling to an existing customer is 60-70%
- The probability of selling to a new prospect is 5-20%
- Declined migration rates

It is more expensive to acquire a new customer than to retain an old one. The quantity of existing customers churns out along with newly acquired clients both affect retention numbers.

The negative signal to retention

- Increase in the number of complaints
- Decrease in the frequency of contacts
- Decrease in personal visits
- Decrease in enquiries
- Decrease in the volume of business
- Decrease in the number of active buyers
- Decrease in the extent of interaction
- Decrease in the flow of communication

Customer retention tactics

To retain customers one can use also the following tactics:

- Build trusting relationships
- Protect confidential information
- Tell customers the truth
- Provide full information (pros and cons)
- Be dependable, courteous, and considerate
- Be actively involved in community affairs
- Monitor the service delivery process
- Properly install products and train customers
- One should be there when needed the most
- Provide discretionary effort
- Welcome suggestions and complaints.

4.9 Learning Activities

As a C&A agent, one of your customers is unhappy with the services you have offered. This is due to various reasons including:

1. Delayed delivery of his container which arrived at the port a month ago
2. Lack of communication on the status of the cargo clearance process
3. Unfulfilled promises that were previously made by your organization before.

As a result, the customer has threatened to discontinue the relationship with your organization. In addition, the customer has threatened to sue your organization for lost business as a result to the delays. On the other hand, you are aware that the cargo clearance delay problem is not about your organization but is due to congestion at the Port.

Required:

1. The causes of the customer complaining and whether they are justified to do so
2. The process that you would take in handling the customer
3. The strategies you would use to ensure that you retain the customer and their business.

4.10 Self-Assessment Questions and Activities

1. What are the characteristics of a challenging customer?
2. What factors within the C&F sector would lead to the creation of a challenging customer?
3. Identify strategies to manage challenging customers segregated as:
 - a. Institutional strategies
 - b. Employee based strategies

4.11 References

- a) Wellington, P. (2010). Effective Customer Care: Understand Needs, Improve Service, Build Relationships. Kogan Page. United Kingdom
- b) Shep Hyken (2020). The cult of the customer. Amazon book Clubs
- c) Harris, K. E. (2013). Customer Service: A Practical Approach, 6th Edition. Pearson Higher Education

5.0 DEALING WITH CUSTOMERS COMPLAINTS

5.1 Specific Learning Outcomes

At the end of this topic the trainee should be able:

- i. Identify the types of customer complaints
- ii. Identify the sources / causes of complaints
- iii. Develop strategies for preventing complaints
- iv. Explain how to handle customer complaints
- v. Explain the challenges in managing customer complaints.

5.2 Types of Customer Complaints

A customer complaint is an expression of dissatisfaction made to an organization, related to its products or services, or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected.

There are various types of customer complaints such as:

- Long wait on hold
- Unavailable or out of stock product
- Repeating the customer's problem
- Uninterested service rep
- Poor product or service
- No first call resolution
- Lack of follow up
- New product or feature request wrong information
- Poor customer service attitude
- Overpricing
- Lack of adequate information
- Product/service delays
- Unresponsiveness of service providers

5.3 Sources of Customers Complaints

- When customer expectations have not been met
- When customers want to release their anger
- When customers want the services improved
- Because of concern for others who also use the service

Generally, 9% to 37% of unhappy customers make complaints to the firms. The rest never bother to complain. Some of the unhappy customers do not complain as they think it is not worth the time or effort. They further think that no one would be concerned about their problem or solve it. They do

not know where to go or what to do. Each happy customer will tell at least six other people

5.4 Causes of Customer Complaints

Several reasons can be attributed to be the causes of customer complaints. Generally, the causes can be categorized as:

1. Employee based causes
2. Organization based causes
3. Customer based causes
4. Other customer's behaviours
5. Environmental based factors

Whereas some of the factors are under direct control of the organization, others can be influenced by the organization being more customer focused. Some of the controllable factors include:

- Not keeping promises
- Poor customer service
- Rude staff
- Not listening to customers
- Hidden information and costs
- Low quality of products or services
- Keeping an issue unresolved
- Inaccessibility
- Not listening to customers' concerns.
- Not taking customer concerns or complaints seriously.
- Doing nothing about service failures
- Not realizing the urgency of resolving a complaint or service failure as quickly as possible.
- Resolving the specific guest complaint, but not taking any measures to ensure it will not happen again.

5.5 Preventing Customer Complaints

There are several strategies that service employees and their organizations can do to help prevent customer complaints as indicated below:

- **Promise less deliver more.** (Under-promise, over-delivery). To improve customer experience, just do not over-promise.
- **Act on customer complaints,** find the root cause of the problem and take long term corrective action. Take action on complaints and ensure that similar complaints are not repeated.
- In addition to acting on customer

complaints, make sure that you have a mechanism in place to track **them**.

- **Make it right the first time.** If you are producing something and supplying to your customers, **make sure that no defective item or piece leaves your facility.**
- **Be open and available to listen to your customers.** The customer is doing you a favour by complaining and providing you with the feedback. If you do not want to hear, the customer will leave you and move to your competitor.
- **Respond to customer complaints** and respond fast.
- **Reward customers for complaining.** The more you listen to your customers, the more you act on your complaints, you will reduce the number of complaints in the long run.

5.6 Handling Customer Complaints

Handling customer complaints refers to welcoming complaints and treating them as opportunities to learn what customers really want and think. This means one can deal with the complaint effectively so as to retain customers and encourage their loyalty. The first step is to know regular sources of complaints. Then an organization can strategize on how to reduce or pre-empt the complaints from the regular sources. Such would prepare the organization to handle the common complaints before they occur.

that can be summarized as:

When a customer complains, we should be able to resolve the issues by following the below actions:

- Thank the customer for sharing this valuable information with you.
- Explain why you appreciate the complaint.
- Apologize to the customer about the incident and any inconvenience it may have caused.
- Promise to do something about the problem immediately.
- Ask the customer for all the essential information about the incident, so you can more effectively try to resolve it.
- Correct the mistake promptly.
- Check customer satisfaction.
- Ensure that appropriate action will be taken to prevent this incident from happening again in the future.

Methods for handling complaints

- **Recording** – listen to or write down complaints to provide reference when planning action,
- **Questioning** – find out details of the situation by asking appropriate questions to give a complete picture,
- **Resolving** – Propose and agree on a solution that is acceptable to the customer,
- **Implementing** – carry out an action plan to rectify the situation and agree on standards and schedule,
- **Following-up** – ensure that the complaint has been resolved to the customer's full satisfaction.

5.7 Challenges of Handling Customer's Complaints

- **Lack of standard procedure.** Consumer complaints come from different sources, such as e-mail, phone, fax, and letters, or via the corporate Web site. A complaint may be reported by sales representatives and other employees who interact with the public. Complaints are often addressed by different people within an organization. Without a standard policy and a formal mechanism for gathering and processing data from different sources, complaints may languish in someone's "in" box or voice mail. Worse, complaints may get lost.
- **Lack of capability to escalate to adverse event.** Complaints that are gathered and stored in paper files are easier to misplace or overlook. The information captured may be insufficient for the purpose of reporting to the management. Escalating a complaint to adverse event would require extra effort on the part of the employees who initially process complaints. All of these can result in delayed and ineffective complaint resolution.
- **Inadequate documentation.** Without a formal record-keeping system and an effective tool for capturing data from complaints, documentation may be inadequate for the purpose of compliance, or in responding to a product liability lawsuit. Poor documentation of steps taken by management to resolve the complaint could serve as ammunition for the opposing party in case of litigation.

- **Lack of customer access.** A customer may have to talk to different departments before reaching the person with the appropriate authority to act on a complaint. This is frustrating to customers, whose information may help prevent future complaints.
- **Lack of management Strategy.** Without the ability to track complaints and monitor resolutions, it is practically impossible for a company to formulate an effective strategy for future complaint resolution. Managers who are unable to see the big picture are not equipped to fully understand customer concerns and prevent the issues that led to the complaints.
- **Failure to meet explicit or implicit customer requests such as** inability to provide what customers ask for, inability to respect and grant special requests, inability to respect special needs, inability to respect special preferences, in case of dealing with customer errors or not having an answer to the customer's queries
- **Failures Caused by Employee Actions and Inactions such as** intentional or unintentional acts, the level of attention, any unusual action, cultural norms or adverse conditions. Failing to understand what customers want. Customers can have a hard time explaining what they want. They may not know the technical jargon to tell exactly what the problem is.

5.8 Learning Activities

As a C&A agent, one of your customers is unhappy with the services you have offered. This is due to various reasons including:

1. Delayed delivery of his container which arrived at the port a month ago
2. Lack of communication on the status of the cargo clearance process
3. Unfulfilled promises that were previously made by your organization before.

As a result, the customer has threatened to discontinue the relationship with your organization. In addition, the customer has threatened to sue your organization for lost business as a result to the delays. On the other hand, you are aware that the cargo clearance delay problem is not about your organization but is due to congestion at the Port.

Required:

1. What you should have done to ensure that the customer does not complain
2. The process that you would take in handling the customer complaints to the satisfaction of the customer
3. The strategies you would use to manage customer complaints.

5.9 Self-Assessment Questions and Activities

1. What are the different types of customer complaints that are prevalent in your own sector?
2. What are the sources and causes of the customer complaints?
3. What process would you undertake to prevent customer complaints?
4. Discuss the strategies that you would adopt to handle customer complaints.

5.10 References

- a) Wellington, P. (2010). Effective Customer Care: Understand Needs, Improve Service, Build Relationships. Kogan Page. United Kingdom
- b) Kehoe, D. (2011). Effective Communication Skills. The Great Courses
- c) Locker, K. and Kaczmarek, S. (2013). Business Communication: Building Critical Skills, 6th Edition. McGraw Hill Education
- d) Floyd, K. and Cardon, P. (2020). Business and Professional Communication, 1st Edition. McGraw Hill Education
- e) Shep Hyken (2020). The cult of the customer. Amazon book Clubs
- f) Harris, K. E. (2013). Customer Service: A Practical Approach, 6th Edition. Pearson Higher Education

6.0 CUSTOMERS SATISFACTION

6.1 Specific Learning Outcomes

At the end of this topic the trainee should be able:

- i. Define the scope of customer satisfaction
- ii. Explain the drivers of customer satisfaction and dissatisfaction
- iii. Explain strategies to manage customer dissatisfaction
- iv. Explain how to create customer loyalty
- v. Explain the methods of measuring customer satisfaction.

6.2 Scope of Customer Satisfaction

Customer satisfaction is an overall customer attitude towards a service provider, or an emotional reaction to the difference between what customers anticipate and what they receive, regarding the fulfilment of some need, goal or desire. Customer focus is part of a process that leads to continual improvements in organization that, in turn, result in customer satisfaction.

Customer satisfaction is the state of mind that customers have about a company when their expectations have been met or exceeded over the lifetime of the product or service. The achievement of customer satisfaction leads to company loyalty and product repurchase.

Customer satisfaction is a measure of how people feel when interacting with the brand or organization. It can be influenced by any number of factors, such as:

- Perceived product quality,
- Perceived product value convenience,
- Customer expectations,
- Communication,
- Complaint handling.

6.3 General Characteristics of Customer Satisfaction

General characteristics involve features or qualities related to customer satisfaction serving to identify this phenomenon among other customer relationship management propositions.

- Customer satisfaction is a highly variable personal assessment that is greatly influenced by individual expectations based on his/her own information, expectations, direct contact and interaction, and circumstances (time, location and environment).

- Customer satisfaction involves the sum of personal (product and service) experiences driven by its antecedents.
- Customer satisfaction is most often related to purchase, loyalty and retention behaviour with an effect on an organization's profitability.
 - A totally satisfied customer contributes 2.6 times as much revenue to a company as a somewhat satisfied customer.
 - A totally satisfied customer contributes 17 times as much revenue as a somewhat dissatisfied customer.
 - A totally dissatisfied customer decreases revenue at a rate equal to 1.8 times what a totally satisfied customer contributes to a business.
- Customer satisfaction characterizes itself by a high degree of word-of-mouth where satisfied customers are most likely to share their experiences with other people to the order of perhaps five or six people. Equally well, dissatisfied customers are more likely to tell another ten people of their unfortunate experience.

In case of customer satisfaction, customer service is essential for survival of business and there is benefit from giving customers efficient service. Note that there are also several factors that contribute to customer satisfaction but some factors are considered essential to customer care:

- Type and quality of response provided
- Commitment to delivery promises
- Customer service provided
- Customer complaint management.
- Cost, quality, performance and efficiency of the product.
- The reliability and efficiency in fulfilling orders
- The level and quality of after-sales service
- The professionalism, efficiency and friendliness of employees
- How well one keeps customers informed

6.4 Components of Customer Satisfaction

Customers are satisfied whenever they consistently receive:

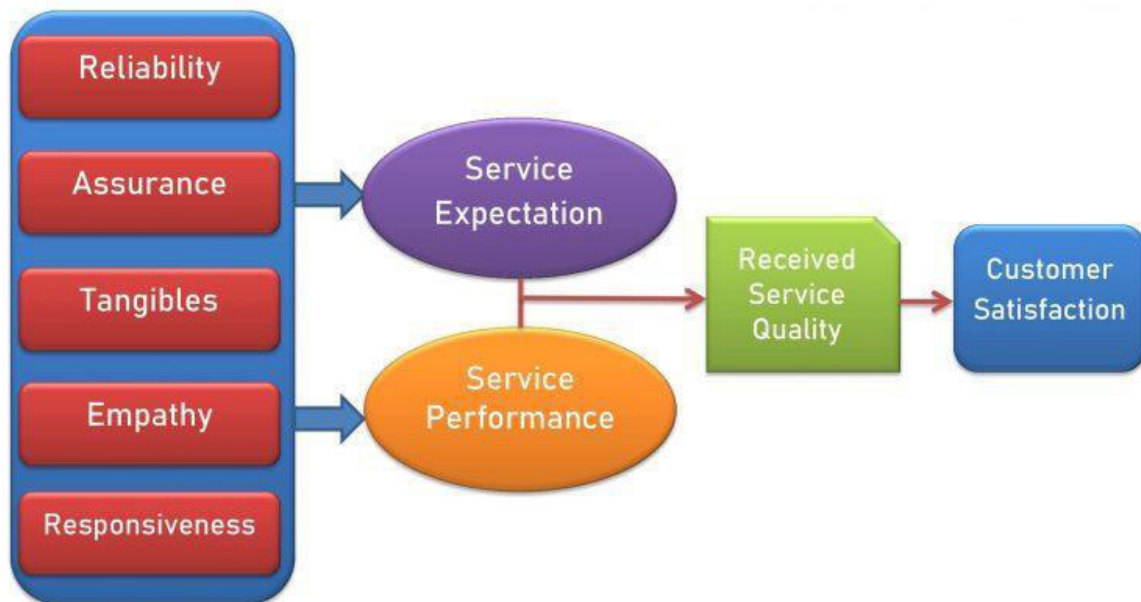
1. A perfect product
2. Delivered by a caring, friendly person
3. In a timely fashion
4. With the support of an effective problem resolution process.

6.5 Customer Satisfaction Process

Researchers in customer satisfaction have linked the level of service quality to satisfaction. The researchers have found five dimensions' customers use when evaluating service quality and which determines their satisfaction level. In essence if service providers get these dimensions right, customers be happy and loyalty. The five dimensions of service quality are:

1. Reliability
2. Assurance
3. Tangibles
4. Empathy
5. Responsiveness.

The Five Key Service Dimensions of the Servqual model



1. Reliability

Reliability is an essential dimension of service quality that confirms the capacity to provide services exactly, on time, and credibly. Consistency is a critical factor for providing assistance or product to the customers on time with error-free conditions. You have to respect the commitment to give your service on time accurately as you promised to them. It means the organization delivers its promises without fail and consistently in a reliable manner. For example, the organization is sending mail to the customers every day on time.

2. Assurance

Assurance means creating trust and credibility for the customers. It depends on the employee's technical knowledge, practical communication skills, courtesy, credibility, competency, and professionalism. Therefore, these skills will help the organization to gain customer trust and credibility. The assurance dimension combines four factors; for example, competence, courtesy, credibility, and security.

- Firstly, competence means having the requisite skills and knowledge.
- Courtesy refers to the politeness, respect, consideration, and friendliness of contact staff.

- Credibility is the trustworthiness, believability, and honesty of the staff.
- Finally, security means freedom from danger, risk, or doubt.

Assurance is seen when the employee is showing respect and being polite to the customers while servicing them.

3. Tangibles

Tangibles represent the physical facilities, employees' appearance, equipment, machines, and information system. It focuses on facilitating materials and physical facilities. For example, the organization maintains a clean environment, and staff follows the appropriate dress code.

4. Empathy

Empathy means focusing on the customers attentively to ensure caring and distinguishing service. It is an essential attitude in some countries in the world to serve every customer individually. It is also a great process to satisfy customers psychologically and increase confidence, trust, and loyalty. The company might lose its customers due to the lack of empathy inside the employees; therefore, they need to ensure compassion.

Additionally, empathy is a combination of the following factors:

- Access (physical and social) – (For example, approachable and ease of contact).
- Communication – (For instance, keeping customers informed in a language they understand and listening to them).
- Understanding the customer – (For example, making an effort to get to know customers and their specific needs).

5. Responsiveness

Responsiveness refers to the eagerness to assist customers with respect and provide quick service to satisfy. This dimension focuses on the two essential factors, including willingness and promptness. So, you have to ensure that the customer is getting their service quickly without delay and make the customers feel that you are very interested in helping them. Responsiveness will be defined by the length of time when customers wait for the answer or solution. In short, responsiveness solves the customer problem as soon as possible by providing expecting information or replacing products.

6.6 Drivers of Customer Satisfaction and Dissatisfaction

The main drivers of customer satisfaction are:

- **Communication:**

This is the most prominent driver of customer satisfaction. People communicating on the behalf of the company should be polite and have knowledge about the product, service as well as the issue. They must cover each and every single detail even if it seems to be small as it might be quite big for the customer. The company should focus on creating great relationships with customers by cordially discussing and setting right expectations prior to every stage of the process while maintaining clear communication at every step.

- **Turn Around Time (TAT):**

TAT is one of the crucial aspects that define the level of customer satisfaction in terms of response time. This is time taken for the consumer to get a response from the concerned qualified person who will put efforts to resolve an issue. Status updates which involve the process of keeping the consumer informed about the progress of their unresolved and unsettled issue should be provided in order to ensure the customer does not feel neglected.

- **Trust:**

A satisfied client, who trusts the company, tends to recommend the products or services of the company to others as well. In the absence of the much-needed trust factor, there will be no scope for sustaining a positive rapport with clients.

- **Well-organized and professional attitude:**

Every organization needs to address client questions politely. Obviously, any individual may not have all the answers, but then, he/she can get in touch with his/her team to source the answer from the group of professionals.

- **Problem Resolution:**

The moment a company resolves issues of a worried client, the team ends up turning the negatives into positives first-hand. The client needs to be kept informed at every step of problem resolving. Every company has a different set of solutions to the challenges involved with customer's issues.

Customers explore their relationship with a company in terms of responsiveness, ideas and demeanour.

Customer dissatisfaction

This is when the suppliers are unable to entertain customers or their business strategies fail to build a good relationship with customers. Customers' dissatisfaction is brought about by many reasons:

- Customers become dissatisfied when their expectations are not met by the current performance of a product or service. Consequently, they become disappointed and engage in complaining behaviour.
- Dissatisfaction can be interpreted as the unpleasant experience that one gets from using a product or service after usage. Before purchase, every consumer has an expected outcome. When consumers are dissatisfied with a product or service, they become very emotional and they exhibit all kinds of behaviours such as regrets and feelings of disappointment.
- When dissatisfied, consumers might stop repurchase, spread negative word of mouth, complain and even return products

Drivers to customer dissatisfaction

Dissatisfaction results when one of the products, or a service provided, fails to meet customer's expectations. This failure can take many different forms, including:

- Failure in terms of quality
- Failure to deliver what was promised
- Failure in terms of performance or usability of a product
- Failure of the product or service in meeting customers' needs and expectation
- Failure in terms of price-to-quality ratio
- Failure in regards to customer service
- Failure in terms of credibility and trustworthiness

Feedback is important for a number of reasons from a dissatisfied customer:

- For improvement
- For changing the way things are normally done
- For knowing the effectiveness of our programs
- For decision making.

6.7 Creating Customer Loyalty

High customer loyalty is one of the most important indicators of good performing companies. Since customer satisfaction is directly linked to customer loyalty it is evident that measuring customer satisfaction without taking customer loyalty into account and vice versa would be misleading. Organizations attempt to consistently exceed customer expectation for the purpose of creating and maintaining customer loyalty. Customer loyalty is all about attracting the right customer, getting them to buy, buy often, buy in higher quantities and bring you even more customer. Companies work hard to build customer loyalty. Loyal customer is a customer forever.

Customer loyalty matters because selling more to existing customers is easier, and cheaper, than finding and selling to new ones. Loyal customers tend to buy more, more regularly. And they will frequently recommend the business to others.

- There is need to make customer care a key part of business strategy. Effective customer relationship management means organizing the entire business to focus on the needs of customers. This ensures the business listing top key accounts, and give these customers the best service. Making sure customer-facing employees have access to all the information they need to serve customers efficiently. Giving them the power to make certain decision independently. Therefore, the drawing up a set of procedures and standards to be used wherever customers have direct contact with business. For example: set standards for speed and courtesy when answering phone calls.
- Learning as much about the different customer segments as you can. Finding out what, when and how customers buy, and use this information to improve the services offered. The use of the database to record information about the customer's buying habits so as to tailor the offer and service. For example, a travel agent could send customers information about their favourite resorts at the time they normally book holidays. Finding out more about the customers by generating opportunities for feedback.
- Developing a brand around the company, products or services. If customers can

identify with the company and feel good about it, they will be more likely to remain loyal. Create a consistent, clearly defined identity for the business or product. Advertise to build brand awareness of the product or service. The strength of the brand should always be accompanied by consistently high levels of customer service.

- Design and deliver a 'customer experience' to address how to handle customers when they contact the business, whether by phone, letter or email. Addressing customers by their first name or use a more formal form of address. Follow up queries with a 'thank you' letter, email or phone call.

6.8 Customer Satisfaction Measurement

This is a measure of how products and/or services supplied by a company meet or surpass customer expectation. It is also a key performance indicator (measure) within business and indicates the organizational success in customer management. It includes:

- Overall customer satisfaction with the organization and its products / services
- Satisfaction with value for money
- Desire to recommend the product or service to others
- Loyalty in terms of repeat purchases
- It is finding out where a company is doing well and where it needs to improve
- Get customer opinions on service or products before, during and after launch
- Understand how organizational initiatives are perceived by customers
- See where the organisation stands with customers compared to competitors
- Demonstrate a commitment to customer satisfaction by listening.

The customer satisfaction is measured because:

- Delighted customers or clients are profitable on every company business.
- It can be used as a basis of monitoring, evaluating and developing new products and process that contribute to company's performance management.
- Provides an indication of how successful the organization is at providing products and/or services to the marketplace.

Means of measuring customer satisfaction

- **Customer feedback after delivery of product or service:** Customer feedback after delivery of product or service is one of the simplest, fastest and the most effective method of measuring customer satisfaction. The customers should be immediately asked to evaluate the product or service and comment upon areas of satisfaction and dissatisfaction
- **Customer complaints and suggestions:** The organization must have a formalized system of recording all customer complaints and as well as the methods of their disposal. Customer complaints must be taken very positively as valuable inputs by the organization and should immediately trigger the improvement activities.
- **Customer Surveys:** Steps in conducting customer surveys:
 - **Identify customers' requirements under various segments:** It is extremely important to know the requirement of customers before designing a questionnaire or survey. This will be useful in setting the right questions and receive the right answers. This will enable the researcher to get customers issues.
 - **Determine survey methodology:** This requires the organization to answer the following questions such as how many customers to survey? Whom to survey? How to survey? When to survey? Who should conduct the survey?
 - **Develop survey / interview questions:** Develop survey questions. The organization must develop a pre-determined set of questions which must take into account all the requirements of the customers. The questionnaire must give an impression to the customers that are thorough and organized when

gathering customer satisfaction information. The presentation and packaging of the questionnaire should not be shoddy. A good appearance can suggest evidence of organization's high commitment to customer satisfaction management process and vice versa.

- **Conduct survey / Interview customers:** Customers appreciate if asked for feedback and have come to expect in many industries. Whichever method is chosen to gather the information; it must be done in a way which shows the customers that sincerely desire the feedback and are serious in using their input for improving the product / service. It is equally important to acknowledge the participation of the customers in the survey. Once the survey is over and their valuable inputs have been considered, they must be informed about it as well. This has a great impact on customer loyalty and retention. Then the dissemination of the findings through a report on customer satisfaction management which includes: summary of findings, key trends, planned follow up measures and methodology of improvement plan.

6.9 Learning Activities

You have been appointed the Customer Service Officer for Jambo Global Logistics Ltd. The organization has different types of logistics customers based in different parts of East Africa who are involved with export and imports of cargo. You have identified various issues in the organization including:

- A lack of a clear customer management policy
- A lack of customer engagement strategies
- A lack of customer communication plan
- A lack of a customer database.

While you realize you will have to establish systems, the first thing to focus on understanding the feelings of your customers and level of satisfaction or dissatisfaction.

Required:

1. Discuss the various methods that you would use to measure customer satisfaction.
2. Based on the dimensions of service quality, undertake a survey of the satisfaction level of your customers (at least 15 customers). You can download from the internet the SERVQUAL tool for measuring customer service quality and adopt the questions to your organization.
3. Analyze the data collected and determine the level of customer satisfaction.
4. What areas were rated high as well as low in customer satisfaction?
5. What recommendations would you give to management of your organization to improve of the levels of customer satisfaction?

6.10 Self-Assessment Questions and Activities

1. What is customer satisfaction? What are the elements of satisfaction?
2. Explain the drivers of customer satisfaction and dissatisfaction in the clearing and forwarding sector.
3. How would you manage a dissatisfied customer in the C&F sector?
4. Explain who a loyal customer is. How can you create customer loyalty in your organizations?
5. Discuss the different methods of measuring customer satisfaction.

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7.0 EFFECTIVE COMMUNICATION

7.1 Specific Learning Outcomes

At the end of this topic the trainee should be able:

- i. Explain the meaning of communication
- ii. Describe the communication process
- iii. Explain the principles of effective communication
- iv. Analyse the different types of audiences, their needs, and characteristics
- v. Identify the appropriate channels of communication.

7.2 Overview of Communication

Communication is the process of sending and receiving messages, and it occurs whenever we express ourselves in a manner that is clearly understood. Communication is a process of sharing/exchanging ideas, messages, information, feelings, or emotions between two parties (individuals or organisations) so that an understanding is reached by the two parties. Communication is also the process in which two individuals, two groups or an individual and group exchange or share information. It is the only way people get to know the ideas that are held by other people, and the only way that meaning could be created. Customs Clearing and Forwarding Agents do deal with importers, exporters, customs staff, business community and other stakeholders each of which need to be communicated to effectively.

Communication is mainly a human behaviour, but animals also communicate. The main difference is that animal communication is through sounds that could be interpreted by other similar animals, but these sounds are a result of instinct; human beings design and attach meaning to the sounds they produce, and the same sound could be used in different situations to imply different meanings. John (2008) expressed that in a conversational situation, there are actually eight kinds of communication going on all at once:

- What I mean to say
- What I actually say
- What the other person hears
- What the other person thought they heard
- What the other person means to say
- What the other person actually says
- What I hear the person say
- What I think I heard the other person say

Since Customs Clearing and Forwarding Agents deal with people all the time and are the intermediaries between revenue authorities and business community, it's important for them to always ensure that they have communicated effectively as a way of strengthening good relationship between traders and revenue authorities. Therefore, Communication is the process of passing information, idea or even emotions from one person to another with an aim of getting feedback. It can as well be defined as a transactional process of exchanging messages and negotiating meaning to establish and maintain relationships.

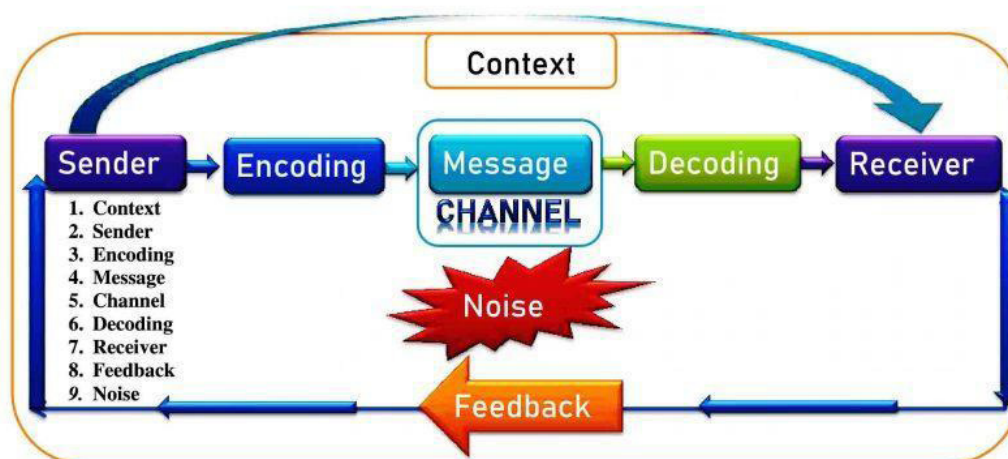
7.3 The Communication Process

The communication process is as an activity, an exchange or set of behaviour in which individuals participate. It is therefore not discrete, static, or solitary. It exists in time/context. In other words, it could also be said to be a system consisting of five major interdependent components namely sender, message, medium/channel, receiver, and feedback. Communication process is two-way since it must involve two parties and the success of the message can only be measured by the effect it has upon the receiver and the nature of feedback relayed.

In the process of communicating, the person who initiates (starts) the communication is the sender, while the person who receives the information is the receiver. The sender must decide how this information has to be sent – either as written, spoken/oral or non-verbal forms. The various ways that are used in sending information can be referred to as channels or media of communication. After the receiver has got the message, he/she has to show that it has been received and therefore 'react' by sending information back to the receiver. This information that is sent back by the receiver to the sender is called feedback. Depending on the feedback from the receiver, the sender is able to judge the success of the information that was originally sent, and as a result this individual may decide to send new or extra information, repeat, clarify etc. This goes on and on, as information continuously flows to and from sender – receiver – sender – receiver etc. This is the process that gives rise to the concept of "the communication cycle" represented by the diagram below.

In the figure below, which illustrates the communication cycle, the sender side could also

be referred to as the 'source' while the receiver side could be referred to as the 'destination'. The arrows represent the message or information. The context refers to all the factors that are both within and outside the sender and receiver – factors that affect the success or failure of the communication process.



Sender/Source

This is the first stage which begins with an individual (source) who is motivated to communicate. The motivation is as a result of a particular need, demand or requirement that is as a result of some circumstances. This is the person who initiates the communication process by sending signals after getting an idea or ideas in his/her mind. This individual then conceives ideas in mind and determines the purpose for which he should share these ideas with the receiver. For instance, the purpose could be to inform, to initiate action or to influence. After determining the purpose, the sender then moves on to the next stage.

Message

Refers to the actual contents to be relayed and it consists of a combination of signals which are understandable to the parties involved in the communication process. The content may be factual information, or it may be the ideas, thoughts and feelings expressed by the participants involved. Some messages may have a clear and obvious content, while others are hidden, or not so obvious.

Medium/Channel

This refers to the physical means through which the message is conveyed/relayed from the sender to the receiver. This stage involves the actual transfer of the information from the sender to the receiver and it requires the sender to choose a

channel for transmitting the message. The channel selected should be suitable for the message and the purpose. It should, therefore, be able to relay the message without distortion or loss of information. In selecting the medium of communication, factors like the cost, urgency of the message, confidentiality of the message, geographical distance, nature of the message and the psychological state of the receiver should be considered. For instance, it may involve print media including newspapers, magazines, letters, memos; electronic media including radio, TV, e-mail; word of mouth or non-verbal signals such as gestures.

Context

This refers to the parts of a written or spoken statement that precede or follow a specific word, usually influencing its meaning or effect.

Receiver or Respondent

This is the person to whom the message is sent and is expected to react to it by either writing back, acting in a certain way or desisting from doing something. The respondent is not a mere receiver of the message. He/she is an active participant in the communication process in that he/she intentionally and consciously pays attention to the message in order to understand and interpret it.

Feedback

This is the receiver's reaction to the message. In other words, this is the response received by the sender from the respondent in reply to the original message. The feedback is not limited to words, but it may include actions, words, restraint, compliance, and silence among others. Feedback is important because it lets the participants know whether they have ascribed the same meaning to the message or not. It also gives communication its dynamic nature by making it an interactive (two way) rather than linear (one way) process. Without feedback, the sender cannot confirm that the receiver has interpreted the message correctly. Feedback is a key component in the communication process because it allows the sender to evaluate the effectiveness of the message and take corrective action to clarify a misunderstood message.

Noise or Barrier

This is any kind of interruption that distracts or distorts the message, thus making it difficult for the message to be understood or interpreted correctly. Noise may also hinder smooth flow of information from the sender to the receiver and may consist of several factors which may be physical (technical, situational), emotional (psychological) or semantic.

Encoding

This refers to the process of arranging or organising ideas to form a meaningful message which is understandable to the receiver. In this stage the sender converts his thoughts or ideas into a message that can be relayed, considers the audience, and then chooses an appropriate media to relay the message. The media should be suitable to both the receiver and the message in that it should be the kind of media which the receiver is familiar with and that which can allow the message to be conveyed without any problems. The encoding process may take the form of writing, drawing or even making of gestures, depending on the media selected.

Decoding

Refers to the process of interpreting a message. This involves assigning of meaning to the symbols/signals, for instance words and gestures used. The receiver interprets the message by assigning meaning to the symbols used. This could be through trying to understand the meaning of a gesture, or words used, hence attaining understanding of the message.

Distortion

This is the alteration of a message when encoding, transmitting, or decoding in such a way that the meaning is changed thus leading to misunderstanding between the parties involved

7.4 Objectives of Communication

Communication is essential for any establishment to survive, thrive and attain its objectives. It is, therefore, imperative that each individual should strive to achieve good communication skills since such skills are vital in relationships, work-places and organisations.

The primary objective of communication in management is to convey information, instructions, policies, procedures, decisions among others so the listener will hear, read, understand what is said, agree and accept the message, and react as intended by the manager or sender of communication.

Businesses have many reasons for communicating a message. It may intend for the message to affect visibility, product positioning, issue awareness or employee behavior, or it may be designed to improve the company's stock value, investment potential or investor perception. These general communications objectives are often broken down into smaller goals or plans. If your company seeks to bring awareness to a new product, for instance, it can do this by advertising in traditional media, reconnecting with clients in the pipeline or by utilizing new media. Each of these options brings with it additional objectives and action steps, with the accompanying need to measure variables and their outputs in order to gauge the effectiveness of that particular communications strategy.

The purpose of communication is better understood in the perspective of an organisation where it serves as a tool of management. This is evident in that, favourable dealings with outside company contacts and effective relationships within an organisation depend upon communication. Without timely communication of accurate information, management cannot effectively conduct its functions of organising, directing, controlling, and coordinating the activities of the enterprise, nor can it maintain its external relationships. Communication is, therefore, essential because:

- It serves as a means of giving/receiving and exchanging ideas between the management

and the employees. This happens when the seniors relay information to the juniors and in turn seek for their views regarding certain matters.

- It serves to give directives, instructions, warnings, and guidelines to the juniors. This may involve the seniors issuing new policies.
- It enables the juniors to forward their complaints to the seniors.
- It helps enhance coordination of activities in the organisation in that through communication the management ensures that all the employees pursue the same corporate objectives.
- It provides positive impact upon employees' motivation and performance especially when the seniors give the employees feedback about their performance.
- It gathers data and information in order to solve problems. Successful decision making in organisations requires that managers should have access to as much information as possible. Hence the great need to good communication.
- Communication allows people to be involved with others, to form and maintain relationships.

7.5 Principles of Effective Communication

- **The principle of clarity:** A message should be clear, free from distortion and noise. A vague message is not only a barrier to creating effective communication but also causes a delay in the communication process and this is one of the most important principles of effective communication.
- **Principles of brevity:** A communication should be brief i.e., just necessary, and sufficient. Repetition and over-explanation are likely to destroy the actual meaning and importance of the message. Moreover, the reader may feel disturbed by receiving a long message.
- **The principle of simplicity:** Message should be given using simple and familiar words. Vague and technical words should be avoided. Simple words are easy to understand and help the receiver to respond quickly.

- **The principle of timeliness:** Communication is meant to serve a specific purpose. If communication is made in time, communication becomes effective. If it is made untimely then it may become useless.
- **Principle of understanding the receiver (Empathy):** understanding is the main aim of any communication. The communication must create proper understanding in the mind of the receiver. Thus, according to Killian, "communication with an awareness of the total physical and human setting in which the information will be received. Picture the place of work; determine the receptivity and understanding levels of the receiver(s); be aware of social climate and customs; question the information's timeliness. Ask what, when and in what manner you would like to be communicated with if you were in the similar environment and position.
- **The principle of compass:** The communication net should cover the whole organization. The concerned people must know "What exactly they need and "When they need it. And effective communication will serve such.
- **The principle of integrity:** Communication should consider the level of people, principles & objectives of an organization to create a network or chain. Such a network will provide a better field of internal and external communication.
- **The principle of strategic use of informal organization:** The most effective communication results when managers use the informal organization as complementary to formal communication, e.g. arranging sports, cultural functions & dinners for the employees can be an informal organization.
- **The principle of feedback:** To provide a message to the receiver is not a complete communication. The response from a receiver is essential. Therefore, feedback is required for communication to be effective.
- **The principle of alternativeness:** Effective listening is important in communication otherwise communication will be ineffective and useless.

- **The principle of language control:** The sender should be careful in selecting proper words and forming sentences, words and structured sentences are the keys to making effective communication.

7.6 Types of Audiences, Needs and Characteristics

Audience is an individual or collective group of people who read or consume any information presented.

Types of audience

- **Active audience:** An active audience is one that actively engages with a presentation or messages sent. They do not simply accept every message or information. They develop their own interpretation of every information presented in any forum based on their life experiences, education, family, and cultural influences.
- **Passive audience:** A passive audience is an audience that merely observes an event rather than actively responding to it. A passive audience does not actively engage with information. A passive audience is one that does not question the message sent/presented. They simply accept the message as it is presented.

Audience Analysis

Audience analysis entails identifying and understanding the audience and adapting your speech to their interests, level of understanding, beliefs, and attitudes. Taking an audience-centered approach is important because if the presentation is created and delivered properly, it will improve the speaker's effectiveness.

Importance of Audience Analysis

The preparation of a presentation is a hectic process, let alone the process of audience analysis. And often people left the analysis thinking that it would be managed on stage. But in most cases, it cannot be managed because the audience is the one dynamic quotient of a presentation we often ignore. So, here are some of the importance of proper audience analysis.

- **Better communication –** Once one knows the audience properly, it will be easy to communicate in a better way. This makes one tailor presentations to the group and make them more attractive.

- **Better presentation –** In case one has a proper audience analysis, it would be more helpful while preparing presentations for the little flaws, and the pros of preparing a presentation would be more prominent.
- **The audience understands better –** The audience will understand simultaneously as the presentation is going on hence meeting audience expectation. One can make the presentation information more convincing and understandable to the clients.

7.7 Different Types of Communication

1. Verbal communication

Verbal communication includes rate, volume, pitch as well as articulation and pronunciation.

Verbal communication also includes sign language, sounds in addition to the above and written forms of communication. Verbal communication shows how communicators can use fewer words to greater effect. Verbal communication helps in expressing thoughts, emotions, and sentiments. A phone conversation, chat with a friend, an announcement made, or a speech delivered are all verbal forms of communication. For most of us, it comes with ease. As children, we learned verbal communication through the sounds around us. We soon develop and start understanding the language which helps us to communicate verbally as we grow older.

2. Non-verbal communication

Non-verbal communication is a process of communication without using words or sounds. Non-verbal communication uses gestures, body language, facial expressions, eye contact, clothing, hairstyles, and every part of the body to communicate with the audience. Dances or a gesture made by a mother to a child, are the perfect examples of non-verbal communication.

Non-verbal communication incorporates any communication that does not involve the use of words: it is related to the ways we act and behave, which have the potential of sending messages to those looking at us.

Non-verbal messages can contradict or override verbal messages. When in doubt people tend to rely on non-verbal messages. Background, culture, physical conditions, communication, ability to influence how and when people use body language or non-verbal communication. Non-verbal language

involves the use of the following:

1. **Body language:** recognizing, understanding, and reacting appropriately to the body language of others as well as using positive body language allows you to communicate more effectively.
2. **Eye contact:** it has been said that eyes are the windows of the soul. Eye contact is very powerful. A person's eye contact can send meaningful clues to you. A person's lack of direct eye contact with you could send a variety of messages such as lack of interest, confidence or trust or honesty. Eye contacts accomplishes a number of purposes such as
 - Indicate the degree of attentiveness or interest
 - Help indicate and sustain intimate relationships
 - Influence attitude change and persuasion
 - Regulate interaction
 - Communicate emotions
 - Define power and status relationship
 - Assume a central role in the management of impression
3. **Posture:** basically, posture or stance involves the way you position your body. Various terms define posture for example formal, rigid, relaxed awkward, sensual, and defensive. By standing or sitting with an erect posture, walking confidently or assuming a relaxed, open posture you might appear to be attentive, confident, assertive, and ready to assist your customers.
4. **Facial expressions:** the face is capable of making many impressions. The face can display happiness, sadness, boredom, concern, dismay, and dozens of other emotions. By being aware of the power of facial expression and using positive facial expressions, Customs Clearing and Freight Forwarders can initiate and sustain relationships with both the revenue authorities and business community.
5. **Gestures:** the use of hands, head, arms, and shoulders to emphasize verbal messages adds colour, excitement, and enthusiasm to the communication process. Using physical movements naturally during a conversation with a customer may help make a point or result in added credibility.

Advantages

- i) As it is largely unconscious and as such it tends to be more genuine than the verbal part so that in case of doubt, the non-verbal communication is trusted more. It sometimes reveals more than words ever could.
- ii) It can be used for instant feedback, just as oral/face-to-face communication.
- iii) Adds interest to verbal delivery making it livelier and decreasing boredom.
- iv) It may be used to release extra energy, which would have otherwise made a presenter nervous.

Disadvantages

- i) It can contradict verbal communication and therefore confuse listeners.
- ii) Sometimes it is culture-dependent; this way it may lead to misinterpretation of the message.
- iii) For those who are disabled of sight, this method is useless.
- iv) When overused, it distracts and may turn an otherwise serious message into comedy and negatively affect the attention of the audience.
- v) It can be confused with mannerisms (personal habits that have nothing to do with the meaning of the message), so distracting the audience.

3. Written communication

Written communication is the process of communicating a message by creating a hard or a soft copy of the message. It has great significance in today's business world. It is an innovative activity of the mind. Effective written communication is essential for preparing worthy promotional materials for business development. Speech came before writing. But writing is more unique and formal than speech. Effective writing involves careful choice of words, their organization in correct order in sentences formation as well as cohesive composition of sentences. Also, writing is more valid and reliable than speech. But while speech is spontaneous, writing causes delay and takes time as feedback is not immediate.

Written communication has a number of advantages and these include;

1. Written communication helps in laying down apparent principles, policies, and rules for running of an organization.
2. It is a permanent means of communication. Thus, it is useful where record maintenance is required.
3. It assists in proper delegation of responsibilities. While in case of oral communication, it is impossible to fix and delegate responsibilities on the grounds of speech as it can be taken back by the speaker, or he may refuse to acknowledge.
4. Written communication is more precise and clearer.
5. Effective written communication develops and enhances an organization's image.
6. It provides ready records and references.
7. Legal defences can depend upon written communication as it provides valid records.

Despite the above advantages there are some disadvantages associated with written communication and these are;

1. Written communication does not save upon the costs. It costs huge in terms of stationery and the manpower employed in writing/typing and delivering letters.
2. Also, if the receivers of the written message are separated by distance and if they need to clear their doubts, the response is not spontaneous.
3. Written communication is time-consuming as the feedback is not immediate. The encoding and sending of messages take time.
4. Effective written communication requires great skills and competencies in language and vocabulary use. Poor writing skills and quality have a negative impact on organization's reputation.
5. Too much paper-work and e-mails burden is involved.

The following are suggested tips to help create a successful written communication.

1. Take a writing course
2. Know your audience - Knowing the audience is always important. If communicating to an audience that is not in your profession, you should not use any jargon that the audience will not understand.

3. Use active voice when possible - passive voice rarely
4. Keep your writing concise and well-organized
 - Introduce your topic
 - Talk about the topic
 - Summarize your topic
5. Use an appropriate style - First person, third person
6. Use lists - An easy way of to give a lot of detail and a way to show importance in a topic
7. Use short, easy-to-understand words
8. Avoid repeating the same word too often
9. Check your spelling - use spell checker
10. Check your grammar - use grammar checker
11. Check your work carefully

7.8 Forms of written communication

A) Reports

Reports are used to summarize actions regarding certain events or activities. During each phase of the system development life cycle, many reports are created to account for certain activities during a phase. Examples of these reports include performance and monitoring reports, system requirements document, system design specification, process report, work done and others.

B) Letters and Memos

In any business, you might use letters and memorandums to communicate with others. A letter contains the company's letterhead or return address, the date, the recipient's address, a subject line, salutation, message, closing and signature. A memo, by contrast, contains a date, subject line and a brief message but identifies the name of the sender and recipient without including addresses and is unsigned. Because of these differences, there are certain situations in which it is better to use a letter than a memo. A memo is brief and sticks to the facts. It is usually no more than a few paragraphs long and may be as short as a sentence or two. It provides instruction, information, or results.

A memo is not used to persuade the reader. If you wish to write an explanation or to convey reasons, arguments, or analysis to your reader, use a letter. A letter can be longer than a memo and, since you will be signing the letter, this makes it a proper forum for explaining your own analysis of a topic. For example, you might use a memo to inform your supervisor that sales were down by 10 percent in the

past month but use a letter to outline your analysis of the sales report and the reasons for the decrease. Since a letter is folded, sealed in an envelope and individually addressed, it is a more private form of communication than a memo. For this reason, a letter might be used to submit a resignation or complaint to someone in the same company. A memo is used when privacy within an office is not a major consideration. For example, a memo might provide instructions to several people within the office who are working on a common project. Because letters are more formal than memos, they are also used to communicate major announcements.

For example, if a business is announcing a merger, name change or new location, it might inform both its employees and its partners in business and other individuals outside of the company with a letter. Since the letter will contain the company's letterhead and contact information, it serves to further promote the company's image. Letters are used both internal and external but Memos are mostly used internally.

If you are writing to someone who is not an employee of your company, mail a letter rather than a memo. A letter includes the contact information the recipient may need to respond to you. The inclusion of an inside address, a salutation, closing and signature also makes a letter more formal and respectful for communicating with individuals outside of your company. A memo, on the other hand, does not include these elements and is better for communications within an office.

C) Electronic Communication

Electronic communication is a new system of communication especially in low developing nations where the use of technology is being considered as new aspect. The email and fax, social networks, text message, etc are different methods of electronically sending/delivering of messages. Only recently has the use of either electronic method been considered acceptable (and is still disputed by some) for delivering the formal business letter. Some questions still exist about if the electronic means is adequate for Legal things too. But since electronic communication can be manipulated to some stage, it requires more attention in use.

7.9 Channels of Communication

Communication channels refer to the lines along which communication flows and the physical means by which information is relayed within an organisation. These channels may be formal or informal. The flow of information in an organisation is better understood depending on the organisation structure and the information distribution in a hierarchical structure among different members of the organisation. An example of this is between managers, heads of departments and the employees.

Channels of communication are grouped into two categories namely formal and informal.

Formal communication

There are three formal channels identified. These include:

a) Downward communication:

Downward communication channel is where information flows from seniors to subordinates. An example is the managing director communicating with departmental heads, assistant managers, or supervisors. The content of messages relayed through this channel is in form of policies, decisions made and instructions.

The purpose/objectives of downward communication are to:

- Give specific directives about the job being entrusted to a subordinate.
- Explain organisational policies and procedures.
- Give the subordinates information about their jobs so that they understand the significance of their jobs in relation with the organisational goals.
- Point out problems that have been identified by the management.
- Inspire or motivate the employees for their performance.

The medium (methods) used to relay information in downward communication may include the following:

- Memos
- Letters
- Newsletters
- Circulars
- Notices
- Office manuals
- Meetings among others

b) Upward communication

This channel is used in passing information upwards from the bottom subordinates to the management. Contents of the message relayed may take the form of suggestions, complaints, and feedback. This channel is more consultative, and the methods used to communicate may include the following:

- Suggestion systems (suggestion boxes)
- Letters
- Routine reports
- Interviews
- Attitude surveys
- Open door policy
- Meetings among others

c) Horizontal communication

This type of communication takes place between departments, people of the same level in the management hierarchy of the organisation or individuals of different levels of hierarchy in different departments of the organisation. Horizontal communication may sometimes be referred to as lateral communication or diagonal communication. It is referred to as lateral unification when the exchange of information is between two people of the same level of hierarchy in an organisation. For instance, communication between two heads of department or two clerks in a department. On the other hand, it is referred to as diagonal communication when the exchange of information is between two individuals of different levels of hierarchy and who are from different departments. The methods of communication used in horizontal communication include:

- Periodical departmental meetings
- Letters
- Memos
- Reports among others

Informal channel of communication

The informal channel of communication is not officially sanctioned and is popularly referred to as grapevine. It runs in all directions without following the formal structure. The four categories of informal communication are:

- **Single strand:** This is where each one tells another.
- **Group or gossip chain:** This is where one tells all persons in his/her group.
- **Probability chain:** This is where each randomly tells a number of people.
- **Cluster chain:** This is when some tell selected others.

Grapevine satisfies the social needs of members, leads to more relaxed human relations, serves to fill the possible gaps in the formal communication and links even those people who do not fall in the official chain of command.

7.10 Selecting Channels of Communication

In order to ensure effective communications, it is of paramount importance to select a channel that aligns with the audience. Some of the factors to consider include:

1. **Nature of Message:**
The means of communication depends upon the nature of the message. Urgent, confidential, private, and important messages should be distinguished from ordinary, routine, open and less important messages and the means of communication are to be chosen accordingly.
2. **Cost:**
The cost of sending a message is also to be considered while selecting a mode of communication. The result obtained should justify the expenditure.
3. **Record Keeping:**
If the record of the communication is important it should be written, otherwise oral communication is sufficient.
4. **Distance:**
Distance is another factor for consideration. The mode of communication to be chosen depends on whether the message is to be sent to a nearby place or somewhere at a long distance.
5. **Scale of Organisation:**
Means of communication in large-scale business is different from that in the small-scale. In small business most communication is oral while in large business it is written.
6. **Supporting Technology:**
Both the sender and the receiver must have supported technological communication tool to make communication through a particular medium. Suppose, A sends an e-mail to B. To get the e-mail B should have a personal computer.

Again, to get a fax message one should possess a fax machine. Therefore, while selecting a means of communication one has to consider whether supporting technological tool is available at the other end.

7. Urgency:

Selection of the means of communication is to be made keeping in view the urgency of the communication. Time available is the main factor here. Higher cost may be justified for sending the message in time.

8. Secrecy:

If the message to be communicated is secret or confidential, such means are required to be adopted that can maintain secrecy. A telephone call can be overheard, an e-mail or fax may not be appropriate, and an office memo may be less confidential. In such cases, face-to-face talking may solve the problem.

9. Safety:

The sender must be careful about the safety of the message. He/she has to decide whether the message would be sent by ordinary post or by registered post; through courier or messenger, etc.

10. Relationship:

The relationship between the sender and recipient may be a decisive factor in the choice of the means of communication. Message of private nature may require personal contact whereas formal relationship demands official and conventional mode of communication.

7.11 Handling Telephone Communication

The telephone is a telecommunications device that transmits and receives sounds, usually the human voice. Telephones are a point-to-point communication system whose most basic function is to allow two people separated by large distances to talk to each other. Developed in the mid-1870s by Alexander Graham Bell and others, the telephone has long been considered indispensable to businesses, households and governments and is now one of the most common appliances used in the communication systems. "Telephone" has been

adapted to many languages and is now recognized around the world.

Telephones may be able to record spoken messages, send and receive text messages, take and display photographs or video, play music, and surf the Internet. The fact that customers cannot "see" you they rely on the tone of your voice and your words to form opinions. It becomes a requirement for us to choose the words to use carefully and keep your tone friendly and warm.

Things to consider when communicating over the telephone:

- Avoid keeping the customer on hold and if it becomes unavoidable;
 - Know when to put the caller on hold in case you don't have information with you;
 - Wait for a feedback;
- Be ready to offer help or alternatives to customers;
- Introduce yourself by telling the caller who you are, which clearing agent you belong to;
- Respond to telephone calls promptly;
- Tell the caller why and to whom you are transferring in case it happens, Always give the caller the (phone number of the person you are transferring to, the title and the name)
- Avoid expressions such as wait a minute, just a second etc.
- End the call politely by thanking the caller for their patience/call. Use words such as;
 - "Thank you, do you require any further assistance?"
 - "It has been a pleasure serving you".
 - "Thank you for your business/ interest in our services".
 - Record any important details that have been given.

Telephone communication allows people to discuss matters far quicker than sending of messages through messengers or postal services. Ultimately this results in far faster business through quicker decision making. In modern times where other alternatives exist for communication, telephony is still preferred by many as it allows faster interaction than email and is more personal than computer chatting. However, it can distort relationship if calling and receiving of a call does not exhibit professionalism in nature.

7.12 Learning Activities

You have been appointed the Communications and Customer Service Officer for Jambo Global Logistics Ltd. The organization has different types of logistics customers based in different parts of East Africa who are involved with export and imports of cargo. You have identified various issues in the organization including:

- A lack of a clear customer management policy
- A lack of customer engagement strategies
- A lack of customer communication plan
- A lack of a customer database.

While you realize you will have to establish systems, the first thing to focus on is getting to understanding your customers and establish communication linkages with them.

Required:

1. Analyse the possible different types of audiences for Jambo Global, their needs and characteristics
2. Develop a brief communication plan outline that you would use to establish communication linkages
3. What would be the most appropriate channels of communications for the Jambo Global Customers?

7.13 Self-Assessment Questions and Activities

1. What do you understand by effective communication?
2. Describe the different elements in the communication process. What issues would you take into consideration at each step of the communication process to ensure effective communications?
3. What would be the objectives of communication in a freight logistics firm?
4. What are the appropriate channels of communication that can be used in a freight logistics firm?

7.14 References

- a) Kehoe, D. (2011). Effective Communication Skills. The Great Courses
- b) Locker, K. and Kaczmarek, S. (2013). Business Communication: Building Critical Skills, 6th Edition. McGraw Hill Education
- c) Floyd, K. and Cardon, P. (2020). Business and Professional Communication, 1st Edition. McGraw Hill Education

8.0 BARRIERS TO COMMUNICATION CHANNELS

8.1 Specific Learning Outcomes

At the end of this topic the trainee should be able:

- i. Identify the barriers to communication
- ii. Explain the effects of communication barriers
- iii. Identify the sources / causes of communication barriers
- iv. Develop strategies to handle communication barriers

8.2 Barriers to Communication

Effective communication is realized when information moves speedily and smoothly in an uninterrupted flow. If the information (idea) that is present in the mind of the transmitter is transferred unchanged into the mind of the receiver, then a perfect act of communication has taken place.

However, communication breakdown often results due to various physical, psychological, and physiological factors (barriers). Such breakdowns are costly to the organization in two ways:

- They disrupt the efficient functioning of the enterprise.
- They may lead to friction and misunderstandings among the staff. This can lead to an adverse effect on morale.

The term barrier may be defined as the factors which obstruct proper communication (flow) and clear interpretation. The barriers may originate at three levels namely:

- a) The sender
- b) The medium
- c) The receiver

Barriers to communication may be classified into four major classes namely:

- **Psychological barriers:** The psychological barrier of communication is the influence of the psychological state of the sender and receiver, which creates an obstacle for effective communication. Communication is highly influenced by the mental condition that those communicating are in and is affected by mental disturbance. If the people involved in communication are not emotionally well, they won't be able

to communicate properly. The people who are involved in the communication matter as much as the message.

- **Physiological barriers:** A physiological barrier to communication is as a result of a sensory dysfunction, either on the part of the receiver or the sender. Speaking, hearing, and seeing are fundamental parts of effective communication. Provide alternative communication options and methods and ensure communication is possible for the deaf and blind.
- **Physical/environmental barriers:** Physical barrier is the environmental and natural condition that act as a barrier in communication in sending message from sender to receiver. Organizational environment or interior workspace design problems, technological problems and noise are parts of physical barriers. Disturbance in hearing due to thunders, telephone call disconnection, problems in television reception among others.
- **Semantic (language barriers):** These are related to language such as level of usage, thus denotative vs. connotative meanings due to difference. The meaning of words, signs and symbols might be different from one person to another, and the same word might have many meanings. Therefore, when a message is sent by a sender to a receiver, it might be interpreted wrongly in a communication process causing misunderstandings between them. It may arise due to language, education, culture, and place of origin (dialect or accent) or most likely the experiences of the sender and receiver.

8.3 Effect of Barriers to Communication

- **Distorted information:** Barriers may lead to the message becoming distorted and therefore risk wasting both time and/or money by causing confusion and misunderstanding. Effective communication involves overcoming these barriers and conveying a clear and concise message.
- Creates differences in perception from the information

- Affects the relationship between employees, management and also family as no one understands the other
- The needs of the receiver are not met
- Communication barrier leads to misunderstanding between sender and receiver
- Lack of feedback to the receiver
- Leads to customer complains leading to low sales.

8.4 Sources of Communication Barriers

- **Lack of awareness about the receiver's needs:** This may make the sender fail to communicate effectively. The sender should, therefore, understand the receiver in terms of his/her social and educational background in order to be able to make use of appropriate language and symbols. In the same dimension, lack of knowledge regarding the subject of discussion poses communication problems. Also, the difference/discrepancy between the levels of knowledge of the parties involved may pose a barrier to effective communication.
- **Undefined objective:** Lack of exact aim of communication by the sender may lead to ineffective communication. When the sender has not defined his/her objectives, then he/she may lack proper information development. His/her ideas may, therefore, lack proper logical development, hence affecting the message and the receiver's understanding.
- **Wrong choice of media:** The media of communication have their advantages and disadvantages. If the sender settles for an inappropriate medium, then it may act as a barrier to effective communication. If an employee wants to express his/her regrets to the supervisor over a misconduct, it is advisable to use face to face communication other than giving a written explanation.
- **Attitude and opinions:** Personal attitudes and opinions often act as a barrier to effective communication.
- **Emotions:** Emotions plays a vital role in both the sender and receiver in terms of the way they communicate and receive/interpret messages. If one is perplexed, worried, excited, afraid or nervous, thinking

will be affected (blurred) and this may make the sender fail to organize his message properly.

- **Status consciousness:** Status consciousness exists in every organization and is one of the major barriers to effective communication. This is mostly evident where the subordinate is too conscious of their inferior status.
- **Organizational barriers:** These occur when the communication lines within the organization or between organizations fail to allow communication to take place fully and accurately.
- **Human relation barriers:** These barriers occur when human relation problem goes beyond the level of a simple personality clash and becomes clear that two individuals are unable to work together. To solve this problem, it is advisable to transfer one of the people to another section where necessary, but this should be done without attributing blame to either person.

8.5 Mitigating Communication Barriers

Overcoming barriers to effective communication is the responsibility of both the sender and the receiver.

Sender's responsibility

The sender's responsibility includes the following:

- The sender must develop clarity of thought about the message to be conveyed. These thoughts must be carefully organized so that the message formulated covers the intended ideas clearly and completely.
- Use appropriate language suitable for the recipient.
- When communicating face to face, develop sensitivity to the body language. The sender should pay attention to the body language of the audience to understand them better; at the same time, it is also necessary to pay attention to body language of self so that it is supporting rather than conflicting with verbal message.
- Avoid communication under conditions of mental stress, for instance, when angry or too anxious.
- Use appropriate method of communication.
- Ensuring that the message is relayed at the right time and to the correct persons.

Receiver's responsibility

The receiver's responsibility includes the following:

- Stop talking when a message is being conveyed. This call for good listening skills.
- Put the talker at ease: Help a person feel free to talk.
- Show a talker that one wants to listen
- Remove distractions
- Be patient: Allow plenty of time. Do not interrupt a talker
- Ask questions: This encourages a talker and shows that you are listening.

8.6 Overcoming Barriers of Communication

There is lots of communication barriers faced these days by all. The message intended by the sender is not understood by the receiver in the same terms and sense and thus communication breakdown occurs. It is essential to deal and cope up with these communication barriers so as to ensure smooth and effective communication. However, these barriers of communication can be dealt with as follows.

1. Eliminating differences in perception:
The organization should ensure that it is recruiting right individuals on the job. It's the responsibility of the interviewer to ensure that the interviewee has command over the written and spoken language. There should be proper Induction program so that the policies of the company are clear to all the employees. There should be proper trainings conducted for required employees.
2. Use of Simple Language:
Use of simple and clear words should be emphasized. Use of ambiguous words and jargons should be avoided.
3. Reduction and elimination of noise levels:
Noise is the main communication barrier which must be overcome on priority basis. It is essential to identify the source of noise and then eliminate that source.
4. Active Listening:
Listen attentively and carefully; active listening involves attaching meaning to the message and create understanding to it. By asking questions the speaker can ensure whether his/her message is understood or not by the receiver in the same terms as intended by the speaker.
5. Emotional State:
During communication one should make effective use of body language. He/she should not show their emotions while communicating as the receiver might misinterpret the message being delivered. For example, if the conveyer of the message is in a bad mood, then the receiver might think that the information being delivered is not good.
6. Simple Organizational Structure:
The organizational structure should not be complex. The number of hierarchical levels should be optimum. There should be an ideal span of control within the organization. The simpler the organizational structure the more effective will be the communication.
7. Avoid Information Overload:
The managers should know how to prioritize their work. They should not overload themselves with the work. They should spend quality time with their subordinates and should listen to their problems and feedbacks actively.
8. Give Constructive Feedback:
Avoid giving negative feedback. The contents of the feedback might be negative, but it should be delivered constructively. Constructive feedback will lead to effective communication between the superior and subordinate.
9. Proper Media Selection:
The managers should properly select the medium of communication. Simple messages should be conveyed orally, like: face to face interaction or meetings. Use of written means of communication should be encouraged for delivering complex messages. For significant messages reminders can be given by using written means of communication such as Memos, Notices etc.
10. Flexibility in meeting the targets:
For effective communication in an organization the managers should ensure that the individuals are meeting their targets timely without skipping the formal channels of communication. There should not be much pressure on employees to meet their targets.

8.7 Learning Activities

Case Scenario 1:

You have been appointed the Communications and Customer Service Officer for Jambo Global Logistics Ltd. The organization has different types of logistics customers based in different parts of East Africa who are involved with export and imports of cargo. You have identified various issues in the organization including:

- Customer complaints due to slow response time on queries and information
- Sometimes contradicting sets of information being communicated by different employees of same organization to the customers
- A lack of a clear customer communication plan for the organization.

Required:

1. Identify the possible reasons as to the state of ineffective communications by Jambo Logistics to its customers
2. Develop strategies that would enhance and ensure effective communication to your customers.

Case Scenario 2:

The management team and field operations officers of clearing and freight forwarding firm had the ability to accomplish their work successful; however, seemed to encounter some communication hassles hence greatly jeopardized the reputation of clearing and freight forwarding firm, not to mention putting the customers on hold which negatively affected their business turnaround.

The Managing director, the Operations Manager and field officers sat down for a meeting to see what could be done to clarify the communication and customer service issues. The Managing Director spoke very clearly about what she expected of the clearing agents to do when they meet clients and when they interact with each other. They expressed to have understood what they were doing wrong and assured their Managing Director that they would “improve.” After the meeting, the Operations Manager asked clearing agents the steps to be taken to improve their performance. They looked puzzled at him and said, “We have no idea.” The Managing Director looked astonished; her mouth was literally hanging open. She was without words. She believed

she had been very clear. She believed the clearing agents had nodded in agreement to all of the well thought out plans she had presented, yet clearly now they did not.

The Operations Manager further asked the clearing agents a series of questions and led them through the necessary steps using descriptions and word choices they could easily comprehend. Further, clarified expectations, created measures of success, and established timeframes. With that now vividly in their minds, they were able to summarize their next implementation steps; the Clearing Agents left the meeting relieved. Over a reasonable period of time, evidence indicated that they had indeed learned some new communication skills and their customer relations had improved accordingly.

At the end of the meeting, they discussed different learning and management styles. The Managing Director was amazed how her message which had been so clearly intended and what she thought was so clearly sent, was not the message received or understood. This realization was a profound one for her. She vowed to check for understanding more often and especially when she interacted with the staff. She realized the role she had played in the breakdown of communication between them.

She saw how, as the person delivering a message, she had the responsibility to be sure the message had been received and understood. In the case of the clearing agents, she needed to reframe her message in terms that made sense to them, ask them to summarize it back to her, and then review his next steps, so both she and clearing agents would leave the communication event with the same understanding. Although she had believed herself to be a skilled communicator (and by many measures she was), she learned that in this isolated event, she had needed a new set of communication skills. She foresaw how she could also generalize these new skills with other people and different situations. She had added another strategy to her range of positive communication skills, one that would help her to be a better leader in the future.

Required:

1. Explain the communication barriers which can be identified from the case above?
2. Identify the communication skills the Managing Director was supposed to have in order to improve on her communication to her subordinates?
3. Suggest best ways of ensuring effective communication in organization.

8.8 Self-Assessment Questions and Activities

1. What are the barriers to communication that can face a firm in the freight and logistics sector?
2. What are the effects of communication barriers to an organization?
3. What are the sources / causes of communication barriers?

8.9 References

- a) Kehoe, D. (2011). Effective Communication Skills. The Great Courses
- b) Locker, K. and Kaczmarek, S. (2013). Business Communication: Building Critical Skills, 6th Edition. McGraw Hill Education
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9.0 EFFECTIVE LISTENING SKILLS

9.1 Specific Learning Outcomes

At the end of this topic the trainee should be able:

- i. Explain the meaning of effective listening
- ii. Evaluate the types of listening skills
- iii. Explain the barriers to effective listening
- iv. Apply effective listening techniques
- v. Explain questioning techniques

9.2 Overview of Effective Listening

Listening is the active process of receiving and responding to spoken (and sometimes unspoken) messages. It is the process of receiving, constructing meaning from and responding to spoken and/or non-verbal messages; to hear something with thoughtful attention.

Difference between hearing and listening

Hearing is simply the act of perceiving sound by the ear. Hearing occurs with or without consent. Listening is an action where one chooses to actively concentrate on what hear. In listening the brain processes the information into knowledge. Listening is not the same as hearing and hearing is not the same as listening.

Hearing is a physiological process that occurs when sound waves are processed by the central nervous system. Listening is a social cognitive activity that is affected by the past experiences and future expectations. Listening also differs from hearing in that listening is not limited to sound but involves the use of all senses. When we listen, we must hear, but we must also see and feel. To be effective listeners we must also be able to hear the words our partners utter, but we must also be able to pick up the non-verbal cues that tell us what they actually mean. Listening is often overlooked because people normally think improving on sending skills improves listening which is not the case. What comes into the minds of the people is giving more effective public presentations or speaking to those around them with more confidence and clarity. We seldom think about improving their ability to listen to what others have to say. Yet listening is vital skill in both personal and professional settings. In fact, listening has been linked to leadership effectiveness, managerial competence, and then development of rewarding relationships. Many of the communication problems

we face, both personally and professionally, are directed related to faulty listening.

Importance of listening

- An attentive listener stimulates better speaking by the speaker
- A good listener learns more than an indifferent listener
- A good listener can restructure vague speaking in a way that produces clearer meaning
- A good listener learns to detect prejudices, assumptions, and attitudes
- Communication is not complete without effective listening.

Benefits of Effective Listening

- Enhances productivity
- Improves relations
- Avoids conflict
- Improves understanding
- Improves negotiation skills
- Helps you stand out
- People will appreciate it

Features of Listening

- Listening is a mental activity
- It improves by consciousness and concentration
- It is a skill as it can be improved by experience
- Non-verbal communication also helps in listening
- Listening stimulates speaking
- Listening involves paying close attention to the sounds that come in way of communication.

Process of Listening

- **Receiving:** Receiving refers to the response caused by sound waves stimulating the sensory receptors of the ear.
- **Understanding:** It is the stage at which one learn what the speaker means
- **Remembering:** It is important listening process because it means that an individual has not only received and interpreted a message but has also added it to the mind's storage bank.
- **Evaluating:** It consists of judging the messages in some way. At times one may try to evaluate the speaker's underlying intentions or motives.

- **Responding:** This stage requires that the receiver complete the process through verbal and/or non-verbal feedback.

9.3 Types/Forms of Listening

- **Appreciative Listening:** Appreciative Listening for pleasure and enjoyment. It is listening to music, to a comedy routine. It describes how well speakers choose and use words, use humour, ask questions, and tell stories.
- **Sympathetic listening:** In sympathetic listening we care about the other person and show this concern in the way we pay close attention and express our sorrow for their ills and happiness at their joys.
- **Emphatic Listening:** Emphatic Listening provide emotional support for the speaker. It focuses on understanding and identifying with a person's situation, feelings.
- **Evaluative/ critical/ analytical listening:** It involves evaluation of the oral message or commentary and developing a line of thought. The listener interprets and analysis what he or she listens to in order to understand both the explicit as well as implicit meaning of the oral message. Thus, the main purpose of evaluative listening is to evaluate the content of the oral message to select appropriate information. It is also critical listening which is to evaluate a message for purposes of accepting or rejecting it. Evaluative listening is particularly pertinent when the other person is trying to persuade customers, perhaps to change behavior and maybe even to change beliefs. This is typically weighing up the pros and cons of an argument, determining whether it makes sense logically as well as whether it is helpful. Evaluative listening is also called critical, judgmental, or interpretive listening.
- **Discriminative Listening:** Discriminative listening involves identifying the difference between various sounds. Discriminative listening is the most basic type of listening, whereby the difference between difference sounds is identified. If one cannot hear differences, then one cannot make sense of the meaning

that is expressed by such differences. It also enables one to differentiate between familiar and unfamiliar language. Discrimination between sounds within one's language early, and later are unable to discriminate between the phonemes of other languages. This is one reason why a person from one country finds it difficult to speak another language perfectly, as they are unable distinguish the subtle sounds that are required in that language. Likewise, a person who cannot hear the subtleties of emotional variation in another person's voice will be less likely to be able to discern the emotions the other person is experiencing. Listening is a visual as well as auditory act, as one communicates much through body language.

- **Attentive/Active listening:** Active listening is a communication technique used in counselling, training, and conflict resolution. It requires that the listener fully concentrates, understands, responds, and then remembers what is being said. Active listening helps in understanding the message of a speaker. It focuses on accurately understanding the meaning of the speaker's words.
- **Focused listening:** It involves listening for specific information. This is the most common type of listening that are practiced in non – formal oral communicative situations.
- **Pretence listening:** It involves more hearing than listening. It means pretending through facial expressions that one is listening when actually one is not.
- **Selective listening:** It involves selecting the desired part of the message and ignoring the undesired part of the message.
- **Therapeutic listening:** In therapeutic listening, the listener has a purpose of not only empathizing with the speaker but also to use this deep connection in order to help the speaker understand, change or develop in some way. This not only happens when one goes to see a therapist but also in many social situations, where friends and family seek to both diagnose problems from listening and also to help the speaker cure themselves, perhaps by some cathartic process. This also happens in work situations, where managers, human resource people, trainers and coaches seek

- to help employees learn and develop.
- **Dialogic listening:** The dialogic listening means learning through conversation and an engaged interchange of ideas and information in which one actively seek to learn more about the person and how they think. Dialogic listening is sometimes known as relational listening.
- **Relationship listening:** Sometimes the most important factor in listening is in order to develop or sustain a relationship. Relationship listening is also important in areas such as negotiation and sales.

9.4 Barriers to Effective Listening

Effective listening is arguably one of the most important skills to have nowadays. Personal relationships need effective listening skills to face complicated issues together. Businesspeople and employees need effective listening skills to solve complex problems quickly and stay competitive. There is need to understand and eliminate listening barriers that blocks deep, harmonious, and lasting relationships.

Barriers to listening take many forms. It is inevitable that barriers will exist in any interaction, but anything which stops concentration, allowing the mind to wander off the topic, must be recognized and overcome if fully successful communication is to take place.

- **Environmental barriers:** This can make people switch off from what is being said and concentration is focused on the surrounding. The focus is on issues such as the room too hot or too cold, the chair uncomfortable, the lighting too bright or too dim, bad ventilation; stuffy/smoky atmosphere, sights, noise and smells among others
- **Linguistic barriers:** Linguistic barriers derive from the speaker and make it difficult for them to be listened to. They can be summarized as follows: jargon or specialist language, complex sentences, complex vocabulary, hesitant manner, monotonous voice, inappropriate tone, badly organized material, delivery too fast, delivery too slow and ponderous, delivery too loud, delivery too quiet.
- **Psychological barriers:** Emotional states which are brought to the

communication or result from it can come between what is being said and effective listening and understanding such as own anxiety, frustration, inability to put across ideas, status difference, anger, prejudice among others.

- **Physiological barriers:** The physical condition of the listener can affect concentration and restrict the amount of information taken in such as headache, tiredness, poor eyesight, hearing impairment and discomfort, pain, illness among others.
- **Perceptual barriers:** The speaker and the listener sometimes see the same situation from a different point of view, and this can affect understanding e.g., parent and child. Examples of other perceptual barriers are: social/cultural background differences, attitude unexpected, expectations different, appearance of speaker, mannerisms and accents among others.
- **Content barrier:** This is what the speaker is saying which may be a barrier to the listener such as subject of the discussion does not have interest, speaker goes on for too long, speaker is saying what others don't want to hear, what people have heard it all before, content is too difficult/simplistic, content is repetitious among others.
- **Personal barriers:** The listener may put up personal barriers such as preoccupied with own problems, thinking about own response without hearing speaker, monopolizing the conversation, dominant speaking, looking for every opportunity to interrupt among others.

9.5 Effective Listening Techniques

It takes a lot of concentration and determination to be an active listener. Old habits are hard to break, and if ones listening skills are as bad as many peoples are, then there will be need to do a lot of work to break these bad habits. Effective listening techniques are used to help a person become a more effective listener such as:

- Create a receptive listening environment
- Focus on the speaker
- Withhold judgment
- Put yourself in the speaker's shoes
- Use feedback and listen with openness
- Ask appropriate questions

- Paying attention and relaxed
- Focus on key-points
- Being aware of both verbal and non-verbal messages
- Listen with an open mind
- Avoid false attention and pretending to listen
- Wait for the speaker to pause to ask clarifying question
- Provide feedback
- Defer Judgment since interrupting is a waste of time
- Respond appropriately since active listening is designed to encourage respect and understanding.

Therefore:

- Be prepared to listen. Concentrate on the speaker, and not on how to reply.
- Keep an open mind and avoid making judgements about the speaker.
- Concentrate on the main direction of the speaker's message. Try to understand broadly what they are trying to say overall, as well as the detail of the words that they are using.
- Where possible, avoid distractions. For example, if there is a lot of background noise, this calls for changing the venue/place.
- Be objective.
- Do not think of next question while the other person is giving information.
- Do not dwell on one or two points at the expense of others. Try to use the overall picture and all the information available.
- Do not stereotype the speaker. Try not to let prejudices associated with, for example, gender, ethnicity, accent, social class, appearance, or dress, interfere with what is being said.

Listening Techniques

1. Paraphrasing

Paraphrasing involves repeating, in your own words, what you thought you heard the speaker say. The steps in paraphrasing are as follows:

- Step 1: Let the other person finish his or her thought.
- Step 2: Repeat in your own words what you think the person said.
- Step 3: Ask the person if that is what was meant.
- Step 4: If the answer is “yes,” continue the conversation.
- Step 5: If the answer is “no,” ask the person to restate what was meant.

The objective of paraphrasing is to ensure that you get the sense of the message the sender intended to send. When you paraphrase, deal with the facts rather than the emotions of the message. Paraphrasing is not repeating the speaker's words exactly.

Checking Perceptions

Perception checking is about feelings, more than facts. Focus on checking out what you perceive to be the emotions that motivate another person's communication. The concern isn't with what the person said (words) as much as it is with what the other person means (tone).

Listeners frequently miss the emotional part of a conversation. If you miss the feelings, you cannot sense the unique situation of the speaker. Feelings help us to use information to give good feedback. For example, an employee might seem upset in a conversation with you. You might assume from the conversation that the employee does not care much about his or her job. If you checked out this perception, you might find that the employee was simply anxious about an upcoming meeting for which they felt they needed more preparation.

Listening with Openness

It is difficult to listen when you are judging and finding fault. Judging and finding fault often result in the following:

- You don't grow intellectually because you only listen to your own viewpoints.
- You dismiss the other person because you disagree with their ideas.
- You upset people because you don't listen.
- You miss important information.
- The most important rule for listening with openness is to hear the whole statement, the entire communication, before judging. When you make early assessments, you don't have all the information.

Listening with Awareness

There are two components to listening with awareness:

- i. Compare what is being said to your own knowledge of history, people, and the way things are. Make note of what is said to see if it fits with known facts.

- ii. Does the person's tone of voice, emphasis, facial expression, and posture fit with the content of the communication? For example, if someone says they aren't angry, but they are clenching their fist and their voice is raised, the message doesn't make sense. Your job as a listener is to recognize the discrepancy.

Asking Questions

Know which questions to ask and when. If you could get every piece of information you want, what would you want to know? The answer to that will help you compose the right question.

9.6 Questioning Techniques

Questions provide answers to the curious mind, things that need reasoning, things people do not understand, and discovery of something new. Questions make people reflect on the way to deal with life and promote a better understanding of why things happen the way it should be.

Questioning techniques are referred to as learning skills that encourage asking questions and knowing the right answers. It is used by everyone in all the spheres of life, for instance, at home, at work, at social gatherings, at meetings, amongst friends, family, colleagues, and even in the presence of strangers. Proper questioning techniques lead to better interpersonal skills and successful communication. Asking the right question is at the heart of effective communications and information exchange. By using the right questions in a particular situation, one can improve a whole range of communications skills. It is used to gather better information and learn more and build stronger relationships, manage people more effectively and help others to learn too.

The need for questioning techniques

- Interaction – the most common form of interaction between teachers and students.
- Challenge – provide motivation by encouraging students to actively participate in learning.
- Influence - can cause integration of skills.
- Progress - asking questions help teacher to promote the level of the students.
- Assessment – the teacher can assess the effectiveness of teaching.

Types of questioning methods

- **Closed question:** Closed questions have very short answers like “yes” or “no” or answers with a word or two. They are usually asked to test if someone has understood certain policies, procedures, rules, regulations, explanations, discussions, lectures.
- **Open questions:** Open questions ask for elaborate/explanatory answers and they begin with what, why, how, describe, explain, where, which, when. They could be questions asking someone to explain what happened at a situation or place, asking why it happened, asking for details of an incident, history of some happenings, explanation about their circumstances, explanation of needs, thoughts about something, ideas, and feedback. Open questions help with a two-way conversation and builds up an interest in the conversation. Open-ended questions require a little more thought and generally encourage wider discussion and elaboration.
- **Probing questions:** These questions are useful for gaining clarification and encouraging others to provide more information about a subject. Probing questions are usually a series of questions that dig deeper and provide a fuller picture.
- **Leading questions:** These questions are designed to lead the respondent towards a certain desired positive or negative route in the workplace.
- **Loaded questions:** Loaded questions are seemingly straightforward, closed questions with a twist. They contain an assumption about the respondent. They are famously used by lawyers and journalists to trick their interviewee into admitting a fundamental truth they would otherwise be unwilling to disclose.
- **Recall and process questions:** Recall questions require the recipient to remember a fact. Process questions, on the other hand, require the respondent to add their own opinion to their answer. These types of questions can be used to test the respondent's depth of knowledge about a particular topic.

- **Rhetorical Questions:** Rhetorical questions are asked to keep people and audience engaged. It also helps people think, be creative and come up with ideas.
- **Clarifying Questions:** Clarifying questions are used to verify information once the discussion or talk is over. This is before the finalisation of the meeting or session in order to confirm what was discussed.

9.7 Learning Activities

Consider a situation when you communicated with a client or any person. In the situation, you expected some actions from the other party. However, what was executed was totally different than expected.

Required:

1. What would have affected the communication between your and the receiver? Why did the receiver do the opposite of what you expected?
2. What listening skills would you recommend in order to avoid such a situation in the future?

9.8 Self-Assessment Questions and Activities

1. Discuss the meaning and characteristics of effective listening
2. What are the different types of listening skills required of anyone working in the freight and logistics sector?
3. What would be some of the barriers to effective listening and how do we reduce such barriers?

9.9 References

- a) Kehoe, D. (2011). Effective Communication Skills. The Great Courses
- b) Locker, K. and Kaczmarek, S. (2013). Business Communication: Building Critical Skills, 6th Edition. McGraw Hill Education
- c) Floyd, K. and Cardon, P. (2020). Business and Professional Communication, 1st Edition. McGraw Hill Education

10.0 INTERPERSONAL COMMUNICATION

10.1 Specific Learning Outcomes

At the end of this topic the trainee should be able:

- i. Explain the meaning of interpersonal communication
- ii. Explain the importance of interpersonal communication
- iii. Describe the principles of interpersonal communication
- iv. Identify types of Interpersonal communication skills

10.2 Meaning of Interpersonal Communication

Interpersonal communication is the process by which people exchange information through verbal and non-verbal messages. It often includes face-to-face exchange of information, in a form of voice, facial expressions, body language and gestures. The level of one's interpersonal communication skills is measured through the effectiveness of transferring messages to others. Effective interpersonal communication would help make the communication process effortless and smooth.

Interpersonal communication is used commonly within an organization which include daily internal employee's communication, client meetings, employee performance reviews and project discussions. In addition, online conversations today make a large portion of employees' interpersonal communication in the workplace. Interpersonal skills also include:

- Ability to listen and understand
- Problem solving
- Decision making
- Personal stress management.

Effective interpersonal communication requires:

- **Transparency:** As the leader of the team if not transparent in what is being done, interpersonal communication can never be effective.
- **Multiple channels to interact:** This is the sender to receiver. This needs personal presence and action, visual/non-verbal communication, words from person to person or groups, messages in written format, telephone, fax, and e-mail.

- **Clarity in communication:** As a leader of subordinate or peer should keep in mind that preciseness and clarity in what is communicated is important because if not clear interpersonal communication would fail.
- **Feedback:** If the team members are not open to receiving or giving feedback the team would feel demoralized hampering the interpersonal communication.

10.3 Importance of Interpersonal Communication

Interpersonal communication in the workplace plays an important role in employee satisfaction, motivation, collaboration, and business success. It helps in good interaction with different types of people. It is important in maintaining good relationship within family and with friends.

Interpersonal communication in the workplace plays an important role in employee satisfaction, motivation, collaboration, and business success.

1. Problem solving

Interpersonal communication skills are necessary because they allow people to discuss problems and weigh the pros and cons of alternatives before coming up with the final solution. For example, brainstorming exercises are situations in which interpersonal communication comes into play as it is very important that everyone feels respected and free to share their voice, ideas, and views.

2. Alignment with business goals

Poor communication between employers and employees can harm the business in many ways. When managers and leaders are unable to clearly communicate tasks, workers can quickly become frustrated and disconnected with the business goals. Moreover, many employees say that their managers don't give them clear directions and goals for their work. Therefore, managers should be able to, with proper communication as well as the right internal communication tools, continuously align employees with the business strategy.

3. Trust

Lack of trust and transparency are some of the most common causes of poor workplace communication. Interpersonal communication skills are crucial for improving trust and workplace communication,

and all employees, especially business leaders, should therefore improve communication with their employees.

4. Change management

Good interpersonal communication is very important during change management efforts within organizations. Effective employee communication helps employees better understand the change, align with it, and collaboratively work towards implementing the change successfully.

5. Company culture

Interpersonal relationships, especially when executed well, are important for an organizational culture to thrive. When employees possess good interpersonal communication skills, organizational culture becomes more synergic and positive. With bad interpersonal relationships, on the other hand, negativity, confusion, and conflicts become inevitable. This ultimately ruins the work environment, reduces employee productivity, and adversely affects the company's bottom line.

6. Employee recognition

Good interpersonal communication drives more employee recognition. When employees have good interpersonal relationships with each other and their managers, they are more likely to recognize each other's good work and give constructive feedback.

7. Workplace miscommunication

Managers who maintain professionalism, open workplace communication and a positive attitude are more likely to be seen as approachable by their employees. When employees feel like they can speak openly with decision-makers, workplace miscommunication, gossip and rumours are much less likely to happen.

8. Personal relationships

Interpersonal skills are extremely important for creating and maintaining meaningful personal relationships in the workplace. People with good interpersonal communication skills can, therefore, build healthy relationships with their colleagues and work much better as a team.

9. Effective management and leadership

The ability to foster interpersonal relationships, establish trust and communicate clearly are all crucial skills for an effective leader. When a manager has poor interpersonal communication skills, they

can expect to irritate and confuse employees. In fact, there is a greater need for managers to work on their interpersonal skills than there is for the average employee.

10. Employee success

Good interpersonal communication skills are also necessary for managers to help their employees do their jobs successfully. Leaders need to be able to pass on the right skills to the employees that will enable them to perform their tasks and achieve business goals. Moreover, they should be the ones to teach their employees interpersonal communication skills.

11. Conflict management

Conflict is normal at the workplace, and we can't always expect from our employees to resolve conflicts in a calm and timely manner. When conflicts like this arise, interpersonal communication becomes crucial in resolving them. Conflict management cannot happen without effective interpersonal communication. In fact, all conflict management strategies that use communication to soften situations in stressful environments are much more successful.

12. Career development

As many employers are looking for workers with good communication skills, continuous improvements of interpersonal communication skills can bring career progressions for many employees. In addition, the increasing prevalence of communication technologies means that employees and communicators must adapt to the new employee communication trends.

10.4 Principles of Interpersonal Communication

- Interpersonal communication is inescapable. That is, if one cannot communicate even the body sends a message when one is silent.
- Interpersonal communication is irreversible. This is communication verbally or non-verbally and cannot be asked back. One cannot reword it.
- Interpersonal communication is complicated. Words are actually symbols, given different meanings by different people under different circumstances.
- Interpersonal communication is contextual. Psychological, cultural,

situational, rational and environmental. When and where to speak will have a bearing on the meaning of a message and how it is received.

10.5 Types of Interpersonal Communication Skills

Interpersonal skills are the skills required to effectively communicate both verbally and non-verbally. Interpersonal skills are all about working with other people. Interpersonal skills are actually characteristic traits like manners, attitude, courtesy, habits, behavior and appearance which helps one to communicate and maintain relationship with others. Interpersonal communication skills are also known as life skills. Most interpersonal skills can be grouped under one of four main forms of communication: verbal, listening, written and non-verbal communication.

Some skills such as recognition of stress and attitude are important to all forms of interpersonal communication. Effective communication skills result in mutual understanding. Poor communication wastes time and resources, gets in the way of accomplishing goals and can sour relationships. These skills are explained below:

a) Verbal skills

Verbal skills refer to the extent to which a person can approach words, sentences, written texts verbs, adjectives as well as the extent to which he/she can comprehend meanings, produce synonyms and antonyms, know the meaning, and use of words, complete sentences with words omitted based on the word context and have a critical view towards written speech. A person's verbal skills reflect their general intelligence and their development guarantees at a great extent the attainment of organizational goals.

These kind of skills are partly inborn skills, each person has mother language inside him/her as a living organization and learns it in a subconscious and non-systematic way. This is also learnt in every moment of life through the interaction with other people. Other skill is acquired through knowledge from official obligatory public education (school) in order to develop a common structure as a base upon which the language can develop in a dynamic way throughout lives.

Verbal skills are not always interdependent to a person's educational level or grammatical knowledge but are a reflection verbal fluency and deeper comprehension of the language, the extent of which is each one's personal conquest.

Effective speaking involves three main areas: the words chosen, how to say them, and how to reinforce them with other non-verbal communication. All these affect the transmission of the message, and how it is received and understood by the audience. Therefore, how one speaks includes tone of voice and pace. Like non-verbal communication more generally, these send important messages to the audience, for example, about the level of interest and commitment, or whether one is nervous about a given reaction.

b) Listening skills

Active listening is an important skill. This is listening to the other person. Effective listening is vital for good verbal communication. There are a number of ways that can ensure that one listens more effectively. Effective listening is vital for good verbal communication. There are several ways that ensures that one can listen more effectively. These include:

- **Relaxation:** this is a calm self-confident manner that allows for more coherent verbal expression and gives the impression of an active listener.
- **Positive attitude:** This is state of happiness in a person during communication. All people prefer communicating with the happy, accepting person.
- **Empathy:** This is the ability to share someone else's feelings or experiences. This means by seeing, understanding, and respecting another's point of view, a person gain's respect, and the trust of others as a speaker and is seen as an attentive listener
- **Understanding stress in oneself and others:** This allows for self-monitoring of one's own verbal communication and a greater understanding of a speaker's motivations. When one uses verbal communication, one's tone of voice or word choice is affected by internal feelings of stress and as well understand when one is listening to someone who's speech is affected by stress. This allows one to compensate accordingly.

- **Assertiveness:** This quality is essential and fundamental during negotiation. The participant's express beliefs in a way others can understand but also respect the thoughts and feelings of all involved.
- **Teamwork:** This includes adaptability and flexibility in dealing with differing personalities and differing interpersonal skill levels.

c) Written skills

Writing skills include all the knowledge and abilities related to expressing ideas through the written word. The ability to clearly communicate ideas through writing is in high demand for employers in any industry. Well-written documents, emails and posts can persuade customers to purchase a product or convince investors to partner with a company. Technical knowledge about writing conventions, style guides and formatting for different situations are also an important part of writing skills. Knowing what situations call for different styles of writing and being able to set an appropriate tone over text are both important writing skills that any person can use at work.

These include:

- **Analysis:** Strong analytical and research skills are key in expressing new ideas and getting them accepted by co-workers and senior management.
- **Computer and technical literacy:** These skills are essential in the business world as most of the written communication and all analysis of data is done using a computer.
- **Professionalism:** This quality is important in all forms of interpersonal communication including written communication: standard formats for business correspondence are common and spelling mistakes and grammatical errors are unacceptable eroding a worker's value in the firm.

Writing skills are important because they allow people to get a point across without being physically present. Many employers get their first impression of future employees through the writing skills they display in their resume, cover letter and email communications.

Writing skills influence the quality of one's work and how others perceive one's professionalism, which have a direct effect on one's ability to get an interview and excel at work. Writing skills are transferrable, so developing a strong understanding of writing processes allows one to maintain clear communication and accurate documentation in any workplace.

d) Non-verbal interpersonal skills

Non-verbal Communication is the communication without words. Non-verbal communication is a process of communication through sending and receiving wordless messages. The power of non-verbal communication helps in creating an image in others mind and even one can express motions and feelings in front of others, which one is unable to express in words. These skills include:

- **Facial expressions.** The human face is extremely expressive, able to convey countless emotions without saying a word. And unlike some forms of non-verbal communication, facial expressions are universal. The facial expressions for happiness, sadness, anger, surprise, fear, and disgust are the same across cultures.
- **Body movement and posture:** This considering how one's perceptions of people are affected by the way they sit, walk, stand, or hold their hands. The way they move and carry themselves communicates a wealth of information to the world. This type of non-verbal communication includes posture, bearing, stance, and the subtle movements ones makes.
- **Gestures:** Gestures are woven into the fabric of one's daily lives. These include waving, point, beckon, or use of hands when arguing or speaking animatedly, often expressing oneself with gestures without thinking. However, the meaning of some gestures can be very different across cultures. While the "OK" sign made with the hand, for example, usually conveys a positive message in English-speaking countries, it's considered offensive in countries such as Germany, Russia, and Brazil.
- **Eye contact:** Since the visual sense is dominant for most people, eye contact is an especially important type of non-verbal communication. The way one looks at someone can communicate many things, including interest, affection, hostility, or

attraction. Eye contact is also important in maintaining the flow of conversation and for gauging the other person's interest and response.

- **Touch:** Touch brings about different messages given by a weak handshake, a warm bear hug, a patronizing pat on the head, or a controlling grip on the arm among others.
- **Space:** This includes a person standing too close and invading one's space or too far. There is need for physical space, although that need differs depending on the culture, the situation, and the closeness of the relationship. The use of physical space to communicate many different non-verbal messages, includes signals of intimacy and affection, aggression, or dominance.
- **Voice.** The voice is reflected in how a message is said not what one says the message. When one speaks, other people read the voice in addition to listening to the words. Things they pay attention to include timing and pace, how loud one speaks, tone and inflection, and sounds that convey understanding.

10.6 Learning Activities

You have been appointed the Communications Officer for Jambo Global Logistics Ltd. The organization has different types of logistics customers based in different parts of East Africa who are involved with export and imports of cargo. You have requested to make a presentation to the directors of the company on the "Application of Interpersonal Communication Skills for Business Success".

Required:

1. Identify the different interpersonal skills that an employee of a Jambo Logistics should possess
2. Based on the identified skills, discuss how the same would be applicable to Jambo Logistics for effective communications with the customers.
3. List down the Do's and Don'ts that the employees of Jambo Logistics should take in consideration when communicating with customers.

10.7 Self-Assessment Questions and Activities

1. What do you understand by interpersonal communication and why is this important in a freight and logistics firm?
2. Describe the principles of interpersonal communication
3. What are the types of Interpersonal communication skills?

10.8 References

- a) Kehoe, D. (2011). Effective Communication Skills. The Great Courses
- b) Locker, K. and Kaczmarek, S. (2013). Business Communication: Building Critical Skills, 6th Edition. McGraw Hill Education
- c) Floyd, K. and Cardon, P. (2020). Business and Professional Communication, 1st Edition. McGraw Hill Education

11.0 REPORT WRITING

11.1 Specific Learning Outcomes

At the end of this topic the trainee should be able:

- i. Explain the purpose and scope of reports
- ii. Identify the types of reports
- iii. Explain the structure and content of a report
- iv. Discuss the contents of a report

11.2 Purpose and Scope of Reports

A report is a basic management tool used in decision making and it carries information from someone who has it to someone who needs it. The purpose for which reports may be written include:

- To provide an account of something witnessed or investigated
- To inform the management about work progress
- Report performance
- To recommend improvements
- To meet statutory/legal requirements
- Act as an aid in decision making
- Monitor and control operations
- Used in obtaining funding
- Analyse facts.

11.3 Types of Reports

A report is a form of systematic presentation of information relating to an event, progress of action or some business activity. It is a written statement of results, events, conditions, progress, or interpretation of records.

There are two major types of Reports

1. Business Report
2. Field Report

11.4 Forms of Reports

There are two types namely oral and written reports. Oral reports are simple presentations of observations, impressions among others. Written reports are preferred because:

- An oral report can be denied but a written report has a permanent record
- An oral report tends to be vague while a written report is usually accurate and precise
- A written report can be circulated to many people

- Distortion of information is not possible in written reports
- Written reports can be referred to again and again

Written reports can be classified in various ways:

a) On the basis of legal formalities

Informal Reports

- They are written in form of a letter from one person to another
- Do not follow any prescribed format or procedure
- Do not have any uniform structure
- Prepared according to the convenience and requirements of the organization
- May be informative or recommendatory.

Formal Reports

A formal report is one which is prepared in a prescribed form and is presented according to an established procedure to a prescribed authority, and they include:

- **Statutory Reports:** A report prepared according to the form and procedure laid down by law e.g., auditors report.
- **Non – Statutory Reports:** A formal report, which is not required under any law, and is prepared to help management in policy making or taking other important decisions.

b) On the basis of frequency of issues

- **Periodic Reports/Routine Reports:** Prepared and presented at regular intervals in the usual business routine e.g., yearly.
- **Special Reports:** They are related to a single occasion or situation. They deal with non-recurrent issues/problems.

c) On the basis of subject

- **Fact finding reports:** it is concerned with gathering information
- **Problem determining report:** it is concerned with investigating causes of certain problems and making recommendations to solve them.
- **Performance reports:** It is concerned with attainment of objectives.

11.5 Business Reports

A business report conveys information to assist in business decision making. Some reports might present the actual solution to solve a business problem; other reports may record past business information that is used towards future business planning.

Report	Purpose
Periodic Operating Reports	To monitor and control production, sales, shipping, service, etc.
Situational Report	To describe one-time events, such as trips, conferences, and seminars.
Investigative/ Informational	To examine problems and supply facts – with little analysis.
Compliance	To respond to government agencies and laws.
Justification/ Recommendation	To make recommendations to management and become tools to solve problems and make decisions.
Yardstick	To establish criteria and evaluate alternatives by measuring against the “yardstick” criteria.
Feasibility	To analyze problems and predict whether alternatives will be practical or advisable.
Research Studies	To study problems scientifically by analyzing a problem, developing hypotheses, collecting data, analyzing data, and drawing conclusions.
Proposals	To offer to solve problems, investigate ideas, or sell products and services.

11.6 Components of the Reports

Reports are designed to convey and record information that will be of practical use to the readers. Reports should be organized into discrete units of specific and highly visible information. Good reports are documents that are accurate, objective, and complete. They should also be well written, clearly structured and expressed in a way that holds the reader’s attention and meets their expectations. A report is an orderly, objective message used to convey information from one organizational area to another or from one institution to another to assist in decision making or problem solving. It has the following characteristics

- Logically organized
- Objective in tone
- For a limited audience
- Brief and precise
- Accurate
- Clear
- Relevant
- Reader oriented
- Objective
- Complete
- Interesting/readable

11.7 Preparation of the Business Reports

There is need for planning for report writing even before beginning the research process. This enable the writer to save time and be focused on why and how the report is prepared. The report writing process goes through the following steps:

- Identifying the audience, purpose and due date
- Decide what the report will cover
- Determine how long each part of the report will take to prepare and in what order the parts will be completed
- Decide on the report style (layout and writing style). You will choose a writing style based on the audience, the level of formality of the report and the report’s purpose, among many other things
- Begin a research and collect source list for the final report
- Organize findings and write the report introduction
- Include results in the body of the report
- Form conclusions and recommendations if appropriate
- Enhance report with graphics

- Write the preliminary pages of the report (summary, table of contents, title page)
- Revise for most effective layout design and writing style

In generating report, especially business reports, the following steps are to be considered:

1. Determine the scope of the report
2. Consider the target audience (readers)
3. Gather and organize the supporting information (Research)
4. Analyze and weigh the supporting information
5. Determine the solution, findings and/or recommendations
6. Determine the report format.

Determine the scope of the report

Most reports are required to support specific organizational objectives, strategies, and decision-making. It is therefore critical that there is a clear connection in argument and evidence between the purpose of the report, the research and the subsequent solutions, findings, or recommendations. The greater the connection the greater the weight the report will have in supporting the decision-making process. When choosing a focus for a report, it is advisable to narrow the scope to a report length. The scope of the reports is determined by the factors which will be studied or included.

Consider the target audience.

A report must be aligned with the intended audience. Business reports normally have a number of different audience groups to reach so a report will often have a hierarchical structure to support different levels of detail. Many people may be involved in the decision-making process and they will have different levels of information requirement to support their decision-making process. In designing the report format and style the following target audience characteristics should be considered:

- Their need for the report (e.g., financial approval, operational planning, resource allocation).
- Education level i.e., their ability to understand and rationalize the document.
- Position in the organization i.e., authority for information contained in the document
- Knowledge of the report's topic (i.e., purpose).
- Responsibility or authority to make decisions based on the report.

- Personal demographics (i.e., age, alliances, attitudes).

It is advisable to compile a list of all intended readers and develop a profile for them. Audiences are basically of three types:

- **Primary Audience** – People who have to make decisions on the basis of the business report for example Commissioner General, head of Department, Commissioner of Customs, Etc.
- **Secondary Audience** – people who are affected by the actions the primary audiences would take in response to the position of the business report for example customs agents, employees, importers, and exporters Etc.
- **Immediate Audience** – People responsible for examining the business report, weighing its viability, and distributing the report to a broader audience for example Supervisors, station managers, line managers, operational managers, Etc.

In determining the number of versions of reports required where you have varying levels of audiences, the writer/author should consider the following audience decision needs:

- How much background (supporting factual data, analytical findings, solutions, and recommendations) will the audience need?
- Do they need to define any terms used within the report? If so, are they included in definition of terms or a glossary?
- What language (technical complexity) will be most appropriate for the target audience?
- How many and what kind of visual aids should be used for the target audience?
- What will the target audiences expect from the business report?
- Does the audience/reader prefer everything given in detail or merely a brief presentation that touches upon the highlights?

Gather and organize the supporting information

With a clear understanding of the purpose and scope of the report as well as whom the target audience is the next step is data collection and data organization. Data can be collected at two levels:

- **Primary Data** – data obtained from the original source for example data collected firsthand from customers, employees, observing & recording of business activities in real time, etc.

- Secondary data - information obtained from historical information sources or data which has been gathered from other studies or business processes.

At the time of gathering the information, it is critical to generate a methodology on how to record and organize (quality control) the information. Immense volumes of information are difficult to analyze if they are not organized.

To enable business reports audiences, make business decisions based on the report, it is also important to explain the procedures or methods that were used in the research process. This supports the data's credibility and in turn allows the decision makers to weigh the significance of the information.

In organizing the information one can use tables, graphs, charts, colours, diagrams, pictures etc to facilitate effective communication with the intended audience.

Analyze and weigh the supporting information

The purpose of analysis is to make sense of the information that has been gathered. The results of the analysis need to be balanced, justifiable and where possible quantifiable. Detailed facts and figures have to be interpreted by explaining what they mean, what significance they have to the purpose of the report and how significant they are to the audience's decision-making process. In practice, this main content section of the report should be presented in a summarized format and have references attached to the report for the detailed data and analysis.

Determine the solution, findings and /or recommendations

A business report should provide managers with the necessary information to support effective decision making to achieve organizational objectives. Report solutions, finding and recommendations provide a critique of information that will guide the process of decision making. It is critical that there is relationship between the research, analysis and subsequent outcomes that arise from the evidence.

Determining the report format

Before writing, organize your information into an outline from. You can formulate an outline of your report by choosing the major and supporting ideas, developing the details, and eliminating unnecessary

ideas you've gathered. This outline becomes the basic structure of your report.

11.8 Basic Principles in Preparing a Report

Regardless of the form that a report takes, it will be subjected to a set of basic rules or principles. These are to ensure that the report is logically constructed, and to encourage the writer to present it in an accepted format. These basic principles are:

- a) A title which indicates the general contents of the report.
- b) It should be addressed to the people or person for whom it is intended.
- c) The terms of reference, under which the report has been prepared should be stated. Where it is a regular routine report, headings are often pre-printed, and it is only necessary to amend them if they are changed.
- d) Some sort of introduction, preamble or background is useful before the main body of the report.
- e) The body of the report should contain:
 - The nature of any investigations carried out
 - Any limiting factors
 - A statement of the sources of information used
 - A statement of facts and opinions discovered during the investigation
 - Clear arguments and hypothesis arising from the investigations.
- f) Conclusions should be indicated if these are needed. They should be the subject of a separate heading or section. All conclusions should be supportable from the main research carried out.
- g) Make recommendations and they should be put separately under proper headings
- h) The report should be dated and signed, and the author's name appended to it.
- i) Report to include charts, statistics, graphs, and other material, and where these are extensive, they can be included as appendices. Where necessary also, other resources or bodies of information should be included as appendices.
- j) Where reports are extensive, it is usual to give an executive summary, and summary of conclusions and recommendations, right at the start.
- k) It is useful to give a table of contents

The purpose of taking this approach is to make the report easy and accessible to the reader. To ensure the report is easy and accessible to the readers:

- The report should be addressed to some definite authority
- It should contain a short and clear title to indicate the subject at a glance
- As the report is written on the advice or request, it should quote that in the terms of reference so that it is clear why the report is required.
- The body of the report should be planned and written in a logical sequence preferably with headings.
- The recommendations should be highlighted to attract attention/action of the reader.
- It should be signed and dated.

11.9 Structure and Contents of Business Reports

Some reports are produced on prepared forms e.g., visit and site reports. Scientific and technical reports follow clear structural conventions. Sometimes organizations have established procedures on how to write their reports. However, most formal business reports follow a similar structure;

1. Title page
2. Acknowledgement
3. Abstract/Executive Summary
4. Table of contents
5. Introduction
6. Discussion /Findings
7. Conclusions
8. Recommendations
9. Appendices
10. References
11. Bibliography

Title page

This normally includes;

- Company name, logo and address
- Title – the biggest and boldest element
- Reference number
- Author's name
- Subject & Number
- Date of Submission

Executive Summary

Concise summary of the essential elements of the report

- Purpose
- Scope

- Main points
- Conclusions
- Recommendations
- Independent (can be read on its own)
- Comprehensive (covers all the main points)
- Clear and concise
- Short, only 10-15% of the length of the report (maximum ONE side)
- Written in full sentences and paragraphs

An outline of how the report is organized in terms of headings and subheadings as well as page numbers. Use a format that is easy to refer and is able to give a clear picture of how the report is organized at a glance.

Introduction

States the purpose, assumptions, main argument, and structure of the report and also explains why the report is necessary.

Discussion

This is the main body of the report. Use headings to clearly identify the content and discuss in details main argument. It incorporates relevant theory using references as appropriate.

Conclusions

This is drawn from evidence, interpretation and evaluation presented in the discussion. Do not introduce new material here. It should follow logically from the discussion. Conclusions section should give a highlight of the Key points and NOT just another Executive Summary.

Recommendations

These are suggestions for possible actions based on the research. Recommendations to business community or other relevant groups as appropriate

11.10 Field Report

Field reports are reports that may be written in an office environment, but list results and other data obtained from a field. They are sometimes called field trip reports. An example of a field report would be a report written about observations during a study tour or excursion. This could be a report put together from notes taken literally in a field. But there are other types of field reports. A company may send an employee to various branches of the organization to collect information about how each branch functions in relation to the organizational network. For any field report, there are steps that you can take to help ensure that yours is effective and professional.

The steps followed in writing a field report

1. Take good notes when you're on your trip. List dates with each observation you make. If the weather or any other factor has an influence on what you're observing, note the factor for inclusion in the report. If you do any interviews, write the names of interviewees and their job titles or function.
2. Begin writing your report after your field trip. Start by writing your name, the date, and a title of the report. The title could simply be "Field Trip" followed by the date. If the field trip had a specific purpose, this should be included in the title.
3. Follow the title with a statement about why the field trip was made, the date(s) of the trip and a general summary of the observations or results from the trip. This can be under a section header such as "Overview."
4. Write the body of the report. It can be written in a number of different ways, depending on the context of your trip. You could use an organizational structure such as the types of activities that were performed, the names of people interviewed or the species of animal that were observed. If nothing comes to mind, use a simple chronological order and write about what occurred day by day.
5. Finish your field report with a conclusion. This can be of a personal nature but can be supported by the data and observations that were introduced in the body of the report.

The structure of reports depends on the type of a report for example:

a) Letter format/form

- Suitable for informal reports
- It should start with the heading/title, address, date, salutation

The body should have:

- Introduction – this shows the terms of reference for example who, what, when, deadline and statement of submission
- Procedure that is the methods used to gather information
- Findings that are the Facts, the use headings and numbering
- Conclusion (deductions) that is the logical implications of the findings

- Recommendations that are the suggestions for action to rectify a problem/decision making
- Complimentary close with the Signature, Name and Designation

b) Memorandum

MEMORANDUM

To: Date

From: (Title)

Ref:

Subject:

Terms of Reference

Procedure

Findings

Conclusion

Recommendations

Report Compiled by: Signature - Name

c) Schematic Format

A report written using the schematic format should consist of the following six major sections:

- Title
- Terms of reference
- Procedures e.g., in order to obtain the necessary information, the following procedures were adopted/used.
- Findings Facts/objective – use headings/ numbering
- Conclusion deductions/logical implications of the findings
- Recommendations (which must be based on the findings and Suggestions of action that should be taken to solve a problem or help in decision making.

The report should also bear a statement 'Report compiled by: followed by the Signature, Name and Designation of the writer, and the Date.

11.11 Learning Activities

You have been appointed the Communications and Customer Service Officer for Jambo Global Logistics Ltd. The organization has different types of logistics customers based in different parts of East Africa who are involved with export and imports of cargo. As part of your orientation, you visited some customers and spoke to other son phone as you tried to understand their expectations. From your engagement you have identified various issues and would like to communicate and recommend to management.

Required:

1. Identify the type of report you will write to management
2. Indicate the structure and possible contents for the report to management
3. Draft the contents of the report – at least a 5-page report.

11.12 Self-Assessment Questions and Activities

1. What are the uses of reports in business organizations?
2. What types of reports can be generated in the freight and logistics sector?
3. What are the key issues to consider when developing a report?

11.13 References

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- b) Locker, K. and Kaczmarek, S. (2013). Business Communication: Building Critical Skills, 6th Edition. McGraw Hill Education
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UNIT 2:

NUMERACY SKILLS

Table of contents

UNIT 2: NUMERACY SKILLS	84
1.0 UNIT OVERVIEW	84
1.1 .. Unit Description	84
1.2 .. Unit Summary Learning Outcomes	84
2.0 WHOLE NUMBERS AND FAMILIAR FRACTIONS, DECIMALS AND PERCENTAGES FOR WORK	84
2.1 .. Specific Learning Outcomes	84
2.2 .. Whole Numbers	84
2.3 .. Fraction	85
2.4 .. Decimals	86
2.5 .. Percentages	89
2.6 .. References	90
3.0 ESTIMATION, MEASUREMENT AND CALCULATION WITH ROUTINE METRIC MEASUREMENTS FOR WORK	91
3.1 .. Specific Learning Outcomes	91
3.2 .. Approximation	91
3.3 .. Perimeter	92
3.4 .. Rate	93
3.5 .. Proportion	93
3.6 .. References	95
4.0 ROUTINE MAPS AND PLANS FOR WORK	96
4.1 .. Specific Learning Outcomes	96
4.2 .. Scale Drawing, I Maps	96
4.3 .. Scale Diagrams	96
4.4 .. Bearing and Distance	97
4.5 .. References	98
5.0 INTERPRETATION, DRAWING AND CONSTRUCTION OF 2D AND 3D SHAPES FOR WORK (MODEL MAKING)	99
5.1 .. Specific Learning Outcomes	99
5.2 .. Dimensional Objects - 2D Shapes	99
5.3 .. 3D Shapes	99
5.4 .. Nets for 3-Dimensional Shapes	100
5.5 .. References	100
6.0 INTERPRETATION OF ROUTINE TABLES, GRAPHS AND CHARTS	101
6.1 .. Specific Learning Outcomes	102
6.2 .. Tables and Graphs	102
6.3 .. Line Graphs	102
6.4 .. Travel Graphs	103
6.5 .. Bar Graphs	104
6.6 .. References	104
7.0 COLLECTION OF DATA AND CONSTRUCTING ROUTINE TABLES AND GRAPHS FOR WORK	105
7.1 .. Specific Learning Outcomes	106
7.2 .. Meaning of Statistical Data	106
7.3 .. Sources of Data	106
7.4 .. Methods of Collecting Data	107
7.5 .. Frequency Distribution Table	113
7.6 .. Methods of Tabulating Data	114
7.7 .. Constructing Routine Tables and Graphs for Work	116
7.8 .. References	124
8.0 USE BASIC FUNCTIONS OF CALCULATOR	125
8.1 .. Specific Learning Outcomes	125
8.2 .. General Layout of the Calculator	125
8.3 .. Basic Operations on Scientific Calculator	126
8.4 .. Indices, Logarithms and Antilogarithms	128
8.5 .. Statistics	129
8.6 .. References	134

LIST OF ABBREVIATIONS AND ACRONYMS

UNIT 2: NUMERACY SKILLS

1.0 UNIT OVERVIEW

1.1 Unit Description

This unit covers the competencies required to perform numerical functions. The person who is competent in this unit shall be able to: Calculate with whole numbers and familiar fractions, decimals and percentages for work; Estimate, measure, and calculate with routine metric measurements for work; Use routine maps and plans for work; Interpret, draw and construct 2D and 3D shapes for work; Interpret routine tables, graphs and charts for work; Collect data and construct routine tables and graphs for work; and Use basic functions of calculator.

1.2 Unit Summary Learning Outcomes

At the end of the unit, the trainee should be able to:

1. Calculate with whole numbers and familiar fractions, decimals and percentages for work
2. Estimate, measure and calculate with routine metric measurements for work
3. Use routine maps and plans for work
4. Interpret, draw and construct 2D and 3D shapes for work
5. Interpret routine tables, graphs and charts for work
6. Collect data and construct routine tables and graphs for work
7. Use basic functions of calculator

2.0 WHOLE NUMBERS AND FAMILIAR FRACTIONS, DECIMALS AND PERCENTAGES FOR WORK

2.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- i. Interpret of whole numbers, fractions, decimals, percentages and rates
- ii. Calculate involving several steps
- iii. Calculate with whole numbers and routine or familiar fractions, decimals and percentages
- iv. Converse between equivalent forms of fractions, decimals and percentages
- v. Apply order of operations to solve multi-step calculations

- vi. Apply problem-solving strategies
- vii. Make estimations to check reasonableness of problem-solving process, outcome and its appropriateness to the context and task
- viii. Use of formal and informal mathematical language and symbolism to communicate the result of a task

2.2 Whole Numbers

2.2.1 Overview of Whole Numbers

Whole number are digits 0,1,2,3,4,5, 6,.....

There are **counting numbers** which are digits 1,2,3, 4,..... Note that this does not include zero.

Both Whole numbers and Counting Numbers are referred to as **Natural numbers**

2.2.2 Operation on Whole Numbers

Addition

$$21+30=51$$

Subtraction

$$2753 - 376=2,377$$

Multiplication

- i) A health centre distributes 2 689 bottles of hand washing soap every month. How many bottles does the health centre distribute in 3 years?

$$\begin{array}{r} 2\ 689 \\ \times \quad 36 \\ \hline 16134 \text{ (} 2689 \times 6 \text{)} \\ 80670 \text{ (} 2689 \times 30 \text{)} \\ \hline 96804 \end{array}$$

Division

Work out : $1769 \div 32$

$$\begin{array}{r} 55 \\ 32 \overline{) 1769} \\ \underline{-160} \\ 169 \\ \underline{-160} \\ 9 \end{array}$$

Here 55 is the quotient and 9 is the remainder.

$$\begin{array}{r}
 29 \\
 124 \overline{) 3654} \\
 \underline{-248} \\
 1174 \\
 \underline{-1116} \\
 58
 \end{array}$$

Digital Corner

Using a digital device open the link; <https://www.iknowit.com/lessons/d-division-3-digit-dividends-with-3-digit-quotients.html>. Work out division exercises on the link. The trainee should click on “Hint” Button to display various division methodologies so as to effectively acquire the competence of division operation.

2.3 Fraction

By dividing a whole, a portion of the whole is called a fraction. Consider an orange which is cut into four equal parts. Each piece of the whole is called a Fourth/quarter i.e. $\frac{1}{4}$. Therefore, is a fraction where a , and b , are numbers. a which is the number on top and indicate the number of parts is called numerator and b which is the number at the bottom and show the numbers of parts the whole is divided into is called denominator

Fractions can be classified into categories:

i) Proper fraction: Under proper fraction, the numerator of the fraction is smaller than the denominator of the fraction. Examples of proper fractions are among others.

ii) Improper fraction: A fraction where numerator is larger than the denominator is referred to as improper fraction. Examples of improper fractions include among others.

iii) Mixed fraction or mixed number:

A Mixed fraction comprise of a whole number and a fractional part. Examples of mixed fractions include 3 , 1, 18 among others.

In order to compare fractions in terms of their magnitude, one has to obtain Lowest Common Multiple for the denominators as given.

Comparing fractions

Use illustration of a rectangle divided into 2, 3 and 4 parts and shade a part of the numerator to show comparison where;

$$\frac{1}{2} = \frac{3}{6} = \frac{4}{8}$$

From the illustration you will realize that fractions $\frac{1}{2}$, $\frac{3}{6}$, and $\frac{4}{8}$ are equivalent fractions.

Example.

Which of the fractions, $\frac{2}{3}$ and $\frac{3}{4}$ are greater?

Equivalent fraction $\frac{2}{3} = \frac{8}{12}$ and $\frac{3}{4} = \frac{9}{12}$, therefore is greater than $\frac{8}{12}$ and so $\frac{3}{4}$ is greater than $\frac{2}{3}$.

Arranging Fractions in Order; descending or Ascending

Operation On Fraction

i) Addition of mixed fractions

Example 1

Work out the following fractions.

$$2\frac{3}{5} + 4\frac{3}{4}$$

$$\begin{aligned}
 2\frac{3}{5} + 4\frac{3}{4} &= \frac{13}{5} + \frac{19}{4} \text{ (Convert the fractions into improper fractions)} \\
 &= \frac{52+95}{20} \text{ (Determine the LCM of 5 and 4 and add improper fraction)}
 \end{aligned}$$

$$= \frac{147}{20}$$

$$= 7\frac{7}{20}$$

$$2\frac{3}{5} + 4\frac{3}{4} = 7\frac{7}{20}$$

Zawadi bought $5\frac{4}{5}$ of oranges and $4\frac{1}{4}$ of mangoes. What is the total mass of the fruits bought?

$$\begin{aligned}
 5\frac{4}{5} + 4\frac{1}{4} &= (5 + 4) + (5\frac{4}{5} + 4\frac{1}{4}) \text{ (Add whole numbers)} \\
 &= 9 + \frac{4}{5} + \frac{1}{4} \\
 &= 9 + \frac{16+5}{20} \\
 &= 9 + 1\frac{1}{20} \\
 &= 10 + \frac{1}{20}
 \end{aligned}$$

ii) Subtraction of mixed fractions

Work out the following fractions.

Subtract $3\frac{1}{2}$ from $5\frac{2}{3}$.

$$5\frac{2}{3} - 3\frac{1}{2} = \frac{17}{3} - \frac{7}{2} \text{ (Convert fraction into improper fractions)}$$

$$\begin{aligned}
 &= \frac{34-21}{6} \quad (\text{Subtract the improper fraction using LCM of denominators}) \\
 &= 13/6 \\
 &= 2\frac{1}{6}
 \end{aligned}$$

Multiplication and Division of Fractions

Work out the following fractions.

Example 1

$$\begin{aligned}
 3\frac{3}{7} \times 2\frac{4}{5} &= 24/7 \times 14/5 \\
 &= 48/5 \\
 &= 9\frac{3}{5}
 \end{aligned}$$

Example 2

i) Simplify $6\frac{1}{3} + 5\frac{1}{9} - 2\frac{2}{7}$

Solution:

The whole number part = $6 + 5 - 2 = 9$

Considering the fractions

$$1/3 + 1/9 - 2/7$$

The LCM of 3, 9 and 7 is 63

For fractional parts we have $21/63 + 7/63 - 18/63 = 10/63$

Now, combining the whole number part, we have $9 + 10/63 = 9\frac{10}{63}$

Alternatively;

$$\begin{aligned}
 6\frac{1}{3} + 5\frac{1}{9} - 2\frac{2}{7} &= 6 + 5 - 2 + (1/3 + 1/9 - 2/7) \\
 &= 9 + \frac{(21+7-18)}{63} \\
 &= 9 + 10/63 \\
 &= 9\frac{10}{63}
 \end{aligned}$$

Order of operations on fractions (Combined Operations)

1. Evaluate.

$$\frac{1}{2} \left(\frac{3}{5} + \frac{1}{4} \left(\frac{7}{3} - \frac{3}{7} \right) \right) \text{ of } 1\frac{1}{2} \div 5$$

Use Bodmas to solve.

$$= \frac{1}{2} \left(\frac{3}{5} + \frac{1}{4} \left(\frac{40}{21} \right) \right) \text{ of } 1\frac{1}{2} \div 5$$

$$= \frac{1}{2} \left(\frac{3}{5} + \frac{1}{4} \times \frac{40}{21} \times \frac{3}{2} \div 5 \right)$$

$$= \frac{1}{2} \left(\frac{3}{5} + \frac{10}{21} \times \frac{3}{2} \div 5 \right)$$

$$= \frac{1}{2} \left(\frac{3}{5} + \frac{5}{7} \div 5 \right)$$

$$= \frac{1}{2} \left(\frac{3}{5} + \frac{5}{35} \right)$$

$$= \frac{1}{2} \left(\frac{21+5}{35} \right)$$

$$= \frac{1}{2} \times \frac{26}{35}$$

Digital Corner

Use digital device to open the link <https://www.mathgames.com/skill/5.87-multiply-a-mixed-number-by-a-fraction>. Play the digital games on fractions. The trainee can select any other relevant digital content outlined in the syllabus and practise on operation on fractions.

2.4 Decimals

A fraction whole denominator is written as power to 10 is called a decimal fraction. Consider $3/10$, $4/100$, $17/1000$. These all are decimal fractions and they have a special way of been written i.e. 0.3, 0.04, 0.017 which are simply referred to as **Decimals**

The Dot in the notation is the **decimal point** such that the number is said to be **Zero point three**.

Then, if a number is 8.3, it means $8 + 3/10$

Conversion of Fractions and Decimals

Convert fractions into decimals

Example 1

Express each of the following fractions into decimals.

$$1. \frac{5}{10} = 0.5$$

$$2. \frac{6}{20} = \frac{6 \times 5}{20 \times 5} = \frac{30}{100} = 0.3$$

Conversion of decimals into Fractions

$$1. 0.04 = \frac{0.04}{1} \times \frac{100}{100} = \frac{4}{100}$$

$$\begin{aligned} 2. 0.314 &= \frac{3}{10} + \frac{1}{100} + \frac{4}{1000} \\ &= \frac{300}{1000} + \frac{10}{1000} + \frac{4}{1000} \\ &= \frac{314}{1000} \end{aligned}$$

Meaning of decimals

Decimals are fractions, which have denominators of 10, 100 and so on, according to the position of the figure after the decimal point. The dot, also called the decimal point, separates the whole numbers from the fractional parts. The importance of the decimal point is noted whenever exact placing of numbers is required for addition.

For instance $667.67 = 600 + 60 + 7 + \frac{6}{10} + \frac{7}{100}$

Operations on decimals

Addition and subtraction of decimals is performed the same way whole numbers are manipulated. Addition and subtraction are carried out correctly when the digits involved are arranged according to their place values.

Example:

- i) Evaluate $7.934 + 3.208 + 2.6 - 1.425$

Solution:

Given the problem $7.934 + 3.208 + 2.6 - 1.425$

Consider the addition first

$$\begin{array}{r} \text{Then,} \quad 7.934 \\ + 3.208 \\ \hline 2.6 \\ \hline 13.742 \\ - 1.425 \\ \hline 12.317 \end{array}$$

Recurring Decimals

Sometimes in division, the result may be a number with a digit or a group of digits repeating continuously without ending. Such decimal fractions are called recurring decimals.

Example:

Work out and

The answers are $0.33333\ldots$ and $0.454545\ldots$

You have realized that in the first case the digit 3 is recurring and in the second case digits 45 are recurring.

In mathematics then we indicate recurring by putting a dot on the top of the recurring digit(s) or in the first and the last digit in the pattern.

Consider

$= 0.324324324\ldots$ in this case the recurring numbers are 324. So the dot is placed on top of 3 and 4.

Decimal place

By dividing a number, the process may go on and on without ending. In such a case, you may be required to round off the answer. Rounding off is done to the require digit on the right side of decimal. This is called **decimal place**.

Example

1.5 1.3 = 1.15384615.....

The answer may be rounded off to

- And so on 1.2 to the nearest tenth (1 decimal place)
- 1.15 to the nearest hundredth (2 decimal place)
- 1.154 to the nearest thousandth (3 decimal place)

Converting Recurring Decimals to Fractions

Steps in Converting Recurring Decimals to Fractions

- Let x = Recurring decimal
- Let n = The recurring digits
- Multiply the recurring decimal by 10^n
- Subtract (1) from (3) to eliminate the recurring part
- Solve for x, expressing your answer as a fraction in its simplest form

Example 1

Convert 0.7777 to fraction form.

$$\text{Let } x = 0.7777$$

$$10x = 7.777$$

$$10x - x = 7.7777 - 0.7777$$

$$9x = 7$$

$$x =$$

Example 2

Convert 3.2727 to fraction form.

$$\text{Let } x = 3.2727$$

$$\text{Let } 100x = 327.2727$$

$$100x - x = 327.2727 - 3.2727$$

$$99x = 324$$

$$x = \frac{324}{99}$$

$$= \frac{36}{11}$$

Standard form

If a number is expressed in form of $A \times 10^n$ then, this is called standard form.

Example

Write the numbers in standard form.

I. 36

$$36 = \frac{36}{10} \times 10 = 3.6 \times 10^1$$

II. 0.052

$$0.052 = 0.052 \times \frac{100}{100}$$

$$= 5.2 \times \frac{1}{100}$$

$$= 5.2 \times (10^{-2})$$

$$= 5.2 \times 10^{-2}$$

Operation on decimals

Example 1

Work out: $117.1271 + 122.3913$

Figure 1

Hun- dred	Tens	Ones	Dec- imal Point	Tenths	Hun- dredths	Thou- sandths	Ten Thou- sandths
1	1	7	.	1	2	7	1
+ 1	2	2	.	3	9	1	3
2	3	9	.	5	1	8	4

Application of Whole Numbers in problem-solving process, outcome and its appropriateness to the context and task

2.5 Percentages

This is simply a part of 100. Normally written are %. Consider a student score of. Then the percent is 60%.

Converting Fractions and Decimals into percentages

Example

Change $\frac{2}{5}$ into percentage

$$\frac{2}{5} = \frac{*}{100}$$

$$* = \frac{2}{5} \times 100$$

$$= 40\%$$

Example 2

Convert 0.67 into percentage.

$$0.67 = \frac{67}{100} \times 100$$

$$= 67\%$$

Percentage Increase and Decrease

A quantity can be expressed as a percentage of another by first writing it as a fraction of a given quantity.

Example

A farmers harvested 250 bags of maize in a given season. If he sold 200 bags, what percentage of his crop does this represent?

Solution

Let x be the percentage sold.

$$\text{Then, } \frac{x}{100} = \frac{200}{250}$$

$$\text{So, } x = \frac{200}{250} \times 100$$

$$= 80\%$$

Percentage Increase

A man earning Ksh. 4,800 per month is given a 25% pay rise. What will be the new salary?

Solution.

$$\text{New salary} = \frac{25}{100} \times 4800 + 4800$$

$$= 1200 + 4800$$

$$= \text{Ksh. 6,000}$$

Percentage Decrease

A dress was costing Ksh. 1200 and now the same dress is costing Ksh. 960. What is the percentage decrease?

Solution

$$\text{Decrease in cost} = 1200 - 900 = \text{Sh. 240}$$

$$\text{Percentage decrease} = \frac{240}{1200} \times 100$$

$$= 20\%$$

2.6 References

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3.0 ESTIMATION, MEASUREMENT AND CALCULATION WITH ROUTINE METRIC MEASUREMENTS FOR WORK

3.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- Select and interpretation of measurement information in workplace tasks and texts
- Identify and select of routine measuring equipment
- Estimate and making measure using correct units
- Estimate and calculation using routine measurements
- Perform conversions between routinely used metric units
- Use problem solving processes to undertake tasks
- Record information using mathematical language and symbols

3.2 Approximation

Consider a situation where numbers may not be given in exact figures. For example, in a place where people invited to a party is 250, the actual number could fluctuate between 240 and 260.

In this case, then, the approximate number is 250. Approximations involves rounding off and Truncations.

Rounding Off

Example Round off 395.184 to

- Nearest hundreds
- Four significant figure
- Nearest whole number
- Two decimal place

Solution

- 400
- 395.2
- 395
- 395.18

Truncation

This is simply cutting off numbers to required decimal places or significant figures and ignoring the rest.

Example 1

Truncate 3.246 to 2dp

Solution

3.24 (Note that there is no rounding off)

Example 2

Truncate 561.7 to 2 Significant Figures

Solution

560 (note that zero is no counted)

Estimation

This is rounding off numbers so as to carry out calculations faster and get an approximate answer. The is meant to check the actual answer.

Example.

Estimate the answer to

$$\frac{152 \times 269}{32}$$

Solution.

The answer should be close to:

$$\frac{152 \times 269}{32} = 1,350$$

The exact value is 1277.75 and if rounded off, it is 1300 which is a close estimate to the answer.

Accuracy and Errors

In routine life, we encounter measurements such as:

- Capacity of a water tank
- Length of a rope
- Mass of baby
- Room temperature
- Time taken

Instruments for measuring include:

- A calibrated container for measuring capacity
- A ruler (cm or m) for measuring Length
- A balance and weighing machine for Measuring Mass and weight
- Thermometer for measuring temperature.
- Watch is used to measure time.

In using these instruments, there will be always a differences between the measured value and the actual value. Hence the measured value is always taken to be the approximates or the estimates of

the actual value. The differences between the actual value and the measured value are called the **error**.

For accuracy, instruments such as micrometer screw gauge and Vernier calliper measure length more accurately than a ruler. Similarly, digital stop watch measures time to a higher accuracy than a wall clock. Again an electronic balance gives more accuracy of mass than ordinary balance.

Absolute Error

When a measurement is state as 3.6cm, then it lies between 3.55 and 3.65cm

Then, the greatest error is $3.55 - 3.6 = -0.05$
or $3.65 - 3.6 = +0.05$

But we are going to ignore (\pm) sign simply because we are interested with only size of a possible error.

So, if we give the possible error without negative) then this becomes an **absolute error**.

Example

When a measurement is stated as 2.348 cm. then the measurement is to the nearest thousandths of a cm (0.001) and the absolute error will be as follows:

$$\frac{1}{2} \times 0.001 = 0.0005$$

Then, absolute error of a stated measurement is half of the least unit of measurement used.

Length

This is the measurement between two point. The standard unit of measuring length is the Metre.

Conversion of units of length

- 1 Kilometre (KM) = 1000metres
- 1 Hectometre (HM) = 100metre
- 1 Decametre (DM) = 10 metres
- 1 Decimetre (dm) = $\frac{1}{10}$ metres
- 1 Centimetre (CM) = $\frac{1}{100}$ metres
- 1 Millimetre (MM) = $\frac{1}{1000}$ metres.

Significant Figures

The accuracy considered while stating or writing a measurement may depend on its size. For example, the distance between town A and B may not be realistic to state as 153.27KM, in most cases we say 153KM. This is the distance expressed in 3 significant figures.

Conversion of Unit of measurement to meters

Example

Add and express the in metres
1.3km, 17m 12cm, 0.5Dm

Solution

$$1.3\text{km} = 1.3 \times 1000 = 1300\text{m}$$

$$17\text{m } 12\text{cm} = 12\text{ cm} = 0.12 = 17 + 0.12 = 17.12\text{m}$$

$$0.5\text{ Dm} = 0.5 \times 10 = 5\text{m}$$

$$1300\text{m} + 17.12\text{m} + 5\text{m} = 1321.12\text{ m}$$

3.3 Perimeter

This is the total length of boundaries of a plane figure. It is expressed in the units of length.

Perimeter of rectangle shapes.

If a rectangular has a length of l units and width of b units, then the formulae for its perimeter p is

$$P = 2(l + b)$$

Perimeter of a square shapes

The perimeter can be expressed as $(l \times 4)$

Perimeter of triangular shapes

If the length of sides of a triangle is a , b and c , then the perimeter p is

$$P = (a + b + c)$$

Perimeter of a circle

The formulae for finding the circumference of a circle is

$C = \pi d$ where $\pi = \frac{22}{7}$ and d is the diameter of the circle.

Example

Find the circumference of a circle whose radius is 7cm.

Solution

Circumference	=	πd
	=	$2r$
	=	$\frac{22}{7} \times 2 \times 7$
	=	44 cm

Length of an arc

The arc of circle is part of the circumference.

To find the length l of an arc of a circle which subtends an angle θ at the centre of the circle is given as

$$l = \frac{\theta}{360} \times 2\pi r$$

Example

An arc of a circle subtends an angle of 60 at the centre of the circle. Find the length of the arc if its radius is 42cm. take ($\pi = \frac{22}{7}$)

Solution.

$$\begin{aligned} l &= \frac{\theta}{360} \times 2\pi r \text{ and } \theta = 60^\circ \\ &= \frac{60}{360} \times 2 \times \frac{22}{7} \times 42 \\ &= 44 \text{ cm} \end{aligned}$$

3.4 Rate

This is comparison of one quantity with another which is of a different kind. For instance, if a car takes 2hrs to cover a distance of 160 Kilometres, then the rate of the car is 80km/hr. Again if a bag of maize is Ksh. 2700, then the rate is Ksh. 30 per Kilo gram.

Ratio

Definition of Ratio

A ratio is a comparison between two (2) similar quantities. It is a numerical way of comparing quantities of the same kind. Ratios express quantities in the same units.

For instance, if two (2) quantities are in the ratio of three (3) to four (4) (generally written as 3:4); the first is $\frac{3}{4}$ of the second. It is important to note that, before one quantity can be expressed as a fraction or a ratio of another, both quantities must be in the same unit(s).

The idea of ratios can be extended to cover more than two (2) quantity relationships. Thus, if three (3) weights are in the ratio 1:2:3, this means that, the second is twice the first and the third is three times the first. Additionally, to divide a quantity into parts in the ratio, say 2:4:7, then the first part should contain 2 units, the second 4 units and the third part 7 units; that is, the whole must be divided ($2+4+7$) = 13 units. The first part is then, the second and the third of the whole.

This is a way of comparing two similar quantities. For instance, if Ali is 10 years old, and his brother Bashir is 14 years old, then Ali's age is $\frac{10}{14}$ of Bashir's age and therefore we say their ages are in ratio of 10 to 14. Also written as 10:14.

Example

- i) Divide 1400 kg in the ratio 1:2:3.

Solution:

The quantity should be divided into $(1+2+3) = 6$ units

$$\begin{aligned} \text{The first part} &= \frac{1}{6} \text{ of } 1400 \text{ kg} \\ &= \frac{1}{6} \times 1400 \text{ kg} \\ &= 233.33 \text{ kg} \end{aligned}$$

$$\begin{aligned} \text{The second part} &= \frac{2}{6} \text{ of } 1400 \text{ kg} \\ &= \frac{2}{6} \times 1400 \text{ kg} \\ &= 466.67 \text{ kg} \end{aligned}$$

$$\begin{aligned} \text{The third part} &= \frac{3}{6} \text{ of } 1400 \text{ kg} \\ &= \frac{3}{6} \times 1400 \text{ kg} \\ &= 700 \text{ kg} \end{aligned}$$

3.5 Proportion

This is comparison of two or more ratios. For example, if a, b and c are three numbers such that their ratio $a:b:c = 2:3:5$, then, a, b and c are said to be proportional. And their interpretation for relationship should be $\frac{2}{a} = \frac{3}{b} = \frac{5}{c}$.

Example 1.

If $a:b = 3:4$, and $b:c = 5:7$, work out $a:c$

$a:b = 3:4$

$$\frac{a}{3} = \frac{b}{4}, a = \frac{3b}{4}$$

$$b:c = 5:7,$$

$$\frac{b}{5} = \frac{c}{7}$$

$$c =$$

$$a:b:c = \frac{3b}{4} : b : \frac{7b}{5}$$

(Multiply ratios by 20 to eliminate fractions)

$$= 15b : 20b : 28b \text{ (Divide the ratios by } b)$$

$$a:b:c = 15 : 20 : 28$$

$$\text{Therefore } a:c = 15:28$$

Increase and decrease in a given ratio

This is where we give the ratio in fraction then multiply by the quantity.

Example 1

Increase 20 in the ratio 5:4

$$\begin{aligned}\text{The increased Quantity} &= \frac{5}{4} \times 20 \\ &= 25\end{aligned}$$

Example 2

Decrease the 45 in the ratio 7:9

$$\begin{aligned}\text{The decreased Quantity} &= \frac{7}{9} \times 45 \\ &= 35\end{aligned}$$

Comparison of Ratios

For one to compare ratio, then the ratios are converted to fraction and then they are compared.
Consider $a:b = \frac{a}{b}$

Example

Which ratio is greater. 2:3 or 4:5

$$2:3 = \frac{2}{3} \quad \text{and} \quad 4:5 = \frac{4}{5}$$

$\frac{2}{3} = \frac{10}{15}$ and $\frac{4}{5} = \frac{12}{15}$ then, is greater and so the ratio $4:5 > 2:3$

Distributing Quantities in a Given Ratio

This is dividing quantity in a given ratio. $a:b:c$. then a will have $\frac{a}{a+b+c}$ and b; $\frac{b}{a+b+c}$

and c will have $\frac{c}{a+b+c}$

Example

72 hectares of land is divided among three sons in the ratio 2:3:4

Solution

Total part will be $2+3+4=9$

Then the first son will have $\frac{2}{9} \times 72 = 16\text{ha}$

$$\frac{3}{9} \times 72 = 24\text{ha}$$

$$\frac{4}{9} \times 72 = 32\text{ha}$$

Direct and Inverse Proportion

i) Direct Proportion

If two quantities are such that when one quantity increase/decreases, the other one also increases/decreases.

Example

If the cost of 1 cup is Ksh.100 then the cost of 3 such cups will be Ksh. 300

(if the number of cups increase, the cost increases also.)

ii) Inverse proportion.

If two quantities are in such a manner that when one increases/decrease the other decrease/increase.

Example

Consider dividing Ksh. 1200 among a number of students. If the number is 2 each student will take Ksh. 600. But if you are dividing among 3, each takes Ksh. 400 and for 4 each Ksh. 300.

(As the number of student increase, the amount each gets decreases)

3.6 References

- Bittinger, L. M., Beecher, J. A. & Johnson, B. L. (2019). Basic College Mathematics, 13th Edition. Pearson.
- Lial, M. L., Hornsby, J., McGinnis, T., Salzman, S. A. & Hestwood D. L. (2016). Basic Math, Introductory and Intermediate Algebra. Pearson.
- Booth D. J. (1995). *Maths Made Easy*. Chapman and Hall/CRC – Routledge Taylor and Francis
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- Miller, J., O'Neill, M. & Hyde, N. (2015). Basic College Mathematics, 3rd Edition. McGraw Hill.

4.0 ROUTINE MAPS AND PLANS FOR WORK

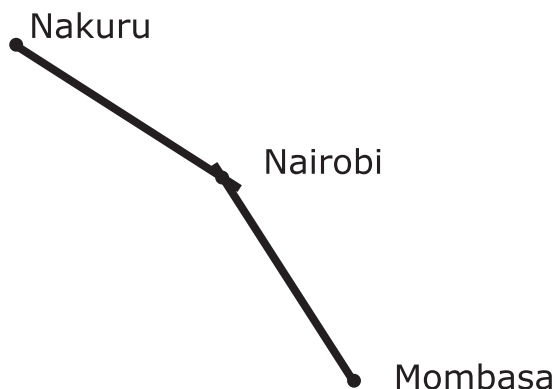
4.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- Identify of features in routine maps and plans
- Use Symbols and keys used in routine maps and plans
- Identify and interpret of orientation of map to North
- Demonstrate understanding of direction and location
- Apply simple scale to estimate length of objects, or distance to location or object
- Give and receive directions using both formal and informal language

4.2 Scale Drawing, I Maps

Consider the illustration.



The distance between Nakuru and Nairobi is 142Km and from Nairobi to Mombasa is 450 Km. But if you can measure the distance in the illustration, you realize that certain length on the paper will represent a given distance on actual ground. Say, 1 cm rep 50km. and because 50km is equal to 5 000 000 cm, then, the statement is written in ratio 1: 5 000 000.

Therefore, the ratio of distance on a map to the actual distance on the ground is called scale of a map.

The types of scales are:

- Statement scale e.g. 1cm rep 50Km
- Ratio scale e.g. 1: 5,000,000 also called Representative Fraction (R.F) = $\frac{1}{5,000,000}$
- Linear scale e.g. the one used in rulers (where there is division of a line into equal parts)

Example 1

The scale of map is give in a statement 1cm rep 4km. convert this to representative fraction.

Solution

1cm rep 4 × 1000cm

Therefore the ratio is 1: 4000 or in R.F = $\frac{1}{4000}$

Example 2

The scale of a map is given as 1:250,000. Write this as a statement scale.

Solution

1: 250,000 means 1cm on the map represent 250,000 cm on the actual ground.

- Therefore, 1cm rep $\frac{250,000}{100,000}$, i.e 1cm rep 2.5 km

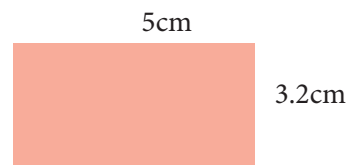
4.3 Scale Diagrams

Consider the length of a classroom 10cm by 6.4cm. These measurements can be represented on a paper by scale drawing.

By considering a scale of 1cm rep 2m then the dimensions will be = 5cm by

$$6.4/2 = 3.2 \text{ cm}$$

Figure 2



Suppose instead, you considered a scale of 1 cm rep 2.5 cm then the dimensions would be 10/2.5= 4 by 6.4/ 2.5= 2.56 (about 2.6)

Figure 3



Note: You may have observed that the bigger the scale the smaller the figure.

4.4 Bearing and Distance

captain while sailing and pilots while flying know direction by using magnetic compasses.

Points of compass

The four main points are North (N), West (W), East (E) and South (S).

The angle between the main points of compass are 90°

Compass bearing

When a direction a place from another is given in degree and in terms of the main points of compass, e.g., N 45° E, then the direction is said to be given in compass bearing. The angles are measured clockwise from North or anticlockwise from South.

True bearing

When measuring the degrees, the angles will be stated in three – figure bearing. E.g., N 45° E is stated as 045° . This is the **True bearing**.

Example

Kilo school is 12km from Sokomoko School on a bearing of 320° . Tiba dispensary is 10km from Kilo on a bearing of 120° . Find the compass bearing of Sokomoko from Tiba.

Solution.

4.5 References

- Bittinger, L. M., Beecher, J. A. & Johnson, B. L. (2019). Basic College Mathematics, 13th Edition. Pearson.
- Lial, M. L., Hornsby, J., McGinnis, T., Salzman, S. A. & Hestwood D. L. (2016). Basic Math, Introductory and Intermediate Algebra. Pearson.
- Booth D. J. (1995). *Maths Made Easy*. Chapman and Hall/CRC – Routledge Taylor and Francis
- Baratto, Bergman, and Hutchison (2014). Basic Mathematical Skills with Geometry, 9th edition. McGraw Hill.
- Miller, J., O'Neill, M. & Hyde, N. (2015). Basic College Mathematics, 3rd Edition. McGraw Hill.

5.0 INTERPRETATION, DRAWING AND CONSTRUCTION OF 2D AND 3D SHAPES FOR WORK (MODEL MAKING)

5.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- Identify two dimensional shapes and routine three dimensional shapes in everyday objects and in different orientations
- Explain the use and application of shapes
- Use formal and informal mathematical language and symbols to describe and compare the features of two-dimensional shapes and routine three dimensional shapes
- Identify common angles
- Estimate common angles in everyday objects
- Use formal and informal mathematical language to describe and compare common angles
- Use common geometric instruments to draw two dimensional shapes
- Construct routine three dimensional objects from given nets

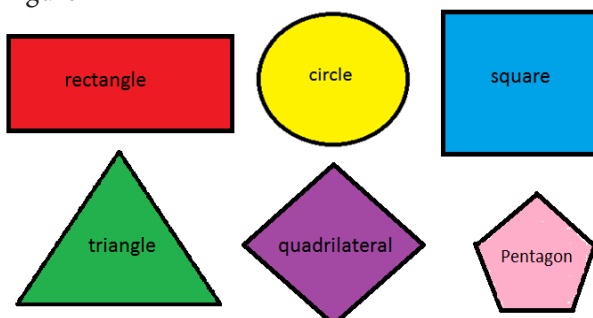
5.2 Dimensional Objects - 2D Shapes

In geometry, a shape or a figure with only length and width is a 2D shape. Their sides are only made of straight or curved lines. They are also called plane figures. Plane figures made of line are called **polygons**.

2D Shapes

Rectangle, circle, square, triangle, quadrilateral and pentagon are some examples of 2D shapes.

Figure 4



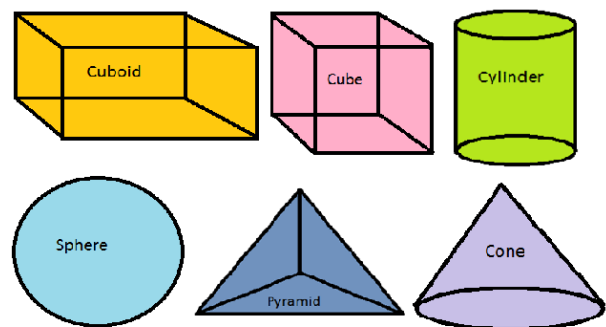
5.3 3D Shapes

One thing common in these objects is that they all have some length, breadth and height or depth. Thus they have three dimensions and so are known as 3D shapes. 3D shapes occupy space.

Examples of 3D shapes

Cuboid, cube, cylinder, sphere, pyramid and cone are a few examples of 3D shapes

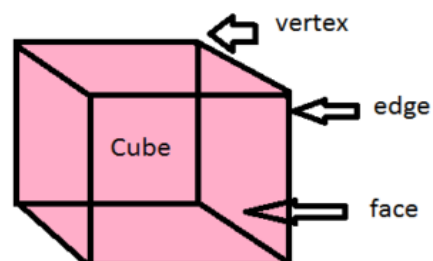
Figure 5



Faces, Edges, and Vertices

The object below is a cube.

Figure 6



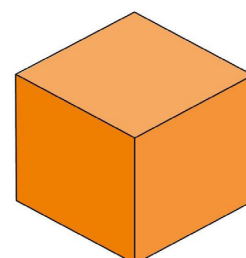
The corners of the cube are its vertices.

The 12 line segments that form the skeleton of the cube are its edges.

Activity 1

You will need an object that assumes a shape of a cube such as a carton box.

Figure 7



- How many faces does the carton have when

- open?
- How many faces does the carton have when closed?
 - How many vertices does the carton have?
 - How many edges does the carton have?

Digital Corner

Using a digital device, use the link below to watch digital content on 3-D Objects.

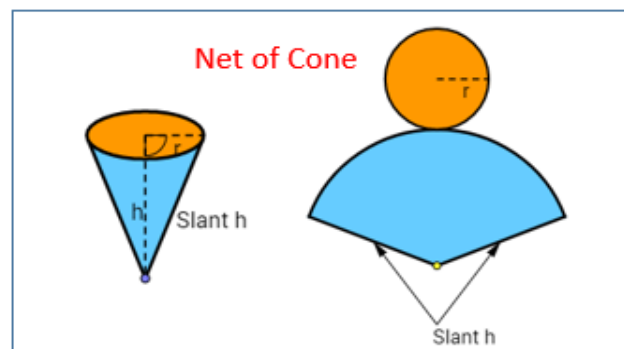
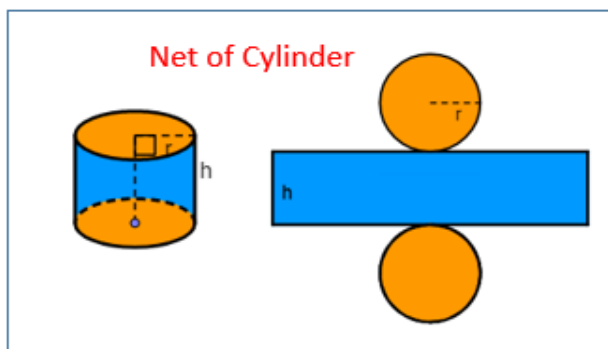
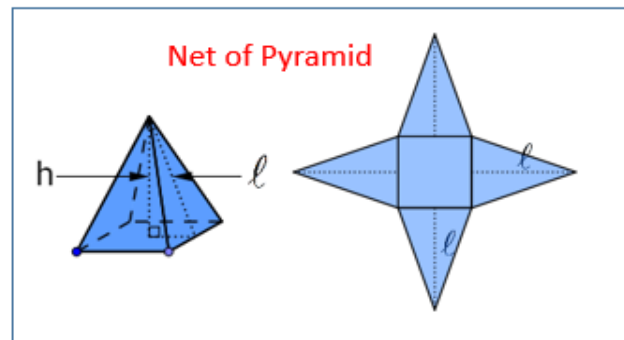
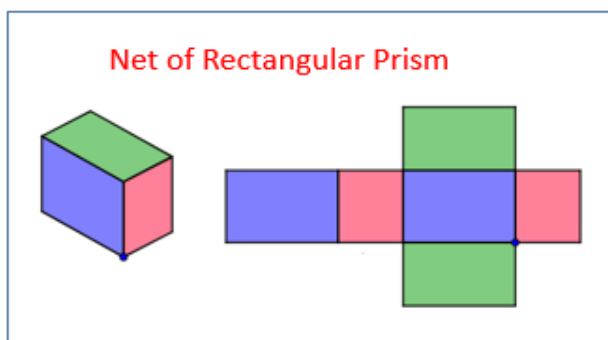
<https://www.youtube.com/watch?v=uVg-hvZhZUY>

5.4 Nets for 3-Dimensional Shapes

A net is a two-dimensional pattern of a three-dimensional figure that can be folded to form the figure.

Figure 8

Nets of 3-D Shapes



You require Manila Paper, Pair of Scissors, Marker pen and Cello tape/ Glue

Trace the above Net of 3-D shapes illustrated above and use appropriate Linear Scale Factor to enlarge the nets on a Manila paper. Use scissors to cut the enlarged 3-D nets and model the 3-D objects. Count the corresponding faces, vertices and edges.

5.5 References

Activity 2

- Bittinger, L. M., Beecher, J. A. & Johnson, B. L. (2019). Basic College Mathematics, 13th Edition. Pearson.
- Lial, M. L., Hornsby, J., McGinnis, T., Salzman, S. A. & Hestwood D. L. (2016). Basic Math, Introductory and Intermediate Algebra. Pearson.
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- Baratto, Bergman, and Hutchison (2014). Basic Mathematical Skills with Geometry, 9th edition. McGraw Hill.
- Miller, J., O'Neill, M. & Hyde, N. (2015). Basic College Mathematics, 3rd Edition. McGraw Hill.

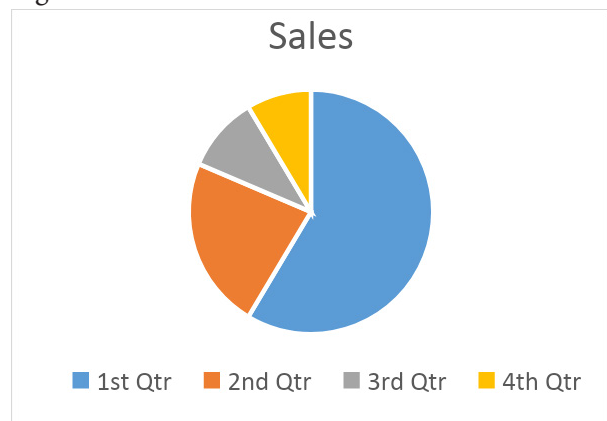
6.0 INTERPRETATION OF ROUTINE TABLES, GRAPHS AND CHARTS

6.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- Identify routine tables, graphs and charts in predominately familiar texts and contexts
- Identify common types of graphs and their different uses
- Identify features of tables, graphs and charts
- Perform calculations to interpret information

Figure 9



6.2 Tables and Graphs

Tables

They contain the statistical data.

Example

The table 1 below shows the number of animals in a certain ranch.

Table 1

Type of animals	Goats	Sheep	Cattle	Donkeys	Camels
Number of animals	40	35	65	15	39

- How many animals are there altogether?
194
- Which animals were the most? *Cattle*
- Which animals were the least? *Donkeys*
- How many more camels are there than sheep? *$39 - 35 = 4$ camels than sheep.*

Graphs

We use the information in the table and represents then on graphs.

The graphs include:

- Circle graphs (pie charts)
- Line graphs
- Travel graphs (used to show relationship between distance travelled and time.
- Bar graphs

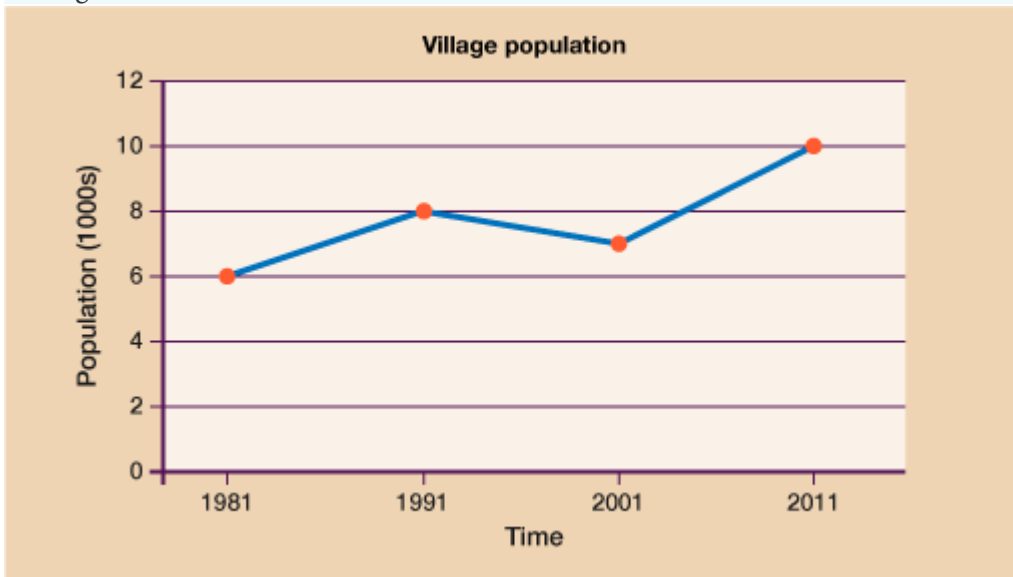
Circle graphs.

6.3 Line Graphs

Interpreting Line Graphs

The graph shows information about the population of a village in thousands.

Figure 10



Use the graph to answer the question.

- What was the population of the village in 1991? **8000**
- What was the increase in population from 1981 to 2011? $10000 - 6,000 = 4,000$.

Digital Corner

Use digital device to open the following link: <https://www.mathgames.com/skill/8.107-graph-a-line-from-a-function-table>.

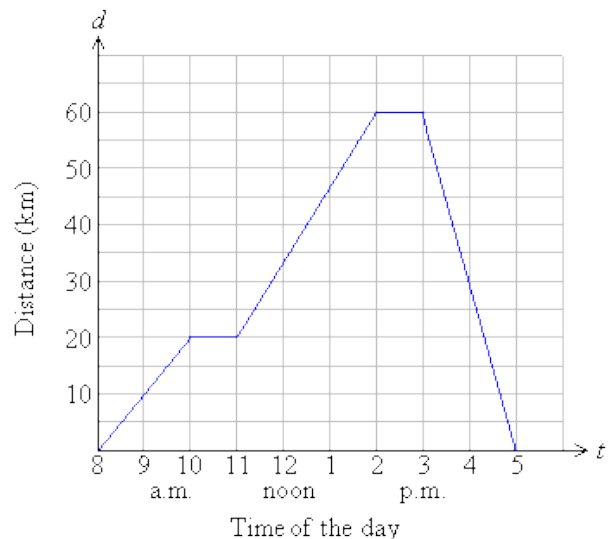
Plot digital lines graphs provided on the links. Trainee can select any other previously covered unit and interact with the content.

6.4 Travel Graphs

Example

The following graph gives the distance of a cyclist from his home.

Figure 11



- When did the cyclist leave home?
- When did the cyclist return home?
- How far away from home was he at 10 a.m.?
- How far away from home was he at 11 a.m.?
- How far away from home was he at 2 p.m.?
- How far away from home was he at 3 p.m.?
- At what times did he take a rest?
- How far away from home was he at noon?

- i) How far away from home was he at 5 p.m.?
- j) Find his speed from:
 - i) 8 a.m. to 10 a.m.
 - ii) 11 a.m. to 2 p.m.
 - iii) 3 p.m. to 5 p.m.
- k) When was the cyclist travelling most quickly?

Solution

- a) The cyclist left home at 8 a.m.
- b) The cyclist returned home at 5 p.m.
- c) At 10 a.m., he was 20 km away from home.
- d) At 11 a.m., he was 20 km away from home.
- e) At 2 p.m., he was 60 km away from home.
- f) At 3 p.m., he was 60 km away from home.
- g) The cyclist took a rest between 10 a.m. and 11 a.m. and between 2 p.m. and 3 p.m.
- h) At noon, he was about 33 km away from home.
- i) At 5 p.m., the cyclist was at home. So, he was 0 km away from home.

$$\begin{aligned}
 \text{j. (i) Speed from 8 a.m. to 10 a.m.} &= \frac{\text{Distance covered}}{\text{Time taken}} \\
 &= \frac{20 \text{ km}}{2 \text{ h}} \\
 &= 10 \text{ km/h}
 \end{aligned}$$

$$\begin{aligned}
 \text{j. (ii) Speed from 11 a.m. to 1 p.m.} &= \frac{\text{Distance covered}}{\text{Time taken}} \\
 &= \frac{40 \text{ km}}{3 \text{ h}} \\
 &= 13\frac{1}{3} \text{ km/h}
 \end{aligned}$$

$$\begin{aligned}
 \text{j. (iii) Speed from 3 p.m. to 5 p.m.} &= \frac{\text{Distance covered}}{\text{Time taken}} \\
 &= \frac{60 \text{ km}}{2 \text{ h}} \\
 &= 30 \text{ km/h}
 \end{aligned}$$

k. The cyclist was travelling most quickly between 3 p.m. and 5 p.m.

6.5 Bar Graphs

Example:

The following table 2 shows the number of visitors to a park for the months January to March.

Table 2

Month	January	February	March
Number of visitors	150	300	250

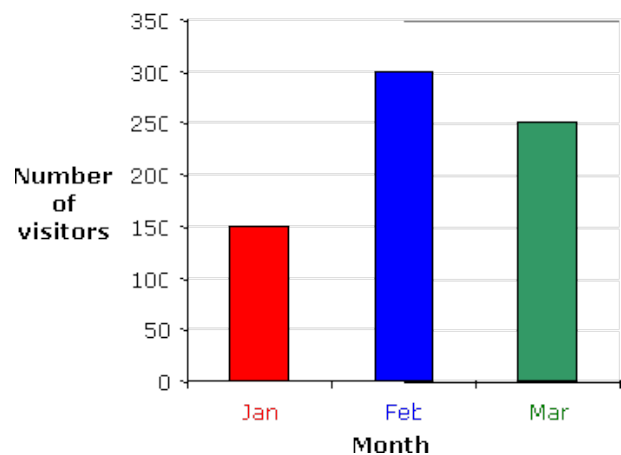
- a) Construct a vertical and a horizontal bar chart for the table.
- b) What is the percentage of increase of visitors to the park in March compared to January?
- c) What percentage of visitors came in February compared with total number of visitors over the three months?

Solution

a) If we choose a scale of 1:50 for the frequency then the vertical bar chart and horizontal bar chart will be as shown.

Figure 12

Vertical bar chart



- a) Increase in March compared to January is

$$\frac{250 - 150}{150} \times 100\% = 66.67\%$$

- c) Percentage of visitors in February compared to the total number of visitors is

$$\frac{300}{150 + 300 + 250} \times 100\% = 42.86\%$$

$$\frac{300}{150 + 300 + 250} \times 100\% = 42.86\%$$

6.6 References

- Bittinger, L. M., Beecher, J. A. & Johnson, B. L. (2019). Basic College Mathematics, 13th Edition. Pearson.
- Lial, M. L., Hornsby, J., McGinnis, T., Salzman, S. A. & Hestwood D. L. (2016). Basic Math, Introductory and Intermediate Algebra. Pearson.
- Booth D. J. (1995). *Maths Made Easy*. Chapman and Hall/CRC – Routledge Taylor and Francis
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7.0 COLLECTION OF DATA AND CONSTRUCTING ROUTINE TABLES AND GRAPHS FOR WORK

7.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- i. Determine data and variables to be collected
- ii. Determine audience
- iii. Select a method to collect data
- iv. Collate information in a table
- v. Determine suitable scale and axes
- vi. Draft and draw graph to present information
- vii. Check that data meets the expected results and context
- viii. Report and discuss information using formal and informal mathematical language

7.2 Meaning of Statistical Data

Data is the foundation of all statistical works. Having the right, adequate and timely data enables researchers to undertake the necessary manipulations leading to effective decisions. Thus, data has to be defined.

Statistical data refer to those aspects of a problem situation that can be measured, quantified, counted, or classified. Statistical data are the basic raw material of statistics. Statistical data may relate to an activity of interest, a phenomenon, or a problem situation under study. Statistical data is obtainable as a result of the process of measuring, counting and/or observing phenomena.

Any object that is a subject of a given phenomenon, or activity that generates data through this process is termed as a variable. Hence, a variable is one that shows a degree of variability when successive measurements of a phenomenon are recorded.

7.3 Sources of Data

The sources of statistical data can either be through primary or secondary sources. These are explained as hereunder:

i) Secondary data

This type of data already exists in some form: published or unpublished - in an identifiable secondary source. The data had been previously collected for a different purpose other than the one at hand.

Advantages of secondary data

- It is obtainable quickly
- It is inexpensive compared to primary data sources
- Secondary data are usually available compared to primary data
- Secondary data usually enhance primary data
- Secondary data may assist in the achievement of the research objective(s)

Disadvantages of secondary data

- Sometimes, secondary data may not be in compatible units with the current assignment
- Its class definitions may not be usable
- At the same time, the available secondary data's measurement units may not match with the current assignment
- The available secondary data may be out-dated

As an attempt to address some of the limitations that would hinder the effective use of secondary data, it is important for the researcher to find answers to some of the following questions i.e.

- What was the purpose of the study?
- What information was collected?
- How was the information collected?
- Who collected the available information?
- How was the available information collected?
- How consistent is the available information with other information elsewhere?

ii) Primary data

This refers to those data which do not already exist in any form, and thus have to be collected for the first time from the primary source(s) or original source(s). By their very nature, these data require fresh and first-time collection covering the whole population or a sample drawn from it.

Advantages of primary data

- It is original in nature
- It is related to the research objectives at hand
- Provides an opportunity for the researcher to holistically the context in which data is being collected from

Disadvantages of primary data

- It is affected by time constraint
- It's an expensive process to obtain data from primary sources
- It is likely to be affected by poor response rate

- Sometimes, primary data may be unavailable

Task 2: Explaining types of data

Types of data as an area try to categorize data into either quantitative or qualitative; depending on its nature. For either data, facts are normally considered as being of great importance.

Quantitative data

Quantitative data refers to that data which can be quantified in definite units of measurement. These refer to characteristics whose successive measurements yield quantifiable observations. Quantitative data can further be categorized into two classes namely:

i) Continuous data

This represents numerical values of a continuous variable. A continuous variable is the one that can assume any value between any two points on a line segment, thus representing an interval of values. The values are quite precise and close to each other, yet distinguishably different. For example, characteristics such as weight, length, height, thickness, velocity, temperature, tensile strength, among others, represent continuous variables.

ii) Discrete data

A discrete variable is one whose outcomes are measured in fixed or definite numbers. Such data are essentially count data. These are derived from a process of counting, such as the number of items possessing or not possessing a certain characteristic, the number of customers visiting a departmental store on given days within a particular period of time, the incoming flights at an airport, and the defective items in a consignment received for sale, and so on, are all examples of discrete data.

Qualitative data

A characteristic is qualitative in nature when its observations are defined and noted in terms of the presence or absence of a certain attribute in discrete numbers. Qualitative nature of given observations can either be nominal or rank data, i.e.

i) Nominal data

These are the outcome of classification into two or more categories of items or units comprising a sample or a population according to some quality characteristic. Classification of students according to sex (males or females), of workers according to skill (skilled, semi-skilled, and/or unskilled), and of employees according to the level

of education (Diploma holders, undergraduates, and post-graduates), etc, all result into nominal data.

Given any such basis of classification, it is always possible to assign each item to a particular class or a particular group and make a summation of items belonging to each class or group. The data so obtained through this classification or groupings are called nominal data.

ii) Rank data

Rank data on the other hand refers to data that are the result of assigning ranks to specify order in terms of the integers 1, 2, 3, 4, 5, ..., n. Ranks may be assigned according to the level of performance in a test, a contest, a competition, an interview, or a show based on certain observable characteristics. The candidates appearing in an interview, for example, may be assigned ranks using integers ranging from 1 to n, depending on their performance results arising from the interview. The ranks so assigned can be viewed as the continuous values of a variable involving performance as the quality characteristic.

7.4 Methods of Collecting Data

The choice of a suitable data collection method will largely depend on the type of data being targeted; either quantitative or qualitative. Whichever method of data collection to be used, researchers are always concerned about two (2) issues, that is:

Theoretical issues – these involve such matters as:

- The value of either type of data i.e. quantitative versus qualitative data
- The relative scientific rigor or manipulation required of the collected data etc

Practical issues – these are aspects that will affect either negatively or positively the actual data collection exercise. They include but not limited to:

- Credibility of findings, depending on the audience(s) targeted or the kind of stakeholders that one is working with
- Staff skills, especially the field staff, enumerators, supervisors
- Costs to be involved. And much of this will depend on the amount of information needed, quality standards to be followed for the data collection, and the number of cases

required for reliability and validity.

- Time constraints from the initial to the final stages of the research exercise. Whether one is interested in obtaining quantitative or qualitative data, a good data collection exercise requires considerable time to create and pretest questions and to obtain high response rates.

The principal methods available for data collection include:

Survey method

Surveys are a very common method of data collection, especially where gathering information from large groups and the accompanying standardization is critical. The survey method is also referred to as paper-and-pencil instruments method. However, this is changing with the technological advances or emerging technologies.

Surveys can be undertaken through the use of questionnaires and interviews. Questionnaires can be self-administered, sent through post/mailed to the intended respondents for filling in the blanks/forms or filled through the use of technology e.g. telephone, computer-assisted etc.

The choice of an appropriate survey method would be influenced by the following factors:

- The type of respondent interaction required
- The complexity of questions to be used
- The resources available for use during the data collection exercise
- The project schedule or time available and so on.

Advantages of surveys

- Surveys are easy to administer
- Can cover a wide range of topics or large samples
- Surveys are suited for gathering descriptive data as they are able to get 'beneath the surface'
- The use of surveys is relatively inexpensive
- Surveys could easily reveal sub-group differences
- The data obtained can be analyzed using a variety of platforms; including some of the emerging software

Disadvantages of surveys

- In most cases, the data collected may only provide a general picture rather than an in-

depth analysis

- Sometimes, self-reporting may lead to biased reporting of findings
- The results or findings may not provide adequate information on the context involved

Experimentation method

In an experiment, a researcher assigns a treatment to a given case and then observes the response. In most instances, a control group (a group receiving no treatment or a placebo) may be used to compare the effectiveness of a treatment with the control group.

An experiment is the most systematic and popular method of data collection in the social sciences. This method allows for maximum control over extraneous variables or external interferences through the use of control and stimulus/treatment groups.

Advantages of experimental study

- Experimental study findings are highly reliable
- The findings from an experimental study can be replicated elsewhere; thus proof to be highly consistent

Disadvantages of experimental study

- In field experimentation, it is not possible to maintain the natural setting, thus having incomplete control of external variables
- The researcher must try to minimize disruption of normal behavior or occurrence of events
- There are considerable and immense potential ethical challenges while trying to ensure control in field experiments

Observation method

An observation method involves the use of the human naked eye(s) or other technological devices/aids; in order to collect the intended original data. Consequently, they are methods by which an individual or individuals gather first hand data and/or information on programs, processes, or behaviors being studied.

Observation methods provide a holistic perspective of the case under consideration, i.e., an understanding of the context within which the subject operates. The behaviors of the subject or the contextual events are closely monitored. This may be especially important where it is not only the event that is of interest, but

rather how that event may fit into, or may be affected by, a sequence of events.

Advantages of observations

- Observations usually provide direct information about the behaviour of individuals and groups
- This method of data collection permits a researcher to enter into and understand a given situation/context
- As a method of data collection, it provides good opportunities for identifying unanticipated outcomes or occurrences
- Observations by their very nature exist in natural, unstructured, and flexible setting

Disadvantages of observations

- Observation method is expensive and time consuming
- This method requires highly qualified, highly trained observers; especially content experts
- Observations may interfere or influence or affect the behavior of participants/subjects
- Selective perception of observer may distort the data being collected
- The behaviour or set of behaviours that would be observed may only represent a typical case

Task 4: Describing sampling methods

Considering the problem at hand, a researcher will be faced with the option of examining all the subjects involved or a certain proportion of the whole. Either way, there are merits and demerits that would be realized from each; ranging from practicability to validity and reliability of the findings. The following part will enable us to understand this important stage that precedes the actual data collection.

Meaning of sampling

Sampling is the process of selecting units desired for interrogation from a population of interest, so that by studying the sample, a researcher may fairly generalize the results back to the population from which they were chosen. This process could either be probabilistic or non-probabilistic based.

Meaning of population

This can refer to all those people, households, items, subjects of interest; for researching purposes. Sometimes, all the items of interest are included in the study (i.e. undertaking a census) or take a selection (sample). Studying a census could be prohibitively time consuming, expensive and with

limited enquiry. For these reasons, a census is of limited application for most businesses, economic or social studies; unless the population in question is small. Only in certain instances would a census be preferred over sampling; for example, if it is considered as a legal requirement, e.g. Kenya's census which is undertaken after every 10 years.

For purposes of developing a deeper understanding of the sampling process, there are other related terms to be included. That is:

A *parameter* is a characteristic of a population that you would wish to know. Most often this is a proportion, e.g. the proportion of people who might buy your product, the proportion of people that might vote in an election etc. sometimes; this can be any single numerical quantity.

For a population, it is the *mean* whereas for a sample, it is a *sample mean*.

A *Sample* refers to a small group of subjects/cases/items/persons selected from the population. The sample to be selected has to be representative and sufficiently large; for the results to be good enough for the intended purpose. The sample should be representative of the population, such that the results of the survey can be used to make generalizations about the population (i.e. making inference).

A sample measure is called a *statistic* whereas a population measure is called a parameter. For example, the average of a sample is often used to predict the mean of a population. And the proportion of a sample is used to predict the proportion of the population.

A *sampling frame* identifies a list of all members/items/cases of the population. This list might be conceptual, or might actually be many different lists.

Reasons for sampling

- Time constraint considerations
- Cost constraint considerations
- Practicability of the study using a census
- Achievement of a certain degree of accuracy of the anticipated findings

Factors that influence sample representativeness

Sampling can either be based on probability or

non-probability techniques. Sample size will be dependent on:

- The level of detail(s) required for analysis;
- The degree of accuracy of the findings expected; and
- The variability that is part and parcel of the population

The already mentioned two (2) approaches are explained below:

Probability Sampling

This is a procedure that is designed in a manner such that, each person/item/subject is given a known and equal chance of inclusion in the resulting sample. Once that procedure is established, it is then followed for the selection of the persons/items/subjects. It involves such techniques as:

Random sampling

In this method, each item in the population has the same probability (i.e. having some calculable chance) of being selected as part of the sample as any other items. For example, a researcher could randomly select 10 cases from the population of all possible valid cases within a range of 1 - 100 to use during interviewing. To be able to do this, a researcher could use a random number generator or simply put each number from 1 - 100 on a slip of paper in a hat or a basket, mix them up and finally draw out 10 cases. Random sampling can be done in two ways; i) with replacement and ii) without replacement. If it is done without replacement, an item is not returned to the population after it is selected and thus can only occur once in the sample. Otherwise, it might re-occur in the resulting sample.

To obtain a random sample, a list or sampling frame is required for guidance e.g. 1 – 100 in the example given above; thus achieving representativeness of the population.

Advantages of random sampling

- Once the procedure is in place, there is no interference in the selection of the sample
- Representativeness of a sample is achieved.

Disadvantages of random sampling

- As a sampling technique, it is only suitable for a relatively small population that is not geographically dispersed.
- It is affected by the problem of non-response; in that, not all persons/subjects/items/cases selected would be involved in the research.

Systematic sampling

In this method, every n^{th} element from the list or population is selected and included in the sample; starting with a sample element say n , which is selected randomly from the first m elements. For example, if the population has 1000 elements and a sample size of 100 is required, then m would be = 10. Then, if number 9 is selected randomly from the first 10 elements on the list, the sample would continue or be repeated down the list selecting every 9th element from each group of 10 elements. A researcher is however cautioned that when using systematic sampling, s/he has to ensure that the original population list has not been ordered in a way that introduces any non-random factors into the sampling process.

As an illustration, a researcher might wish to obtain a suitable probabilistic sample for a particular study. The researcher would devise a criterion like every 14th case be chosen out of the first 20 cases in a random list of all cases to be used for investigation purposes. The researcher would then keep adding 20 and select the 34th case, the 54th case, the 74th case, the 94th case and so on until the end of the list or population is reached.

Advantages of systematic sampling

- Representativeness of the sample is realizable
- Every n^{th} element has an equal chance of inclusion

Disadvantage of systematic sampling

- It is a cumbersome process

Stratified sampling

As a probability sampling technique, it is used when representatives from each sub-group or stratum or division within the population need to be represented in the sample. The first step in stratified sampling is to divide the population into sub-groups (strata i.e. plural for stratum) based on mutually exclusive criteria.

Random or systematic samples are then taken from each sub-group or division. The sampling fraction or portion for each sub-group or division may be taken in the same proportion as the sub-group or division has in the population. The final sample is therefore a collection of samples selected from each sub-group or division.

For example, if a person conducting a customer satisfaction survey selects customers at random from each customer type in proportion to the

number of customers of that type in the population. This can further be illustrated as follows: If 40 samples are to be selected, and 10% of the customers are managers, 60% are users, 25% are operators and 5% are database administrators then 4 managers, 24 users, 10 operators and 2 administrators would be randomly selected. Stratified sampling can also sample an equal number of items from each sub-group or division. For example, a farmer randomly selected three fruit varieties out of each fruit collection in order to examine the extent of infestation by pests.

Advantages of stratified sampling

- Accuracy of the results or responses is improved through careful stratified sampling
- Random sampling is possible

Disadvantages of stratified sampling

- It is a cumbersome process
- In some instances, the sample may be unrepresentative depending on the selection guidelines

Cluster sampling

This method of data collection is also called block sampling. In this method, the population that is being sampled is divided into groups/sub-groups called clusters. However, unlike in stratified sampling where these sub-groups are homogeneous (i.e. uniform) and based on a certain selected criterion, a cluster is as heterogeneous (i.e. lack uniformity) as possible to matching the population. Then probabilistically, a random sample is obtained from within one or more selected clusters.

For example, if an organization has 20 small projects currently being undertaken, an internal quality auditor looking for compliance to the ISO 9001:2015 Standard might use cluster sampling to randomly select 3 of those projects as representatives for the audit and then randomly sample particular aspects for auditing from just those 3 projects.

Another illustration would be based in a region like Nairobi County. If the behaviour of pupils learning within this county was to be studied, it would be argued that, pupils from Nairobi Primary School have many experiences in common with pupils from similar schools. This is would be a unique cluster of Nairobi County's pupils' population. One or more of these clusters are selected randomly and a sample selected (i.e. either through random or systematic technique). If circumstances permit, a census would

be carried within the selected clusters.

Cluster sampling can tell us a lot about that particular cluster. However, unless the clusters are selected randomly and a lot of clusters sampled, generalizations cannot always be made about the entire population. Otherwise, there would be biases when selecting the sample that would not allow for statistically valid generalizations.

Advantages of cluster sampling

- It is a convenient technique
- It is cost effective

Disadvantages of cluster sampling

- This technique mostly suffers from sample non-representativeness
- Population generalizations may be impossible

Multi-stage sampling

Multistage sampling refers to a sampling plan where sampling is carried out in stages using smaller and smaller sampling units at each stage. In a two-stage sampling design, a sample of primary units is selected and then a sample of secondary units is selected within each primary unit. In order to achieve a representative sample, further stages could be added or further stratification (i.e. based on other characteristics) could be used at some or all of the stages. In a country like Kenya for example, it would be possible to have partitions based on national, county, constituency, ward etc levels. An important consideration in this technique is how partitioning takes place at each stage.

Multistage samples are used primarily for cost or feasibility (practicality) reasons.

Advantages of multi-stage sampling

- As a sampling technique, sample representativeness is achieved
- The practicability of the data collection exercise can be determined beforehand

Disadvantages of multi-stage sampling

- Sometimes, the objectives of the research might be unrealized as the criteria being used for sampling would put off possible participants
- The technique may prove to be difficult to undertake
- It is normally affected by cost and time

constraints

Non-Probability Sampling

Unlike probability sampling where a predetermined procedure is used, non-probability sampling relies heavily on an individual's conscious decision to include or exclude certain persons/items/subjects/cases.

It is however important to note that, a well-conducted non-random sampling technique can produce acceptable results more quickly, and at a lower cost, than a probability sample. Some of the techniques involved include:

Quota sampling

Under this method, interviewers are sent into an area with instructions that require them to interview a certain number of people who meet particular characteristics. These characteristics of the population for instance age, gender, occupation, tribe, among other, are considered important for obtaining a quota. Based on the characteristics, a proportion of each in the population can then be obtained from secondary sources. Having achieved a certain number or quota from the population, an interviewer is left with the responsibility of selecting the final list for use.

For example, they might be needed to choose 9 people; 5 men and 4 women. In addition, the number should be composed of 4 working and 5 non-working nationals etc. The underlying idea is that, if the quotas accurately or to a larger extent reflect the population, then the sample will be considered representative.

Advantages of quota sampling

- It is easier and quicker to obtain quota samples i.e. it is cost- and time-effective
- It is easy to supervise the data collection exercise

Disadvantages of quota sampling

- Information on population characteristics obtainable from secondary sources might be unreliable.
- If the desired population characteristics are not readily identifiable, it will prove to be costly and time wasting

Judgmental sampling

It is also called purposive sampling. Under this method, a researcher or a person interested in

obtaining a sample uses his/her knowledge or experience to select the items to be included in the sample and ultimately sampled. Thus, there is no element of chance and judgment is used to select participants. For example, a teacher may identify certain students to represent his/her class for a certain purpose.

To illustrate this, based on experience, an internal quality auditor may know which areas are more prone to have non-conformances or which areas have had problems in the past or which areas are at a higher risk to the organization.

Advantages of judgmental sampling

- It is an easier and quicker technique of obtaining the required samples i.e. it is cost- and time-effective

Disadvantages of judgmental sampling

- It may be difficult to use its findings for generalization purposes
- Assumptions made might not always hold

Snowball sampling

This technique as the name suggests, is undertaken through stages; moves on from an initial starting point (snowballs) to identify desirable participants for investigation. Certain circumstances necessitate the use of this technique; like where desired participants are difficult to identify and are often rare or difficult to locate.

Suppose we want to trace the roots of terrorism attacks in Kenya. The initial attempt would be to get individuals who seem to fit the given description or individuals that have the right contacts. Once the starting point has been established, further interrogations are made to narrow down the eligibility list and lead to other contacts.

Advantages of snowball sampling

- When leads are precise, it becomes a fast and easy technique of capturing data
- It is possible to unearth almost forgotten phenomena

Disadvantages of snowball sampling

- It may prove difficult if the subjects do not fully fit into the description required
- It is hindered by non-response

Convenience sampling

Under this sampling technique, a sample is obtained on the basis that it is easy and convenient for study

purposes. For example, if a researcher wants to get the opinion quickly before doing an in-depth investigation, then again select a few individuals that are 'convenient' to work with, it will finally prove to be a helpful approach. This approach would achieve good results with a limited sample. However, generalizing those findings might prove difficult.

Advantages of convenience sampling

- It is quicker to assess the direction that a study might take
- It is an easier and quicker technique of obtaining the required information i.e. it is cost- and time-effective

Disadvantages of convenience sampling

- It suffers from non-representativeness of samples used
- It is impossible to generalize findings

Explaining the meaning of classification of data

The raw data, that has been collected from varied sources and put or recorded randomly, does not give a clear picture of the whole. In order to locate similarities and reduce mental difficulties that are likely to be experienced, it is only wise to classify that data. Through classification, the data is condensed by leaving out unnecessary details. Classification will facilitate comparison between different sets of data; by clearly showing the different points of agreement and disagreement.

Definition of data classification

Data classification is the process of arranging things in groups or classes based on certain characteristics, like to their resemblances; thus giving expression as to the unity of attributes that may exist amongst a diversity of individuals / subjects / observations.

Data can be classified according to sex (males/females), marital status (married/unmarried), place of residence (rural/urban), Age (0–5 years, 6–10 years, 11–15 years, etc.), profession (agriculture, production, commerce, transport, doctor among others); depending on whether it is qualitative or quantitative.

Guidelines for data classification

- The definition of classes should be precise and free of any likely doubts. This will eliminate

all doubts while including a particular item in a class.

- All the classes chosen should preferably have equal width (i.e. class intervals). It is only in a few special cases, where classes of unequal width are used.
- The class-limits (integral or fractional) should be selected in such a way that no single value of the item in the raw data coincides with the value of the determined class-limits.
- The number of classes to be used for classification should preferably be between 10 and 20, i.e., neither too large nor too small.
- The classes should be accommodative of each value of the raw data; without leaving out extreme values
- The classes should be mutually exclusive and non-overlapping, that is each item of the raw data should fit only in one class.
- The classification mode to be adopted must be suitable for the object of inquiry.
- The classification should be flexible and items included in each class must be homogeneous i.e. uniform in nature.
- Width of class-interval is determined by first fixing the number of class-intervals and then dividing the total range by the number of classes.

Task 2: Explaining the construction of a frequency distribution table

A frequency distribution table is an important tool for classifying given data. Such a table offers a good picture of the nature of the data distribution in question; whether grouped or ungrouped.

7.5 Frequency Distribution Table

A frequency distribution table is a tabular presentation of given data; showing the particular data items or observations, either individually or in groups; together with their accompanying frequencies (i.e. the number of times that they appear in the data set).

The process of constructing a frequency distribution table involves a number of steps. In the case of ungrouped data (and especially involving limited data), the process is easier in that, we only identify the number of times that an item or observation occurs.

For example, consider this data distribution.

10, 3, 6, 7, 3, 3, 11, 5, 4, 5, 5, 5, 4, 4, 4, 8, 9, 10, 10, 10, 10, 10, 11, 3, 4, 6, 5, 7

This distribution has 30 data items. This data can first be arranged in an ascending or descending order. Otherwise if the data is limited and clear to the user, this step would be ignored. Note the individual numbers and ascertain their corresponding frequencies. Thus,

Table 4

Number	3	4	5	6	7	8	9	10	11
Fre- quency	4	6	5	2	2	1	1	7	2

To test the correctness of the frequency items, count the number of data items and compare that with the values appearing on the frequency distribution table. The total number of items must be equal to the total frequency.

For bulk data, it would be appropriate to consider an appropriate classification format; especially if it can be grouped into categories or classes. For a case of this nature, a number of steps would be followed to properly classify the data under examination. These steps are as outlined below:

- 1) Decide on the number of classes your frequency table will contain.
- 2) Determine the class width by dividing the range by the number of classes.
- 3) Locate the starting point by selecting it as the lower limit of the first class; either the lowest score or a convenient value slightly less than the lowest score.
- 4) Add the class width to the starting point to get the second lower class limit.
- 5) List the lower class limits in a vertical column, along with the upper class limits.
- 6) Complete the table by counting up class-interval frequencies and filling them in the table

For example, consider the data provided below and construct a frequency distribution table for it.

15,17,20,33,45,28,44,16,27,17,15,23,21,37,39,42,38,39,24,18,25,35,40,19,25,36, 43, 16,45,42.

Solution:

There are 30 data items. First arrange the data set in ascending order of magnitude. This makes it easier to determine the range of the data distribution given.

15,15,16,16,17,17,18,19,20,21,23,24,25,25,27,28,33,

35,36,37,38,39,39,40,42,42,43,44,45,45

For this distribution, we intend to have 6 classes. Having the range as 30, the desirable class interval shall be $30/6 = 5$. Then follow the above listed steps. We will finally get a frequency distribution table 5 as the one shown below:

Table 5

Number	15	21	27	33	39	45
	-20	-26	-32	-38	-44	-50
Fre- quency	9	5	2	5	7	2

7.6 Methods of Tabulating Data

Tabulating is a way of processing information or data by putting it in a table. The tabulation process will require a table, or chart, with rows and columns based on certain characteristics. It expresses the data in concise and attractive format which can be easily understood and used for comparison purposes.

Fundamentally, the central objectives of tabulation include but not limited to:

- i) To enable the researcher, carry out investigation for a particular data set
- ii) For comparison purposes
- iii) To locate omissions and errors in the dataset if any
- iv) To use space economically
- v) To study the trend being shown by the data set
- vi) To simplify data for easier of further treatment or manipulation
- vii) To use data future reference purposes

Whenever data is provided, its close examination will determine whether it would be presented as grouped or ungrouped. As such, the two (2) approaches shall be considered for tabulation purposes. Hence, the data can be classified into:

Grouped data

The way of tabulating a pool of data of a variable and their respective frequencies side by side is called a frequency distribution of the given data set. A frequency distribution is thus “a statistical table which shows the sets of all distinct values of the variable arranged in order of magnitude, either individually or in groups, with their corresponding frequencies side by side”.

The data set in question can be condensed by putting it into smaller groups, or, classes. The smaller groups or classes could be characterized by a range of data. The ranges being shown by the groups or classes are appropriately referred to as *class-intervals*. The number of items which fall into any class-interval is called its *class frequency*.

The number of classes for a particular data set is determined by the expression, that is;

$$\text{Number of classes} = \frac{\text{Range}}{\text{Class Size}}$$

The maximum and minimum values of a class-interval are called the *upper class limit* and the *lower class-limits* respectively. Class boundaries are the true-limits or exact limits of a class interval. This concept is greatly associated with grouped frequency distribution, where there is normally a gap between the upper class-limit and the lower-class-limit of the next class or the lower class-limit and the upper class-limit of the preceding class. This can be determined by using an expression as shown below:

$$\text{Lower class boundary} = \text{lower class-limit} - \frac{1}{2d}$$

$$\text{Upper class boundary} = \text{upper class-limit} + \frac{1}{2d}$$

Where d = common difference between the upper class-limit of a class-interval and the lower class limit of the next higher class interval.
For example, consider a raw data set having class intervals; 30 - 34, 35 - 39 and so on.

The true class boundaries would be:

First determine the value of $d = 35 - 34 = 1$

Then, the lower class boundary = lower class-limit -

Substituting the values in the expression

$$\begin{aligned} \text{The lower class boundary} &= 30 - \frac{1}{2} (1) \\ &= 30 - 0.5 \\ &= 29.5 \end{aligned}$$

$$\begin{aligned} \text{Upper class boundary} &= 34 + \frac{1}{2} (1) \\ &= 34 + 0.5 \\ &= 34.5 \end{aligned}$$

The tabulation of raw data by dividing the whole range of observations into a number of classes and indicating the corresponding class-frequencies against the class-intervals is called a grouped frequency distribution. When this is done using a

table, then the resulting diagram is regarded as a grouped frequency distribution table.

Below is an example of a grouped frequency distribution table 6:

Table 6

Marks	0 - 10	10 - 30	30 - 50	50 - 80	80 - 90	90 - 100
No. of Students	4	12	20	8	4	2

Important considerations for grouping data

- 1) Consider class-intervals of this nature; 20-25, 25-30; 50 - 100, 100 - 150; 30 - 40, 40 - 50 and so on. These are all upper limit exclusive type of class boundaries i.e. it only includes the upper limit values and not the lower limit values. That is, an item exactly equal to 25, 100 and 40 are put in the intervals 25 - 30, 100 - 150 and - 50, respectively and not in the class intervals 20 - 25, 50 - 100 and 30 - 40, respectively. Similarly, 25 is included and 20 excluded (lower limit) in "above 20 but not more than 25" class-interval. In the exclusive type, the class-limits are continuous, i.e., the upper-limit of one class-interval is the lower limit of the next class-interval and class limits of a class-interval coincide with the class boundaries of that class-interval. It is suitable for continuous variable data and facilitates mathematical computations.
- 2) Given classes like 50 - 59, 60 - 69, 70 - 79, etc., are all of the inclusive type. Here, both the upper and lower class-limits are included in the class-intervals, for instance 50 and 59 both are included in the class-interval 50 - 59. This is suitable for discrete variable data. There is no problem as to which class an item belongs but the idea of continuity is lost. To make it continuous, the exact class boundaries have to be determined and it can then be expressed as (49.5 - 59.5), (59.5 - 69.5), (69.5 - 79.5) and so on.
- 3) For an 'open-ended' class-interval, either the lower limit of the first class-interval or, upper limit of the last class-interval, or, both is missing. It is difficult to determine the mid-values of the first and the last class-intervals without a smart assumption. If the other closed-ended (i.e. those in the middle) class-intervals have equal width,

then we can assume that even the open-ended class-intervals (on either end) also have the same common width as that of the closed class-intervals. Grouped frequency distributions are kept open-ended when there is limited number of items scattered over a long interval.

- 4) Sometimes, unequal class-intervals are preferred only when there is a great fluctuation in the data distribution. For example, data set having class-interval like; (0 – 3), (4 – 5), (6 – 8) and so on.

Ungrouped data

Ungrouped data considers the individual items of a given data set. To begin with, the data is ordered in either ascending or descending format. Having either of the formats, one is able to identify the number of times that particular data items appear. This will form the basis for determining the frequency of the individual data items in the distribution. Tally marks mostly used for indicating the number of times that individual observations occur.

A tally mark is an upward slanting stroke (/) which is put against a value each time it occurs in the raw data set. The fifth (i.e. 5th) occurrence of the value is represented by a cross tally mark (\) as shown across the first four tally marks. The tally marks are counted and the total of the tally marks against each value or data item, is its frequency.

Example:

Arrange the data in ascending order.

9,4,5,1,8,3,4,7,5,9,6,3,8, 3,8,6, 9, 1,3,4,2,6,5,2,1,4,4,2, 3,1,4,5,6,5,9,8,7,3,8,6.

Solution

1,1,1,1,2,2,2,3,3,3,3,3,4,4,4,4,4,4,5,5,5,5,5,6,6,6,6,6, 7,7,8,8,8,8,8,9,9,9,9.

In total, there are 40 data items. The individual data items appear a different number of times. The number of times of occurrence of the items represents their frequencies.

Using tally marks, this information can be presented as shown below:

Figure 7: Tally Marks

Numbers	Tally	Frequency (f)
---------	-------	---------------

1	////	4
2	///	3
3	////	6
4	////	6
5	////	5
6	////	5
7	///	2
8	////	5
9	////	4

Alternatively, the frequency distribution table shown below can be used in order to use the available space economically.

Table 8

Num- bers	1	2	3	4	5	6	7	8	9
Fre- quency	4	3	6	6	5	5	2	5	4

7.7 Constructing Routine Tables and Graphs for Work

Once data has been collected, it can be presented as text, in tables, or pictorially using graphs and charts. That is,

- Textual presentation (like in an accident scene; 24 fatalities and 3 injuries, 20 per cent of other unreported cases etc)
- Tabular presentation using tables or charts
- Graphical presentation (quantitative data may also be presented graphically by using bar charts, pie diagrams, pictographs, line diagrams and so on)

Tables are usually the best way of showing structured numeric information, whereas graphs and charts are better for showing relationships, making comparisons and indicating trends. Even in instances where a graph or chart is used, it is usual to include a table to show the origin of the data.

Charts

A chart usually gives an idea of the value(s) as well as a visual indication of how the value(s) are changing.

Effective and correct use of charts requires an understanding of the following:

- 1) Type of data to be presented
- 2) The key feature(s) to be brought out or portrayed
- 3) How the information would be used
- 4) Who the targeted audience would be

Pictograms / pictographs

This is a pictorial data presentation, where symbols or pictures or sketches of the things being described, represent the data set items; as opposed to the use of bars or pie. E.g. the use of such shapes as \bigcirc (to represent fruits),

For example, present the information given using a pictogram. (Hint: \bigcirc represents 2 fruits and σ represents 1 fruit)

We have a fruits' distribution as: 3, 6, 8, 11, 15, 12 and 19

Solution:

The available number of fruits can be presented thus:

Figure 13: Pictograms / Pictographs

Key	Number / frequency
Oranges	$\bigcirc \sigma$
Avocados	$\bigcirc \bigcirc \bigcirc$
Apples	$\bigcirc \bigcirc \bigcirc \bigcirc$
Passion	$\bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \sigma$
Lemons	$\bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \sigma$
Mangoes	$\bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc$
Pineapples	$\bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \sigma$

Advantages of pictograms

- Immediate visual perception is achieved i.e. they are eye-catching
- The use of picture or visual presentation of data can simply tell a story
- Visual presentation of data is universally accepted without knowledge of a particular language.

Disadvantages of pictograms

- They are not very accurate and require interpretation
- Pictograms are only suitable for presenting limited amount of data
- Pictograms do not cater for the different categories of data items; for example, male

versus female

Pie charts

A Pie chart is a visual tool that is used for showing proportions arising from a given data distribution or series. For example, percentages of pupils giving different responses when evaluating a course, the composition of domestic animals in a certain home etc. They are used to show the proportions of a whole. Also, they are best used when there are only a handful of categories to display.

A circle (i.e. the pie) is divided into sectors or segments; one sector/segment for each category of the data given. The size of each sector/segment is determined by the frequency (i.e. the number of observations) of the category and measured by the angle that is representative of the sector/segment. As the total number of degrees in a circle are 360° , the angle given to a segment is 360° times the fraction of the data in the category, that is,

$$\text{Angle} = \frac{\text{Number of items in a particular category}}{\text{Total number of items in a sample (n)}} \times 360^\circ$$

Example:

The data given below shows the choice of means of travel (i.e. mode) to the workplace by different people. Present the data using a pie chart.

Table 10

Mode	Frequency (f)
Car	11
Walk	8
Bike	4
Bus	6
Metro	4
Train	2
Total	35

Solution:

First, determine the angle for representing each mode of travel:

Using car; $\frac{11}{35} \times 360^\circ = 113.14^\circ \cong 113^\circ$

Walking, $\frac{8}{35} \times 360^\circ = 82.29^\circ \cong 82^\circ$

Using bike, $\frac{4}{35} \times 360^\circ = 41.14^\circ \cong 41^\circ$

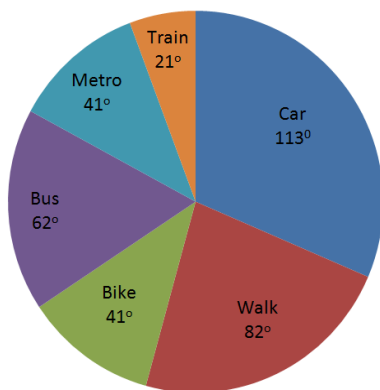
Using bus, $\frac{6}{35} \times 360^\circ = 61.71^\circ \cong 62^\circ$

Using metro, $\frac{4}{35} \times 360^\circ = 41.14^\circ \cong 41^\circ$

Using train, $\frac{2}{35} \times 360^\circ = 20.57^\circ \cong 21^\circ$

After ascertaining the angle in degrees representing each mode of travel; then draw the pie chart using the calculated angle segments for the various modes of travel.

Figure 14: Pie Chart



Advantages of pie charts

- It is simple to illustrate
- It is easy to understand

Disadvantages of pie charts

- Pie charts only show relatively limited amount of data
- Visually, one cannot accurately evaluate the relative sizes of the pieces

Bar Charts

A Bar chart provides a clear visual display of simple results. Bar charts are normally used when the horizontal axis is composed of categories of information. For example, male or female; students attending study support sessions and those who don't; ethnic groups, individual pupils, people's occupations etc.

A stacked bar chart can be used if some sort of improvement in a category needs to be displayed. Remember that, if the bars are not separated by spaces, the chart is referred to as a *histogram*, rather than a bar chart.

A bar chart can then be drawn by following the steps given below:

- First, decide on what information is to

be presented on each axis of the chart. By convention, the variable being measured is put on the horizontal (X-axis) whereas the frequency is reflected on the vertical (Y-axis).

- A decision is made regarding the numeric scale for the frequency axis. This axis represents the frequency in each category, shown by its height. The frequency scale therefore has to start at zero and include the largest frequency. It is common to extend the axis values slightly above the largest value of the frequency. This is necessary so that, one does not draw to the edge of the graph.
- Having decided on a range for the frequency axis (i.e. from zero to the highest frequency), then we need to decide on a suitable number scale to label this axis (i.e. the vertical axis). This should have sensible values, for example, 0, 1, 2, ... or 0, 10, 20, ... , or other such values that would make sense for the given data.
- Draw the axes (i.e. vertical and horizontal axes) and label them appropriately.
- Draw a bar for each category of data.

When drawing the bars, it is significant to ensure that:

- The width of each bar is the same consistently, and
- The bars are separated from each other by equally sized gaps

Example:

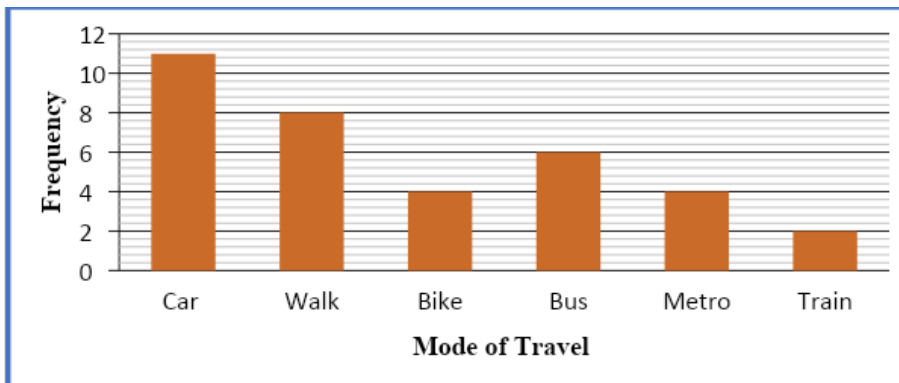
Using the information from the previous example, draw a bar chart:

Table 11

Mode	Frequency <i>f</i>
Car	11
Walk	8
Bike	4
Bus	6
Metro	4
Train	2
Total	35

Solution

Figure 15: Bar Chart



Advantages of bar charts

- Are simple to construct
- They used for investigating specific comparison
- Bar charts compare categorical data
- Give a clear visual impression regarding the data distribution or series

Disadvantages of bar charts

They cannot be used to present continuous data

Histogram

A histogram is applicable for the presentation of a continuous data variable unlike the case of bar charts. A histogram is different from a bar chart in two instances:

- The horizontal (x-axis) is a continuous scale. As a result of this, there are no gaps between the bars (unless there are no observations within a class interval);
- The height of the rectangle is only proportional to the frequency if the class intervals are all equal. In this sense, while using histograms, it should be remembered that, it is the area of the rectangle that is proportional to their corresponding frequency.

In order to present data using a histogram, first produce a frequency table which collects all the data together in an ordered format. Thereafter, follow these steps:

- Find the maximum frequency and draw the vertical (y-axis) starting from zero to this maximum frequency value, including a sensible numeric scale.
- The range of the horizontal (x-axis) should

include not only the full range of observations but also the full range of the class intervals from the derived frequency table.

- Draw a bar for each group in your frequency table. Remember that, it is important to have bars with the same width and touch each other (unless there are no data in particular classes).

Example:

Present the data given in a frequency distribution table below, using a histogram

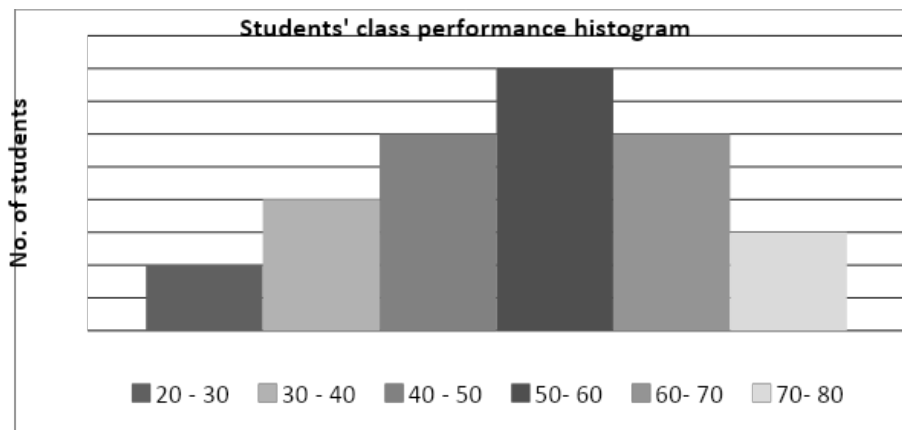
Table 12

Marks	Frequency (f)
20 - 30	4
30 - 40	8
40 - 50	12
50- 60	16
60- 70	12
70- 80	6
80- 90	2
Total	= 60

Solution

Follow the steps provided above and draw a histogram for the given frequency distribution.

Figure 16: Histogram



Advantages of a histogram

- It provides a clear visual representation of the data distribution given
- From a histogram, it is easy to spot the modal or most popular class in the data, i.e. the one with the highest peak or highest frequency
- It is also easy to spot simple patterns in the data distribution
- Histograms also allow us to make early judgments as to whether all our data come from the same population or different populations.

Disadvantages of a histogram

- It is not always easy to present open-ended data using a histogram
- Histogram shapes are inconsistent as they largely depend on the definition of the classes

Graphs

Graphs include the following:

Line graphs

A line graph is an improvement from the bar chart. Line graphs are appropriate when the horizontal axis is continuous rather than being separated into categories. A line graph could be used to show progress over time. For example, the development of a measured skill each week over a ten-week period, the increase in height of a seedling over a number of weeks and so on.

Example:

Present the data given in table 13 below, using a line graph.

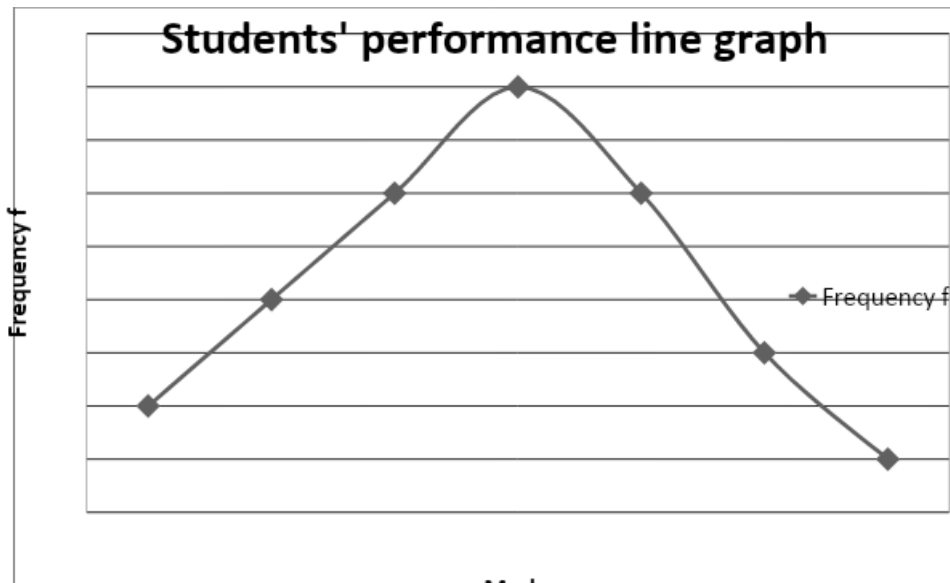
Table 13: Frequency Distribution Table

Marks	Frequency (f)
20 - 30	4
30 - 40	8
40 - 50	12
50 - 60	16
60 - 70	12
70 - 80	6
80 - 90	2
Total	$\Sigma f = 60$

Solution:

The steps to follow are similar to those of drawing a histogram. Thus,

Figure 17: Line Graph



Advantages of line charts/graphs

- They analyze trends of data
- They show patterns of data as well as exceptions

Disadvantages of line graphs/charts

- They are difficult to interpret
- discontinuous changes cannot easily be monitored

Frequency polygon

A frequency polygon is simply a natural extension of a histogram. The only difference between the two is that, rather than drawing bars, each class is represented by one point (i.e. the mid-points of the classes) and these are joined together by straight lines.

Alternatively, the tops of the mid-points of the bars in a histogram are joined with straight lines; resulting to a frequency polygon.

The procedure for drawing a frequency polygon is similar to that for producing a histogram i.e.

- First complete the frequency distribution table
- Determine the mid-points for the given class intervals
- Plot the axes
 - The x-axis (horizontal axis) should contain the full range of the classes from the frequency distribution table
 - The y-axis (vertical axis) should contain the range from 0 to the maximum frequency

- Plot points: pick the mid-point of the class interval on the x-axis and go up until you reach the appropriate frequency value on the y-axis and mark the point. Repeat this process for each class.
- Join adjacent points together using straight lines

Alternatively, one can obtain a frequency polygon from a histogram. This is done by joining the mid-points of the top of each bar with a straight line. As such, a frequency polygon can be drawn on top of a histogram.

Example:

Present the data given in a frequency distribution table 14 below, using a frequency polygon.

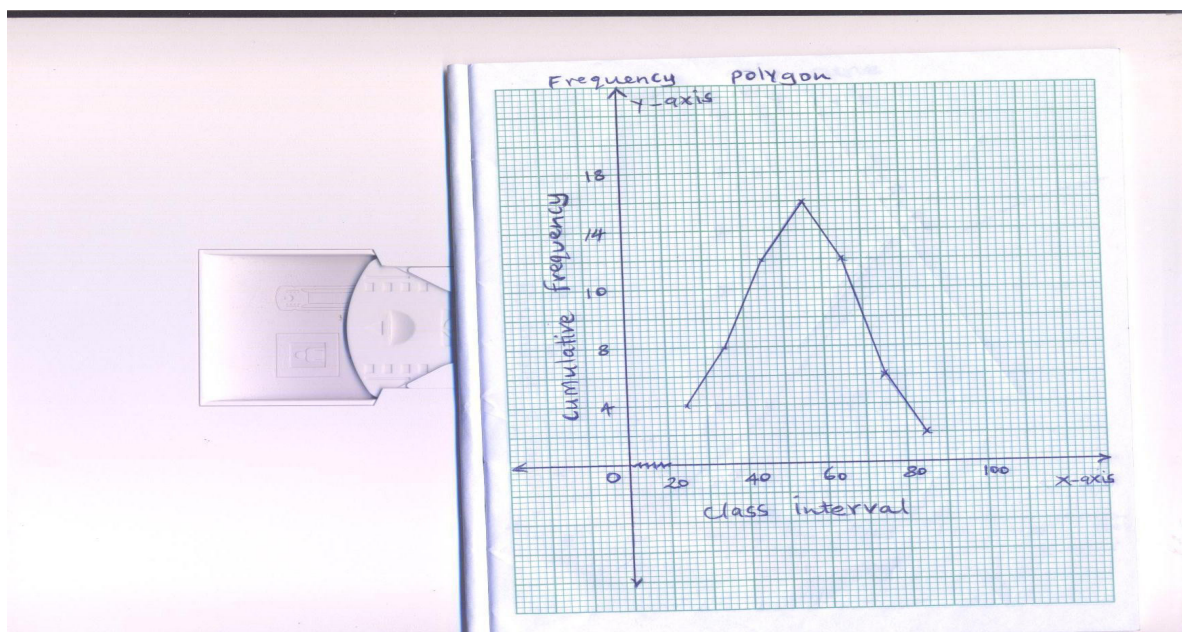
Table 14

Marks	Midpoint	Frequency (f)
20 - 30	25	4
30 - 40	35	8
40 - 50	45	12
50- 60	55	16
60- 70	65	12
70- 80	75	6
80- 90	85	2
Total		$\Sigma f = 60$

Solution:

By taking the steps outlined above, we can easily draw a frequency polygon. Thus,

Figure 18: Frequency Polygon



Cumulative frequency curve (O-give curve)

A frequency distribution becomes cumulative when the frequency of each class or class-interval is cumulative. The cumulative frequency of a class or class-interval can be obtained by adding the frequency of that class or class-interval to the sum of the frequencies of the preceding classes or class-intervals.

Many a times, we want to know the number of data items or observations which fall below, or, above a certain value. For that reason, there are two types of cumulative frequencies, i.e., less than (from below) cumulative frequency, and more than (from above) cumulative frequencies.

In the less than type, the cumulative frequency of each class or class-interval is obtained by adding the frequencies of the given class and all the preceding classes, when the classes are arranged in the ascending order of the value of the variable. In the more than type of cumulative frequency, the cumulative frequency of each class or class-interval

is obtained by adding the frequencies of the given class and those of the succeeding classes.

In order to plot the o-give curve for presenting a given data set, there are a number of steps to go through. The simple steps to be followed include:

- First plot the axes as required
- Label the X-axis (horizontal axis) with the full range of the data and the Y-axis (vertical axis) from 0 to and beyond the highest cumulative frequency
- Mark or plot the cumulative frequency curve at the **end point** of each class
- Join the adjacent points, starting at 0; at the lowest class boundary

Example:

Use the distribution table 15 given below to plot an o-give curve.

Table 15

Height (cm)	160 - 164	165 - 169	170 - 174	175 - 179	180 - 184	185 - 189
Frequency f	16	24	30	22	14	9

Solution

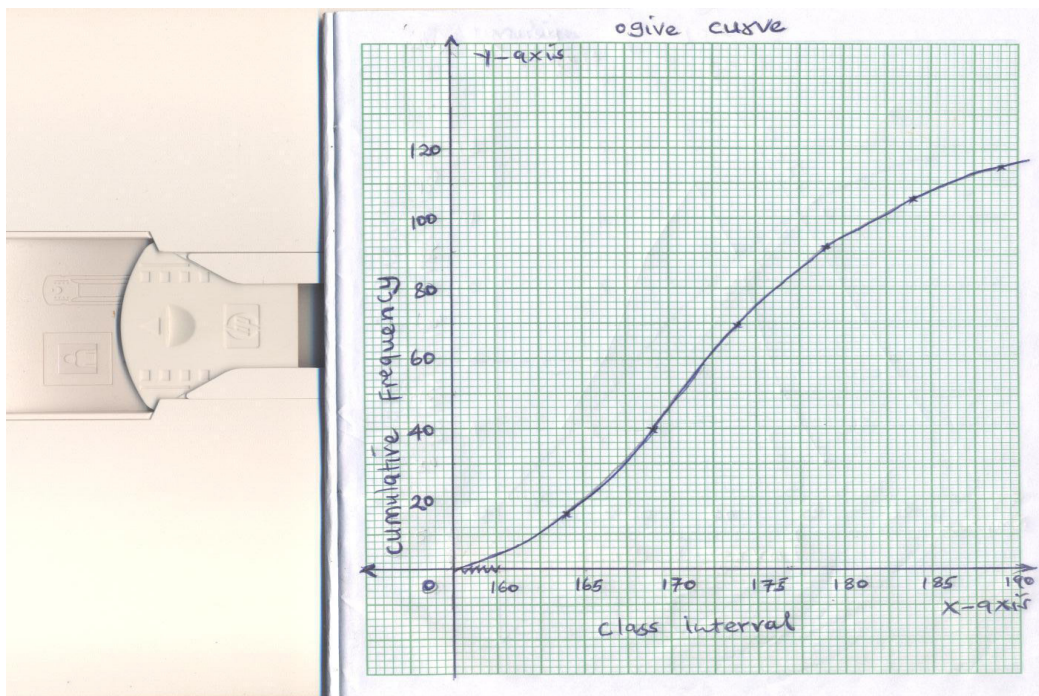
Draw a cumulative frequency table as required

Table 16: Frequency Table

Height (cm)	Frequency (f)	Cumulative frequency (cf)
160 - 164	16	16
165 - 169	24	40
170 - 174	30	70
175 - 179	22	92
180 - 184	14	106
185 - 189	9	115

From the cumulative frequency table, draw/plot the o-give curve as shown below:

Figure 1: Cumulative frequency curve (O-give curve)



7.8 References

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8.0 USE BASIC FUNCTIONS OF CALCULATOR

8.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- Identify and use keys for basic functions on a calculator
- Calculate using whole numbers, money and routine decimals and percentages
- Calculate with routine fractions and percentages
- Apply order of operations to solve multi-step calculations
- Interpret display and record result
- Make estimations to check reasonableness of problem-solving process, outcome and its appropriateness to the context and task
- Use formal and informal mathematical language and appropriate symbolism and conventions to communicate the result of the task

8.2 General Layout of the Calculator

Figure 20: Scientific Calculator



Basic Keys

a) Display Screen

This part displays all the information or operations that are being keyed in. The display screen lights up when the calculator is turned

on. The screen in addition has display indicators to indicate the mode being used.

b) On Key

This key is used to turn on the scientific calculator.

c) Number Keys

The number keys are located on the left-hand corner of the calculator and they are arranged from left to right; starting from the lower bottom to the top. The numbers start from 0,1, through to 9. The decimal point (.) is also included under the number keys to facilitate in the writing of decimal numbers.

d) Basic Operations and Equals Keys

These keys are on the lower right hand side of the calculator. These keys include the addition (+), subtraction (-), multiplication (x) and the division (÷).

Below the operations keys there is the equals key (=). This key is used to generate the output or give an answer.

e) All Clear and Delete Key

The All clear (AC) key is used to clear the screen (everything that has been displayed or you would probably wish to start keying in afresh). It also turns off. On the other hand, the delete (DEL) key is used to erase any input or information that has been keyed in by mistake.

NOTE: While the calculator is still on, pressing the SHIFT key and then AC, switches it off.

f) Cursor Control Button

These keys control the movement of the cursor while carrying out operations to the required position(s) on the screen display.



g) Functions keys

These keys consist of square roots, reciprocals, fractions, logarithms and trigonometric keys among others. The functions keys and their corresponding usage are explained in the subsequent sections which show how they are applied in mathematical calculations.

h) Shift Key

The shift key is used for accessing other function keys that are either opposite or second function. It activates the highlighted yellow functions.

i) Alpha Key

This function allows numerical values stored in the calculator memories to be used within calculations and are accessed by pressing the  button before the appropriate key. The ALPHA key allows one to key in or name variables in different formulae. When the  button is pressed, the symbol 'A' is displayed at the top of the calculator. The ALPHA key activates the function in readiness for application. It activates the highlighted light red functions.

j) Menu Setup Key

The menu setup key displays the mode the calculator is operating on. Normally, the calculator shows 3 modes; that is:

Mode 1 - Calculate
Mode 2 - Statistics
Mode 3 - Table

To access the menu setup function, press the menu setup key next to the ON key. If you need to initialize the calculator to its factory setting in the calculation mode, press SHIFT, 9, 3. On the screen display, you'll see the statement 'Reset OK?', followed by 'Initialize All' with two options: [=]: Yes, and [AC]: Cancel. When you press [=]: Yes, a word is displayed 'Reset!' followed by 'Initialize All' and then 'Press [AC] key'. Pressing the AC key, the calculator will be initialized.

NOTE: The importance of initializing the calculator will cancel all previous setups which might have been already activated.

Use of the Cursor

Moving the cursor from one point or term to another when keying in different operations is important. For instance, when adding square roots, fractions and exponents, it is important to move from one term to another.

For example, if you click 3^2+5 is different from 3^2 move cursor right + 5

8.3 Basic Operations on Scientific Calculator

Basic calculations are entered into the calculator in exactly the same order as they

are written on paper or a book (Natural Textbook Display). The calculator displays the calculation that you enter. When you press the equals key (=), the answer is displayed at the bottom right hand side of the screen.

i) Addition

Sample item on using the calculator
Add $346 + 209 =$

Start by pressing number keys 3, 4 and 6, then press the operation key plus (+) followed by number keys 2, 0 and 9. Then press the equals key (=).

The calculator will display the operation $346 + 209 =$ and the answer as 555 on the screen.

ii) Subtraction

Sample item on using the calculator
Subtract $783 - 257 =$

Start by pressing the number keys 7, 8 and 3, then press the operation key minus (-) followed by the number keys 2, 5 and 7. Then press the equals (=) key.

The calculator will display the operation $783 - 257 =$ and the answer as 526 on the screen.

iii) Multiplication

Sample item on using the calculator
Multiply $316 \times 42 =$

Start by pressing the number keys 3, 1 and 6, then press the operation key multiplication (x) followed by number keys 4 and 2. Then press the equals (=) key.

The calculator will display the operation $316 \times 42 =$ and the answer as 13272 on the screen.

iv) Division

Sample item on using the calculator
Divide $13431 \div 37 =$

Start by pressing the number keys 1, 3, 4, 3 and 1, then press operation key division (\div) followed by the number keys 3 and 7. Then press the equals (=) key.

The calculator will display the operation $13431 \div 37 =$ and the answer as 363 on the screen.

v) Combined operation

Sample item on using the calculator

Example 1

Work out $8(75 \div 5) + 306 =$

Start by pressing the number keys 8, opening bracket, then 7, 5, division key, 5 and closing brackets. Then press the addition key followed by the number keys 3, 0 and 6. Lastly, press the equals (=) key.

The calculator will display the operation $8(75 \div 5) + 306$ and the answer as 426 on the screen.

Example 2 : $2 \times 3 - 4^3 + 6$

Start by pressing 2, then multiplication key, followed by 3, then minus key, press 4, power key function, 3, move cursor right press plus then 6 lastly =

vi) Squares

Sample item on using calculator
Work out 63^2

Start by pressing number keys 6 and 3 followed by square function. Press equals key. The calculator will display the operation 63^2 and the answer 3,969 on the screen.

vii) Square Roots

Sample item on using calculator
Work out $\sqrt{758,641}$

Start by pressing square root function followed by pressing number keys 7,5,8,6,4 and 1. Press equals key.
The calculator will display the operation $\sqrt{758,641}$ and the answer 871 on the screen.

viii) Decimals

Sample item on using calculator
Work out: $64.56 + 172.9$

Start by pressing number keys 6, 4, decimal key, 5 and 6 followed by addition key and 1, 7, 2 decimal key and 9. Press equals key.

The calculator will display the operation $64.56 + 172.9 =$ and the answer 237.46 on the screen.

ix) Reciprocals

Sample item on using calculator
Find the reciprocal of 125

Start by pressing number keys 1, 2 and 5, then press the reciprocal key followed by the equals key.

The calculator will display the operation $125 =$ and the answer 0.008 on the screen.

x) Fractions

Sample item on using calculator
Work out the fraction

$$2\frac{1}{60} \div 5\frac{1}{12} =$$

Start by pressing the fraction key, then press 2 and 1 keys as numerator. Then press the cursor control button on the arrow pointing downwards. Press 6 and 0 keys and then press the arrow key on the cursor control key to move from the denominator followed by the division key. Then press the fraction key followed by 5 keys followed by a cursor control button on an arrow pointing downwards. Press 1 and 2 keys and then press the arrow key on the cursor control key to move from the denominator. Press equals key.

The calculator will display the operation $2\frac{1}{60} \div 5\frac{1}{12} =$ and the answer $2\frac{1}{25}$ on the screen.

xi) Percentages

Sample item on using calculator
Convert into percentage

Start by pressing the fraction key and the number keys 2 and 6. Press the down key on the cursor control button, then press 5 and 0 keys followed by = key. The calculator will display $\frac{13}{25}$. Press SD key the answer is given as 0.52. Then press the multiplication symbol followed by 100, then the = key. The calculator will display 52.

xii) Cubes

Sample item on using calculator
Work out 28^3

Start by pressing number keys 28 followed by exponent key function then press 3 click on the

cursor to the right to move from the exponent
Press equals key.

The calculator will display the operation 28^3 and the answer 21,952 on the screen.

xiii) Cube roots

Sample item on using calculator

Determine $\sqrt[3]{4,096}$

Activate cubic root function by clicking on shift followed by square root key, then input 4,0,9, and 6

The calculator will display the operation $\sqrt[3]{4,096}$ and the answer 16 on the screen.

Example 2:

$$\sqrt[3]{27} + \sqrt[3]{64}$$

Start by activating the cubic root by clicking on shift then square root function key followed by the keys 2 and 7, to type the second term move the cursor to the right to move out from the radicand, redo the steps again activate cubic root by clicking on shift then square root function key followed by 6 and 4 keys then press the cursor to the right to move out from radicand then press = key

The calculator will show the answer 7

8.4 Indices, Logarithms and Antilogarithms

Introduction to Indices

An index number is a number which is raised to a certain power. The power, also known as the index and it shows how many times you have to multiply the number by itself.

Example 1

Evaluate 2^6 . This means that you have to multiply 2 by itself six times, therefore

$$2^6 = 2 \times 2 \times 2 \times 2 \times 2 \times 2 = 64.$$

To work out this from the calculator, one has to key in 2 followed by the button exponent function key “X^”

Followed by 6 then move the cursor to the right to move from the exponent then press = This will give 64 as the answer.

Example 2

Evaluate 30^5 :

To evaluate this from using the scientific calculator,

To evaluate this, key in 30 followed by exponent

function key “X^” then 5, then move the cursor to the right and lastly the = sign. ($30 \times 5 =$)

This gives 24300000.

Example 3

Evaluate:

To evaluate this, key in (, followed by -3, followed by), followed by “X^” then 5 move cursor to the right and lastly the = sign i.e. $(-3) \times 5 =$

This gives -243.

Example 4

Evaluate $3^{4.5}$:

To evaluate this, key in 3 followed by exponent function key “X^” then 4.5 move the cursor right and lastly the = sign i.e. $3 \times 4.5 =$

This gives 140.2961154...

If you need to round your answer to the nearest hundredths press shift, then menu, press 3 (Number Format) then press 1 (FIX) press 2 then press = the screen will show the answer 140.30

To remove the rounding set-up, initialize the calculator by clicking on SHIFT, 9, 3, = AC.

Example 5

Evaluate: $(3)^{-2}$

To evaluate this, key in (, followed by 3, followed by), followed by exponent function key “X^” then -2 move cursor to right and lastly the = sign i.e.

$$(3) \times -2 =$$

This gives $\frac{1}{9}$. to find answer in decimal click SD key

Example 6

Evaluate: $3^8 \div 3^3$

To evaluate this, key in 3 followed by exponent function key “X^” then 8, then the right cursor key , followed by \div followed by 3, followed by exponent function key “X^” then 3, followed by the right cursor key and lastly the = sign. ($3 \times 8 \Rightarrow 3 \times 3 \Rightarrow$)

The answer to this is 243.

Laws of Indices

There are a number of important rules of index numbers:

- 1) $= x^a \times x^b = x^{a+b}$
- 2) $= x^a \div x^b = x^{a-b}$

NOTE: Any number raised to power Zero “0” is one i.e.

$$= 1$$

Solved examples:

Evaluate: Evaluate: $5^7 \times 5^3$ (5 power 7 multiplied by 5 power 3)

This is the same as 5^{7+3} (5 power the sum of 7 and 3)

This gives (this gives 5 power 10)

To evaluate this, key in 5 followed by exponent function key “X^” then 10 and lastly the = sign. ($5 \times 10 =$)

This gives 9765625.

Evaluate: $7^6 \div 7^2$

$$\begin{aligned} 7^6 \div 7^2 &= 7^{6-2} \\ &= 7^4 \\ &= 2401 \end{aligned}$$

Powers of 10

Evaluate:

To evaluate this, key in 10, followed by exponent function key “X^” followed 2 and lastly the = sign ($10 \times 10 =$) 10 power 2

This gives 100

Evaluate:

To evaluate this, key in 10, followed by exponent function key “X^” followed 6 and lastly the = sign ($10 \times 10^6 =$) 10 power 6

This gives 1000000.

Logarithms

Consider the following powers of 3:

$$\begin{aligned} 3^0 &= 1 \\ 3^1 &= 3 \\ 3^2 &= 9 \\ 3^3 &= 27 \\ 3^4 &= 81 \end{aligned}$$

The indices 0, 1, 2, 3, 4, ... are called the **logarithms** of the corresponding Numbers to **base 3**.

Example 1:

Logarithm of 9 to base 3 is 2 i.e. $\log_3 9 = 2$

Example 2:

Logarithm of 81 to base 3 is 4 i.e. $\log_3 81 = 4$

Generally, the expression

$a^m = n$ is written as $\log_a n = m$

$a^m = n$ is the **index notation** and $\log_a n = m$ is the **logarithmic notation**.

Common Logarithms of integers greater than 1

1, 10, 100 and 1000 can be expressed as powers of 10 as follows:

$$1 = 10^0$$

$$10 = 10^1$$

$$100 = 10^2$$

$$1000 = 10^3$$

The indices 0, 1, 2 and 3 are called the logarithms to base 10 of 1, 10, 100 and 1000 respectively. Since the base is 10, they are referred to as **common logarithms**.

In this video programme, we will refer to logarithms to base 10 as logarithms.

The logarithm of a number, for example 100 to base 10 is written as $\log_{10} 100 = 2$.

Using the Scientific Calculator to solve logarithmic functions

Evaluate:

a) $\log_{10} 379$

To evaluate this, press the key “Log” followed by the number 379 and then the equality sign ($\log 379 =$).

This is equal to 2.5786

b) $\log_{10} 5280$

To evaluate this, press the key “Log” followed by the number 5280 and then the equality sign ($\log 5280 =$).

This is equal to 3.7226

c) $\log_{10} 4500$

To evaluate this, press the key “Log” followed by the number 4500 and then the equality sign ($\log 4500 =$).

This is equal to 3.6532

Note:

To find the antilogarithm of a number, X, press the shift key, followed by the “Log” button and lastly the number whose antilogarithm is being found then press = (SHIFT Log X =).

8.5 Statistics

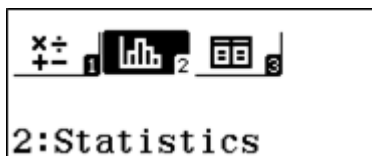
There are three main menus in scientific calculator, that is calculation modes. These are:

1. Calculate- for general calculations
2. Statistics- for Statistical calculations
3. Table- for generating number tables

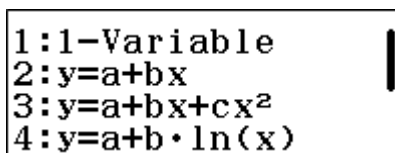
Our focus is on Statistics.

To set the calculator in statistics mode, initialize by clicking shift 9 3 = AC. to ensure all the statistics memories are empty

Press Menu button followed by 2, the display screen will show.



Press 1 for 1 variable statistics, which means single variable.



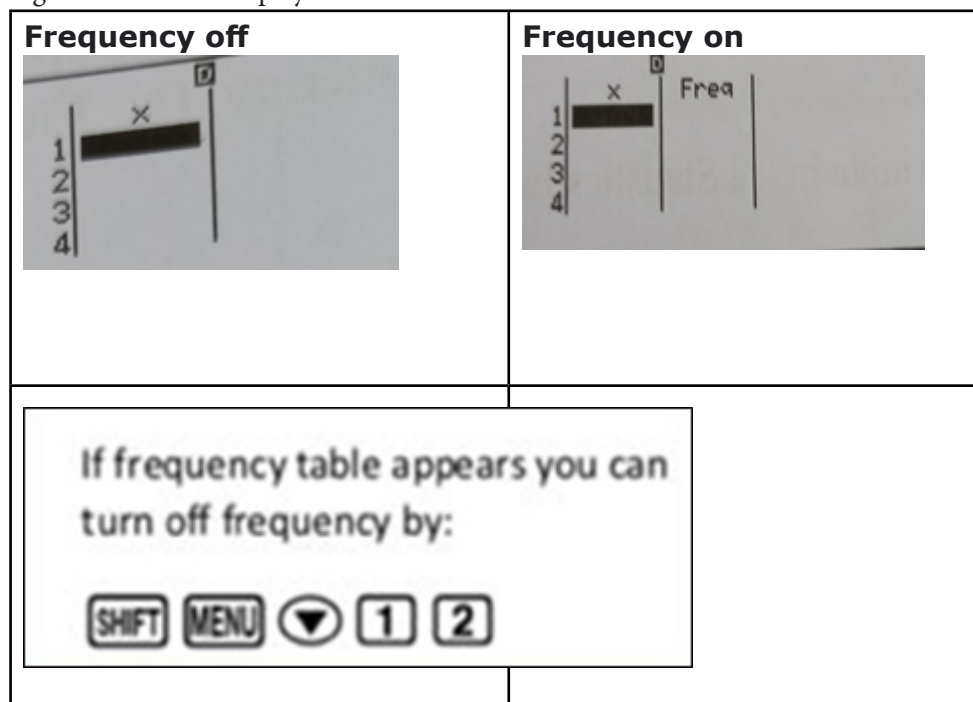
The screen will display either one column x which allows entering data with no frequency or two columns for data with frequency.

NB: if the screen shows another column titled freq as explained above, click shift menu scroll down using cursor control button select statistics then press 2 to turn off freq table.

Step 4: once finished entering data press **AC**, the screen will clear and Statistics 1- variable appear. To continue press option key select number 2 (1-Variable Calculate) a screen will appear showing all answers of mean, mode, sum of x squared, standard deviation. *(for video show screen appearance for all statistical results)*

The mean for the data is 5.375 *(should show on calculator as the first value)*

Figure 21: Screen Display



To work out statistical values of data without frequency

Example 1

Determine the mean of the following data
6, 9, 2, 9, 8, 3, 1, 5.

Step 1: From the menu screen select Statistics (Menu 2)

Step 2: Select 1- Variable by pressing 1

Step 3: A screen will appear showing only one column x input the data as follows

6=9=2=9=8=3=1=5=

Standard Deviation Calculating the Standard Deviation of a non-frequency data:

Example 2

Find the Standard Deviation of the following numbers correct to one decimal place: 3, 5, 6, 8, 10, 13.

Step 1: Press Menu set up key and then select 2 for statistics. Now press 1 for "1-VAR"

Step 2: key in the numbers starting with **3 = 5 = 6 = 8 = 10 = 13**, press [AC] to clear the display.

Step 3: press option then press 2 a screen will show all answers scroll down using cursor button for standard deviation. (*video show results on calculator display*). S. D= 3.3 to 1 dec. pl.

Example 3 Calculating the Standard Deviation from a Frequency data

Table 17: Frequency data

Item	0	1	2	3	4	5
Frequency	1	3	4	7	4	3

Step 1: Set the calculator to frequency mode. Press Shift key and menu Setup key. Scroll down to the second screen and press **1 for "Statistics, and 1 for "ON"**

Step 2: Press Menu set up key and then select 2 for statistics. **Now select 1 for "1-VAR"**

Step 3: enter the data from the frequency table, pressing **0 = 1 = 2 = 3 = 4 = 5**

Step 4: Using the cursor control button, go to the top of the next column in the table, and key in the frequencies pressing **1 = 3 = 4 = 7 = 4 = 3** and press **AC** key to clear display

Step 5: press option then press **2 for 1-Variable Calculate**, a screen will show all answers (*video show all results from calculator*)

The answer is 1.358.

Example 4 Mean, variance and standard deviation of an ungrouped data

The following are the marks scored by 5 students in a Mathematics test. 7, 9, 10, 15, 14. Calculate the mean, variance and the standard deviation using the calculator

Start by pressing the Menu Set up button then press 2 to enter the Statistics mode, press 1 to indicate **1-VAR**. Enter the given data **i.e. 7,9,10,15,14** pressing the equal key after every value, then **press AC** key to clear display. You should have a screen showing only at the bottom Statistics 1-Variable. Press option followed by **2 (1 variable calculate)** the screen will show all answers you may scroll down to see more answers.

Example 5 Mean, variance and standard deviation of an ungrouped data

The following frequency distribution table 18 represents masses in kilograms of children in a class

Table 18: Frequency Distribution

Mass of children in kg	35	36	38	40	41	42	43
No. of children	4	3	2	2	2	14	8

Find the mean, variance and the standard deviation using the calculator

Start by pressing the Menu Set up button then press 2 to enter the Statistics mode, press 1 to indicate 1-VAR, which means single variable. To activate the frequency column press Shift key then Menu/set up key. Press down the arrow using the cursor control button and press 1 for Statistics then choose frequency ON. Enter the given data i.e. **35,36, 38, 40, 41, 42, 43 pressing the equal key after every value.** Use cursor button to move the cursor to the top of the second column. Then enter the frequency data **4=3=2=2=2=14=8 then press AC key** to clear the display. Press Option followed by **2, a screen will show the answers of mean, mode, standard deviation and others. (Video show the calculation results on calculator)**

Mean, variance and standard deviation of a grouped data

To determine the statistical measures for grouped data with frequencies, first work out the mid-points of the classes. Then set the calculator 'frequency on' mode. Enter the data as for ungrouped single variable. All the statistical calculations will be obtained where mean. Variance and standard deviation are included.

Using cursor key scroll down to get other values such as **median, lower quartile (appearing as Q1) and upper quartile (Q3)** among other statistical summaries.

This means once you enter the data correctly, press AC key then Option followed by 2, you get all statistics worked out, select the ones that relate to your question. This makes working with calculator much faster, accurate and reliable.

below.

Table 19: Table of Values

x	-30	-15	0	15	22.5	30	37.5	45	60	75
$Y = \sin(2x+40^\circ)$	-1.03	0.52	1.93	2.82	2.99	2.95	2.72	2.3	1.02	-0.52

4. Trigonometry

Using the calculator to work out trigonometric problems

Sine, cosine and Tan ratios, Inverse trig ratios.

Introduction to Trigonometry

Basic Trigonometric functions are entered into the calculator in exactly the same order as they are written on paper or book (Natural Textbook Display). Scientific calculator allows the user to find the trigonometric ratios of angles in degrees, radians or Gradians. Before using the calculator to work out trigonometric ratios, you need to set the mode in degrees. To set the mode in degrees, press shift key followed by menu setup key. The calculator displays four setup options on the screen (1. Input/Output, 2. Angle Unit, 3. Number Format and 4. Fraction Result) *(video show the results as they are on calculator)*.

Press 2 key to select Angle Unit. The calculator will display three options of mode of angles (1. Degrees, 2. Radians and 3. Gradian). Press 1 key to select Degrees. The degree mode is indicated by the appearance D mode on the top of the screen display. *(video show the results as they are on calculator)*.

Example

Example 1

Determine the amplitude and the period of the function.

$$y = 3 \sin (2x + 40^\circ). \text{ (4 marks)}$$

Solution

Using a calculator sine function key, the trainee can create the following table of values. The learner can then easily key in the function $3\sin (2x+40^\circ)$ by substituting the value of x with degrees indicated

The table of values shows the amplitude (vertical distance between the sinusoidal axis and the maximum or minimum value of the function) to be 2.99 3

By Sketching

Amplitude = 3

Alternative method

You can use the table function in the calculator to plot the table above. (MENU, 3 then type the function, $3 \sin 2\alpha$ press close brackets key +40 close brackets followed by selecting the starting point $-30 =$ and ending point $30 =$, step 15 then press $=$ (press equals key twice).

Figure 22: Screen display

	x	$f(x)$
1	-30	-1.026
2	-15	0.5209
3	0	1.9283
4	15	2.819

-30

Step : 15

When looking for SIN, press the SIN Key found on the 3rd row of the calculator. The word SIN together with the opening bracket automatically appears. Then press the number depicting the angle in degrees followed by the closing bracket (optional). Lastly, press $=$ to get the answer.

Example 1

Find $\sin 45^\circ$

Using the Scientific Calculator, press $\sin 45^\circ$ followed by the $=$ to get the answer. The calculator gives the answer as. The answer displayed is a fraction involving surds instead of a decimal point. To get the decimal point, press SHIFT and then $=$ and thus the answer is given as 0.7071067812. (or click SD if you want to change from fraction to decimal)

Example 2

Having $\sin \theta = 0.5$; find 'theta' in degrees.

Solution

In your Scientific calculator, Press SHIFT function key followed by the SIN key. The display shows \sin^{-1} . Insert the given decimal point and then press the $=$ in order to get the answer as 30° .

Cosine

For Cosine, a similar approach like the one used for finding the sine can be followed.

Example 3

Find $\cos 60^\circ$

Solution

Press the cos function key (just adjacent to the sin key) followed by the given angle. In this case, it will appear as $\cos (60^\circ$. Then press the $=$ key to give the answer as $\frac{1}{2}$. The fraction can be changed into a decimal point by pressing the S \leftrightarrow D function key giving the expression as 0.5.

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UNIT 3:

DIGITAL LITERACY

Table of contents

UNIT 3: DIGITAL LITERACY	140
1.0 UNIT OVERVIEW	140
1.1 . . Unit Description	140
1.2 . . Unit Summary Learning Outcomes	140
2.0 INTRODUCTION TO ICT AND WINDOWS OPERATING SYSTEM	140
2.1 . . Specific Learning Outcomes	140
2.2 . . Introduction	140
2.3 . . Concepts of Computing	140
2.4 . . History of Computers	141
2.5 . . Components of a Computer	142
2.6 . . Computer Hardware	143
2.7 . . Computer Software	146
2.8 . . Windows Operating System	147
2.9 . . Learning Activities	151
2.10 . Self-Assessment Questions and Activities	151
2.11 . References	152
3.0 CREATING DOCUMENTS USING WORD PROCESSOR	153
3.1 . . Specific Learning Outcomes	153
3.2 . . Introduction	153
3.3 . . Word Processor Overview	153
3.4 . . Creating a New Document	154
3.5 . . Creating Word Document	154
3.6 . . Opening Word Document	155
3.7 . . Correcting and Editing a Document	155
3.8 . . Moving Text within a Document	156
3.9 . . Applying Bold, Italic, and Underline Features while Typing	156
3.10 . Adding Bullets and Numbering while Typing Document	156
3.11 . Applying Fonts Formatting	157
3.12 . Applying desired Paragraph Formatting (Alignment, Indent, and Spacing)	157
3.13 . Applying Numbering features for Existing Document	157
3.14 . Applying Colours for Existing Document	158
3.15 . Applying Indenting Features in an Existing Document	158
3.16 . Aligning Text Left, Center, Justify, Right	158
3.17 . Inserting Page Numbers, Headers, Footers, and Tables	159
3.18 . Changing Layouts Margins, Orientations, Breaks and Columns	161
3.19 . Spell Check a Document	161
3.20 . Learning Activities	162
3.21 . Self-Assessment Questions and Activities	162
3.22 . References	163
4.0 CREATING SPREADSHEETS	164
4.1 . . Specific Learning Outcomes	164
4.2 . . Introduction	164
4.3 . . Overview of a Spreadsheet	164
4.4 . . Starting a New Excel Worksheet	164
4.5 . . Navigating in a Worksheet	165
4.6 . . Adding Data in a Spreadsheet	165
4.7 . . Saving a Worksheet	166
4.8 . . Using Excel as a Simple Calculator to Add, Subtract, Multiply and Divide	166
4.9 . . Applying Simple Formula to Worksheet	166
4.10 . Changing Columns and Row Size width	167
4.11 . Inserting Blank Rows and Blank Columns	167
4.12 . Applying Borders to Worksheet	168
4.13 . Applying Basic Format such as bold, italic, underline, bullets, numbering	168
4.14 . Applying number formatting with commas and decimal	168
4.15 . Applying Font Cell Format	168
4.16 . Sorting Data in a Worksheet	168
4.17 . Inserting Charts in a Worksheet	169
4.18 . Format Chart	169
4.19 . Decision Analysis	170
4.20 . Printing Worksheet	170
4.21 . Learning Activities	171
4.22 . Self-Assessment Questions and Activities	171
4.23 . References	172

5.0	ORGANIZING DATA IN A DATABASE	173
	5.1 . . Specific Learning Outcomes	173
	5.2 . . Introduction	173
	5.3 . . Overview of Database	173
	5.4 . . Starting Ms Access	174
	5.5 . . Creating Database Table	175
	5.6 . . Creating Database Form	176
	5.7 . . Adding Design Controls	178
	5.8 . . Creating Database Query	180
	5.9 . . Creating Report	181
	5.10 . Learning Activities	183
	5.11 . Self-Assessment Questions and Activities	183
	5.12 . References	184
6.0	USING POWERPOINT PRESENTATION	185
	6.1 . . Specific Learning Outcomes	185
	6.2 . . Introduction	185
	6.3 . . Overview of PowerPoint Presentation	185
	6.4 . . Creating a New Presentation	185
	6.5 . . Adding New Slides to a Presentation	186
	6.6 . . Running a Slide Show	187
	6.7 . . Presentation Views	187
	6.8 . . Applying Themes and Background to a Presentation	189
	6.9 . . Copying and Pasting Slides from Different Presentations	190
	6.10 . Saving a Presentation	191
	6.11 . Opening Existing Presentation	191
	6.12 . Inserting Items in a Presentation	192
	6.13 . Transition Effects and Slide Timings	192
	6.14 . Printing a Presentation	193
	6.15 . Learning Activities	194
	6.16 . Self-Assessment Questions and Activities	194
	6.17 . References	195
7.0	DESKTOP PUBLISHING	196
	7.1 . . Specific Learning Outcomes	196
	7.2 . . Introduction	196
	7.3 . . Desk Top Publishing with MS Publisher	196
	7.4 . . Starting Microsoft Publisher	196
	7.5 . . Publisher Layout	197
	7.6 . . Tabs/Groups	197
	7.7 . . Viewing Tools	198
	7.8 . . Backstage View	199
	7.9 . . Changing or Adding a Template	200
	7.10 . Adding, rearranging, and deleting pages	201
	7.11 . Text Boxes	203
	7.12 . Hyphenation	206
	7.13 . Formatting Text	206
	7.14 . Inserting Pictures and Clip Art	207
	7.15 . Arranging Objects	210
	7.16 . Working with Pictures	214
	7.17 . Inserting Tables	217
	7.18 . Printing and Publishing	222
	7.19 . Learning Activities	225
	7.20 . Self-Assessment Questions and Activities	225
	7.21 . References	226
8.0	COMPUTER NETWORKS, INTERNET AND EMAILS	227
	8.1 . . Specific Learning Outcomes	227
	8.2 . . Introduction	227
	8.3 . . Overview of Computer Networks	227
	8.4 . . Types of Networks	227
	8.5 . . Computer Media	228
	8.6 . . Network Devices	228
	8.7 . . Network Terminologies	229
	8.8 . . Network Configuration	229
	8.9 . . Internet	230

	8.10 . E-Commerce	231
	8.11 . Electronic Mail (E-Mail) Concept	231
	8.12 . Learning Activities	233
	8.13 . Self-Assessment Questions and Activities.	233
	8.14 . References	234
9.0	INFORMATION TECHNOLOGY SECURITY	235
	9.1 . . Specific Learning Outcomes	235
	9.2 . . Introduction	235
	9.3 . . Overview of Information Technology Security	235
	9.4 . . Hardware Security	235
	9.5 . . Software Security	235
	9.6 . . Data Security.	235
	9.7 . . User Security	236
	9.8 . . Data Protection Law.	236
	9.9 . . Health Concerns of Computer Use	236
	9.10 . Learning Activities	237
	9.11 . Self-Assessment Questions and Activities.	237
	9.12 . References	238

LIST OF ABBREVIATIONS AND ACRONYMS

UNIT 3: DIGITAL LITERACY

1.0 UNIT OVERVIEW

1.1 Unit Description

This unit describes competencies required to use a computer and other digital devices for the purposes of communication, work performance and management at the workplace. It addresses different computer software and hardware required, data security in an automated environment, using computers to solve tasks, communicate and store information.

1.2 Unit Summary Learning Outcomes

At the end of the unit, the trainee should be able to:

1. Identify computer software and hardware
2. Apply security measures to data, hardware, software in automated environment
3. Apply computer software in solving tasks
4. Apply internet and email in communication at workplace
5. Apply desktop publishing in official assignments
6. Prepare presentation packages

2.0 INTRODUCTION TO ICT AND WINDOWS OPERATING SYSTEM

2.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- i. Explain the Concepts of ICT and the Components of a computer
- ii. Explain the Functions of ICT
- iii. Identify the role of Windows Operating System in conducting business operations
- iv. Navigate the computer using Windows Operating System
- v. Create and manipulate files and folders

2.2 Introduction

For Windows Operating System, the model introduces students to the concept of operating systems with a view of appreciating its role within the computer. The topic covers the role of windows in the computer; common locations in the windows operating system; creating and manipulating files and folders. The unit module should emphasize the

parts of a windows, concept of paths, file explorer, creating and manipulating text files, and using basic windows commands.

2.3 Concepts of Computing

2.3.1 Definition of a Computer

- A programmable, electronic device that accepts data, performs operations on that data, and stores the data or results as needed.
- Computers follow instructions, called programs, which determine the tasks the computer will perform.
- Too many people and organizations purchase and use Computers for the wrong reasons. Computers are practical tools to be used in helping you get results.

2.3.2 Benefits of using a Computer

Computers are needed where:

- We need **accurate** knowledge to assist decision making.
- There are **time** constraints or sheer magnitude of work involved.
- We need to reduce **effort** in tackling certain tasks.
- We need **cost efficiency**.
- There is a need to assist in **enhancing Customer service**.
- There is a **Decisions making process** such as forecasting of market trends to ensure business survival.

2.3.3 Functions of a Computer

- Input: Entering data into the computer
- Processing: Performing operations on the data
- Output: Presenting the results (information)
- Storage: Saving data, programs, or output for future use
- Communications: Sending or receiving data

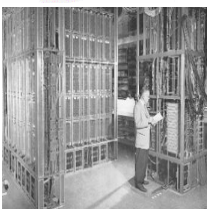
2.4 History of Computers

- “Computer” was originally a **job title**: it was used to describe those human beings (predominantly women) whose job was to perform the **repetitive calculations** required to compute such things as navigational tables, tide charts, and planetary positions for astronomical almanacs.
- Before computers, we had early computing devices
 - Abacus, slide rule, mechanical calculator.
 - Punch Card Tabulating Machine and Sorter.

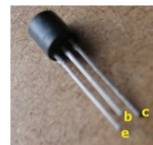


Evolution of Computers:

- First-generation computers (1946-1957)
 - Enormous and powered by **vacuum tubes** for circuitry and **magnetic drums** for memory,
 - Were enormous, taking up entire rooms.
 - Input was based on **punched cards** and paper tape.
 - Used a great deal of electricity, and generated a lot of heat
 - ENIAC and UNIVAC



- Second-generation computers (1958-1963)
 - Used transistors instead of vacuum tubes
 - Computers were smaller, more powerful, cheaper, more energy-efficient, and more reliable
 - Punch cards still used for input, however magnetic drums were replaced by magnetic tape to input and store data.



A Transistor



IBM Stretch computer of 1959

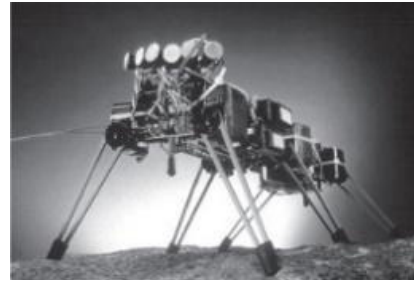
- Third-generation computers (1964-1970)
 - Used integrated circuits (ICs).
 - Transistors were miniaturized and placed on **silicon chips**, called semiconductors.
 - Increased the speed and efficiency of computers.
 - Keyboards and monitors introduced to replace punched cards.
 - The use of an **operating system**, which allowed the device to run many different **applications** at one time.
 - Computers became accessible to a mass audience because they were smaller and cheaper than their predecessors.



- Fourth-generation computers (1971-present)
 - Use microprocessors. Thousands of integrated circuits were built onto a **single silicon chip**. The result was the **microprocessor**.
 - A computer could now fit in the palm of the hand.
 - Use keyboards, mice, monitors, and printers.
 - Use magnetic disks, flash memory, and optical disks for storage.
 - Computer networks, wireless technologies, Internet introduced.
 - The Intel 4004 chip, developed in 1971, located all the components of the computer - from the central processing unit and memory to input/output controls - on a single chip. In 1981 IBM introduced its first computer for the home user (the personal computer), and in 1984 Apple introduced the Macintosh. Microprocessors also moved out of the realm of desktop computers and into many areas of life as more and more everyday products began to use microprocessors.



- Fifth generation (now and the future)
 - Infancy stage based on **artificial intelligence**
 - Are **still in development**, though there are some applications, such as voice recognition, that are being used today.
 - The goal of fifth-generation computing is to develop devices that respond to **natural language input** and are **capable of learning** and self-organization. Based on optical computers and utilize nanotechnology



- Technology of Tomorrow
 - Nanoscience - study of very small structures
 - Biomedical Chip Implants - embedded as identification devices
 - Artificial Intelligence - make decisions based on criteria
 - Autonomic computing - Self manipulation of computers

2.5 Components of a Computer

A computer may be classified by **technology (Digital/Analog)**, **purpose (General/Specialized)**, and **size**. We focus on classification by size.

- **Mini-Computers (Laptops, Notepad, PDAs, Mobile Phones, & embedded computer)** - combines the CPU, the monitor, the keyboard, and the mouse in one unit.
 - So small that you can carry it on your laps when commuting.



FIGURE 1-13
Smartphones, tablet
mobile devices today
are based on the
mobile phone.

- Includes laptops, notebooks, PDAs etc.
- Other parts can be connected to the laptop.
- Can do anything that a desktop can do except for embedded devices.

- Embedded computers are embedded into a product and
 - designed to perform specific tasks or functions for that product



- **Micro-Computer (Desktop)** – can be positioned on top of a table where a person is working.



- **Macro-Computer (Main frame)**

Mainframe computer: Powerful computer used by large organizations to process large amounts of centralized data

- Standard choice for large organizations, hospitals, universities, large businesses, banks, government offices.



- Located in climate-controlled data centers and connected to the rest of the company computers via a network.
- Larger, more expensive, and more powerful than midrange servers.
- Usually operate 24 hours a day.
- Also called high-end servers or enterprise-class servers.

- **Macro-Computer (Server)** –

Holds information that other computers, can retrieve.

- The computers are connected to the server via cable, wireless connection, etc to be able to retrieve this information.
- Although not particularly recommended, any computer, including a desktop or even a laptop can be used as a server, as long as it can do the job required.
- A server is more defined by the program (called an Operating System) that is installed in it, not how the machine looks.

- **Macro-Computer (Supercomputers)** – are built to minimize distance between circuit boards.

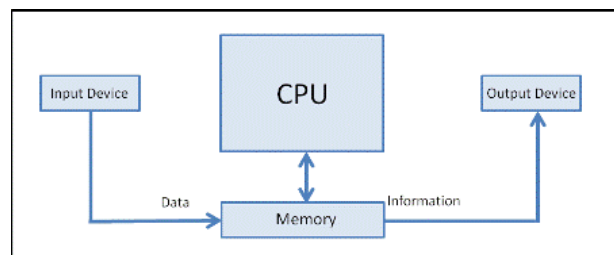
- They operate at very high speed for complex uses such as designing airplanes, solving complex engineering formulas having billions of steps mathematically etc.
- Supercomputers are the main servers in the Internet System.

2.6 Computer Hardware

- Refers to the Physical *parts of a computer*

- Hardware is made up of devices classified as:

- Input Devices
- Storage Devices
- Processing Devices
- Output Devices



- Input Devices: Accept data or instructions from the user. Data is the raw facts that are fed to the computer.
 - **Keyboard:** An input device used to enter characters at the location marked by the insertion point or cursor. It can be wired or wireless.
 - **Pointing devices:** Used to select and manipulate objects. Often used to select input data or issue commands to the computer. Common types of pointing devices are the mouse, Stylus, and Touch screens.
 - **Scanners, Readers, and Digital Cameras** – access input from source documents containing data that already exists in physical form (order form, photograph, invoice, check, or price label)



- Output Devices: Used to provide feedback from the computer. They can produce soft copy or hard copy output.
 - **Monitors & Display screen:** Presents output visually. Monitors are detached devices such as those used for a desktop computer while Display screens are inbuilt into a variety of devices such as tablets. They produce soft copy output.
 - **Data projector:** Display device that projects all computer output to a wall or projection screen. Often, they are found in classrooms or conference rooms. They can be wireless or integrated into devices. They produce soft copy output.
 - **Printers:** Produce hard copy output. The most common types of printers are inkjet printers and laser printers. There are other printers that are also becoming common such as LCD, LED, Thermal and 3-D printers,



- Processing Devices – Also known as the Central processing unit (CPU) or processor/microprocessor. It does the vast majority of processing for a computer. Processing refers to the conversion of data to information. Information is the output that is useful for decision making. There are two processing devices that make up the central processing Unit.
 - **The Arithmetic Logic Unit** – This is the part that executes the computer's commands.
 - **The Control Unit** – The control unit is the part of the computer fetches commands for execution. It takes several fetch and execution cycles to do even a simple addition of two numbers.



- Storage Devices – Keep information for future retrieval or consumption. Consist of a storage device and a storage medium. A Medium is inserted into device to be used. Storage devices are typically identified by letter C:
- Data can be stored randomly or sequentially
- The data retention ability of a device determines its volatility. Volatile - Storage that lasts only while the power is on for example with RAM, CACHE, and REGISTERS. Non-Volatile - Storage that lasts regardless of the power availability such as Hard disks or ROM.
- Main Memory – (Internal) refers to chip-based storage needed by the computer when it is working. RAM (random access memory) is the computer's main memory and can be expanded. ROM (read only memory) are chips located on the motherboard into which data or programs have been permanently stored.



- Secondary Storage – (External) refers to storage devices that keep data for future use. It can be:
 1. Magnetic Storage - Store data using magnetic fields e.g. Hard disk, Magnetic tape.
 2. Optical Discs - Store data optically (using laser beams) e.g. CD, DVD, or Blu-Ray Disc (BD).
 3. Flash/Electric Memory Systems – Store data using electric charge e.g. Solid-state storage disks or Flash memory sticks/cards.



- **System unit.** The main case of a computer. Holds the internal hardware for a computer such as the Main Circuit board (Motherboard), Storage devices, Power supply, Cooling fans, CPU, Memory, Expansion Cards, and other components.

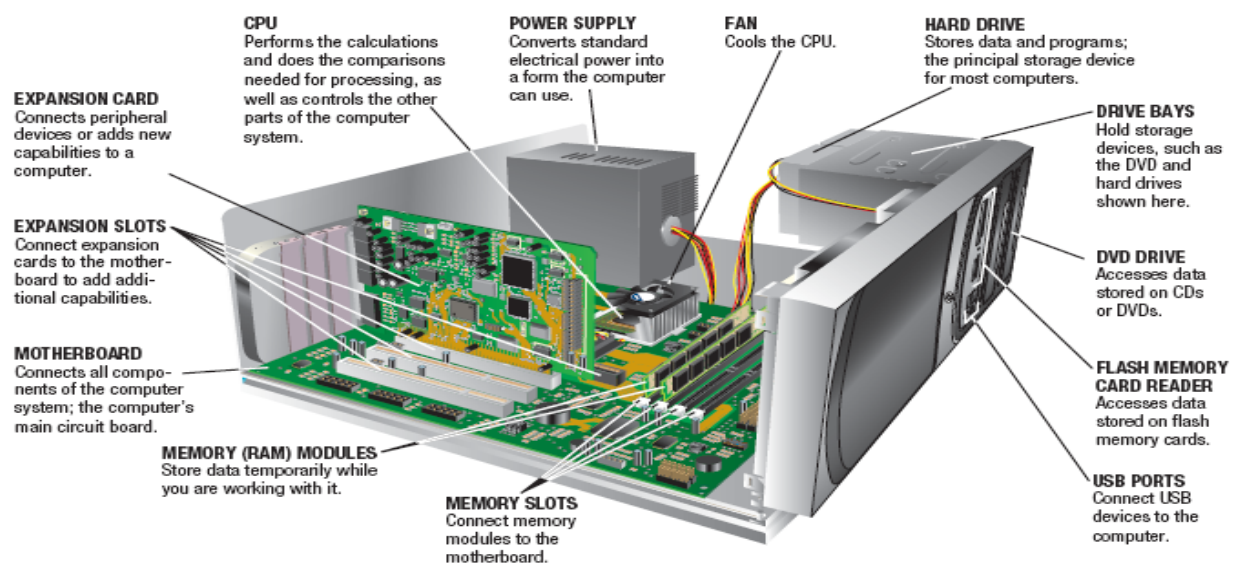
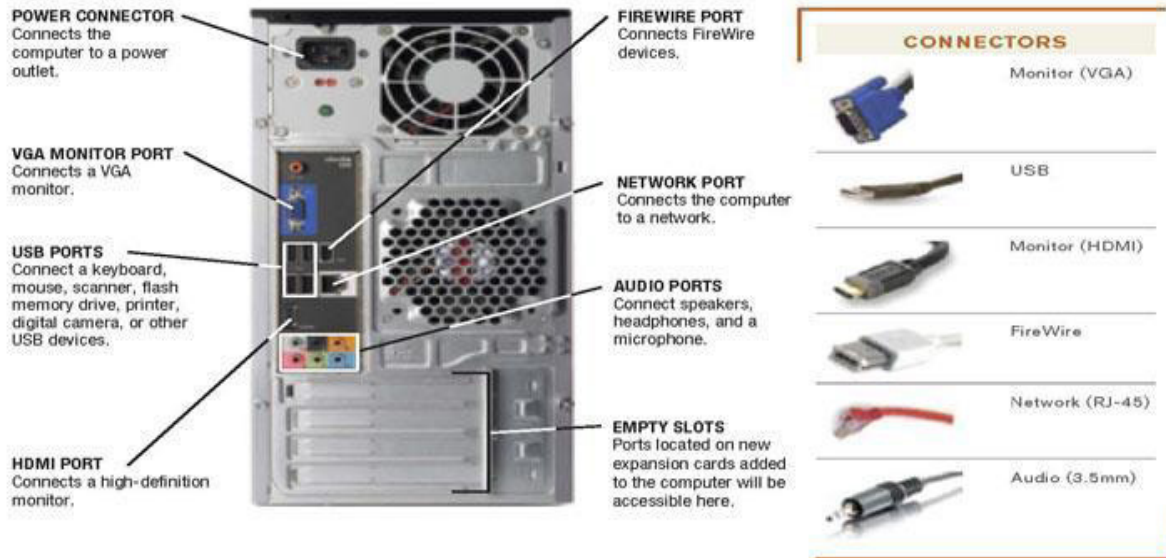


FIGURE 2-7
 Inside a typical system unit. The system unit houses the CPU, memory, and other important pieces of hardware.

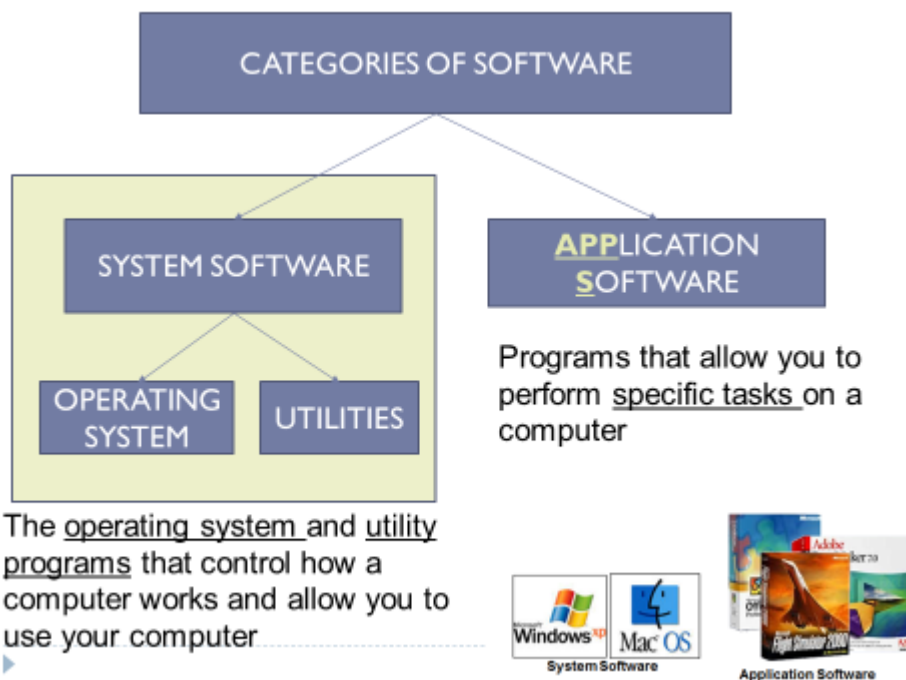
• Ports and connectors

FIGURE 2-16
Typical ports for desktop computers and examples of connectors.



2.7 Computer Software

- *Non-Physical parts of a computer. Refer to instructions given to a computer.*
- Software Categories





- **System Software** - Starts and runs the computer. It finds devices and launches applications. It manages files (storage) and Controls hardware configuration. It also protects the computer from unauthorized use and maintains it by providing Backup and recovery tools.
- **Application Software** – Performs a user's tasks such as creating documents and playing some music. Common examples include word processors, spreadsheets, databases, presentations, and graphic applications.
- The computer startup process is also known as the Boot Process and includes the following steps:
 - Step 1: The basic input/output system (BIOS) is activated.
 - Step 2: A Power-on-self-test (POST) checks attached hardware.
 - Step 3: The operating system loads into memory.
 - Step 4: Configuration and customization settings are checked.
- The operating System facilitates communication with the computer hardware. Common operating systems are Microsoft Windows, Apple macOS, Linux, Android and iOS. All operating systems must handle three basic tasks:
 - **Allocating System Resources** - The operating system decides what resource will be used and for how long.
 - **Monitoring System Activities** – These activities include System Performance and System security
 - **File and Disk Management** - A user needs to copy, move, delete, and rename files. This is the category of operating system functions that the user actually sees the most. (*File management*).
- Utility programs - Software that performs a specific task, related to managing or maintaining the computer system. Many utilities are built into operating systems. Examples include Disk clean-up utilities, Accessibility Utilities, and Display Utilities.


2.8 Windows Operating System

2.8.1 Working with files

- A key task of the operating system is working with files and folders. When working with the computer you will need to do this almost all the time. Here we look at the basics of working with files, including how to open files, move your files into folders, and delete files.
- Files contain your work and can include written documents, digital photos or videos are all types of files. When working with the computer you will be viewing, creating, or editing these files.
- Files are usually represented by an icon with a name. In the image below, you can see three different types of files with icons representing the file format. We shall examine more on these formats later.


 MIST PROJECT REVIEWERS FEEDBACK


 Moderation Report


 SST -certificate_correction_for Masters


2.8.2 Working with folders

- Windows uses folders to help you organize files. You can put several related files inside a folder, just like you would put documents inside a real paper folder. In the image below, you can see some folders.

 Evidence

 Mine

 Results

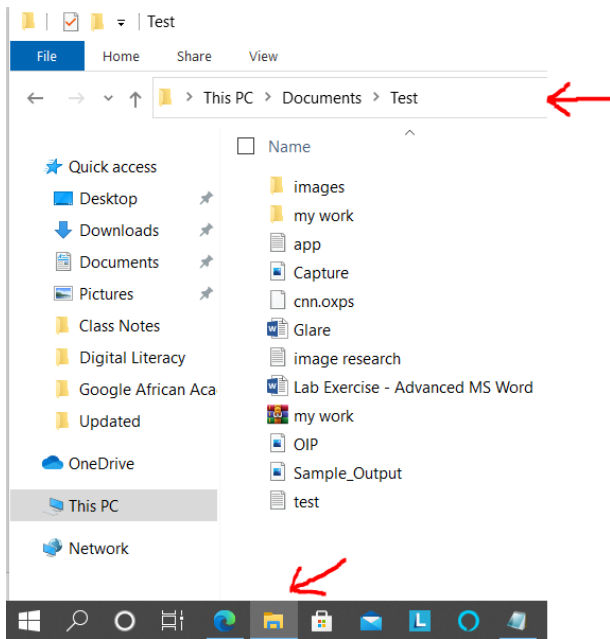
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2.8.3 File Explorer

- You can view and organize files and folders using a built-in application known as File Explorer.
- To open File Explorer, click the File Explorer icon on the taskbar, or double-click any folder on your desktop. A new File Explorer window will appear. Now you're

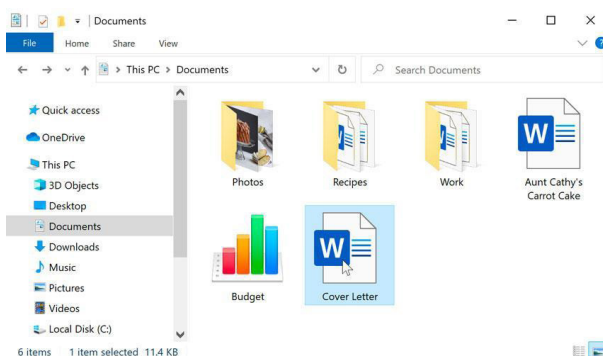
ready to start working with your files and folders.

- Notice that you can also see the location of a folder in the address bar near the top of the window.

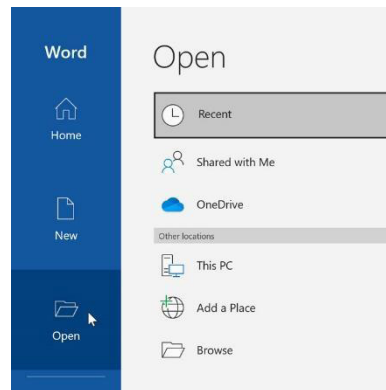


2.8.4 Open a file

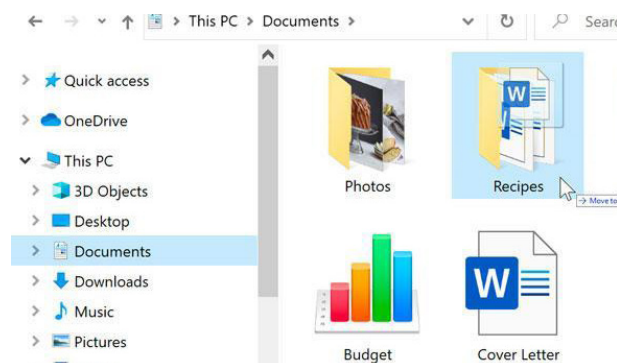
- There are two main ways to open a file:
- Find the file on your computer using file explorer or otherwise and double-click it. This will open the file in its default application. In our example, we'll open a Microsoft Word document (Cover Letter.docx), which will open in Microsoft Word.



- Open the application, then use the application to open the file. Once the application is open, you can go to the File menu at the top of the window and select Open. We shall examine this option more later.



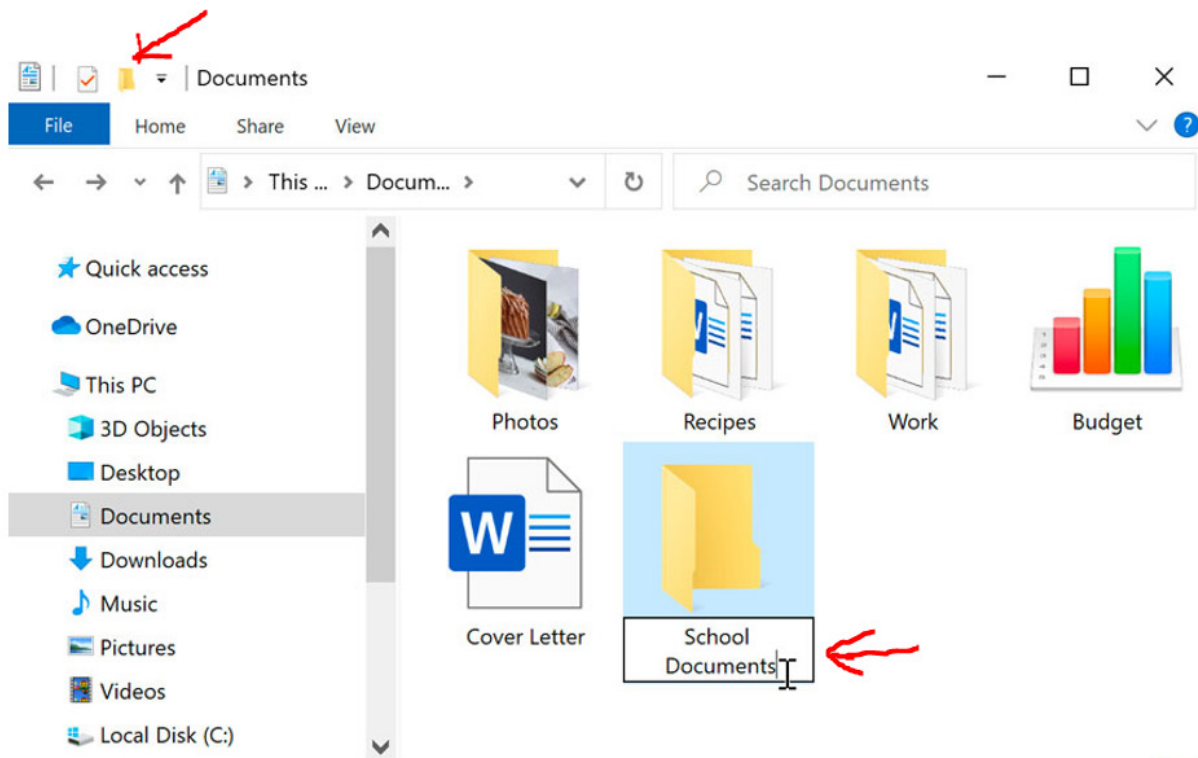
- Moving and deleting files - As you begin using your computer, you will come across scenarios where you need to move files to different folders or delete files you no longer use.
- To move a file: Click and drag the file to the desired location. Release the mouse. The file will appear in the new location. In the following example, we drag the word document to the recipes folder.



- You can use this same technique to move folders. Note that moving a folder will also move all the files within that folder.

2.8.5 Create a new folder

- Move to the location where you need the New folder then select the New Folder icon shown below or right-click, then select New Folder. The new folder will appear. Type the desired name for the folder and press Enter. In the following example we called it School Documents.

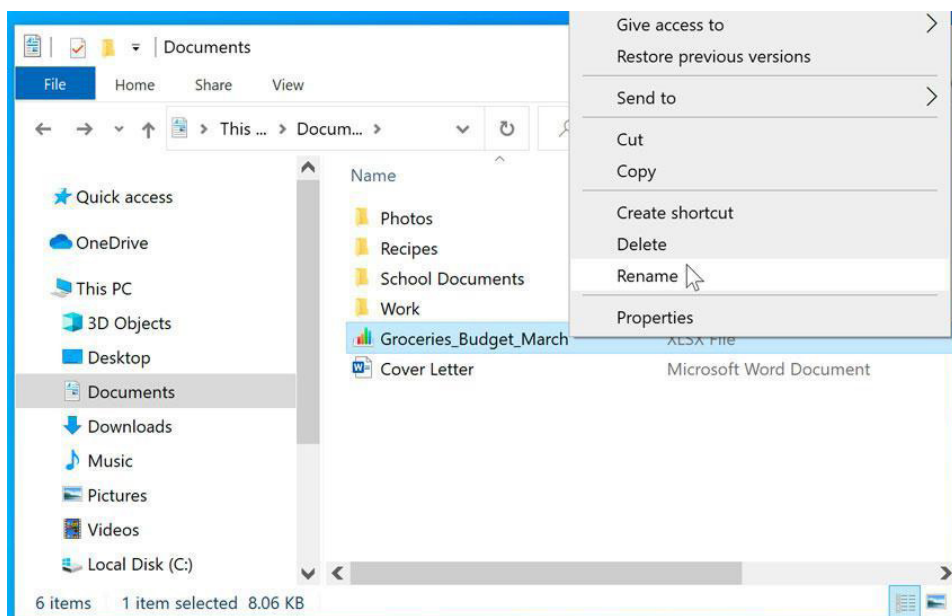


2.8.6 Rename a file or folder

- You can change the name of any file or folder. A unique name will make it easier to remember what type of information is saved in the file or folder.
- Right-click on the folder and select Rename from the menu that appears. Replace the old name with the desired name on your keyboard and press Enter. The name will be changed.

2.8.7 Delete a file or folder

- If you no longer need to use a file or folder, you can delete it. When you delete a file, it is temporarily moved to a folder known as the **Recycle Bin**. If you change your mind, you can move the file from the Recycle Bin back to its original location. If you're sure you want to permanently delete the file, you will need to **empty the Recycle Bin**.

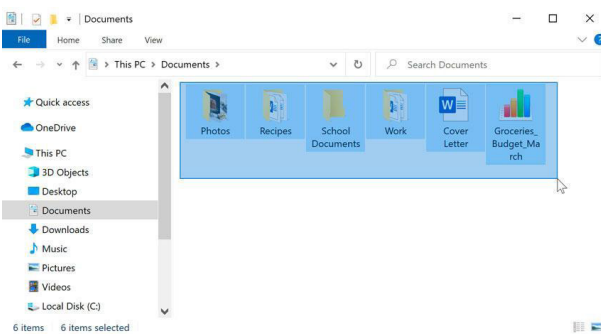


- **Right-click** on the folder and select **Delete** from the menu that appears. You can also click the file to select it and press the **Delete** key on your keyboard.
- Note that deleting a folder will also delete all the files within that folder.

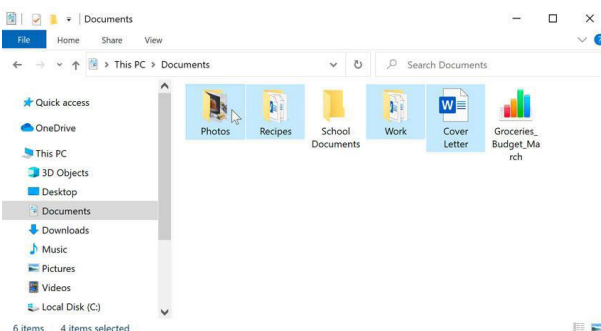
2.8.8 Selecting multiple files

This technique helps you to manipulate files and folders even faster. There are a few ways to select more than one file at a time:

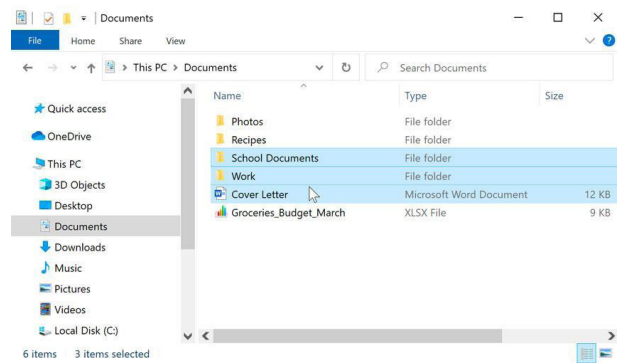
- If you're viewing your files as icons, you can click and drag the mouse to draw a box around the files you want to select. When you're done, release the mouse; the files will be selected. You can now move, copy, or delete all these files at the same time.



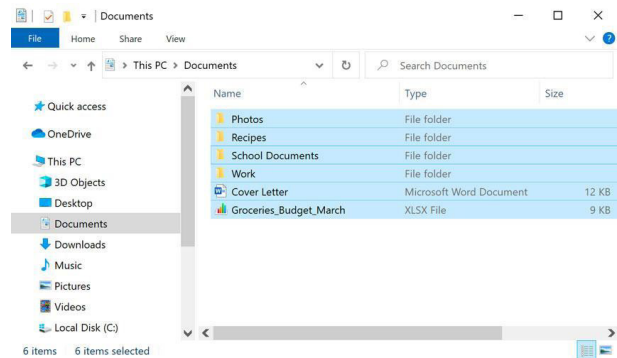
- To select **specific files** from a folder, press and hold the **Control** (labelled Ctrl) key on your keyboard, then click the files you want to select.



- To select a **group of files** from a folder, click the first file, press, and hold the **Shift** key on your keyboard, then click the last file. All the files between the first and last ones will be selected.

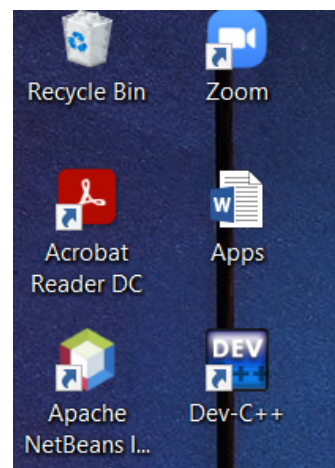


- If you want to select **all files in a folder** at the same time, open the folder in File Explorer and press **Ctrl+A** (press and hold the **Control** key on your keyboard, then press **A**). All of the files in the folder will be selected. **Ctrl+A** is an example of a **keyboard shortcut**.

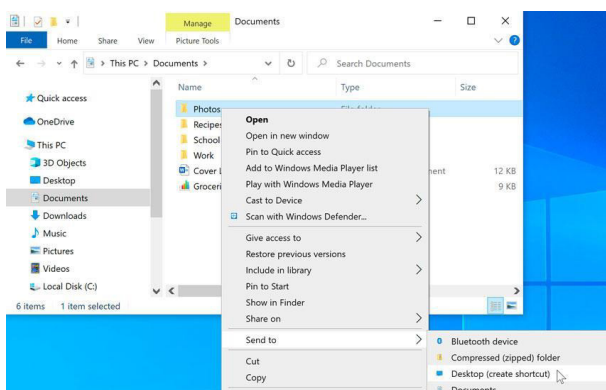


2.8.9 Shortcuts

- If you have a file or folder you use frequently, you can save time by creating a shortcut on the desktop. Instead of navigating to the file or folder each time you want to use it, you can simply double-click the shortcut to open it. A shortcut will have a small arrow in the lower-left corner of the icon.



- Note that creating a shortcut does not create a duplicate copy of the folder; it's simply a way to access the folder more quickly. If you delete a shortcut, it will not delete the actual folder or the files it contains. Also note that copying a shortcut onto a storage drive will not work; if you want to bring a file with you, you'll need to navigate to the actual location of the file and copy it to the storage drive.
- To create a shortcut, locate and right-click the desired folder, then select Send to Desktop (create shortcut).



- A shortcut to the folder will appear on the desktop. Notice the arrow in the lower-left corner of the icon. You can now double-click the shortcut to open the folder at any time.

Required:

- Create a folder
- Create a file using notepad
- Save the file in the folder
- Create another text file
- Save it in the folder
- Delete the file by dragging it in the recycle bin
- Recover the file from recycle bin
- Open a word processor
- Close the word processor

2.10 Self-Assessment Questions and Activities

- What are the functions of computers?
- What are the benefits of using a computer?
- What is the role of Windows Operating System in conducting business operations?

2.9 Learning Activities

Activity 1:

Identify a physical computer device in the workplace:

Required:

- Identify the different parts of a computer?
- Identify external components of a computer such as the mouse, keyboards, and monitors.
- Open a desktop computer and identify the physical components inside the system unit. These include the main memory, processor, hard disk, expansion slots, motherboard and the various ports used to connect the computer to external devices.

Activity 2:

Open a computer and undertake various computer processes as required below.

2.11 References

- Morley, D., & Parker, C. S. (2014). Understanding computers: Today and tomorrow, comprehensive. Cengage Learning.
- Vermaat, Misty E. (2016). Microsoft Word 2016: Introductory. Cengage Learning.
- Sandra Cable, Steven M. Freund, Ellen Monk, Susan L. Sebok, Joy L. Starks (2019), Shelly Cashman Series Microsoft® Office 365 & Excel 2019 Comprehensive, 1st Edition, eBook.

3.0 CREATING DOCUMENTS USING WORD PROCESSOR

3.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- Identify the roles of word processor commands.
- Format a word processor document.
- Create and manipulate files and folders.
- Use word processing.

3.2 Introduction

This topic introduces to the student the art of creating documents such as reports. The topic covers: introduction to the role of word-processor, creating, editing document; basic formatting such as bold, italic, underline, bullets, numbering; copy, move text; align text; set margins, insert and remove page and section breaks; font and paragraph formatting;

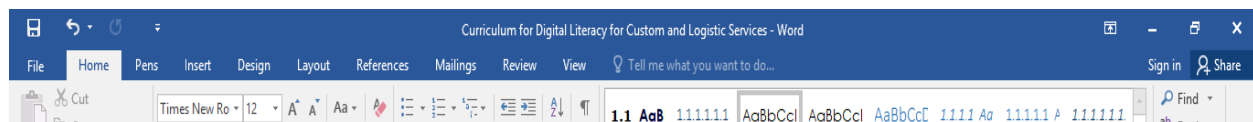
create headers and footers; page numbering and formatting; print setup, preview/print; find and replace; create newspaper style columns; insert pictures/objects; create, modify, format table; create table of content; mail merge. The unit module should emphasize the concept of preparing documents to accomplish various organization tasks such as reports and letters.

3.3 Word Processor Overview

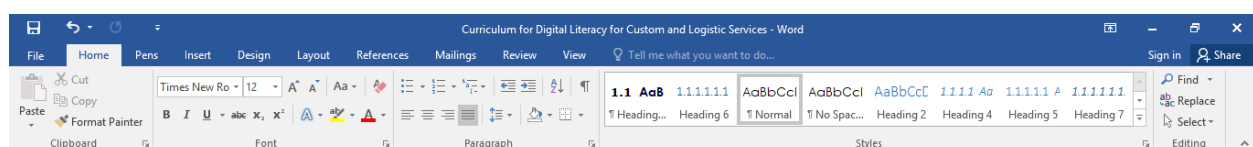
A word processor is a tool for producing documents like letters and reports. Word processor has a word wrap feature. The latter means that once the margin is reached the cursor automatically move to the next line.

There are 3 parts of the ribbon namely Tabs, Groups and Commands

Tab: There are 7 basic ones across the top and each one of them represents an activity area



Group: each tab has several groups which show related items. In the **Home tab**, we have the Clipboard, Font, Paragraph, Styles and Editing



Command: a command is a button, or a box used to enter information. It could also be a menu.

Thus, a Ribbon contain most of the commands and button that one can use to accomplish any given task. Most of the basic commands are under the

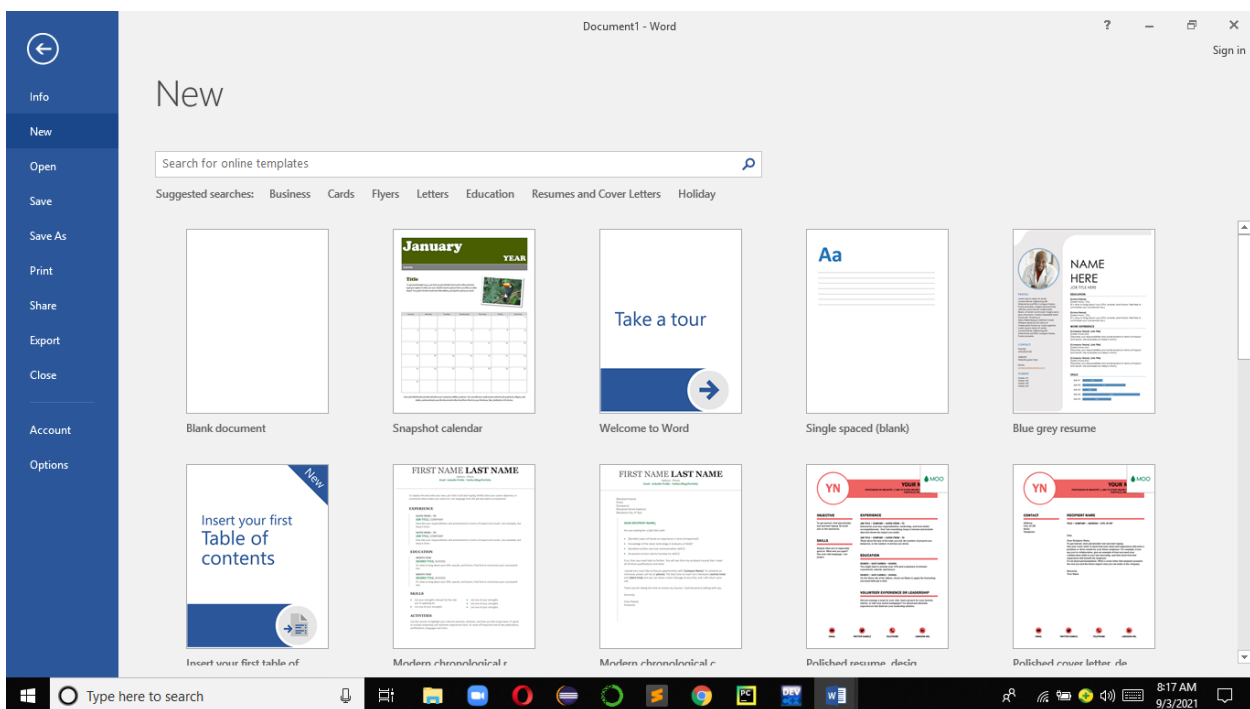
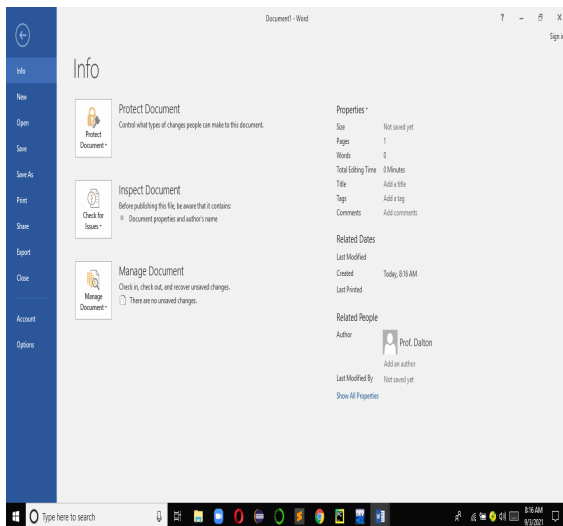
Home Tab.

Features can be applied while producing the document or for an existing document. To introduce a feature while producing the document, first

you have to click the feature. Some feature might require one to click them to stop the activity. For existing document, features are mostly applied by first highlight the desired text and then click on the desired feature.

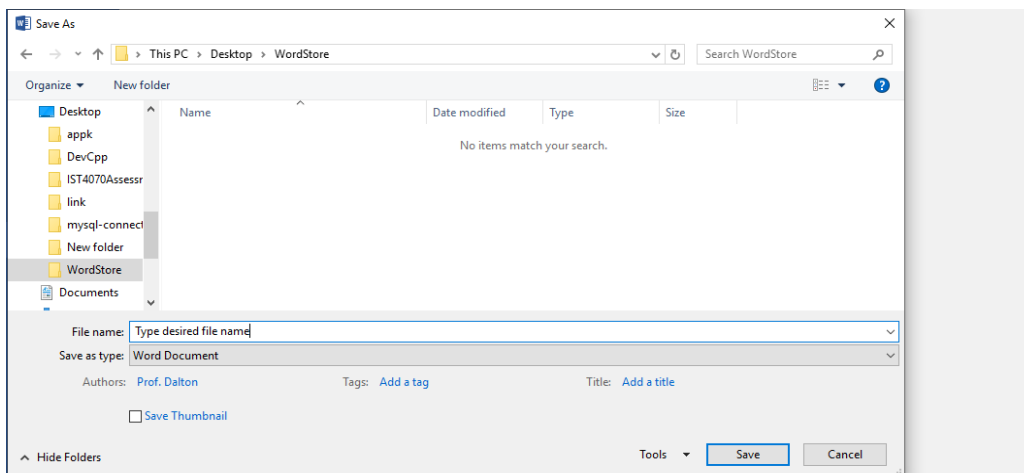
3.4 Creating a New Document

- Step 1: Click File
- Step 2: Click New
- Step 3: Double click Blank document
- Step 4: Start typing
- Step 5: Press enter key only when you want to create a new paragraph



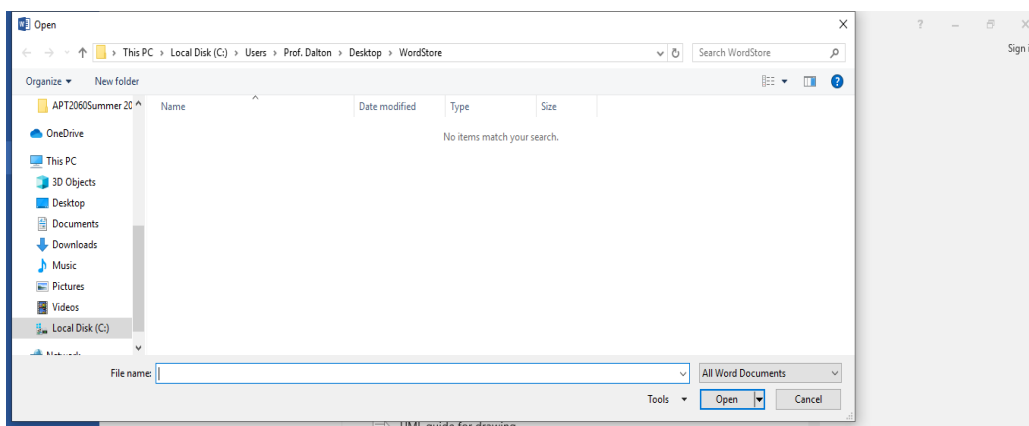
3.5 Creating Word Document

- Step 1: Type desired Text
- Step 2: Click File
- Step 3: Click Save or Save as
- Step 4: Select folder where to save
- Step 5: Provide a suitable file name
- Step 6: Click Save button



3.6 Opening Word Document

- Step 1: Click File
 Step 2: Click Open
 Step 3: Select desired file
 Step 4: Click Open



3.7 Correcting and Editing a Document

- Step 1: Use the arrow keys to move the cursor to the position of the correction.
- Step 2: If you want to insert character, Word will insert the character on the immediate right of the cursor.
- Step3: You can delete using delete key. The letter deletes the immediate character that is on the left of cursor, backspace key deletes the immediate character to the right of cursor.

NB: To highlight means to select desired text, the task is done by positioning the cursor at the beginning of the text, then hold down the mouse button and drag up to the desired end of text.

3.8 Moving Text within a Document

(i) Drag and Drop

Step 1: Select the text you want to move.
 Step 2: Position the mouse pointer over the selection and hold down the left mouse button.
 Step 3: Drag the text to the desired location and then release the mouse.

(ii) Cut and Paste

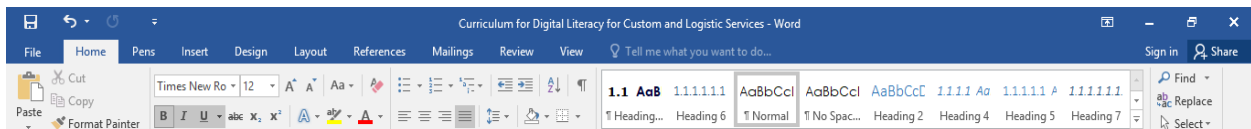
Step 1: Select the text to be cut
 Step 2: Click Cut from Home tab (or Press Ctrl+X)
 Step 3: Place the cursor where you want to move text to
 Step 4: Click Paste from Home tab (or Ctrl +V)

(iii) Copy and Paste

Step 1: Select the text to be copied
 Step 2: Click Copy from Home tab (or Ctrl+C)
 Step 3: Position cursor where to paste the text
 Step 4: Click Paste from Home tab (Ctrl+V)

3.9 Applying Bold, Italic, and Underline Features while Typing

It is possible to apply basic formats while producing the document. For example, to apply bold, italic, and underline click on the bold, italic and underline buttons, continue typing and to then click bold, italic and underline button.



The following text is *bolded, italicized and underline.* After clicking bold, italic and underline button, the typed text will not have those features.

Applying Bold, Italic, and Underline Features for Existing Document

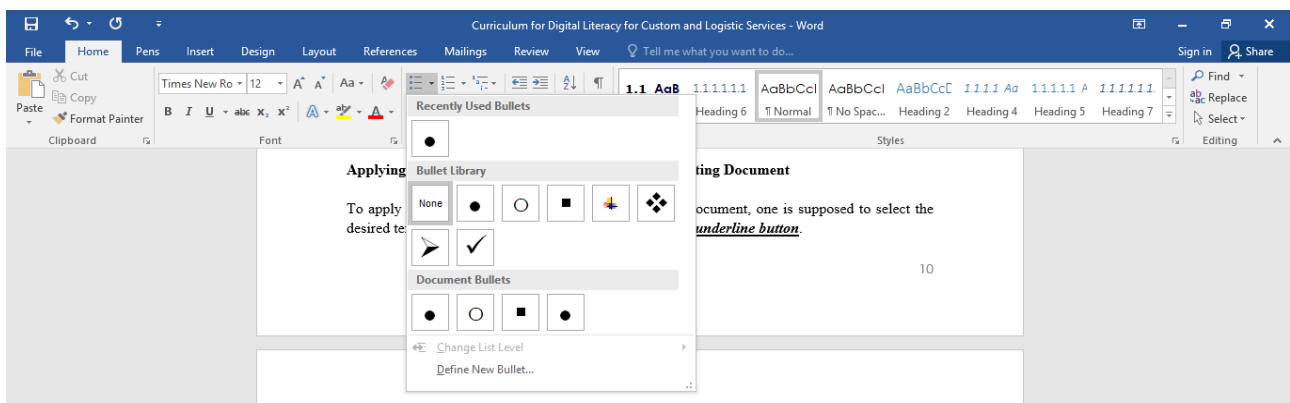
To apply bold, italic and underline feature for existing document, one is supposed to select the desired text (highlight) and then click the ***bold, italic and underline button.***

Step 1: Highlight desired text
 Step 2: click on desired feature e.g. bold, italic, underline.

3.10 Adding Bullets and Numbering while Typing Document

Step 1: Select desired bullets/numbering from the icon for bullets /Numbering
 Step 2: Type Desired text

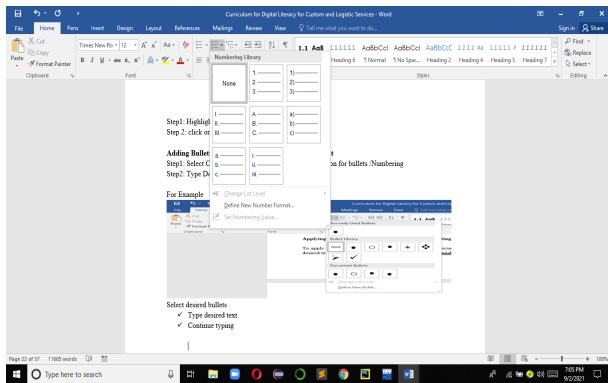
Example for applying bullets features while typing document



Select desired bullets

- Type desired text
- Continue typing

Example for applying Numbering features while typing document



Select Desired Numbering

- Type desired text
- Continue typing

Applying Bullet features for existing typing document

Step 1: Highlight desired text

Step 2: Click on desired Bullet

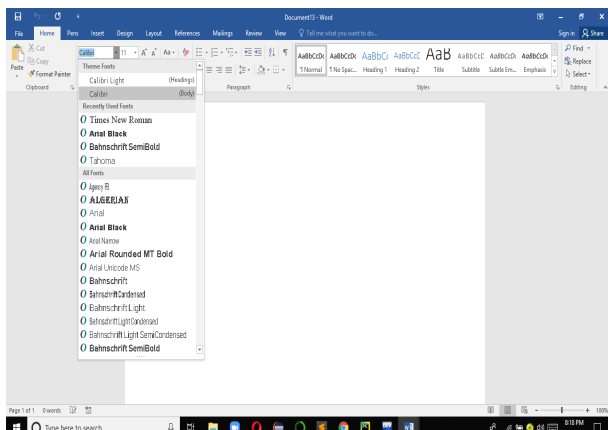
Example

- Highlight Existing desired text
- Select Desired Bullet

3.11 Applying Fonts Formatting

Step 1: Select desired text

Step 2: From Home Font menu, select desired font, and font size



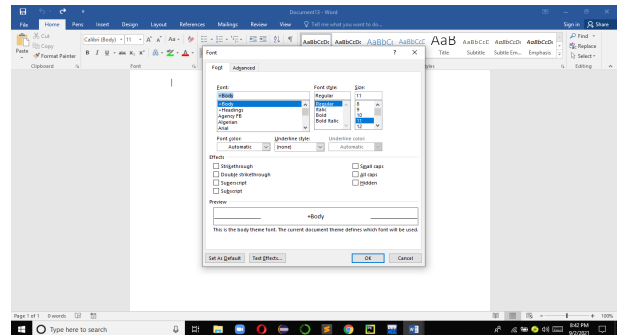
Alternative approach to applying fonts to existing

document

Step 1: Select desired text

Step 2: Right click mouse button

Step 3: Select desired Fonts or desired Effects

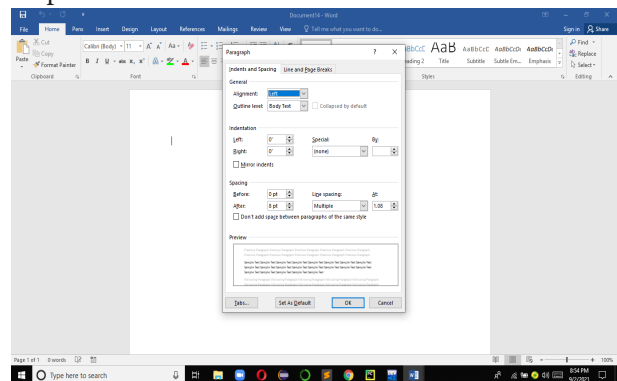


3.12 Applying desired Paragraph Formatting (Alignment, Indent, and Spacing)

Step 1: Highlight desired paragraph

Step 2: Select desired paragraph format

Step 3: Click OK



3.13 Applying Numbering features for Existing Document

Step 1: Highlight desired text

Step 2: Click on desired Numbering

Example

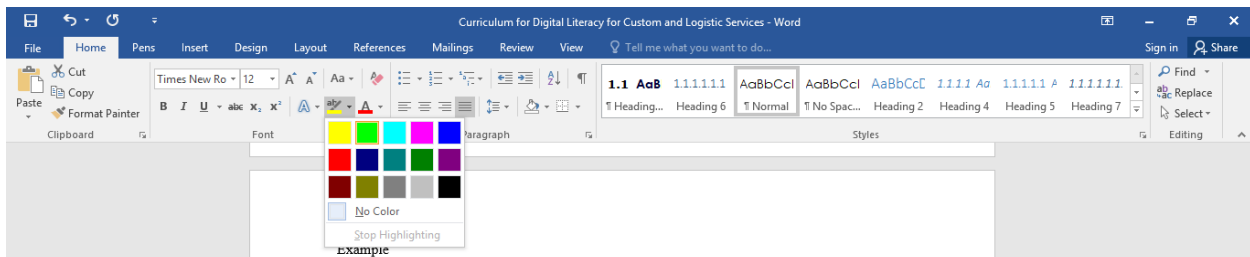
- 1) Highlight Existing desired text
- 2) Select Desired Numbering

3.14 Applying Colours for Existing Document

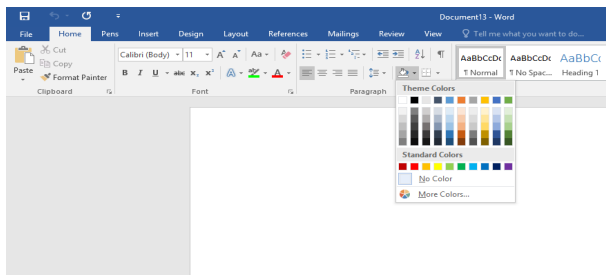
- Step 1: Highlight desired text
- Step 2: Click on desired Color

Example

Highlight Existing desired text. Select Desired color

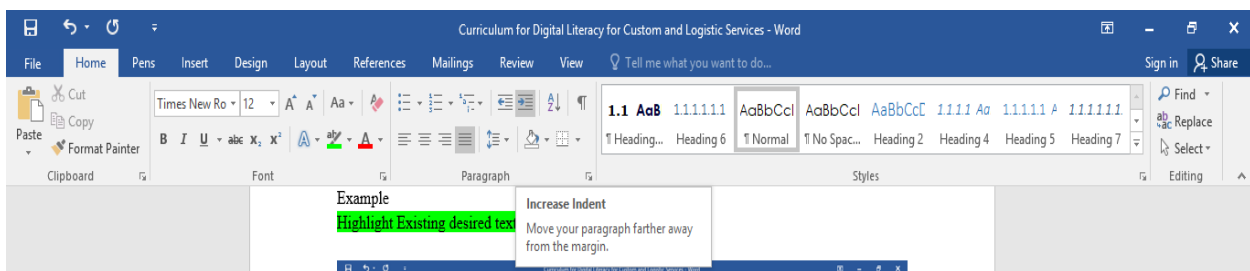


Or



3.15 Applying Indenting Features in an Existing Document

- Step 1: Position cursor anywhere within the desired text (or highlight the entire desired text)
- Step 2: Click on desired indent button

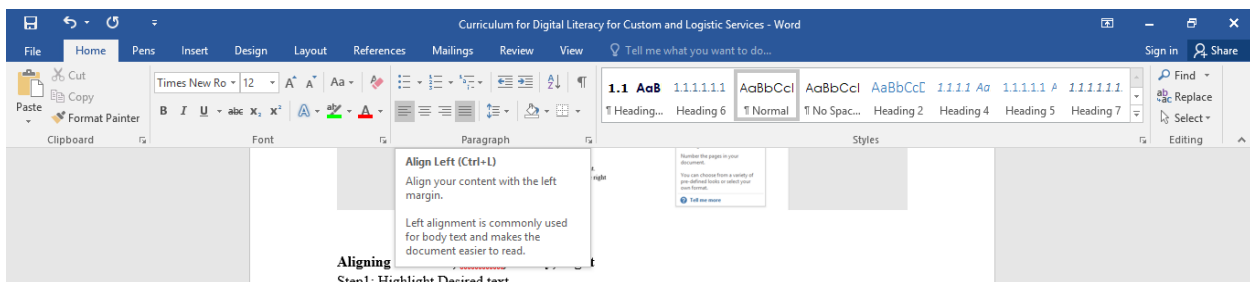


Example

This text is indented to the right.
This text is also indented to the right

3.16 Aligning Text Left, Center, Justify, Right

- Step 1: Highlight Desired text
- Step 2: Click on Left/Center/Justify/Right alignment button

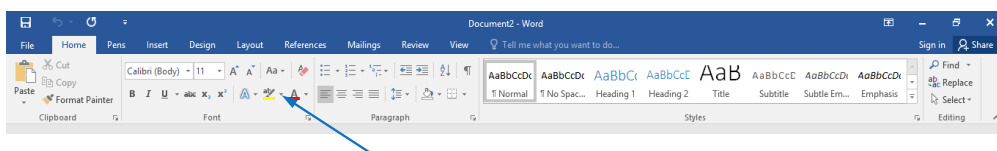


Alternate Approach to Align Text

Step 1: Select the paragraph

Step 2: In the Home tab, Paragraph Group select the alignment you want

Step 3: To center align text click the **Center** button, to align left click **Align Left** button, to align right click **Align Right** button, to align on both sides click **Justify** button.



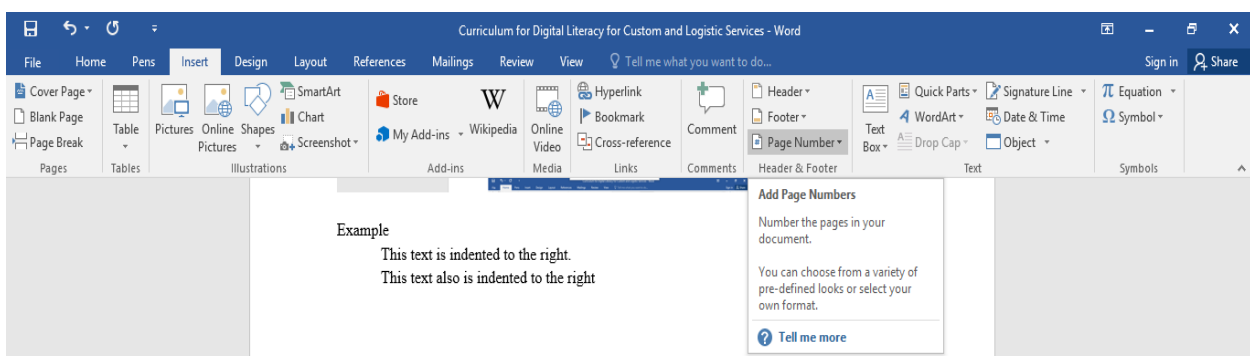
3.17 Inserting Page Numbers, Headers, Footers, and Tables

Inserting Page Numbers

Step 1: From Menu click Insert

Step 2: Click Page Number

Step 3: Select Desired Position

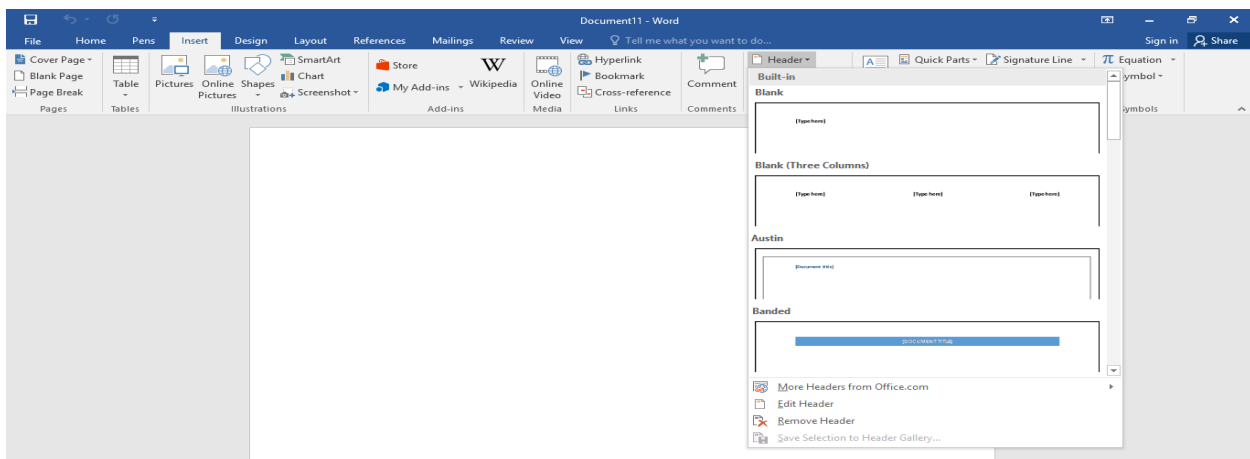


Inserting Headers and Footers

Step 1: From menu click Insert

Step 2: Click header/Footer

Step 3: Type Desired header/Footer



Inserting Tables and Formatting Tables

Step 1: From menu click Insert

Step 2: Click Table

Step 3: Select desired number of columns

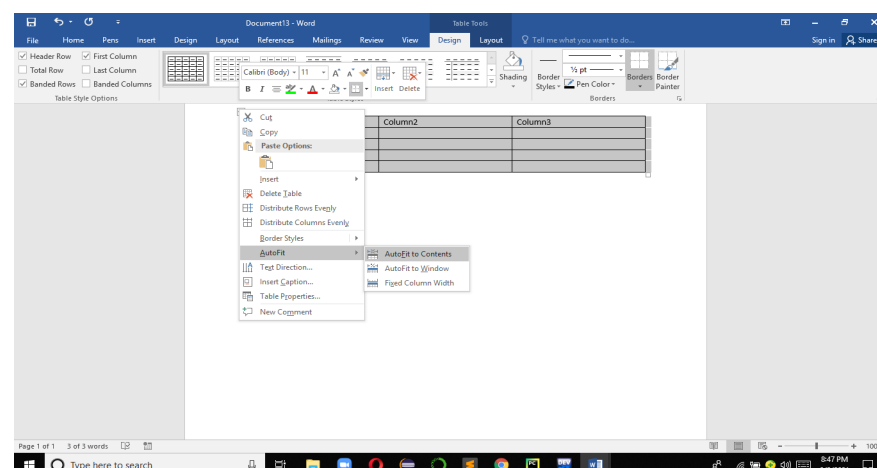
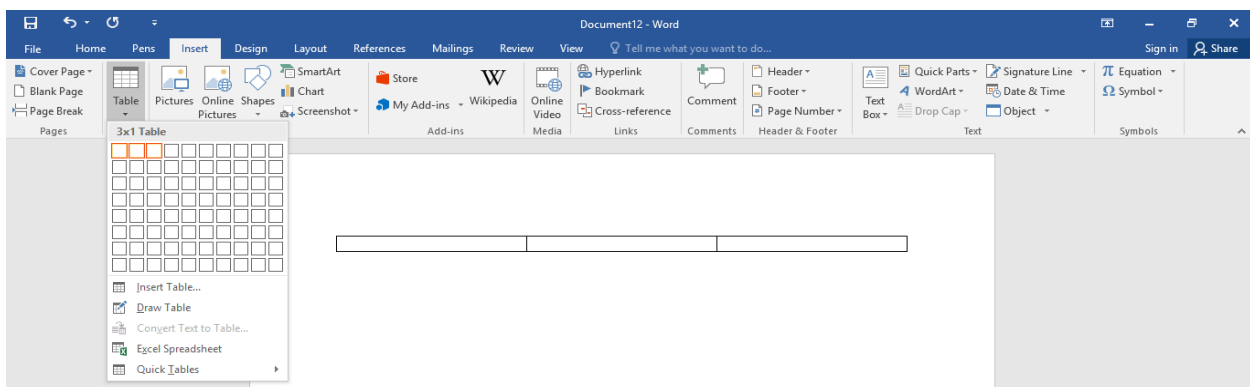
Step 4: Type text in the first cell. Move to the next cell using mouse or tab key

Step 5: To add a new row, move to the last column and press tab key

Step 6: Select the table

Step 7: Right click mouse button

Step 8: Apply desired format.

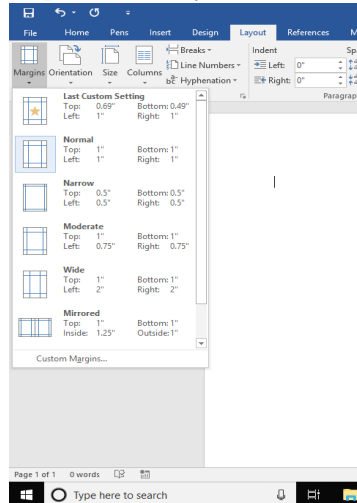


3.18 Changing Layouts Margins, Orientations, Breaks and Columns

Changing Layout Margins

Step 1: Select desired text

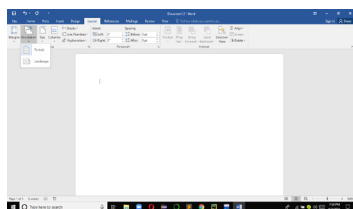
Step 2: From Layout menu, select desired margins



Changing Layout Orientations

Step 1: Select desired text

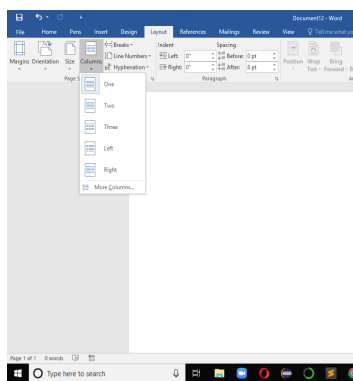
Step 2: From layout menu, select desired orientation (Portrait/Landscape)



Changing Layout Columns

Step 1: Select desired text

Step 2: from layout menu, select desired column numbers

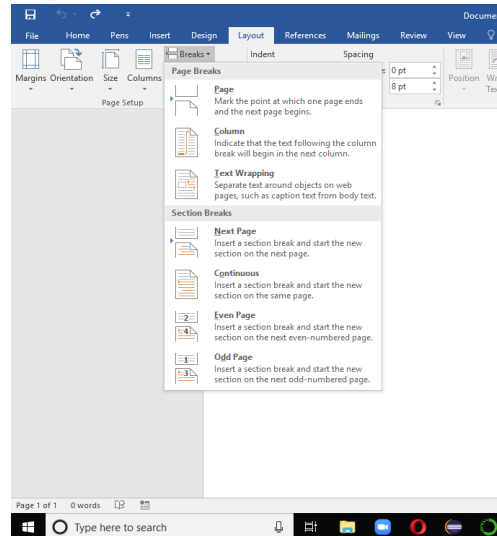


Changing Layout for Page breaks

Step 1: Position cursor at the desired location

Step 2: Click layout

Step 3: Select desired breaks



3.19 Spell Check a Document

Step 1: Click on the Review tab to access the Proofing group

Step 2: Position the cursor at the beginning of your document

Step 3: Click on Spelling & Grammar command in the Proofing tab

Step 4: Choose or ignore the specific word or add it to the dictionary

Step 5: To accept the suggested change choose the Change button

Step 6: Click Ok button

Using the Thesaurus

Step 1: Click inside or highlight word

Step 2: From Review tab, in the Proofing group, Click Thesaurus, The Research pane appears alongside the document.

Step 3: Under Search for the word “purpose” is selected and the type of Thesaurus is also indicated.

Step 4: Choose a word from the list and click Insert

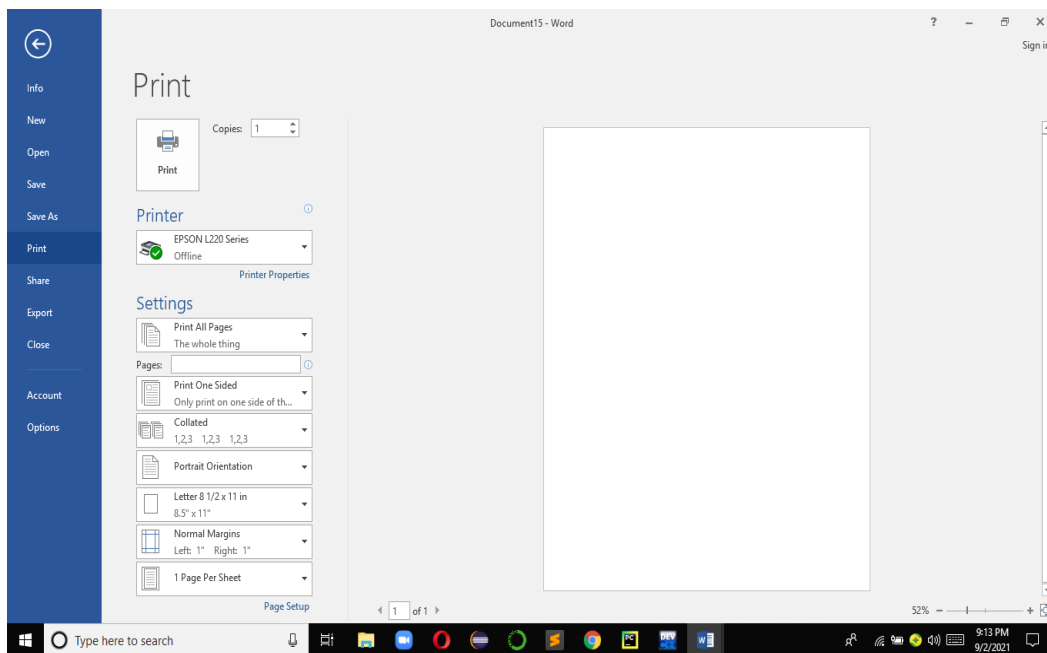
Printing a word document

Step 1: Type desired text

Step 2: Click File

Step 3: Click Print

Step 4: Select desired print format



3.20 Learning Activities

In one of the class units, identify a document, a report or an assignment you are working on. Process the activity on the computer.

Required:

- (i) Using any information for the certificate program that the students are pursuing,
 - a. While typing the document introduce features such as **bold**, *italic*, underline in some parts of your document
 - b. Format some key points with bullets and other sections with page numbering
- (ii) Continue typing the text and produce at least 4 new paragraphs. In those new paragraphs introduce the following formatting features:
 - a. Bold, underline, bullets
 - b. Align the margins with Align Justify
 - c. Colour some parts of the documents
- (iii) Continue typing and this time insert a table of 4 columns. Key in any relevant details and format your table accordingly
- (iv) Create page breaks
- (v) Insert page numbers are centred
- (vi) Introduce headers and footers in your document
- (vii) Save your document with any name of your choice

3.21 Self-Assessment Questions and Activities

1. What is the role of the word processor?
2. How can you use the word processor in the organization?
3. What are the critical issues in developing and formatting a word document?

3.22 References

- Morley, D., & Parker, C. S. (2014). Understanding computers: Today and tomorrow, comprehensive. Cengage Learning.
- Morley, D., & Parker, C. S. (2014). Understanding computers: Today and tomorrow, comprehensive. Cengage Learning.
- Vermaat, Misty E. (2016). Microsoft Word 2016: Introductory. Cengage Learning.
- Sandra Cable, Steven M. Freund, Ellen Monk, Susan L. Sebok, Joy L. Starks (2019), Shelly Cashman Series Microsoft® Office 365 & Excel 2019 Comprehensive, 1st Edition, eBook

4.0 CREATING SPREADSHEETS

4.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- Identify the roles of spreadsheet commands
- Create a worksheet
- Format a spreadsheet document
- Create charts from data in a spreadsheet
- Analyse data in a worksheet
- Solve problems using spreadsheet

4.2 Introduction

The topic introduces the student to the art of solving problem using spreadsheet. The topic covers, introduction to the role of spreadsheet; creating worksheet, selecting range; editing worksheet; formula and in-built functions; filling data; cell formatting (number, text, date, percentage); font formatting; applying borders; inserting/editing chart; data decision analysis using WHAT-IF analysis, COUNTIF; printing; page setup. The unit module should emphasize the concept of preparing worksheets to accomplish various organization tasks such as maintaining records, analysing data, and making decisions.

4.3 Overview of a Spreadsheet

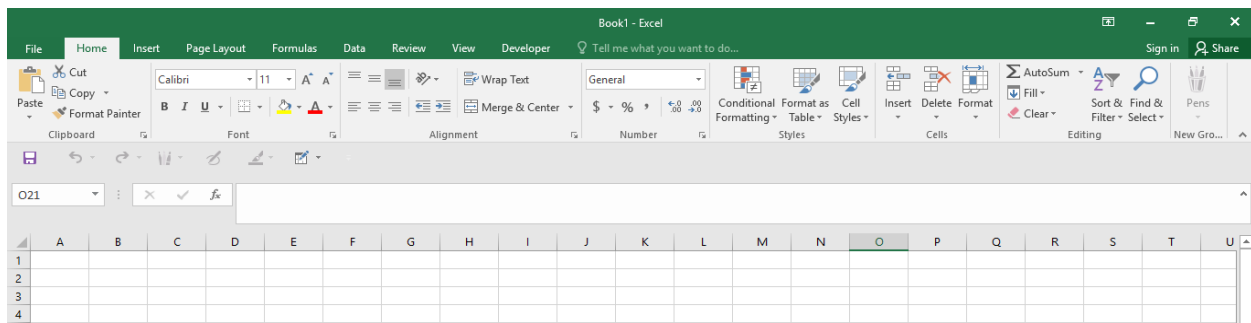
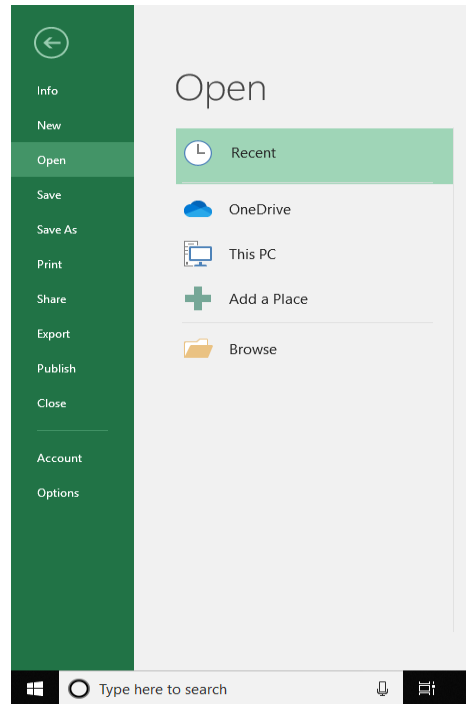
A *spreadsheet* is a *computer* application for organization, analysis, and storage of data in tabular form. A spreadsheet is made up of rows and columns. Rows are labelled with numbers and columns are labelled with letters of alphabet. A cell is an intersection between a row and a column. A cell is named using Column letter and Row Number e.g., A3.

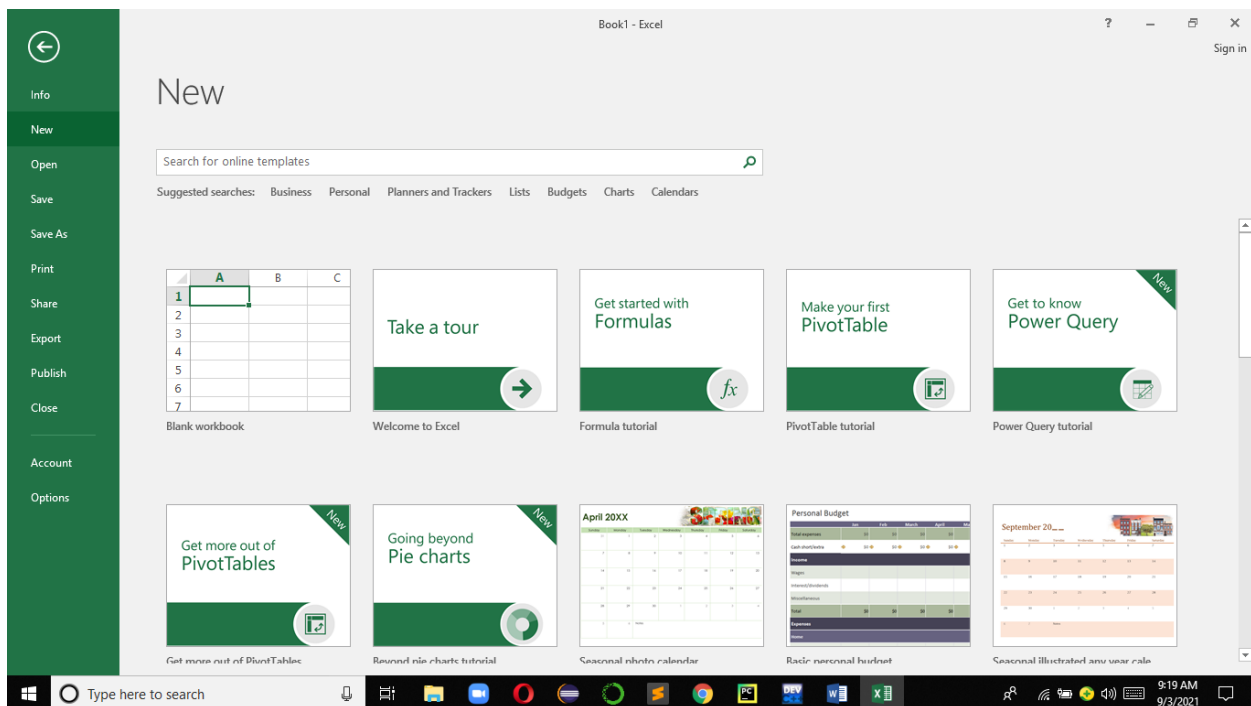
4.4 Starting a New Excel Worksheet

Step 1: Click File

Step 2: Click New

Step 3: Click Blank workbook





4.5 Navigating in a Worksheet

It can be performed by any of the following:

- (i) Using mouse to move to any cell a worksheet
- (ii) Using tab key to move from one cell to another
- (iii) Using navigation keys such as arrows, page up and page down keys

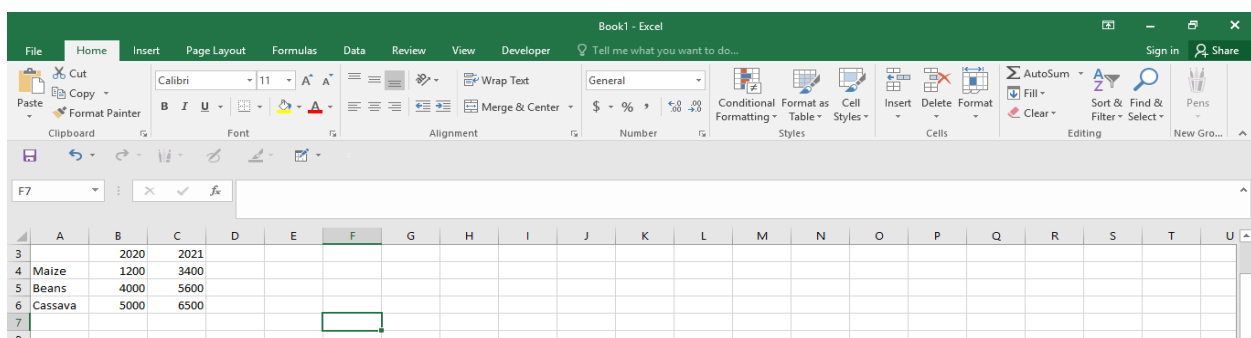
4.6 Adding Data in a Spreadsheet

To enter any data in a worksheet, the following steps are applied:

Step 1: Move cursor to desired cell location e.g., A2

Step 2: Type desired data

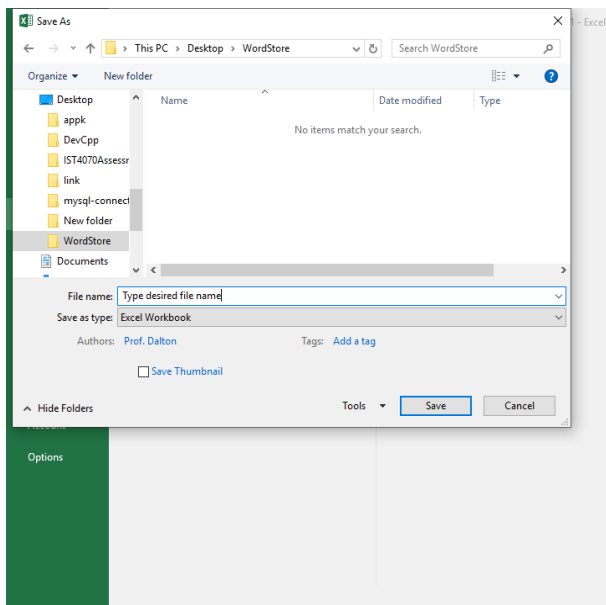
Step 3: Use the mouse or tab key to move to another cell. Pressing enter key move cursor to the next cell below



4.7 Saving a Worksheet

It is important to continue saving a worksheet all the time. The following steps are applied to permanently save new or existing worksheet

- Step 1: Create worksheet
- Step 2: Click File
- Step 3: Click Save or Save as
- Step 4: Select desired folder
- Step 5: Provide desired file name
- Step 6: Click Save



4.8 Using Excel as a Simple Calculator to Add, Subtract, Multiply and Divide

We use the following mathematical operators

- (+) Sign for addition
- (-) Sign for subtraction
- (*) Sign for multiplication
- (/) Sign for division

Example1: Adding

- Step 1: Enter data
- Step 2: Move cursor the cell where the formula will be displayed
- Step 3: Type =
- Step 4: Use + sign and cell address to combine all the range for the values to be summed, e.g., C3+C4+C5
- Step 5: Press Enter key
- Step 6: To copy the formula to other area, position cursor at the button corner of the cell that has the formula. Wait until a small sign + appears and then hold down the mouse button and drag to the cells to receive **copy of the formula**.

Example 2: Dividing

- Step 1: Repeat example1
- Step 2: Position cursor where you want the formula to appear
- Step 3: Type =
- Step 4: Type the cell with the value to be divided say C6 followed by /
- Step 5: for this example, type 3 and enter
- Step 6: repeat the step6 as shown in example 1

	A	B	C	D	E	F	G	H	I
1			Example of Testing Adding and Dividing						
2			Exam1	Exam2	Exam2				
3		James	67	56	69				
4		Henry	78	89	72				
5		Peter	57	45	35				
6	Adding	Total	202	190	176				
7	Dividing	Average	67.33333	63.33333	58.66667				
8									

4.9 Applying Simple Formula to Worksheet

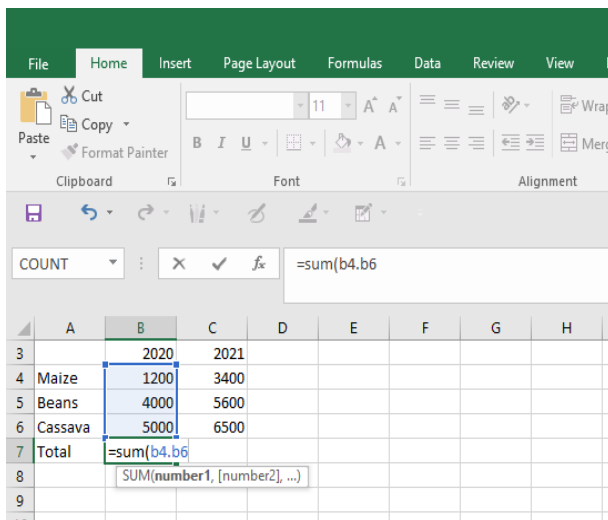
Example Summing Number: Using highlighting technique

- Step 1: Create desired Worksheet
- Step 2: Position Cursor where the formula will be inserted
- Step 3: Press = sign
- Step 4: Type desired function **sum**
- Step 5: Open blanket
- Step 6: Highlight desired data range and close blanket
- Step 7: Press return/enter key

	A	B	C	D	E	F	G	H	I
3		2020	2021						
4	Maize	12000	3400						
5	Beans	4000	5600						
6	Cassava	5000	6500						
7	Total	=sum(B4:B6)							
8									

Example Summing Number: Using typing cell address method

- Step 1: Create desired Worksheet
- Step 2: Position Cursor where the formula will be inserted
- Step 3: Press = sign
- Step 4: Type desired function **sum**
- Step 5: Open bracket
- Step 6: type cell address for starting data
- Step 7: type a **dot** or **full colon** and then type the cell address for the ending data
- Step 8: Close bracket and then press enter key



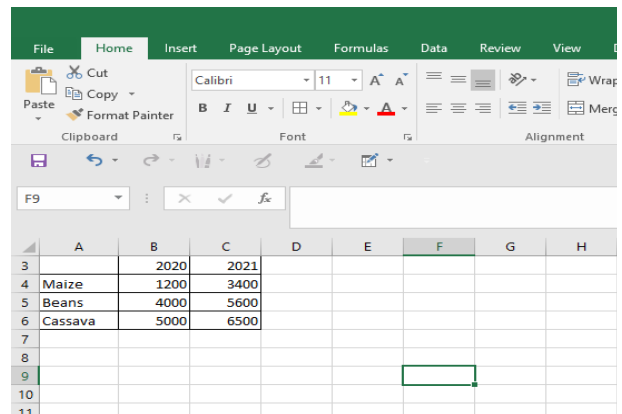
NB: Use the following inbuilt functions to perform simple statistical tasks

- (i) **Average** to get mean of a range of values
- (ii) **Max** to get maximum of a range of values
- (iii) **Min** to get minimum of a range of values
- (iv) **Count** to get the total numbers in a range of values

4.10 Changing Columns and Row Size width

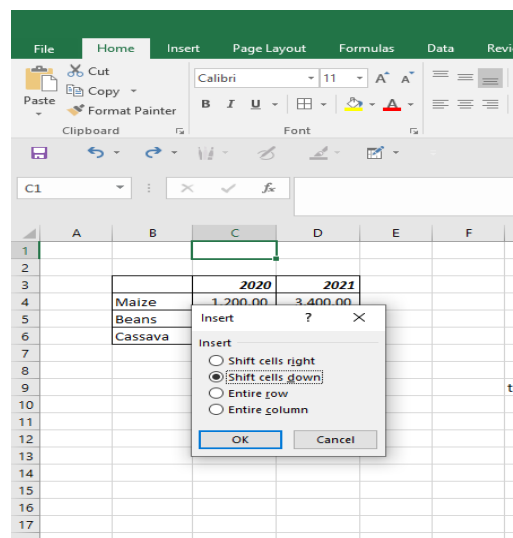
- Step 1: Position cursor at a beginning of a desired column or row
- Step 2: Drag to resize accordingly

Alternatively, position cursor at the beginning of a column and then double-click. The column will be resized to the width-size of the longest data entry in that column



4.11 Inserting Blank Rows and Blank Columns

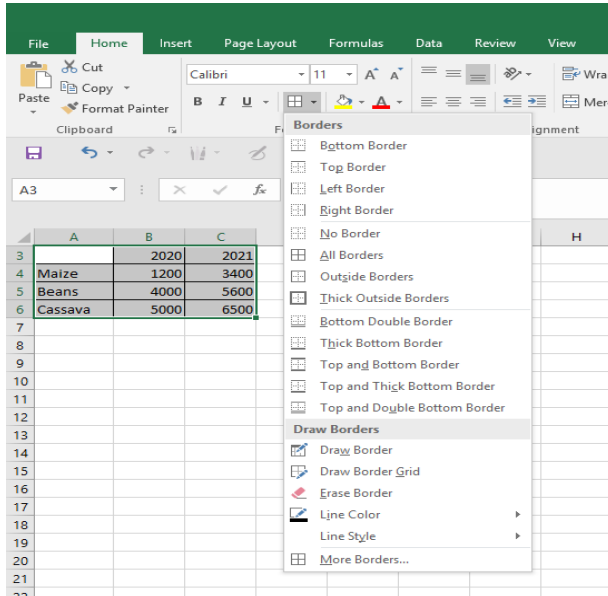
- Step 1: Position cursor at a desired location (row or column)
- Step 2: Right click mouse button
- Step 3: Select desired option (row or column)



4.12 Applying Borders to Worksheet

Step 1: Select desired text

Step 2: Select desired borders from border icon



4.13 Applying Basic Format such as bold, italic, underline, bullets, numbering

Step 1: Highlight (Select) desired text

Step 2: Click on desired feature

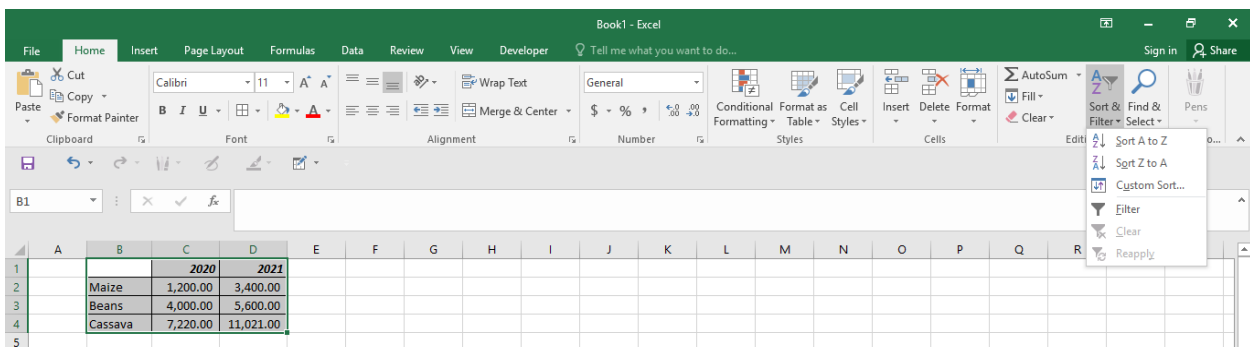
4.14 Applying number formatting with commas and decimal

Step 1: Select desired cell or range of cells

Step 2: Click desired number format like commas and decimal

	2020	2021
Maize	1,200.00	3,400.00
Beans	4,000.00	5,600.00
Cassava	7,220.00	11,021.00

Alternative approach

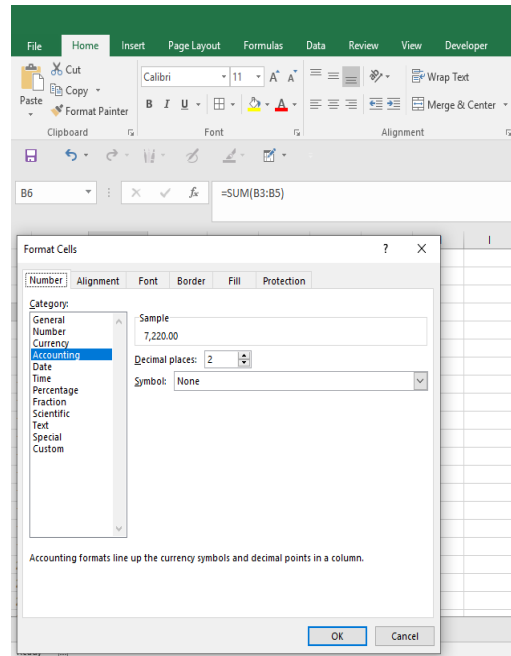


4.15 Applying Font Cell Format

Step 1: Select desired cell or range of cells

Step 2: Right click right mouse button,

Step 3: Select relevant format cell



4.16 Sorting Data in a Worksheet

Step 1: Select desired worksheet

Step 2: Click on Sort icon

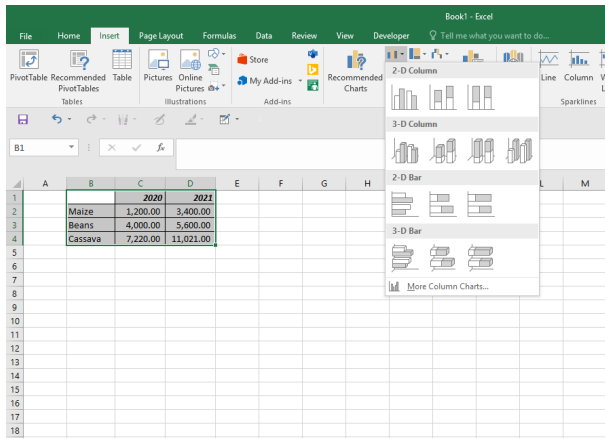
Step 3: Select Sorting order or customize sort by specifying the column to sort with

4.17 Inserting Charts in a Worksheet

Step 1: Select desired range of worksheet

Step 2: Click Insert

Step 3: Select desired chart e.g., Bar, Pie, Line



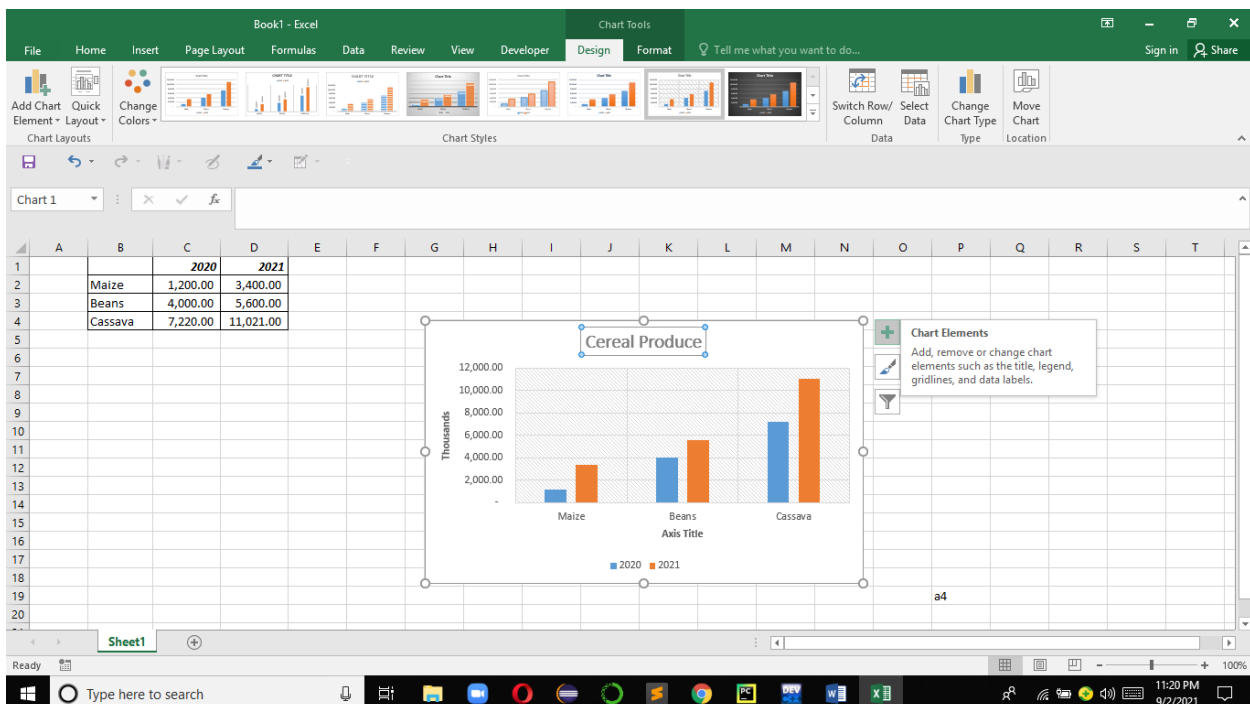
4.18 Format Chart

Step 1: Select created chart

Step 2: Select chart elements

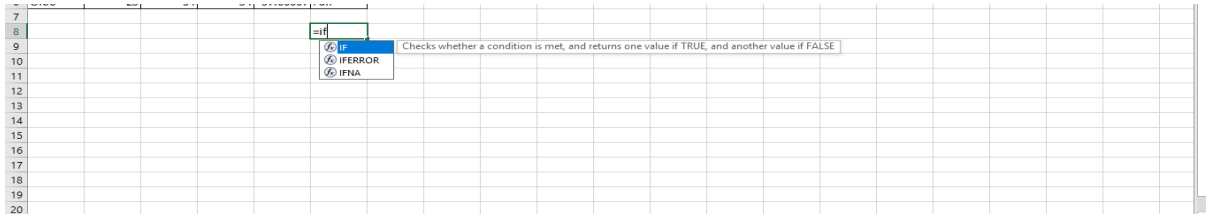
Step 3: Type chart elements

- Add title and axis labels
- Changing the axis range
- Changing the chart styles
- Add Legends and values



4.19 Decision Analysis

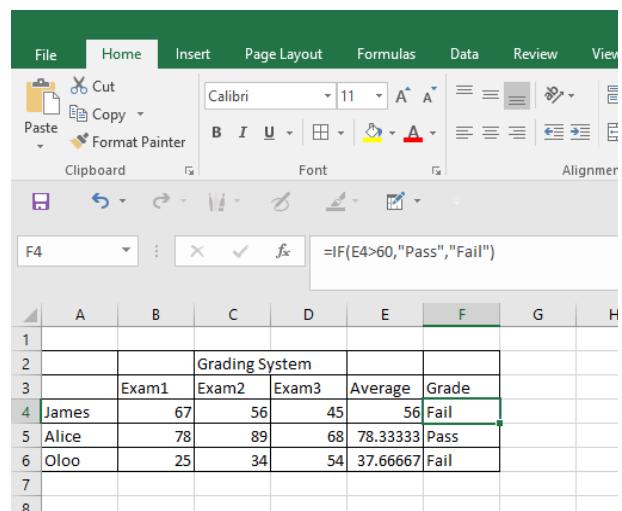
We can perform simple data analysis using if function. The if function checks whether the condition is true, if the condition is true then a relevant message for true is displayed otherwise a relevant message for the false condition is displayed.



Example: Assume we got a list of students marks for three different exams. The pass mark is 60 %.

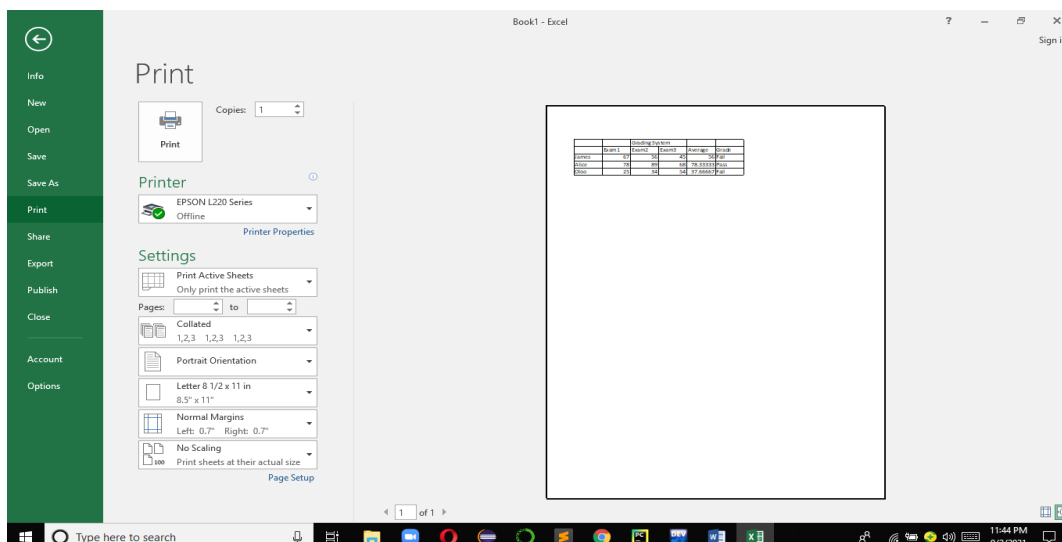
Thus, to perform simple decision analysis using if function, we proceed as follows:

- Step 1: Position cursor at desired location
- Step 2: type =
- Step 3: type if (
- Step 4: Type desired formular e.g., E4>60,
- Step 5: Type "pass",
- Step 6: Type "Fail")



4.20 Printing Worksheet

- Step 1: Select desired worksheet
- Step 2: Click File
- Step 3: Select desired worksheet format



4.21 Learning Activities

Open a new worksheet

Required

- (i) Identify cells, and worksheets, and reference cells and worksheets
- (ii) Create a new worksheet using data information for the current certificate course enrolled. The worksheet should both text, numbers, and date.
- (iii) In that worksheet show how to compute the following statistical tasks
 - a. Adding
 - b. Averaging
 - c. Formatting with commas
 - d. Formatting with percent (%)
 - e. Formatting with date
- (iv) Save your works with any name of your choice
- (v) Retrieve your worksheet and perform the following tasks
 - a. Change row height and column width
 - b. Introduce borders and shading in your worksheet
 - c. Perform decision analysis using if function
 - d. Create two charts, bar and pie chart and format them accordingly

4.22 Self-Assessment Questions and Activities

1. What is the importance of worksheets?
2. How can worksheets be used in enhancing the performance of a freight and logistics company?
3. Identify the various parts of the spreadsheet environment.

4.23 References

- Morley, D., & Parker, C. S. (2014). Understanding computers: Today and tomorrow, comprehensive. Cengage Learning.
- Vermaat, Misty E. (2016). Microsoft Word 2016: Introductory. Cengage Learning.
- Sandra Cable, Steven M. Freund, Ellen Monk, Susan L. Sebok, Joy L. Starks (2019), Shelly Cashman Series Microsoft® Office 365 & Excel 2019 Comprehensive, 1st Edition, eBook

5.0 ORGANIZING DATA IN A DATABASE

5.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- i. Identify the roles of databases in an organization
- ii. Create a database table
- iii. Create a database form
- iv. Create a database query
- v. Create a database reports

5.2 Introduction

The topic introduces to the student the art of organizing data in a database. The topic covers, introduction to role of database; create, modify table, sort, and filter records in a table; create queries; calculate, sort and filter data in a query; create/work with data on forms; create reports, add controls to a report, enhance the appearance on report, prepare report for print, organize report information, format reports. The unit module should emphasize the concept of using databases to maintain and analyse records in an organization.

5.3 Overview of Database

Microsoft Access is a Database Management System (DBMS) from Microsoft that combines the relational Microsoft Jet Database Engine with a graphical user interface and software development tools.

Importance of Database

- It stores data
- Allows you to link related information easily.
- It can also import or link directly to data stored in other applications and databases.
- You can export data to and import data from word processing files, spreadsheets, or database files directly.

Creating Ms Access

- **Database Creation** - Create your Microsoft Access database and specify what kind of data you will be storing.
- **Data Input** - After your database is created, the data of every business day can be entered into the Access database.
- **Query** - This is a fancy term to basically describe the process of retrieving information from the database.

- **Report** (optional) - Information from the database is organized in a nice presentation that can be printed in an Access Report.

Table

Table is an object that is used to define and store data. When you create a new table, Access asks you to define fields which is also known as column headings

- Each field must have a unique name, and data type.
- Tables contain fields or columns that store different kinds of data, such as a name or an address, and records or rows that collect all the information about a particular instance of the subject, such as all the information about a customer or employee etc.
- You can define a primary key, one or more fields that have a unique value for each record, and one or more indexes on each table to help retrieve your data more quickly.

Query

An object that provides a custom view of data from one or more tables. Queries are a way of searching for and compiling data from one or more tables.

- Running a query is like asking a detailed question of your database.
- When you build a query in Access, you are defining specific search conditions to find exactly the data you want.
- In Access, you can use the graphical query by example facility or you can write Structured Query Language (SQL) statements to create your queries.
- You can define queries to Select, Update, Insert, or Delete data.
- You can also define queries that create new tables from data in one or more existing tables.

Form

- Form is an object in a desktop database designed primarily for data input or display or for control of application execution. You use forms to customize the presentation of data that your application extracts from queries or tables.
- Forms are used for entering, modifying, and viewing records.
- The reason forms are used so often is that they are an easy way to guide people toward entering data correctly.

- When you enter information into a form in Access, the data goes exactly where the database designer wants it to go in one or more related tables.

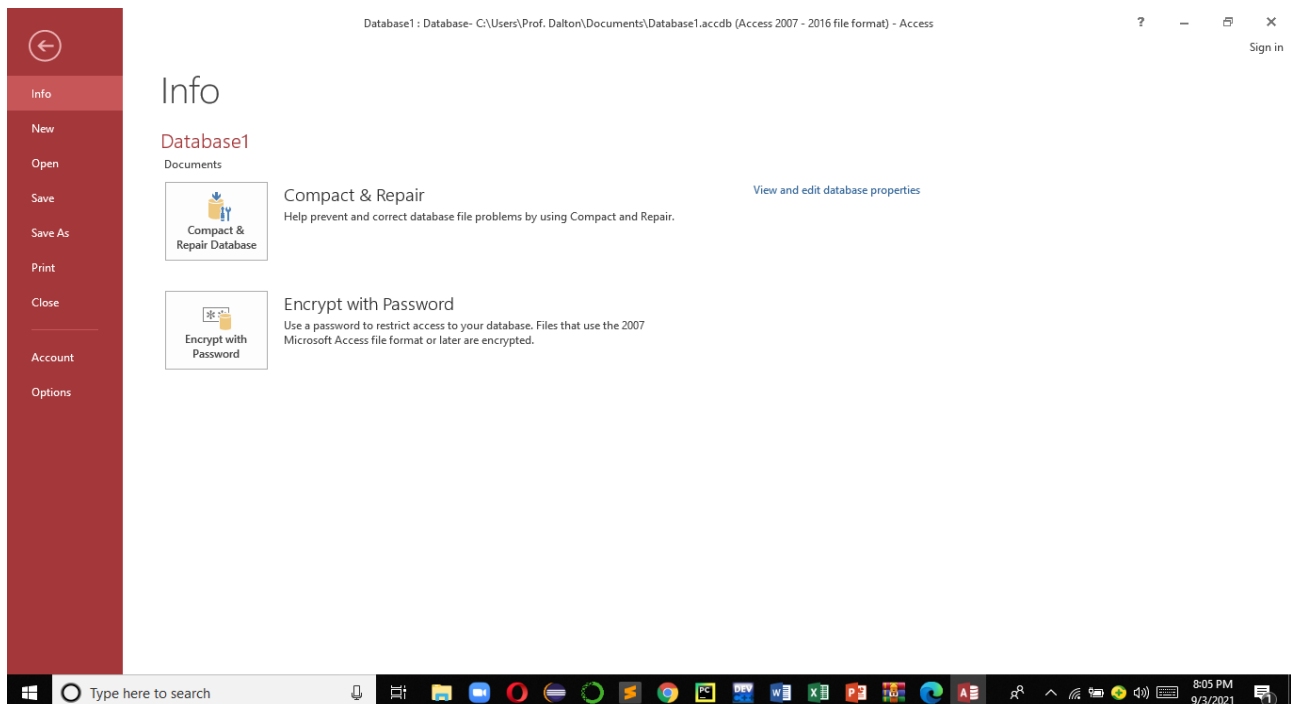
Report

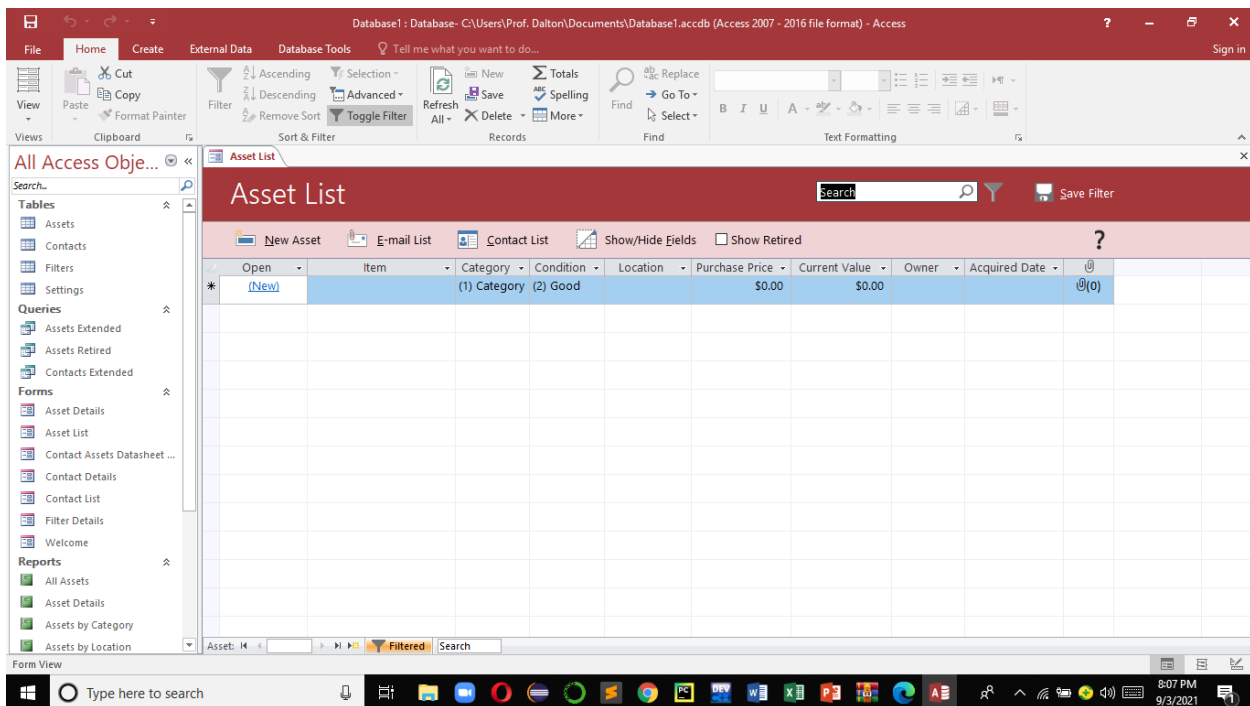
Report is an object in desktop databases designed for formatting, calculating, printing, and summarizing selected data.

- You can view a report on your screen before you print it.
- If forms are for input purposes, then reports are for output.
- Anything you plan to print deserves a report, whether it is a list of names and addresses, a financial summary for a period, or a set of mailing labels.
- Reports are useful because they allow you to present components of your database in an easy-to-read format.
- You can even customize a report's appearance to make it visually appealing.
- Access offers you the ability to create a report from any table or query

5.4 Starting Ms Access

Step 1: Click File





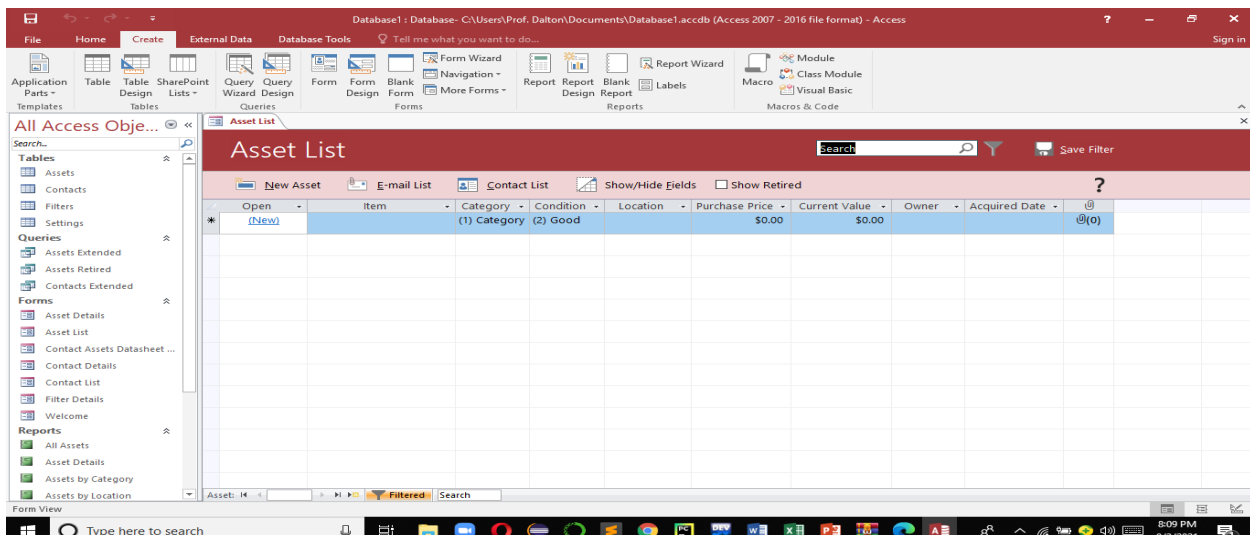
5.5 Creating Database Table

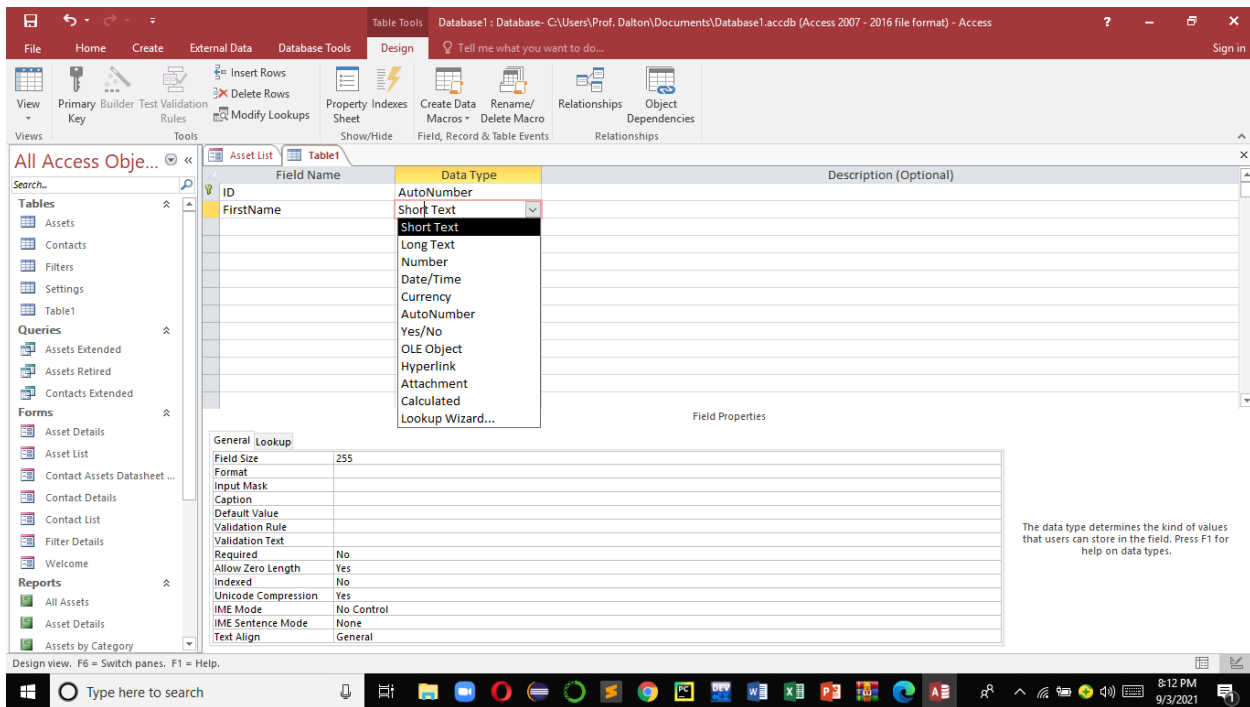
Step 1: Click Create

Step 2: Click Table Design

Step 3: Provide a suitable name for the table

Step 4: Enter Fieldnames, and also specify the Data Type





Adding Data in a Table

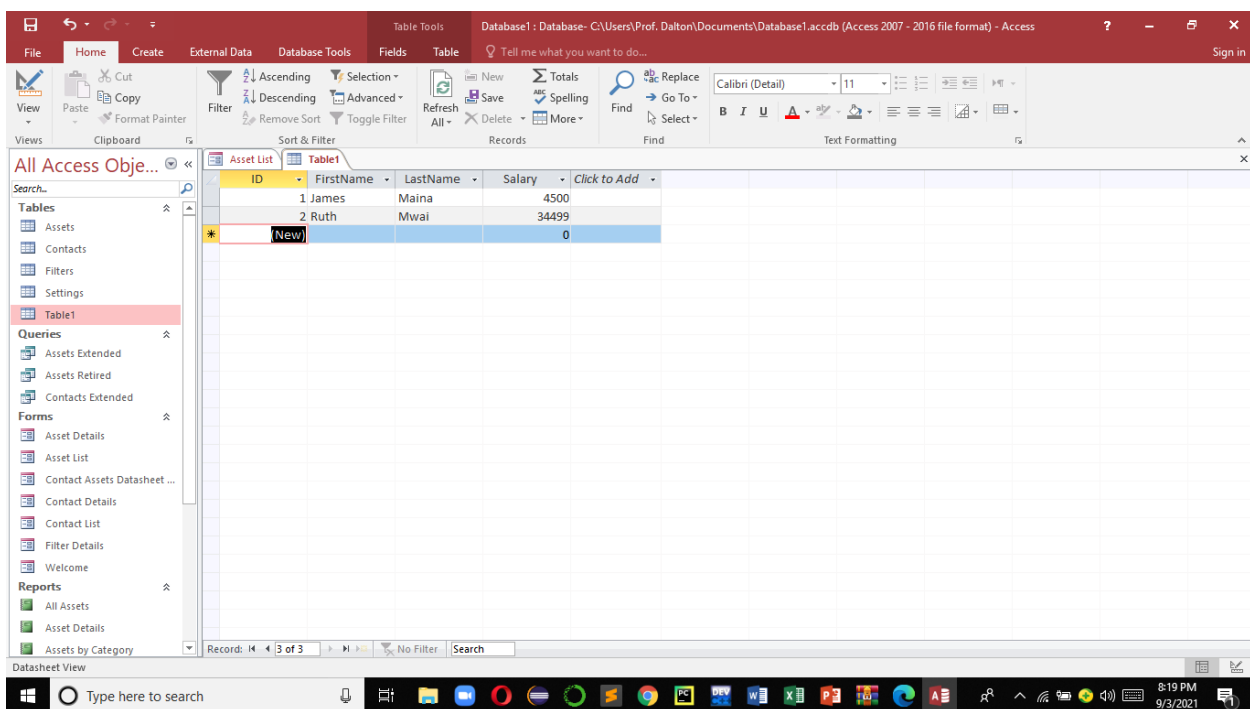
Step 1: Click on the Table

Step 2: From View Click on Datasheet View

Step 3: Add Data

Step 4: Move to the Next Field using Tab Key

Step 5: Press Tab key while at the end of last field in order to generate a new blank row



5.6 Creating Database Form

Creating **forms** for your database can make entering data more convenient. When you create a form, you can design it in a way that works with your database and that makes sense to you.

Step 1: Select desired Table

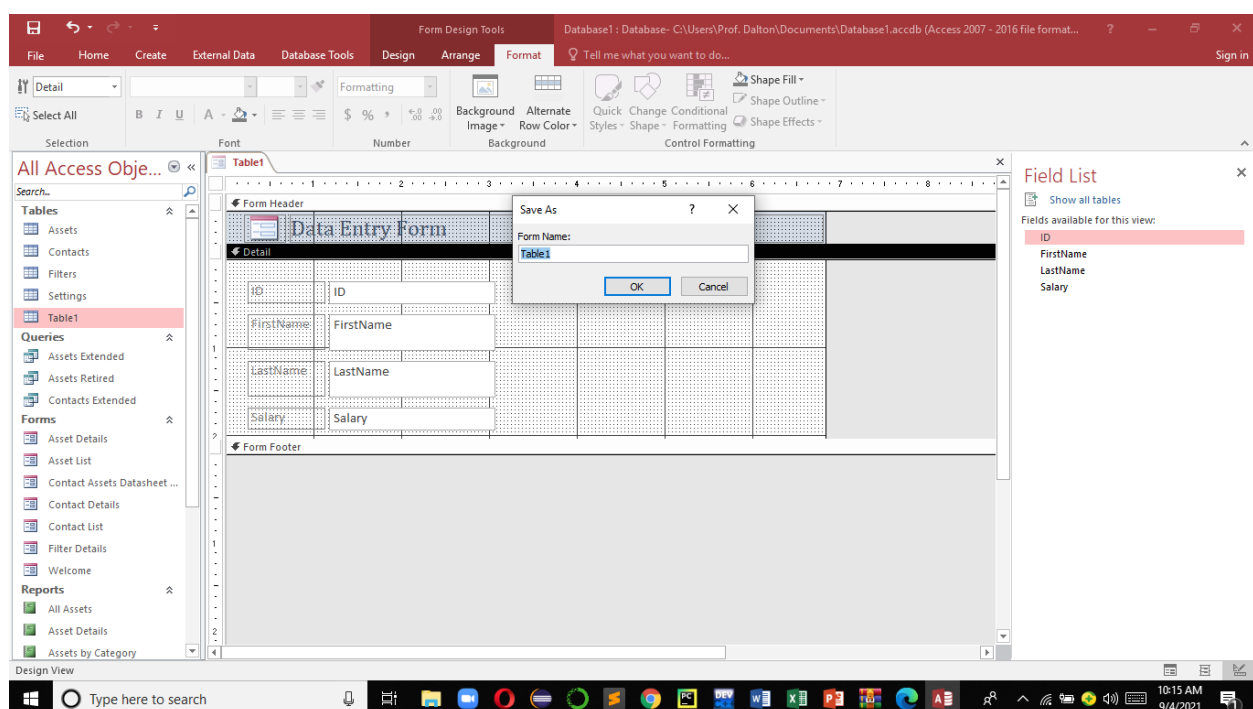
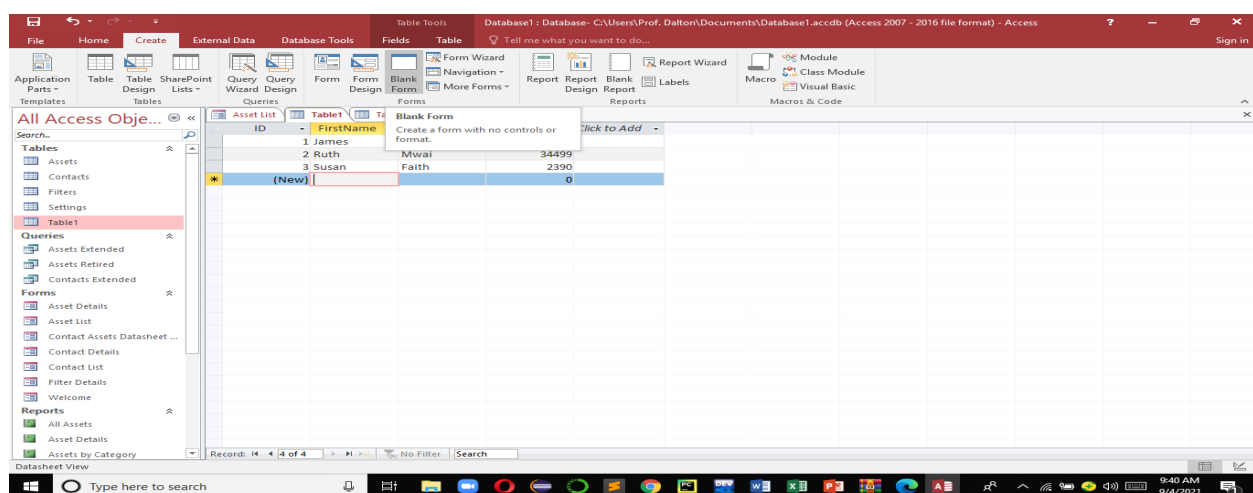
Step 2: Click Create

Step 3: Click Form

Step 4: Form will be Created and opened in Layout view

Step 5: Click Save from Quick Access Toolbar. Type desired name

Step 6: Click Ok.



Adding additional Fields to a Form

When you use the **Form** command on an existing

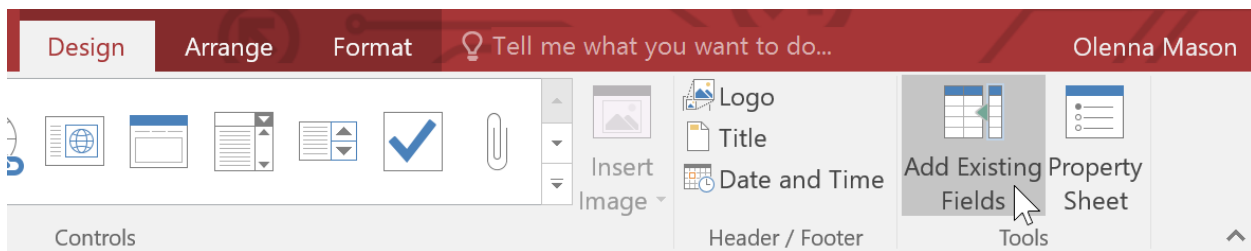
table, all of the fields from the table are included in the form. However, if you later add additional fields to the table, these fields will **not** automatically show up in existing forms. In situations like this, you can **add** additional fields to a form.

To Add a Field to a Form

Step 1: Click **Design**

Step 2: Locate the **Tools** group on the right side of the Ribbon.

Step 3: Click the **Add Existing Fields** command.



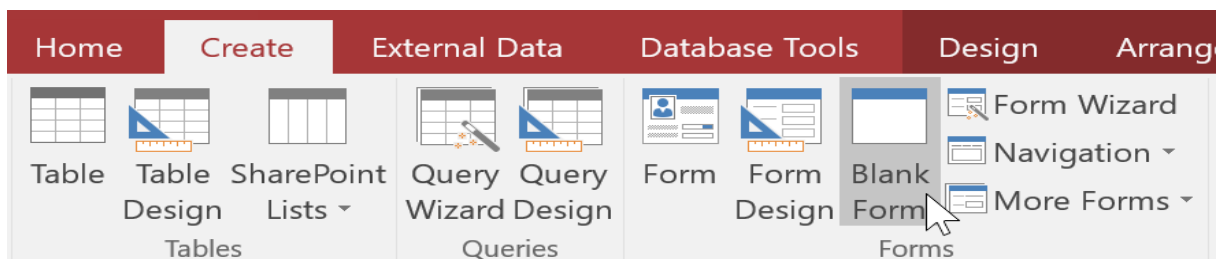
Adding Fields to Blank Form

Step 1: Click Create

Step 2: Click Form

Step 3: Click Blank Form

Step 4: Follow the above procedures already discussed



To add a Field from a different Table

You can also add fields from **different tables** in your database to the form.

From the **Field List** pane, click **Show All Tables**.

Click the plus sign **+** next to the table that contains the field you want to add, then double-click the desired field. The new field will be added.

5.7 Adding Design Controls

Design controls set restrictions on the fields in your forms. This helps you better control how the data is entered into your forms, which in turn helps keep the database consistent.

Combo boxes

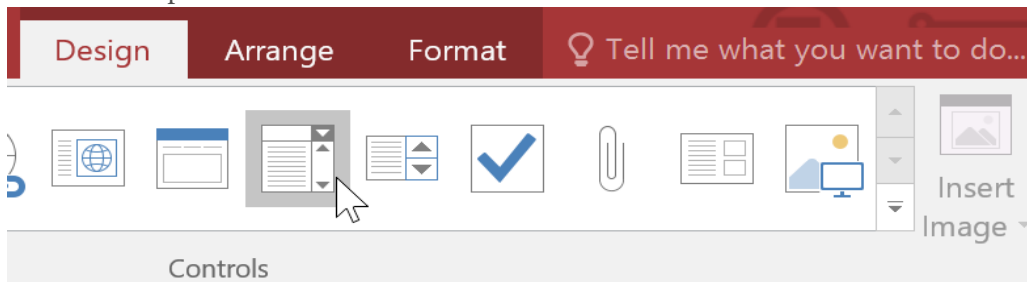
A **combo box** is a drop-down list you can use in your form in place of a field. Combo boxes **limit** the information users can enter by forcing them to select only the **options** you have specified.

Combo boxes are useful for fields that have a limited number of possible valid responses. For instance, you might use a combo box to make sure people only enter a valid U.S. state while entering an address, or that they only choose products that already exist in your database while placing an order.

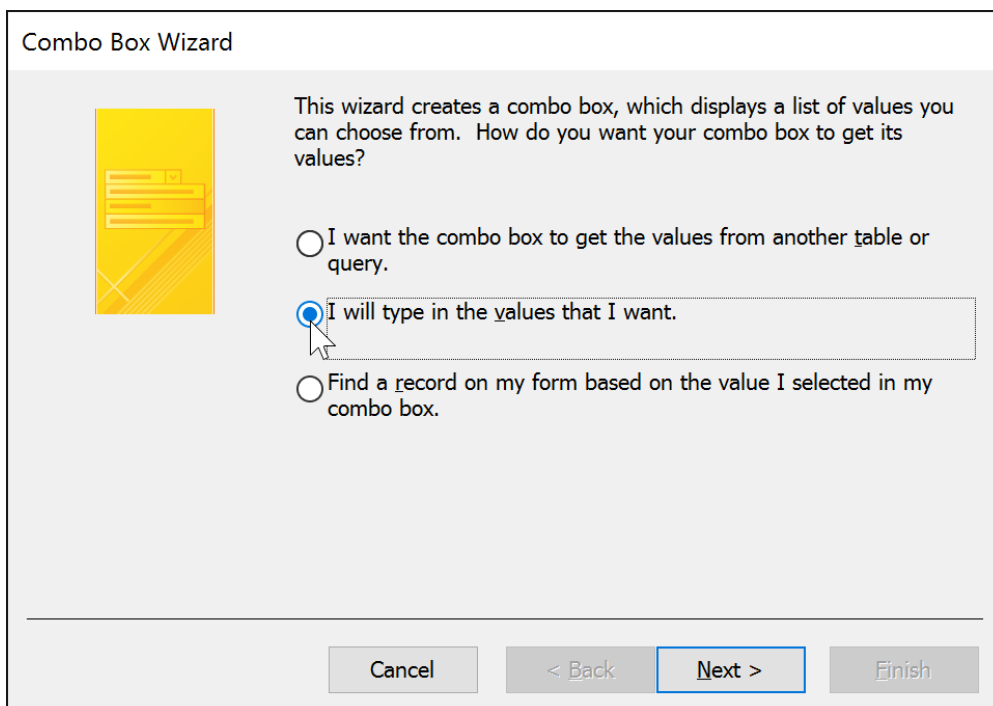
To Create a Combo box

1. In **Form Layout** view, select the **Design** tab, then locate the **Controls** group.

2. Select the **Combo Box** command, which looks like a drop-down list.



3. Select the desired location for the combo box. A line will appear to indicate the location where your combo box will be created.
4. The **Combo Box Wizard** dialog box will appear. Select **I will type in the values that I want**, then click **Next**.



5. Type the choices you want to appear in your drop-down list. Each choice should be on its own row.
6. If necessary, **resize** the column so all of your text is visible. Once you are satisfied with your list, click **Next**.
7. Select **Store that value in this field**, then click the drop-down arrow

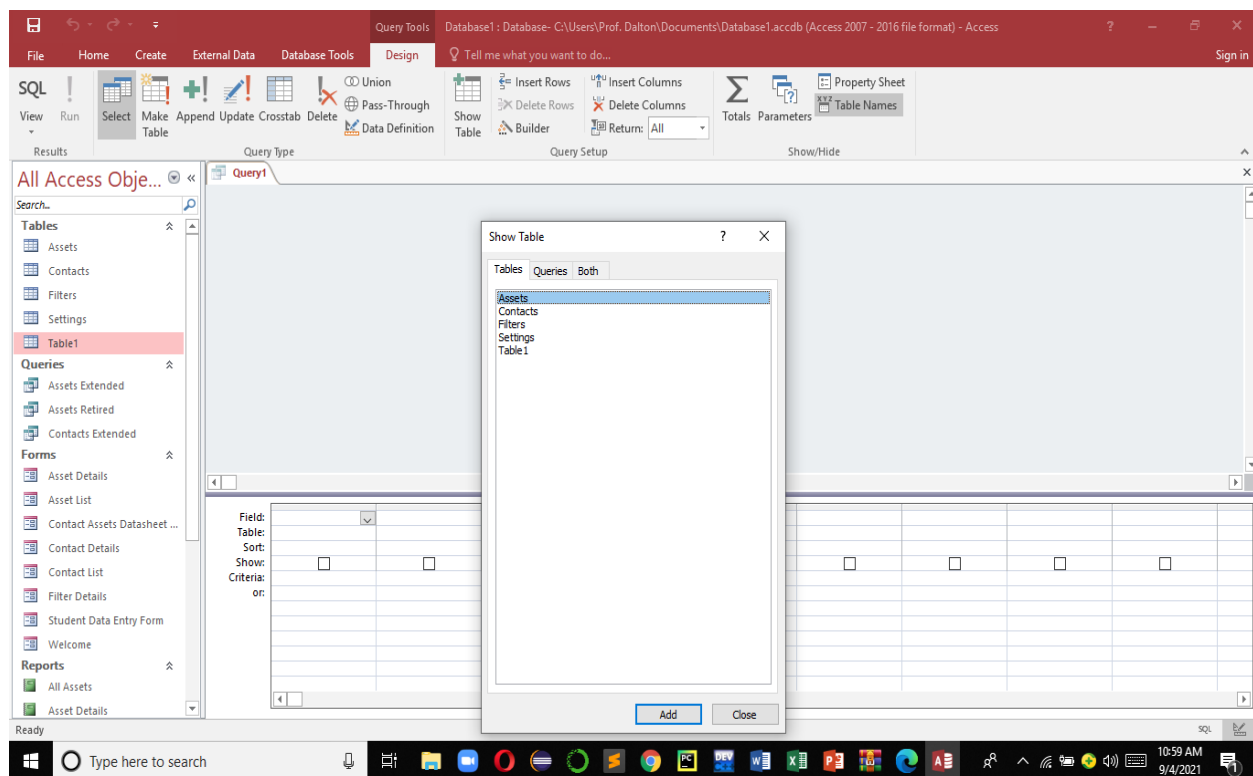
and select the field where you want selections from your combo box to be recorded. After making your selection, click **Next**.

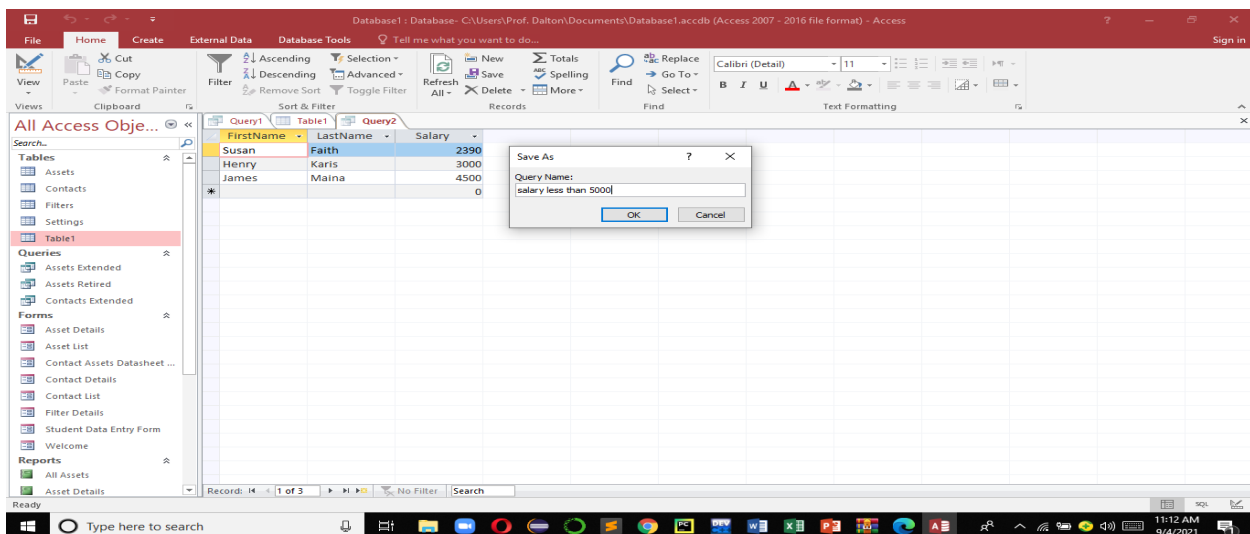
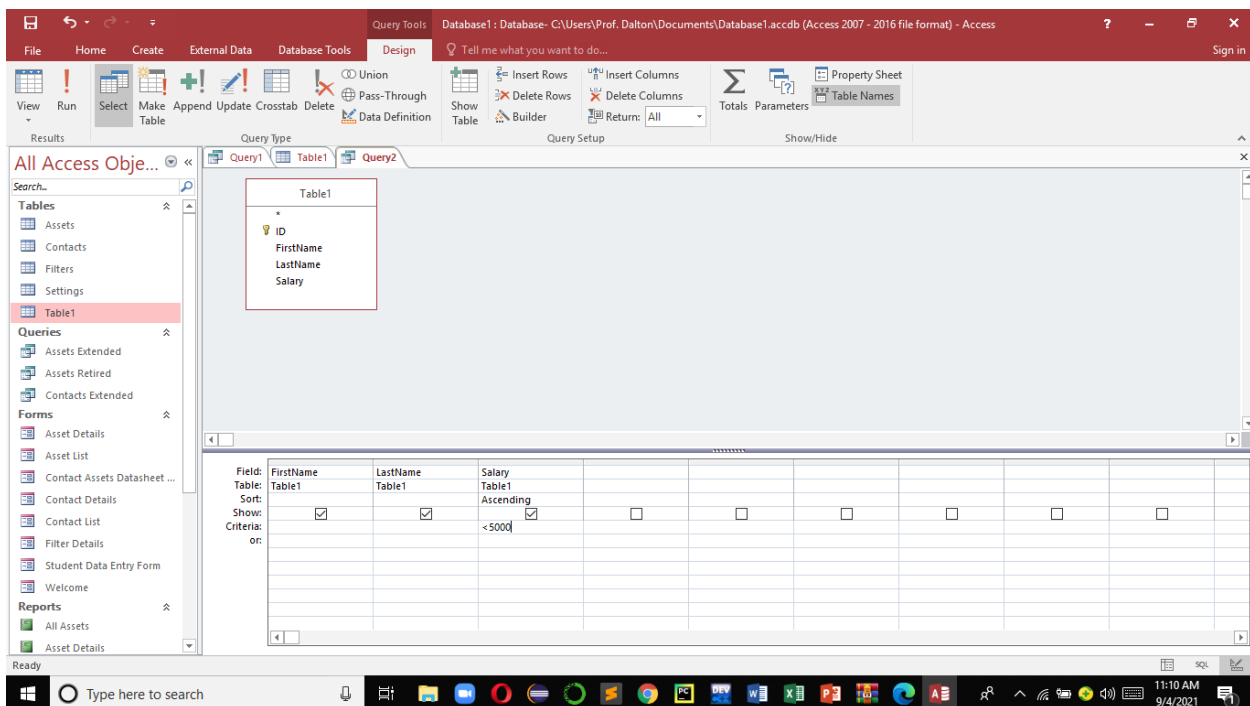
8. Enter the **label**—or **name**—that will appear next to your combo box. Generally, it's a good idea to use the name of the field you chose in the previous step.
9. Click **Finish**. Your combo box will appear on the form. If

you created your combo box to replace an existing field, you should **delete** the first field. In our example, you might notice that we now have two fields with the same name. These two fields send information to the same place, so we don't need them both. We'll **delete** the one without the combo box.

5.8 Creating Database Query

- Step 1: Click Create
- Step 2: Click Query Wizard
- Step 3: Double click Table to base query on
- Step 4: Click Close to close that dialog window
- Step 5: Double click on the fields to be used in the query
- Step 6: Under Sort row, click on the cell for the column to base sorting on and select sort method
- Step 7: Under Criteria, select the cell for the column to base criteria. Type desired criteria
- Step 8: Click Run Query
- Step 9: Save Query with suitable name





5.9 Creating Report

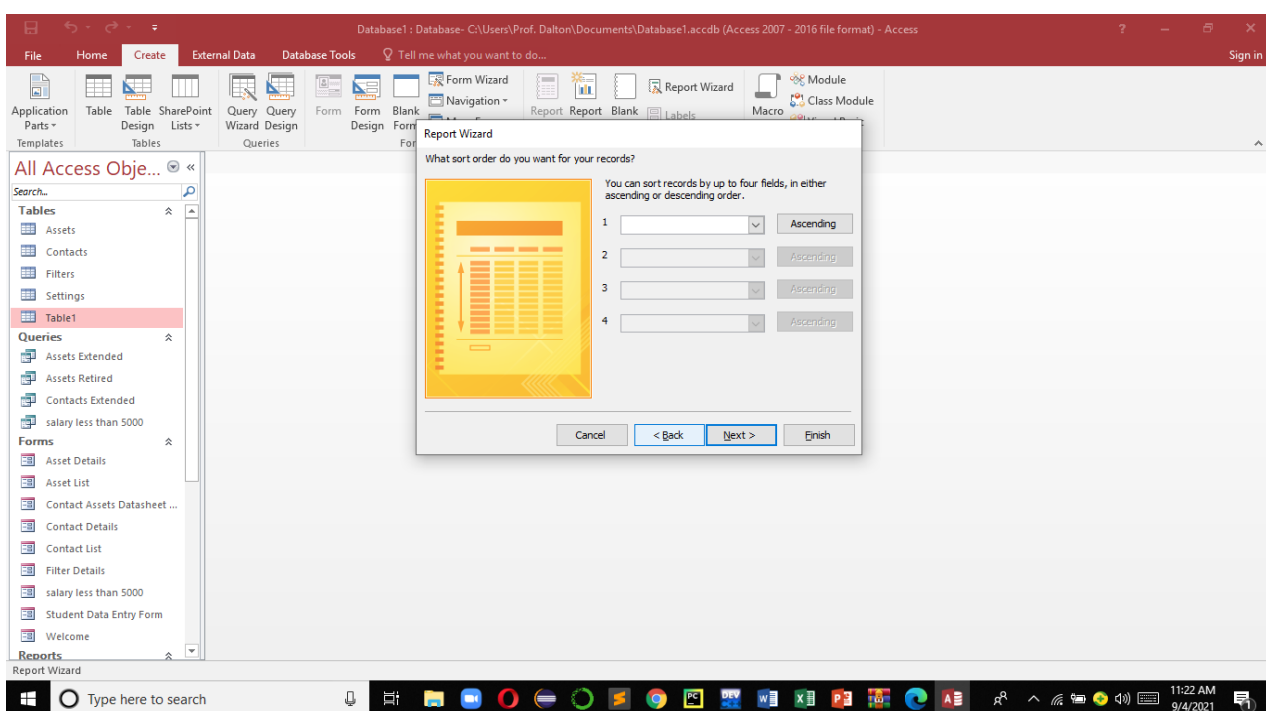
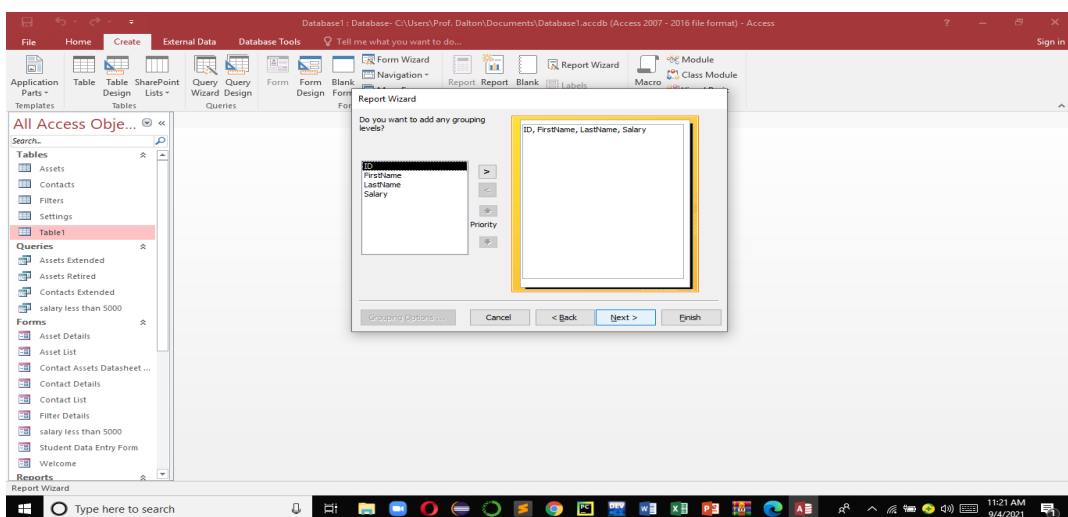
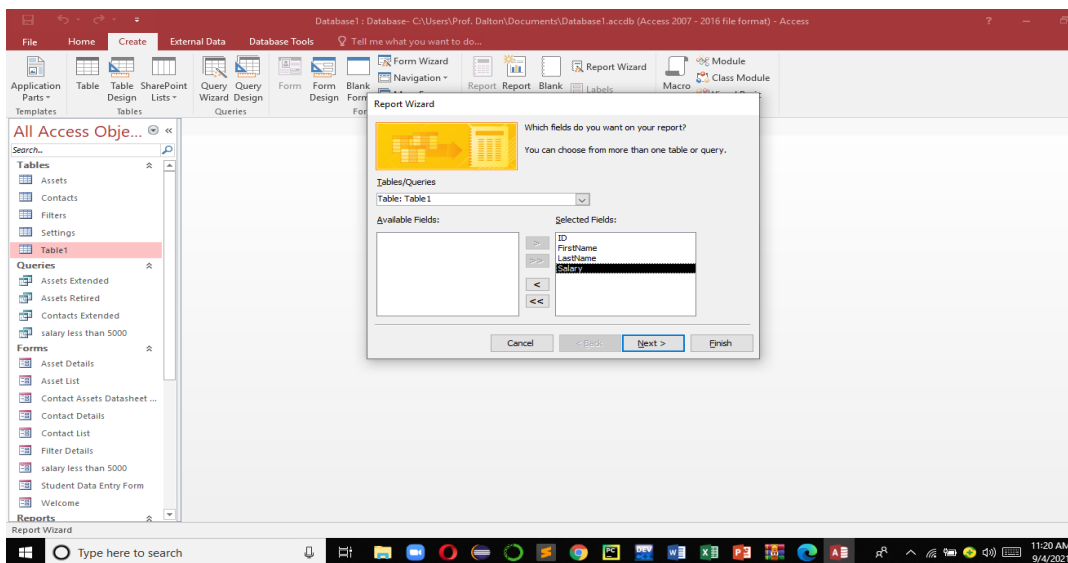
Step 1: Click Create

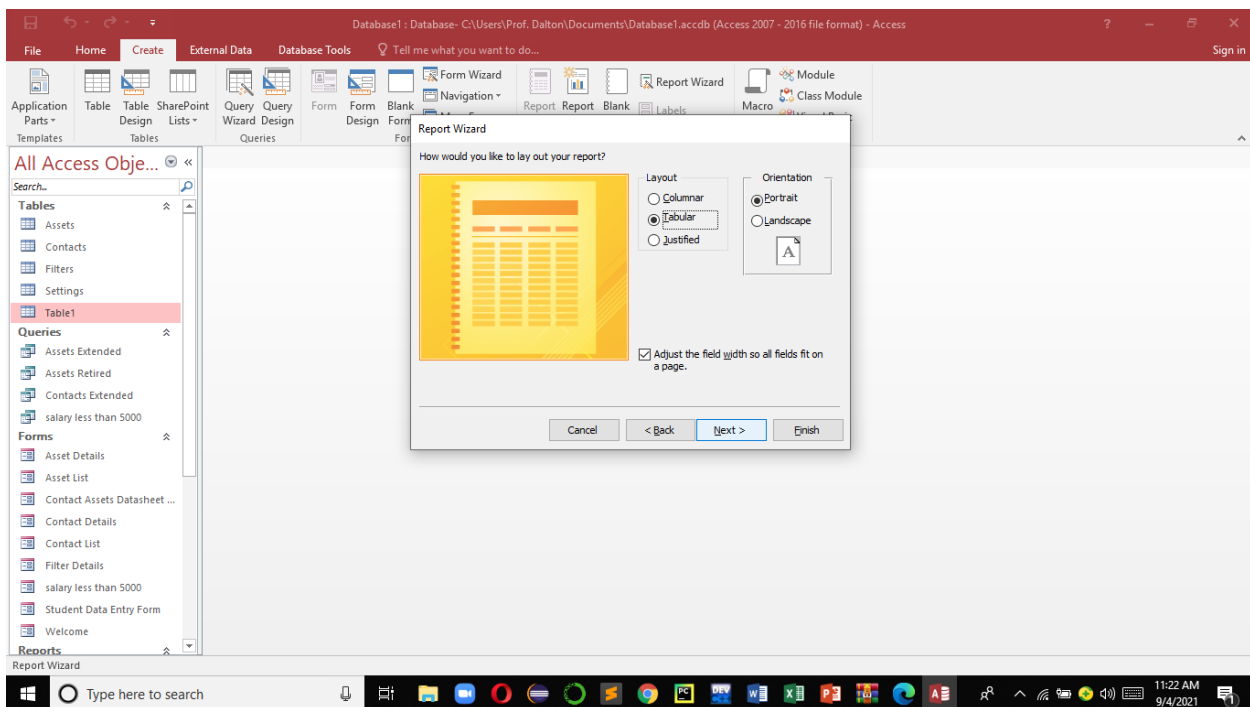
Step 2: Click Report Wizard

Step 3: Select a table or query, double-click each field in **Available Fields** you want to add it to the report, and select **Next**.

Step 4: Double-click the field you want to group by and select **Next**.

Step 5: Complete the rest of the wizard screens and select **Finish**.





5.10 Learning Activities

Identify some statistical information from your organization. Using the information for the following tasks:

Required:

1. Open a database application, and identify fields and records
2. Based on organizational statistical data:
 - (i) Create a Database Table
 - (ii) Create a Database Form
 - (iii) Add 3 more fields in the Table. One of the field should be a kind of combo box
 - (iv) Modify Your Form to include the added Fields
 - (v) Create three different types of queries based on your Database Table
 - (vi) Create a Report based on your Database Table

5.11 Self-Assessment Questions and Activities

1. Identify and describe the various parts of table
2. Differentiate between a field and a record
3. Why do we need to store data in a database?

5.12 References

- Sandra Cable, Steven M. Freund, Ellen Monk, Susan L. Sebok, Joy L. Starks (2019), Shelly Cashman Series Microsoft® Office 365 & Access 2019 Comprehensive, 1st Edition, eBook
- Morley, D., & Parker, C. S. (2014). Understanding computers: Today and tomorrow, comprehensive. Cengage Learning.

6.0 USING POWERPOINT PRESENTATION

6.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- Identify the roles of presentation software's in an organization
- Create a presentation
- Formatting a presentation
- Running the presentation.

6.2 Introduction

This topic introduces the students to the art of presenting materials through the use of multimedia that can help to improve the audience's focus. PowerPoints allows the use of images, audio, and video in order to have a greater visual impact. The topic covers, introduction to the role of PowerPoint, creating new presentation; adding, copying, pasting, magnifying, and editing slides; applying themes and background to a presentation; inserting, modifying clip Art/Pictures/shapes/objects; inserting, updating, formatting chart; formatting text, bullets and numbering; slide transition effects and timing; animation effects; slide show, change slide setup, printing and running slide show; Navigate through slides during show. Emphasis will be on creating different slides for different type of audiences and organization.

6.3 Overview of PowerPoint Presentation

Microsoft PowerPoint is a graphical presentation software package. The package is used for presenting materials through the use of multimedia that can help to improve the audience's focus.

6.4 Creating a New Presentation

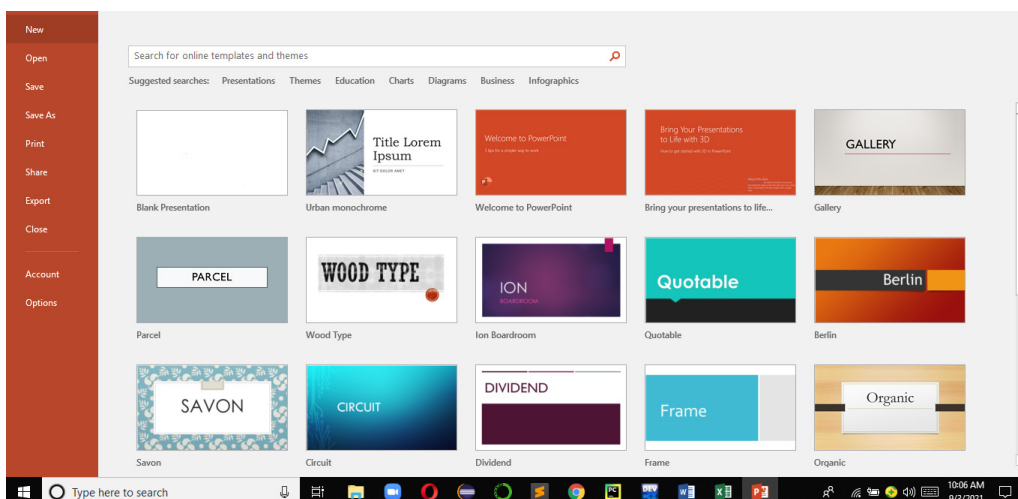
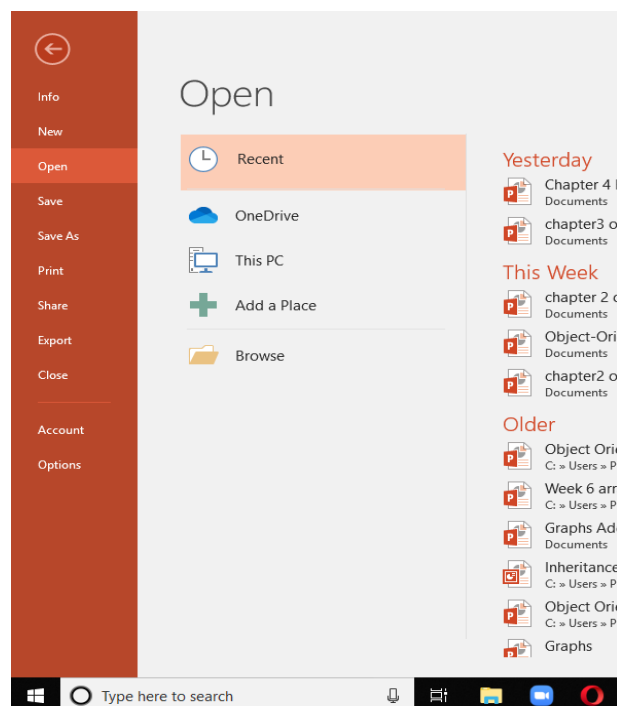
Step 1: Click File

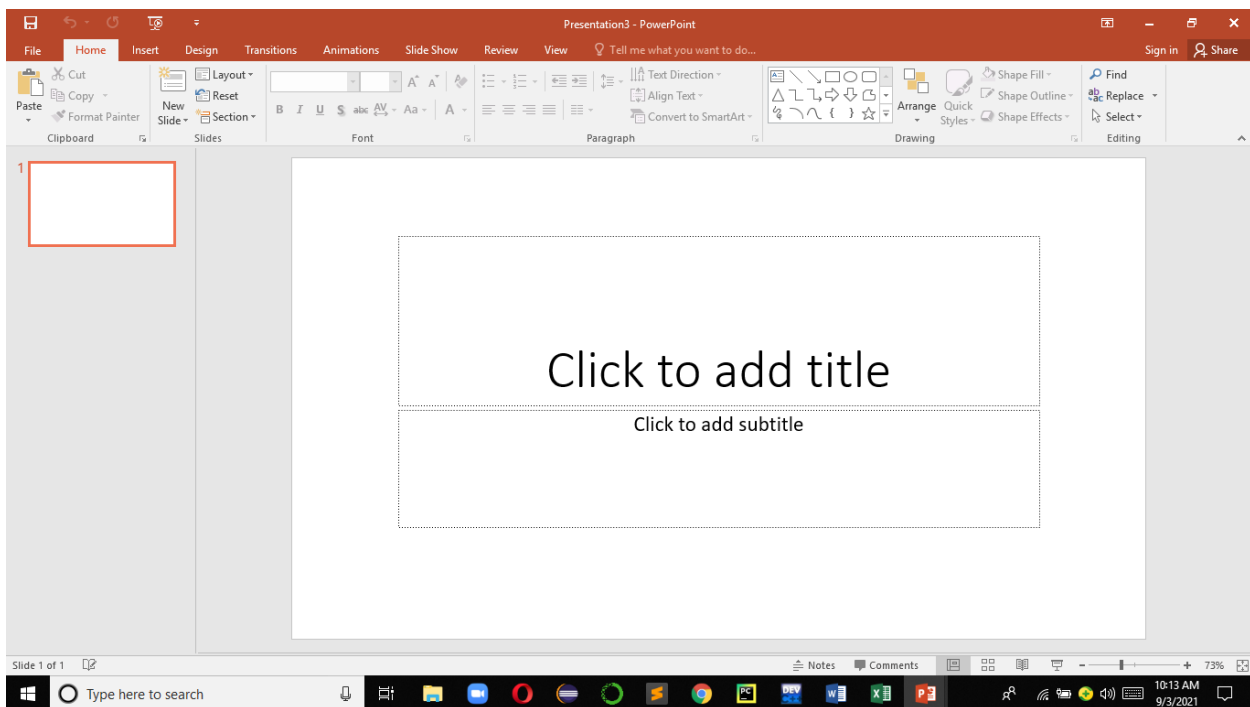
Step 2: Click New

Step 3: Doubleclick on **Blank Presentation**

Step 4: A new presentation window opens

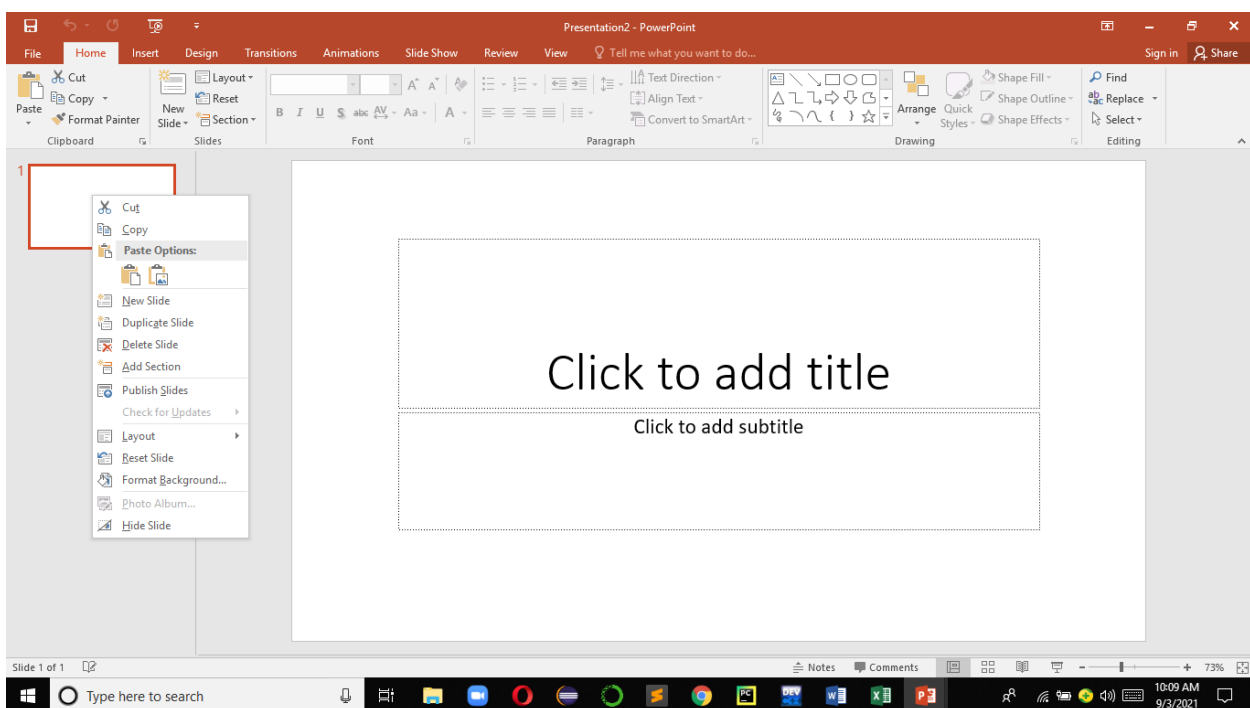
Step 5: Type in details for the Title slide





6.5 Adding New Slides to a Presentation

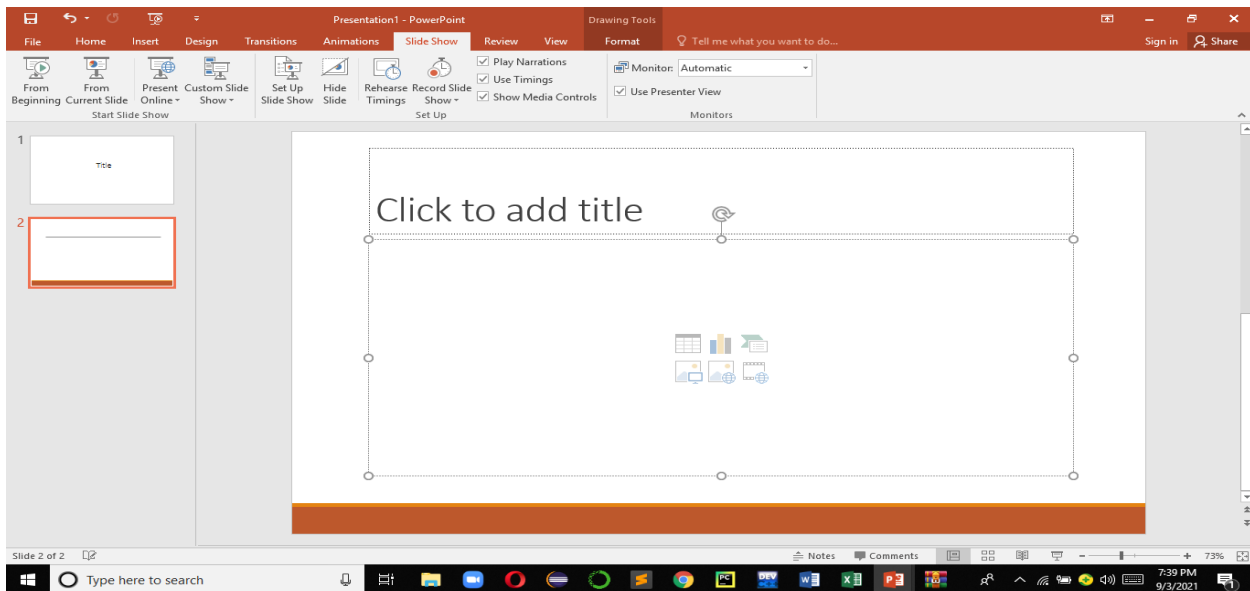
- Step 1: Right Click on the Current Slide (or in the Home tab, go the Slides group and click on New Slide
- Step 2: Click on New Slide
- Step 3: Type or Copy desired text in the slide



6.6 Running a Slide Show

Step 1: Click Slide Show

Step 2: In the Start Slide Show group choose either from beginning, from current slide, broadcast show, custom slide show.

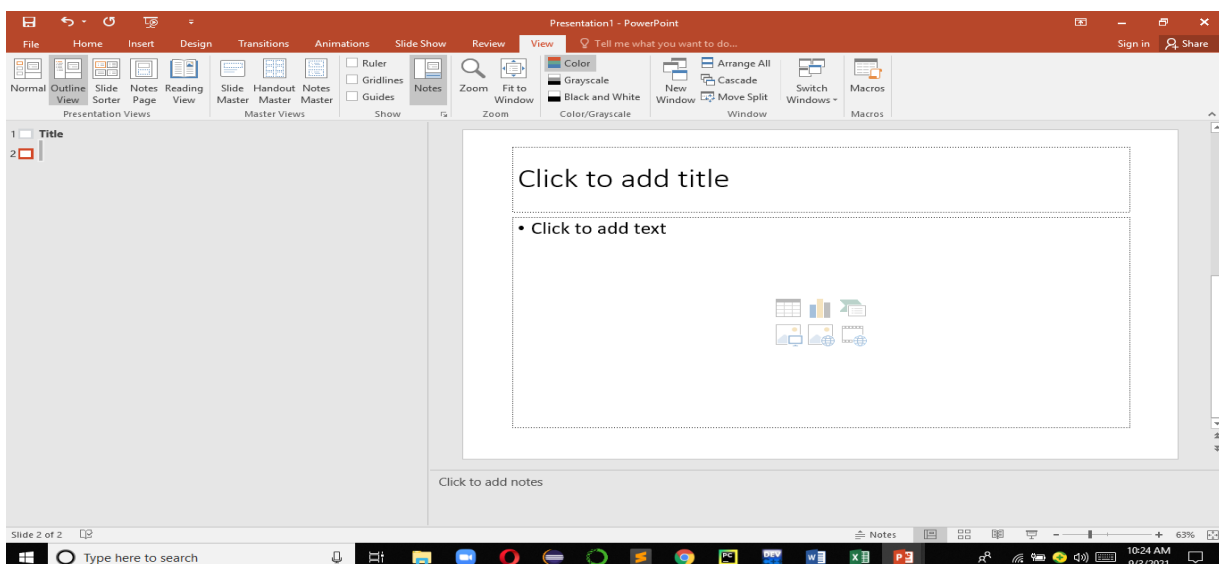


6.7 Presentation Views

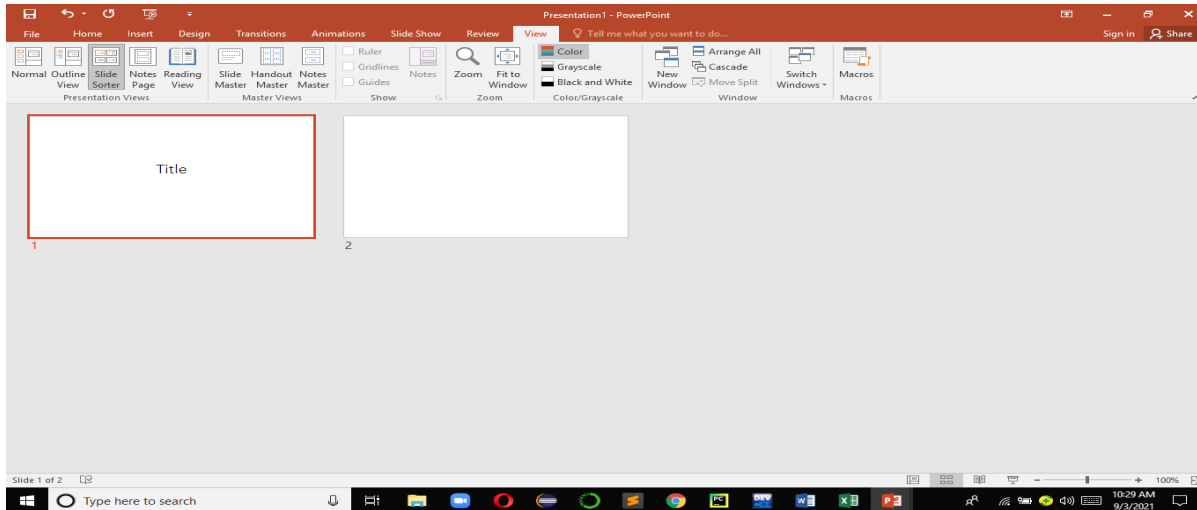
There are many views like Normal View, Slide Sorter View, Notes Pages and Reading View.

Normal View is the most common slide view. By default, the presentation one is in normal view. Normal view simultaneously displays the slide, outline, and notes view in their own, allowing you to see everything at once.

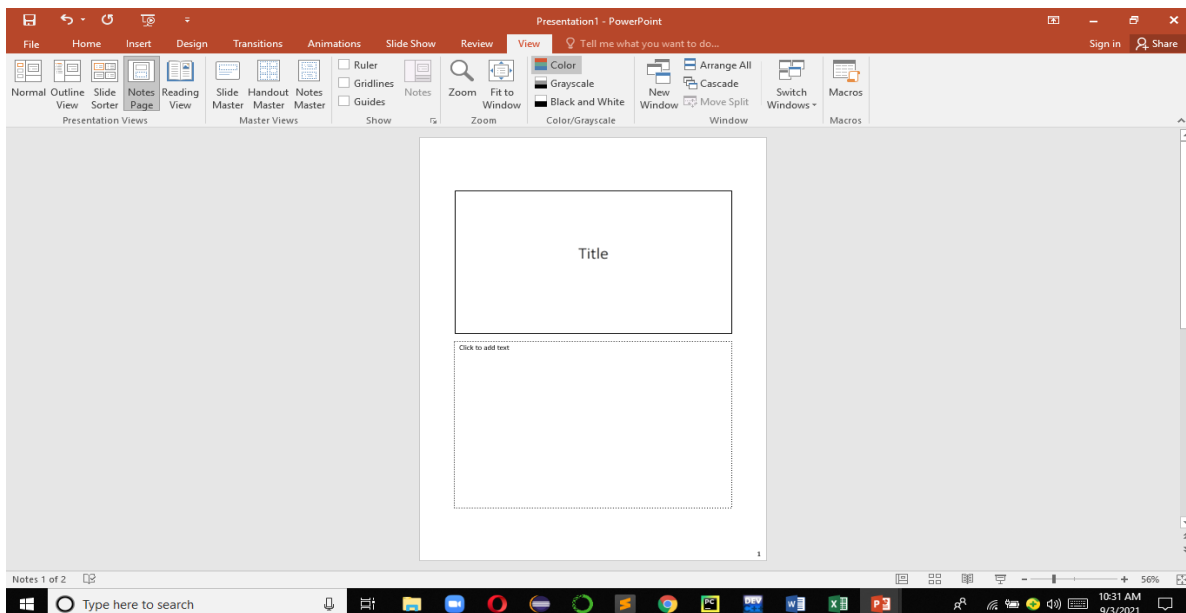
Click on View to access any of the view pane



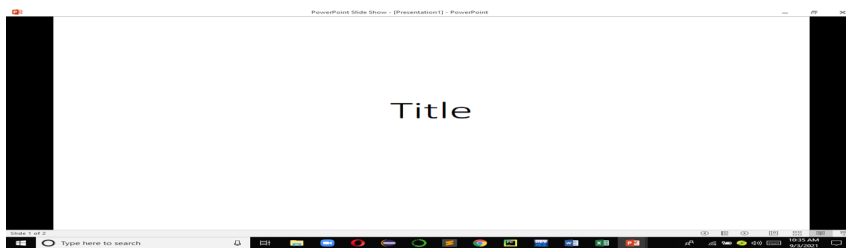
Slide sorter view shows small versions of all the slides (thumbnails) arranged in horizontal rows. Thumbnails allow for slides to be easily deleted or rearranged quickly.



Notes Pages sometime referred to as presenter notes show a small version of the slide with an area below for printed notes. Each slide is created on its own notes page.



Reading View is used to deliver a presentation to a person viewing it on a computer as opposed to viewing it on a large screen. It allows a user to view the presentation not a full-screen slide show view, but in a window with simple controls that make a presentation easy to view.

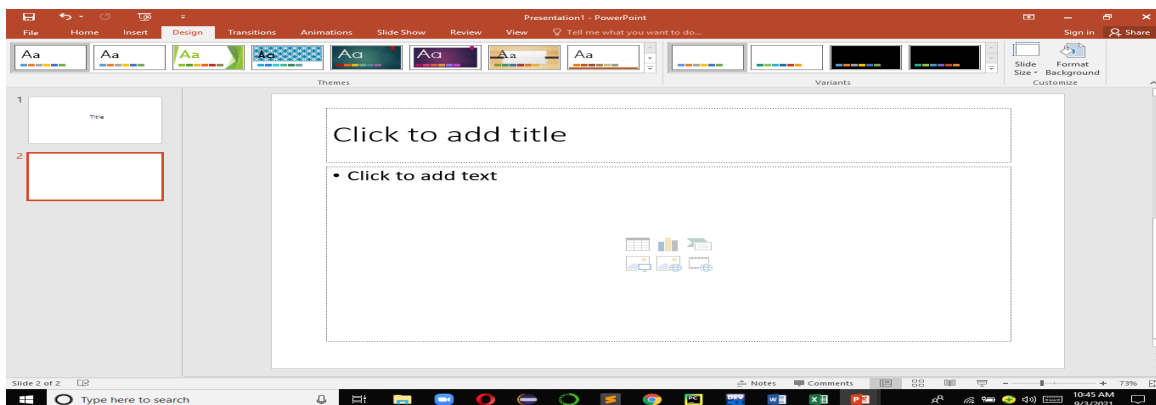


6.8 Applying Themes and Background to a Presentation

Step 1: Click Design tab

Step 2: Click More button in the Themes group

Step 3: Click the desired design



To Apply a Theme to Selected Slides

Step 1: Click Slides tab, located in the left pane of the window

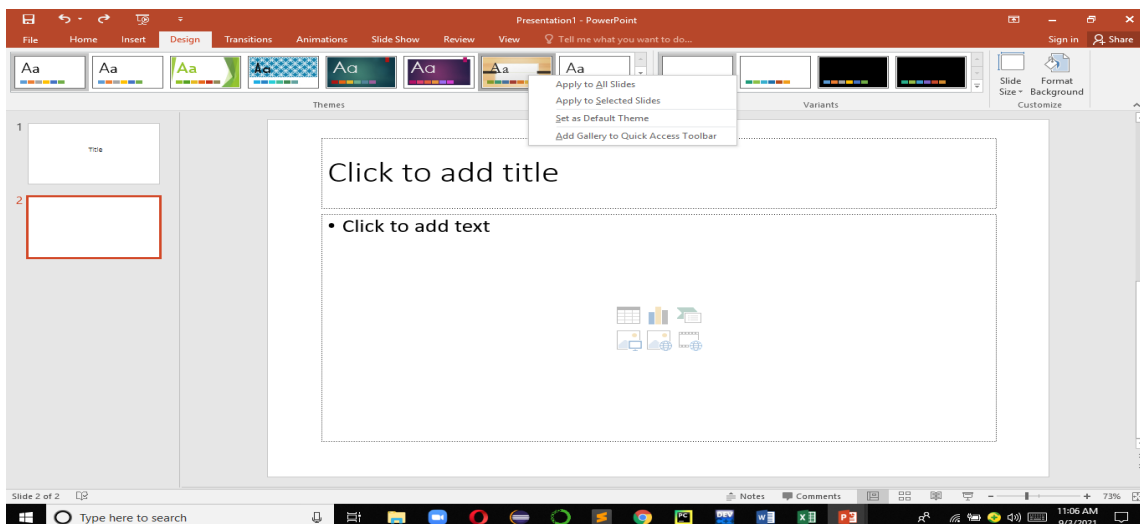
Step 2: Hold down the Control key and then click to select the slides to apply the theme

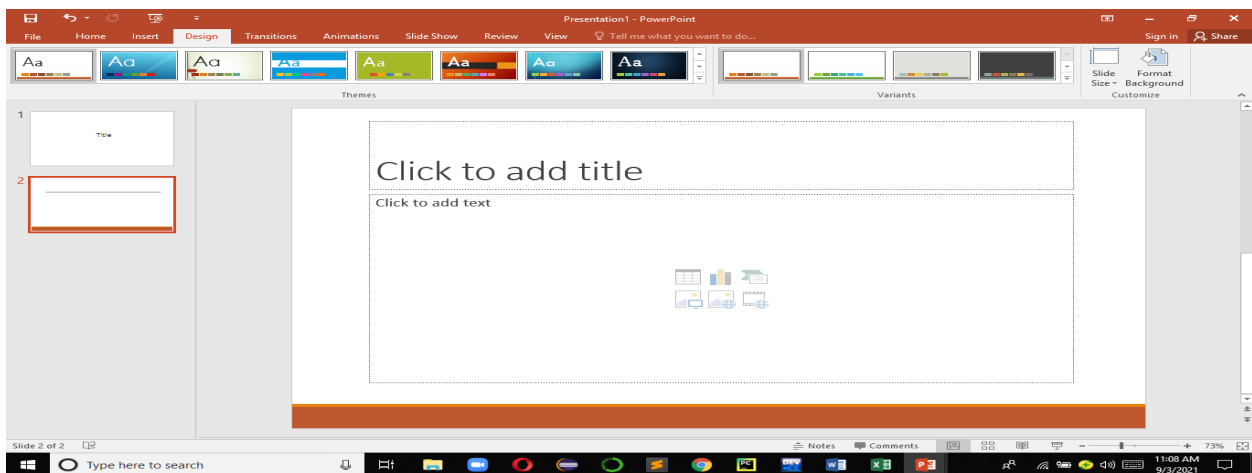
Step 3: Choose Design tab

Step 4: Click More button in the Themes group

Step 5: Right click desired theme. A menu appears

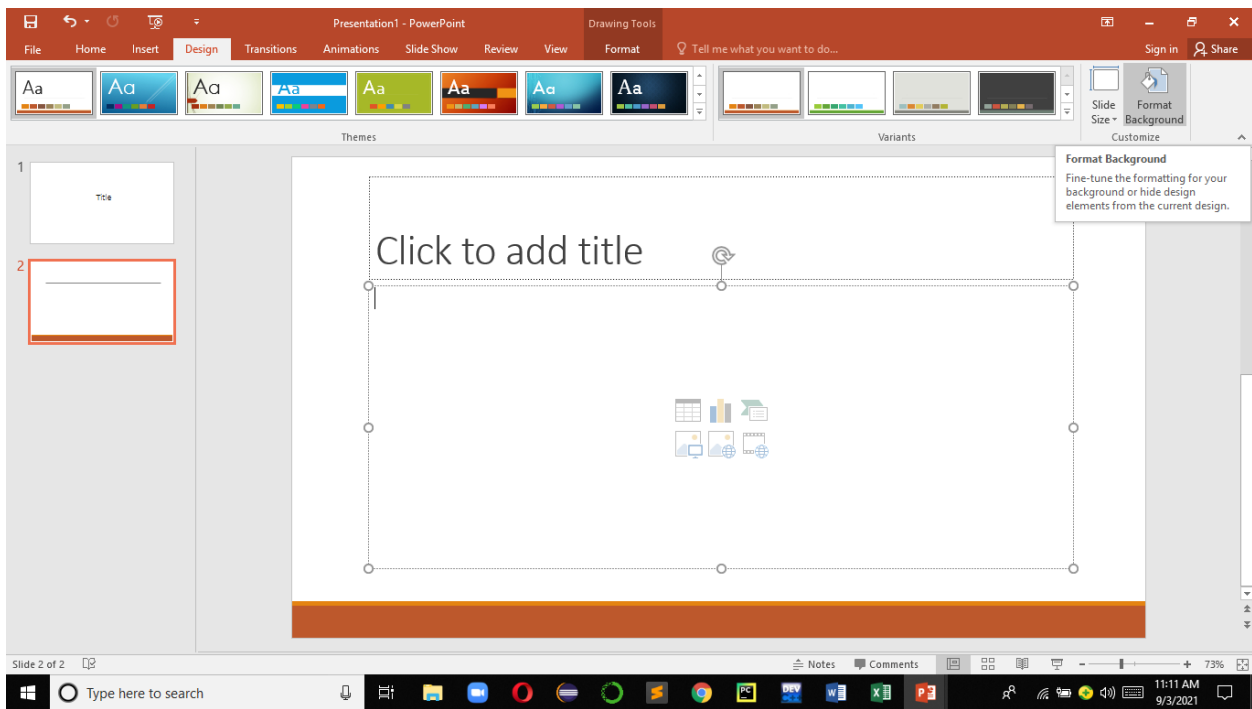
Step 6: Click Apply to Selected Slides





Changing Backgrounds

- Step 1: Choose Design tab
- Step 2: Click Background Styles
- Step 3: Click the desired background



6.9 Copying and Pasting Slides from Different Presentations

- Step 1: Open at least two presentations
- Step 2: Click Arrange All button from View tab (Window group)
- Step 3: Right click on the slide to be copied (in the slides and Outline task pane of the original presentation –source)
- Step 4: Choose Copy from the short/cut context menu

Step 5: In the destination presentation, right click in the desired location. Right click and choose Paste and apply desired options

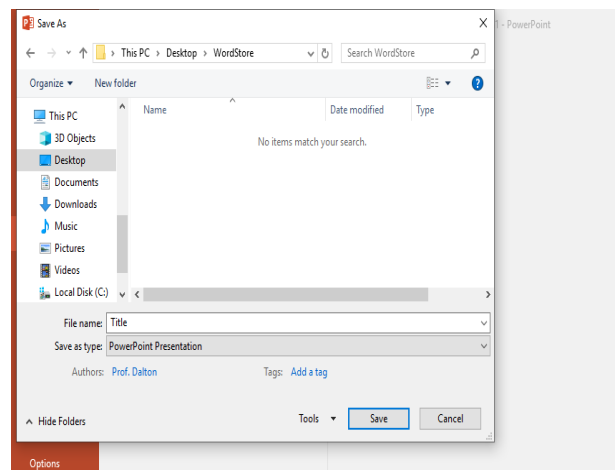
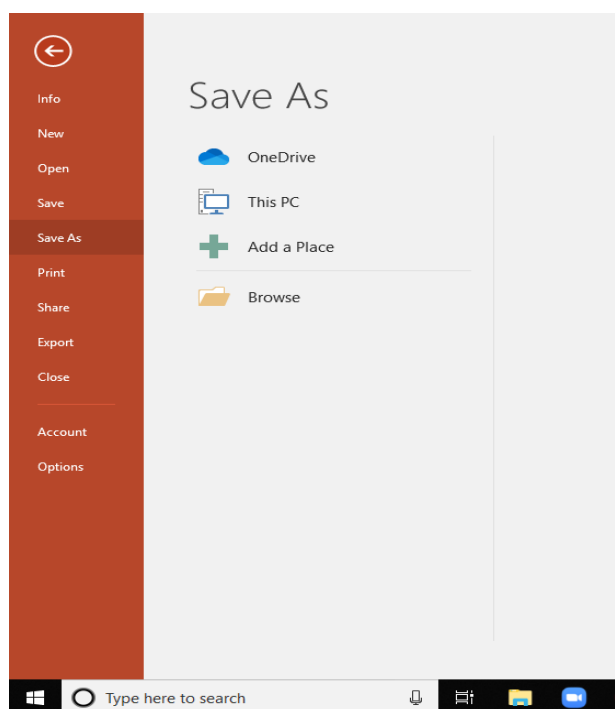
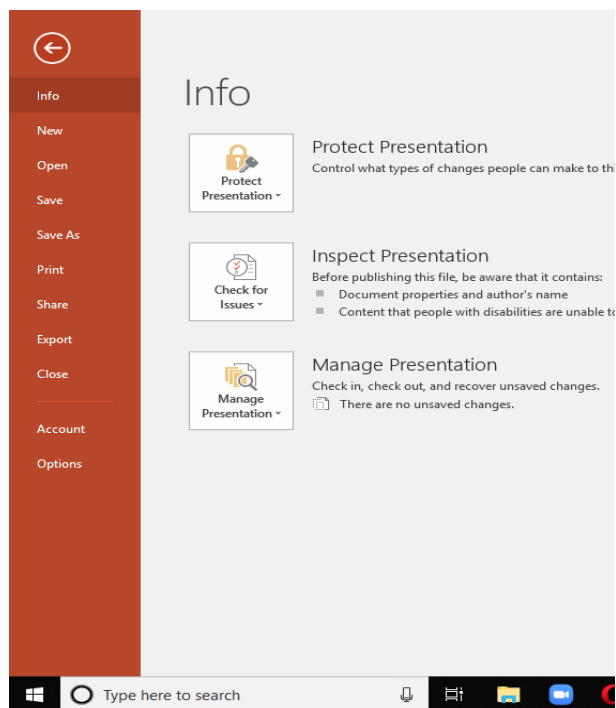
6.10 Saving a Presentation

Step 1: Click File

Step 2: Click Save or Save as

Step 3: Selected desired folder and provide filename

Step 4: Click Save



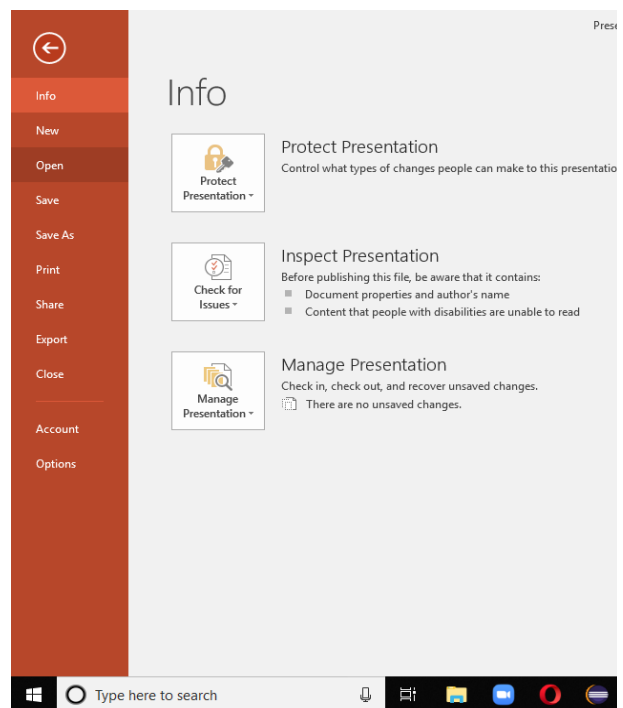
6.11 Opening Existing Presentation

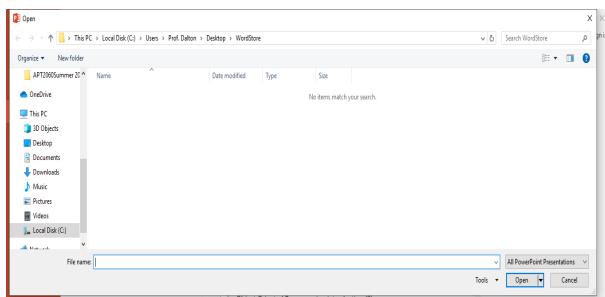
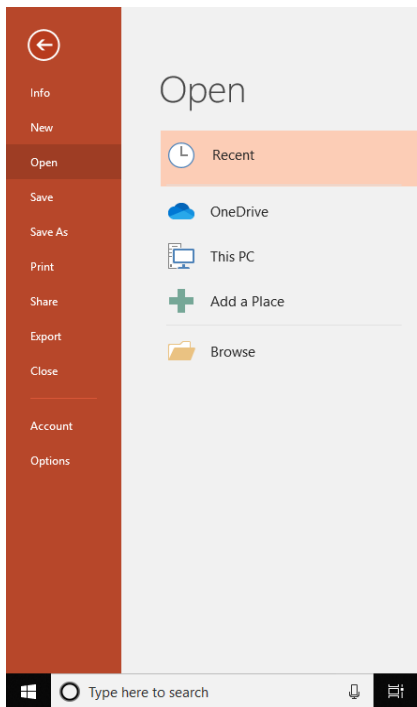
Step 1: Click File

Step 2: Click Open

Step 3: Select desired presentation file

Step 4: Click Open





6.12 Inserting Items in a Presentation

Inserting Clip Arts in a Presentation

- Step 1: Click Insert
- Step 2: Click Clip Art. In the Search for text box, type keywords related to the clip art that you desire
- Step 3: Click Go. A list of images appears in the Results section
- Step 4: Click desired image to insert

Inserting Clip Pictures in a Presentation

- Step 1: Click Insert
- Step 2: Click Picture
- Step 3: Choose pictures or locate folder where your desired picture is located
- Step 4: Under File Name locate the folder where your desired picture is
- Step 5: Click Insert

Inserting Shapes/Objects in a Presentation

- Step 1: Click Insert

Step 2: In the illustrations group, Click Shapes

Step 3: Select desired shape

Resizing Shapes/Objects in a Presentation

- Step 1: Select the shape to be resized
- Step 2: Click and drag a handle until the shape attains the desired size.

Inserting a Chart in a Presentation

- Step 1: From the slides pane, select the slide to which you want to add a chart
- Step 2: Click Insert tab
- Step 3: Click Chart
- Step 4: Select the chart type from the displayed list
- Step 5: From the gallery in the right of the dialog box, select specific type
- Step 6: Click OK
- Step 7: Type your data into the Excel worksheet
- Step 8: Click Close

Creating an Organization Chart

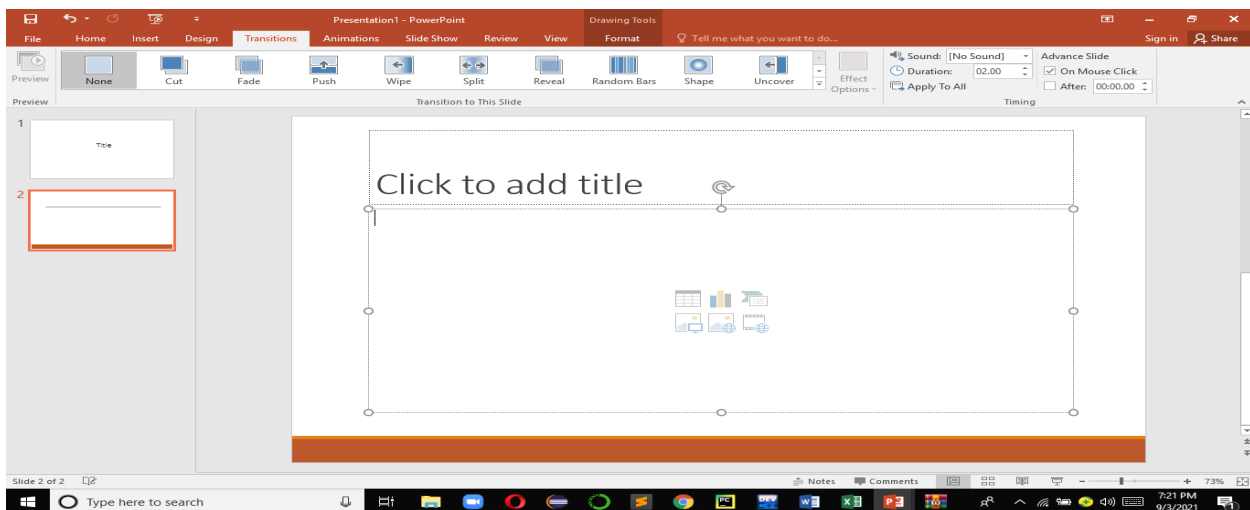
- Step 1: Open a presentation
- Step 2: Click Slides
- Step 3: Click New Slide
- Step 4: Select Title and Content
- Step 5: In the center of the slide, from the content icons, Click Insert Smart Graphic
- Step 6: From the Categories list, select Hierarchy
- Step 7: From the gallery, select Organization Chart
- Step 8: Click Ok

6.13 Transition Effects and Slide Timings

Slide transition is a special visual effect that is used to introduce a slide during a slide show
Slide timing refers to the length of time a slide appears in the screen

Adding Transitions

- Step 1: From the Transitions tab go to the Transition to this Slide and then select Transition Gallery
- Step 2: Change Duration in the Timing group
- Step 3: Choose to add a sound to the transition, click on Sound
- Step 4: Choose to apply this transition to all of your presentation's slides,
- Step 5: Click Apply to all in the Timing group



Removing Transitions

- Step 1: Select desired slide
- Step 2: Click Transition
- Step 3: Select None in the Transitions gallery

6.14 Printing a Presentation

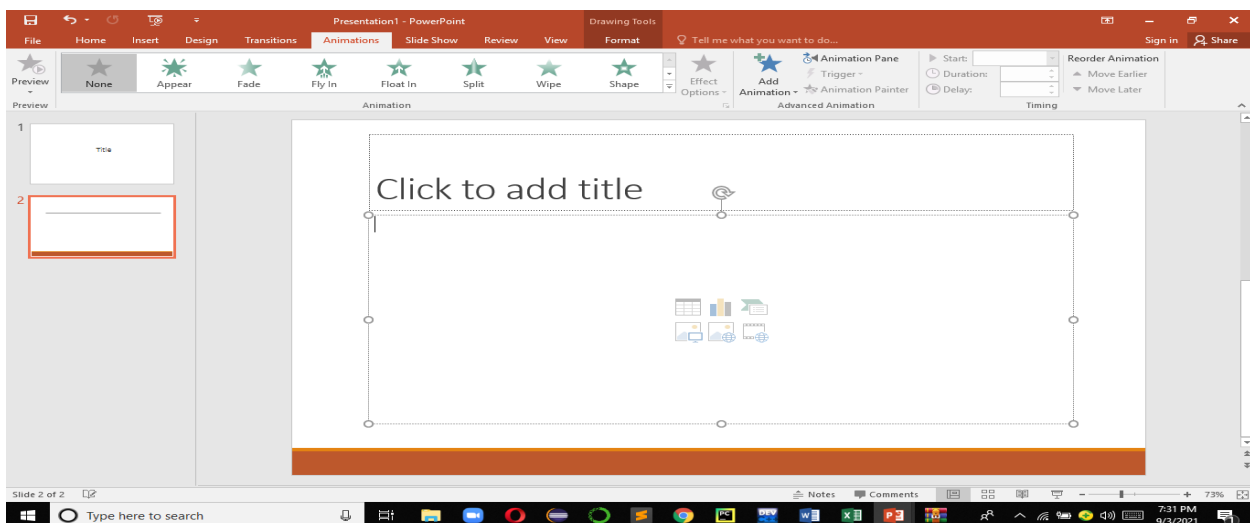
- Step 1: Click File
- Step 2: Click Print

Slide Timing

- Step 1: Click Transition
- Step 2: In the Timing group go to Advance Slide and select After
- Step 3: In the After-text box, select desired time

Slide Animation

- Step 1: Select the slide to which you want to apply desired animation
- Step 2: Click Animation
- Step 3: Select an animation from the Animation gallery



6.15 Learning Activities

Open a computer and undertake the following activities:

Required:

- i. Create a presentation using information from the department
- ii. Insert objects and chart in the presentation
- iii. Apply different slide designs
- iv. Insert animation and effects to some of the slides
- v. Save presentation with any name of your choice
- vi. Change presentation timing
- vii. Run presentation

6.16 Self-Assessment Questions and Activities

1. What are the various parts of the PowerPoint environment?
2. How can PowerPoint be used in a freight and logistics organization?
3. What are the presentation etiquettes for effective PowerPoint presentations?

6.17 References

- Sandra Cable, Steven M. Freund, Ellen Monk, Susan L. Sebok, Joy L. Starks (2016), Shelly Cashman Series Microsoft® Office 365 & PowerPoint 2016 Comprehensive, 1st Edition, eBook
- Morley, D., & Parker, C. S. (2014). Understanding computers: Today and tomorrow, comprehensive. Cengage Learning.

7.0 DESKTOP PUBLISHING

7.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- i. Describe the role of desktop publishing
- ii. Create different types of desktop publishing documents
- iii. Formatting desktop publishing documents
- iv. Importing and exporting text
- v. Object linking and embedding

7.2 Introduction

This topic introduces the student to the technique of creating document using desktop publishers. The topic covers: introduction to the role of desktop publishing; Elements of attractive page layout, colour, and design; creating simple drawings, announcements and magazine covers multi-page documents such as menus, newsletters, tri-fold brochures, a business proposal. Students should be able to produce different types of professional documents.

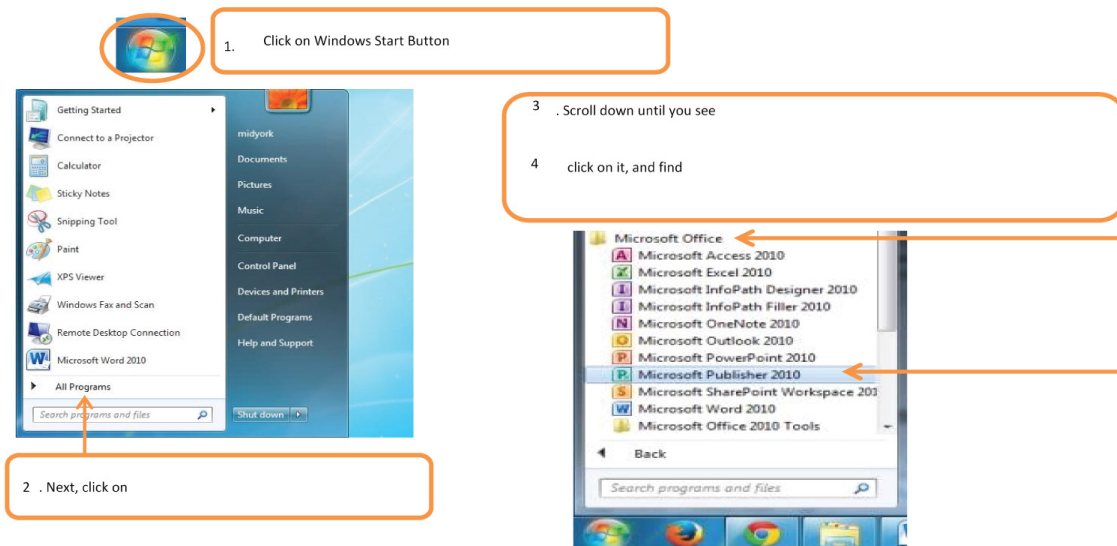
7.3 Desk Top Publishing with MS Publisher

While both Word and Publisher can create documents that seem fairly similar at first glance, the underlying structure of each is markedly different.

- **Word** treats a document as a continuous flow of characters, which have to be formatted “in-line”.
- **Publisher** is “**object-oriented**”, meaning that it treats a document as a collection of separate and distinct objects which can be moved, edited, or deleted completely independent of any other objects in the document. Images can also be placed outside of the document page area to be used as a parking space.

7.4 Starting Microsoft Publisher

Click on the Windows start button and search for MS publisher



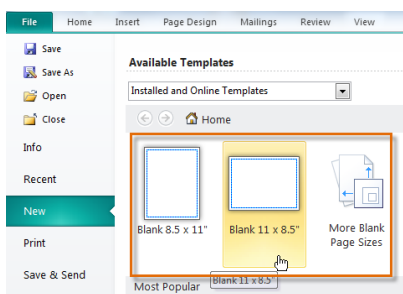
7.5 Publisher Layout

Publisher opens to a Page Design Screen. This page is where you can locate various template designs for a multitude of business and personal needs. You can start with a blank document or work from a pre-designed template.

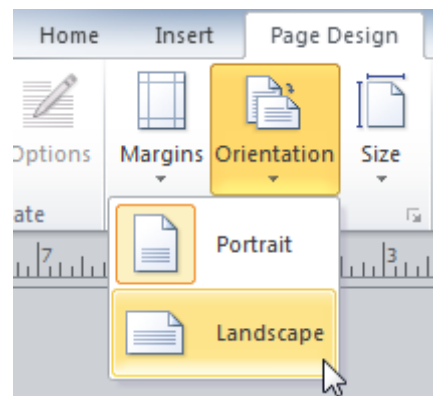
Templates - Publisher has many pre-formatted **templates**, which allow you to get your publication completed with minimal formatting work. We are going to start with a flyer template.

You will notice on a template that there are several layers - layers can consist of images, background colours, or text boxes. Click on different parts of the template to get familiar with the different layers. Clicking and dragging these objects will move them. If you move something by accident, don't worry, there is an undo button on the Quick Access Toolbar at the top of the screen. The keyboard shortcut to Undo is Ctrl+Z.

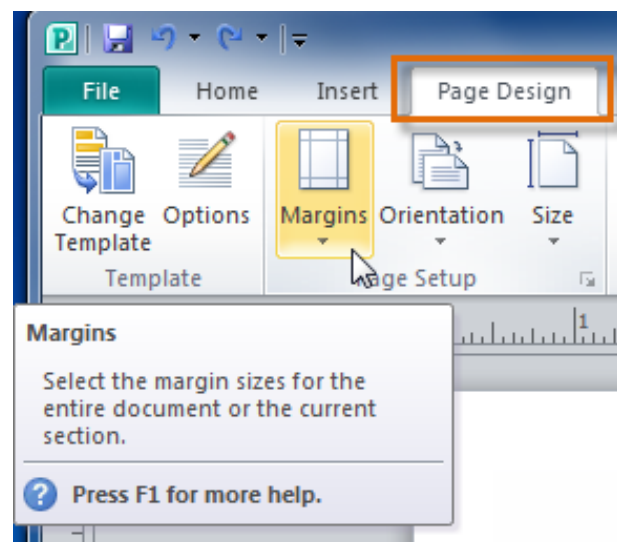
- **Creating blank publications** - If you don't want to use a template or can't find a template that suits your needs, you can create a **blank publication**. If you create a publication from scratch or decide to heavily modify a template, there are three components of page layout you'll have to consider.
- **Size** - Some publications, like flyers, can be large or small. However, you probably don't want a brochure to be giant.



Orientation - Do you want your publication to be in landscape orientation (wider than tall) or portrait orientation (taller than wide)?



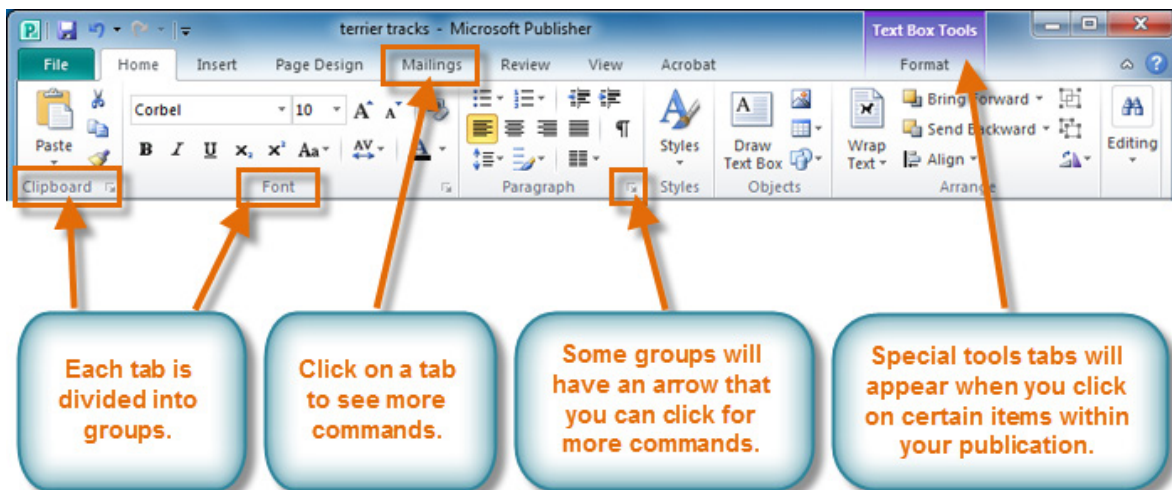
- **Margins** - Margins are areas of blank space that line the edges of a printed document.



7.6 Tabs/Groups

The ribbon is the menu that runs across the top of your screen. Each tab contains a set of groups with commands. Groups are collections of related command buttons. Clicking on different tabs will change the ribbon.

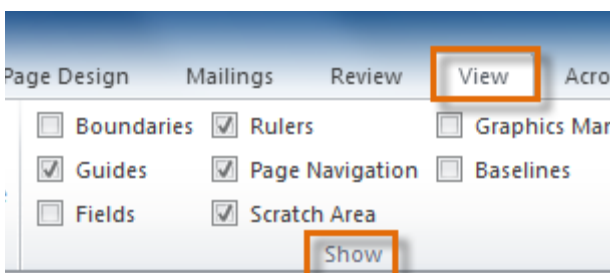
Some tabs, like Text Box Tools or Picture Tools, may appear only when you're working with certain items like text boxes or images.



7.7 Viewing Tools

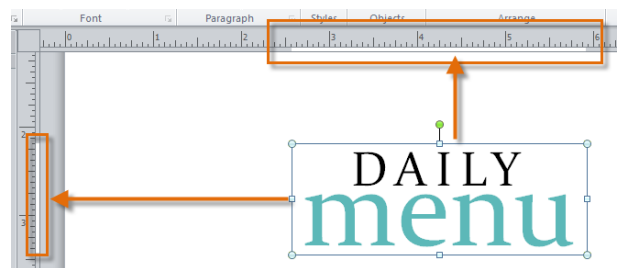
Publisher offers a group of viewing tools to help you control the layout of your text, images, and objects on the page. These viewing tools are for your editing purposes only. They can be turned on and off and **will not appear** in your printed publication.

- To access and choose viewing tools, select the **View** tab, then locate the **Show** group. Click the check boxes of the various view options to turn them on and off.



Publication viewing tools include:

- Rulers**
You can use the rulers to the left and top of your publication to help you line up text, images, and other objects and get a clearer idea of exactly where those objects will appear on the printed page. When you select an object in your publication, a white space will appear on the rulers to show the object's location.



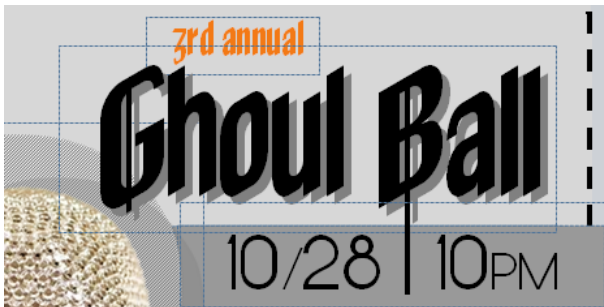
- Baselines**
Baselines are evenly spaced horizontal lines you can use to line up **text**. You'll learn about automatically aligning text to your baselines in the **Working with Text** lesson.

email: martin@greenlightstud

web: greenlightstud

phone: 321-5

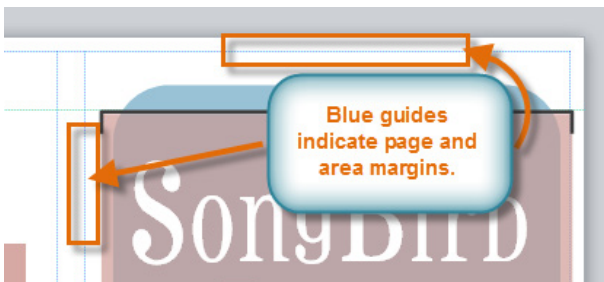
- Boundaries**
Boundaries are dark blue dashed borders that appear around your **objects**. Viewing object boundaries can be useful when you're aligning objects or wrapping text.



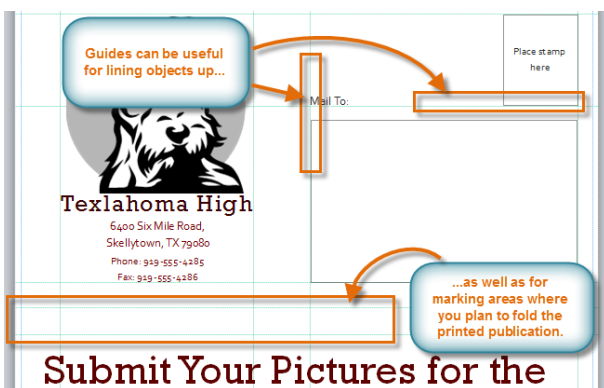
- **Guides**

Guides are thin lines that help you align various objects. There are two types of guides:

- **Margin guides**, which are blue lines that mark the edges, or margins, of the **printable area** on each page of your publication. Margin guides are automatically created when you set your page margins.



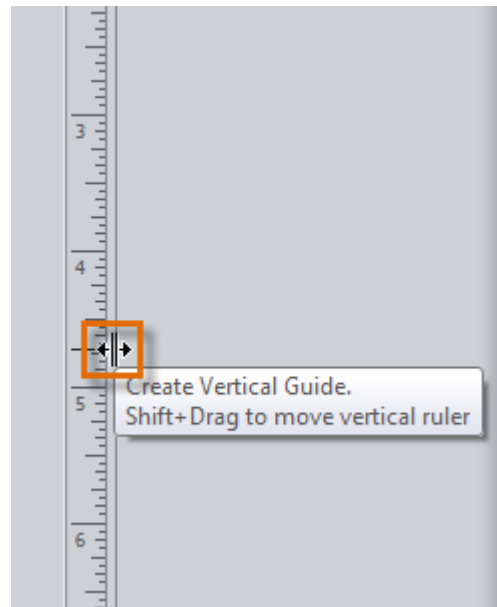
- **Customizable guides**, which are green lines you can add anywhere on your publication.



Submit Your Pictures for the

To add green guides:

1. **Click** either the horizontal or vertical **ruler**.



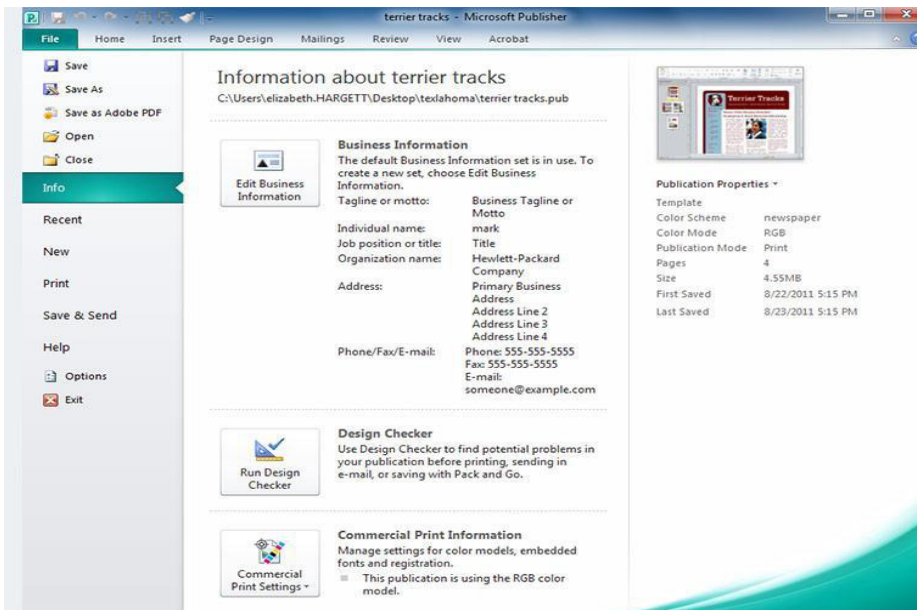
2. **Drag** your mouse to your publication, and **release** to add the guide in the desired location.
3. Your guide will be placed. You can move it at any time by clicking and dragging it.

7.8 Backstage View

In Publisher 2010, options for **saving**, **printing**, and **creating** publications are located in **Backstage view**. It is similar to the **Office Button Menu** from Publisher 2007 or the **File Menu** from earlier versions of Publisher. However, unlike those menus, it is a full-page view, which makes it easier to work with.

- To access Backstage view, click the **File tab**.

Review the interactive options below to learn about the different things you can do in Backstage view.

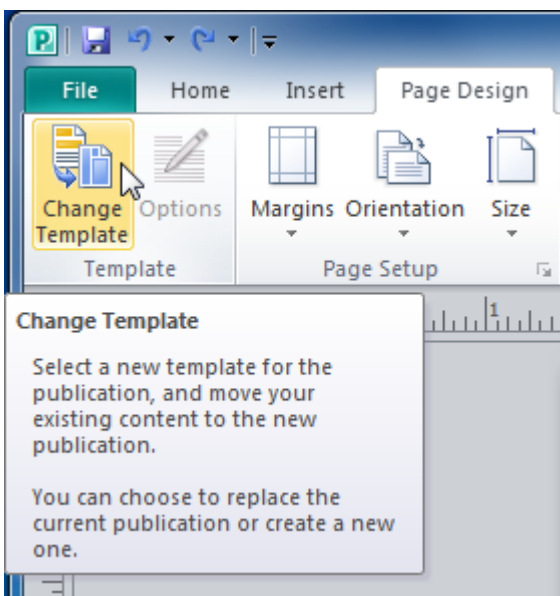


7.9 Changing or Adding a Template

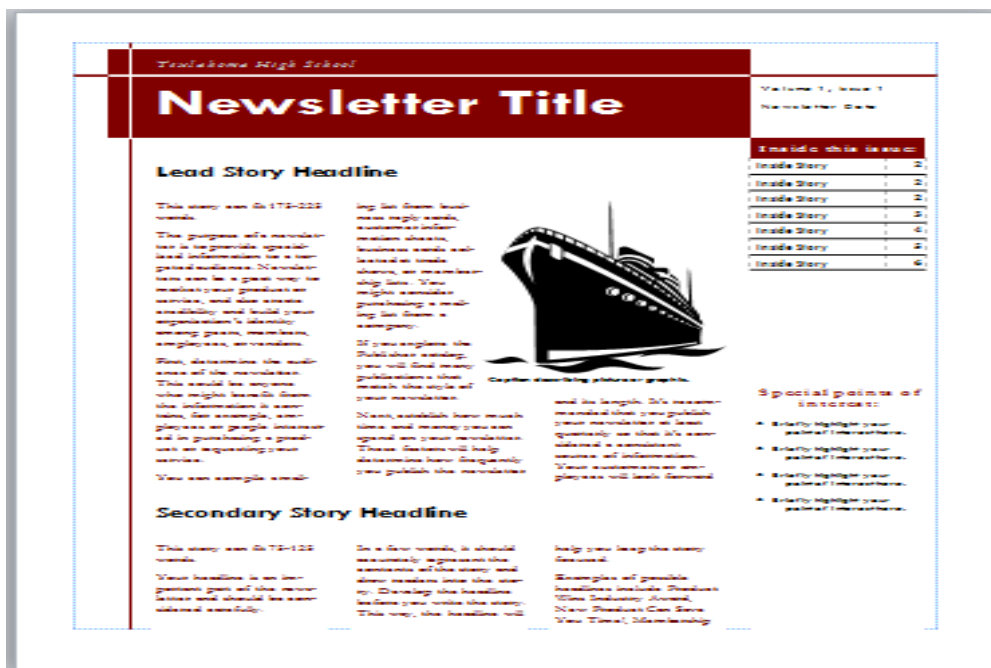
If you create a publication from a template and later decide the chosen template doesn't quite suit your needs, you can always **change** it. You can also apply templates to publications that were originally created from blank pages.

To apply a new template to an existing publication:

1. On the Ribbon, select the **Page Design** tab, then locate the **Template** group.
2. Click the **Change Template** command.



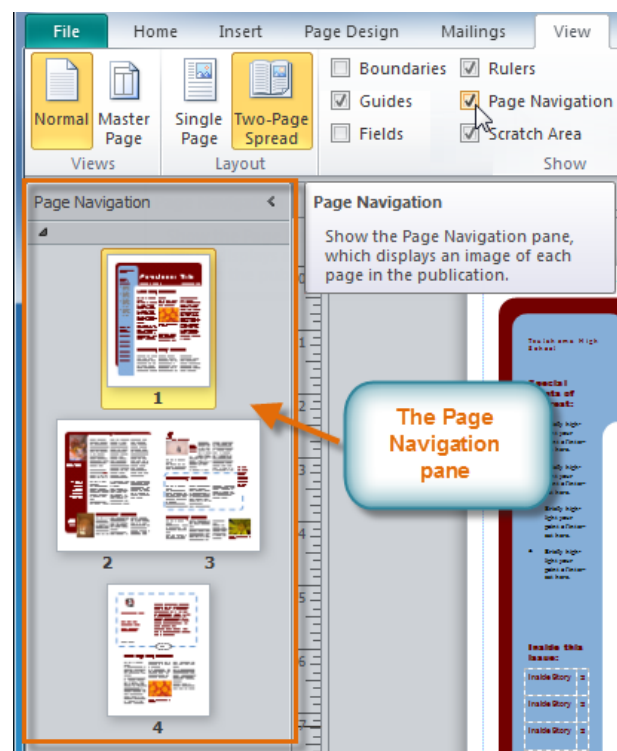
3. The **Change Template** dialog box will appear. Select a template to preview it in the **Preview** pane.
4. Modify template options as desired.
5. When you are satisfied with the new template, click **OK**.
6. A dialog box will appear asking you how you wish to use the template. You can either:
 - Apply the template to the **current** publication
 - Create a **new** publication that includes the text and images you have added
7. Click **OK**.
8. The new template will be applied to your publication.



7.10 Adding, rearranging, and deleting pages

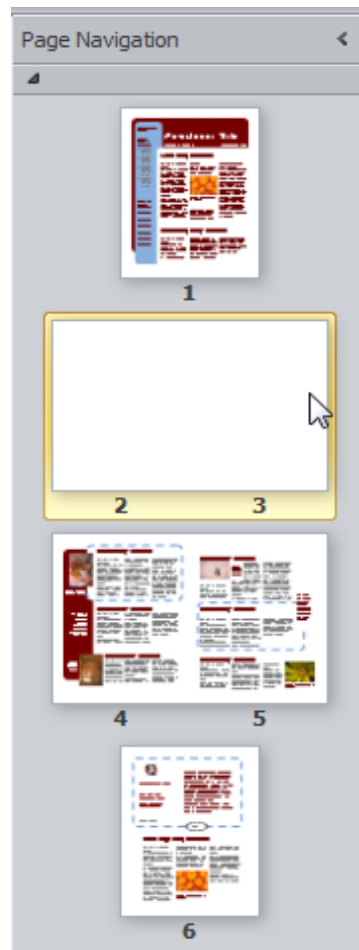
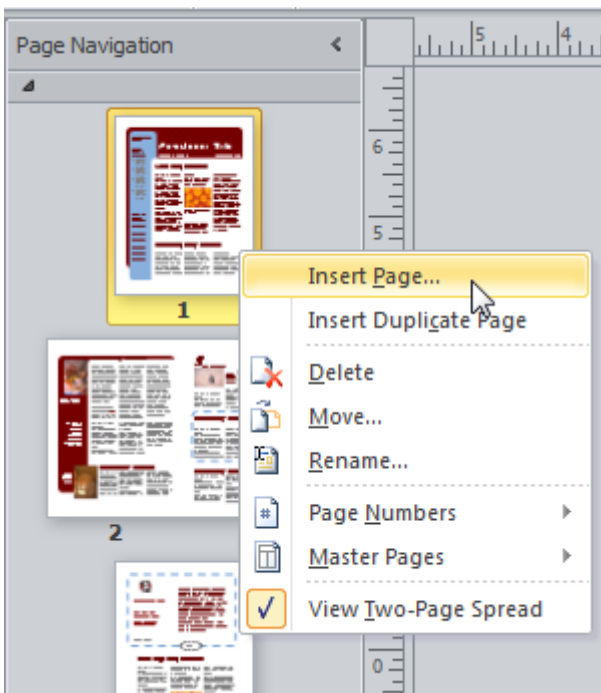
If you're creating a **newsletter** or another type of publication with **multiple pages**, you might find the **Page Navigation** pane useful. The **Page Navigation** pane gives you a way to view and scroll through the pages in your publication. It also includes features that let you **add**, **move**, and **delete** pages.

1. To open the **Page Navigation** pane, click the **View** tab on the Ribbon, then locate the **Show** group. Select the **Page Navigation** check box.



• To add a new page:

1. In the **Page Navigation** pane, right-click any page, then select **Insert Page**.



2. The **Insert Page** dialog box will appear. Specify the number of pages to insert and the location where you wish to insert them.
3. Choose what will appear on the new pages. By default, the pages will be **blank**, but you can also choose to create pages that include **one text box** or pages that are **duplicates** of an existing page.
4. Click **OK**.
5. The new page or pages will be inserted.

Depending on the template you're using, when you add a new page you may see a dialog box with page layout options.

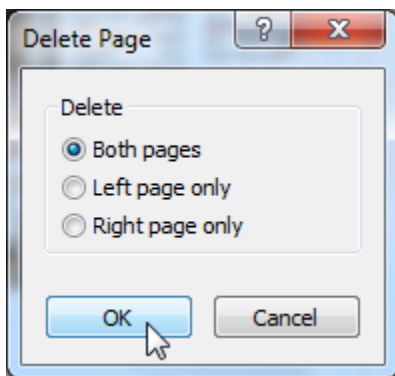
- **To move a page:**

1. In the Page Navigation pane, locate the page you wish to move.

2. **Click** and **drag** the page to its new location, then **release** the mouse.
3. The new page order will be applied.

- **To delete a page**

1. In the Page Navigation pane, right-click the page you wish to delete, then select **Delete** in the list that appears.
2. If the page is part of a **two-page** spread, Publisher will ask if you wish to delete one or both pages. Make your selection, then click **OK**.



- The page will be deleted.

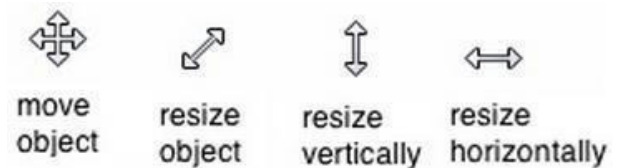
7.11 Text Boxes

A text box is a dedicated area to insert text. Most templates automatically have text box areas predesigned for your convenience. You can click inside the text box and edit as needed.



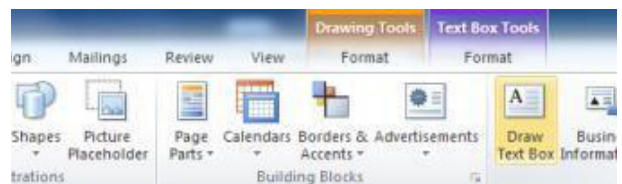
• Resize a text box:

- Select the text box by clicking on the perimeter or inside. You should see the box highlight with a border.
- On the border you should see little bubbles on the corners and middle of the sides. When you hover your mouse over these bubbles, you will see your cursor change to a two-pointed arrow.
- Click and drag your mouse on these bubbles to resize the text box. This takes some practice and finesse so don't get frustrated if it doesn't work for you right away.



• Insert a new text box

- Insert tab and click Draw Text Box



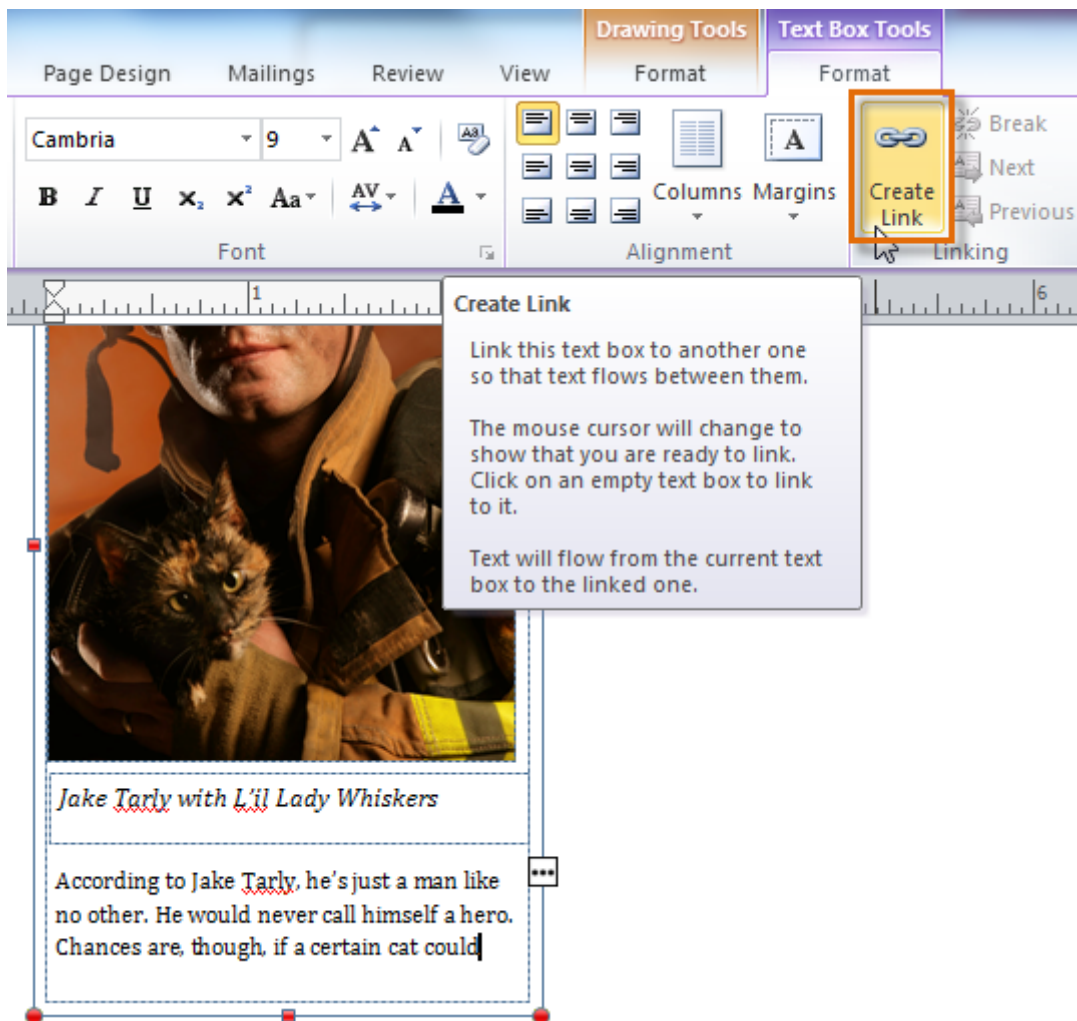
- Move your cursor to the document and notice your cursor has changed to a crosshair icon. Click and drag your cursor to form a text box. Once you release the left mouse button, your text box will be formed. You can resize and move the box as needed.

• Connect text boxes for overflow text

You may find yourself in a situation where your text will not fit one given text box. You can link text boxes so overflow text continues in a separate place.

To connect to a new text box:

- Select your text box.
- Click the **Text Box Tools** **Format** tab, then locate the **Linking** group.
- Click the **Create Link** command.



4. The **Link** icon will appear in place of your cursor. Click the spot on your publication where you would like to add the linked text box.
5. The text box will be added. Resize it as necessary.
6. Continue typing your text. Any text that overflows from the original text box will now appear in the connected box.

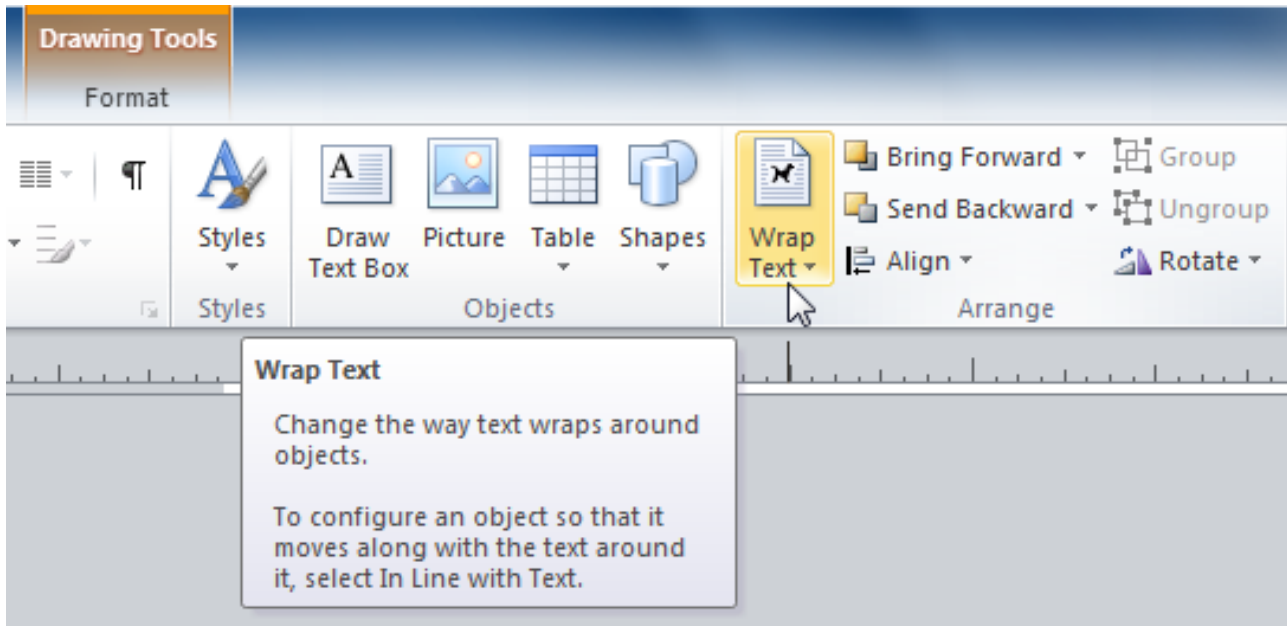
The new text box will appear with your previously unseen text. You may need to resize the text box as necessary.

• Wrapping text

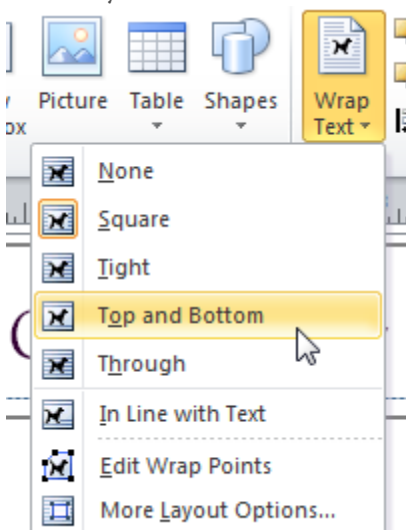
If you place a text box near another text box or object, you may notice them overlapping or not appear exactly the way you want. Changing the wrap text settings may fix this problem.

To wrap text around an object, such as a picture:

1. Select the object, then click the **Format** tab that appears on the Ribbon.
2. Locate the **Arrange** group, then click the **Wrap Text** drop-down command.



3. Select the desired wrap option. The text will adjust based on the option you have selected.



4. If necessary, reposition the object until the text wraps correctly.

If you can't get your text to wrap the way you wish, click the **Wrap Text** command and select **More Layout Options** from the menu. You can make more precise changes in the Advanced Layout dialog box that appears.

• Modifying text boxes

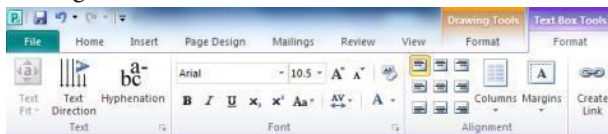
The **Text Fit** options allow you to format text boxes that **automatically adjust** font or text box size to get a good fit. There are four text fit options you can apply to any text box:

- **Best Fit**, which makes the text larger or smaller to fit the text box
- **Shrink Text on Overflow**, which automatically shrinks the font size when the text box has no room for additional text
- **Grow Text Box to Fit**, which automatically enlarges the text box based on text size and length
- **Do not Autofit**, which makes no automatic changes to the text or text box size; this is the default option

To modify text fit, select the text box, then click the **Text Fit** drop-down command in the **Text** group of the Text Box Tools Tab. Select the desired option.

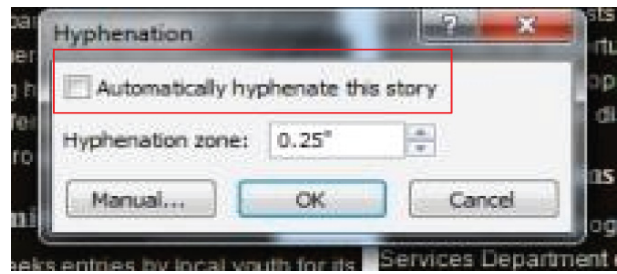
7.12 Hyphenation

Microsoft Publisher automatically cuts words off with hyphens in order to fit text into a confined space. You can control how often the program hyphenates words by changing the hyphenation settings.



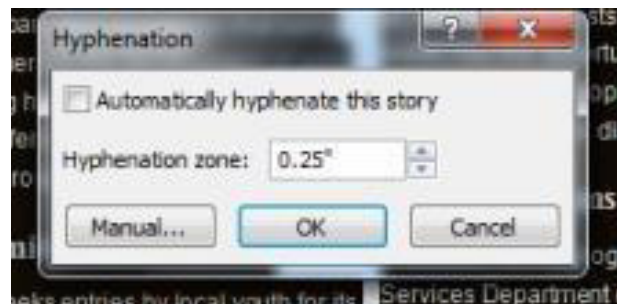
• To remove all hyphens

1. Highlight the text
2. Click on Text Box Tools Format tab, then Hyphenation
3. Uncheck the box next to Automatically hyphenate this story, then OK



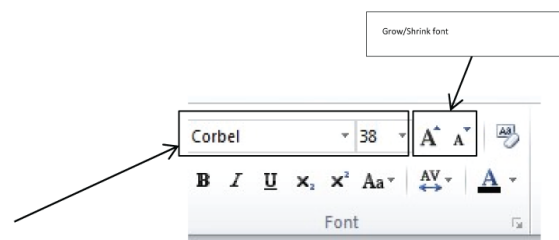
• Changing the Hyphenation Zone

1. Increasing the Hyphenation Zone will create fewer hyphens, but the text may appear more uneven on the right-side.
2. Decreasing the Hyphenation Zone will break up your text with more hyphens. More hyphenated words will make the right edge of the text appear more even.

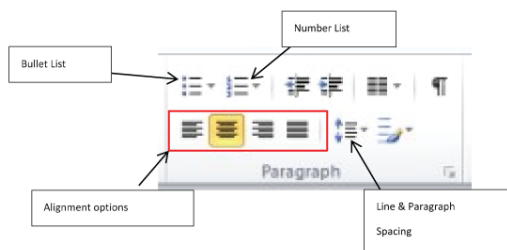


7.13 Formatting Text

Refers to changing the appearance of text. Select the Home Tab, Font group and then Font style and size. Alternatively, when you hold your mouse pointer over each font, you can preview what that change will look like in your document. The changes aren't permanent until you click your selection!



Other formatting features include numbering, alignment and paragraph settings.

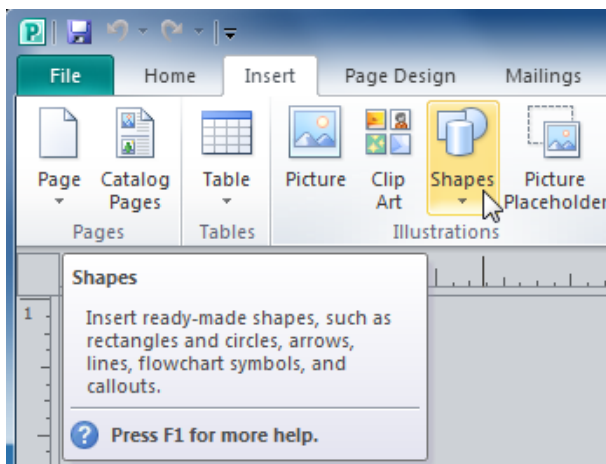


7.14 Inserting Pictures and Clip Art

In Publisher, the components of any publication are called **objects**. You've already worked with text boxes, which are one type of object. Publisher offers decorative objects as well, including shapes and **Building Blocks**.

In this lesson, you'll learn how to create and modify **shapes** and **Building Blocks**. You'll also learn how to **align**, **group**, and **arrange** objects of all types.

1. Select the **Insert** tab, then locate the **Illustrations** group.
2. Click the **Shapes** drop-down command.

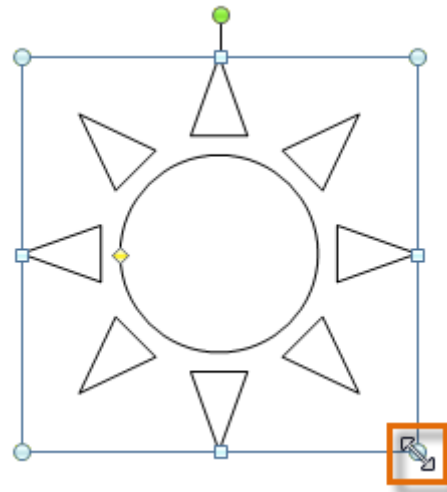


3. Select a shape from the drop-down menu.
4. Click and drag the mouse until the shape is the desired size.
5. Release the mouse button. The shape will be added to your publication.

To add a picture to your publication, you can either insert an image you have saved on your computer or choose one from Publisher's large selection of **Clip Art**. Once you've added images, you can then **edit** them as you wish.

• To resize a shape:

1. Select the shape.
2. Click and drag one of the **sizing handles** on the corners and sides of the text box until it is the desired size. You can:
 - Drag the top or bottom sizing handles to modify shape **height**
 - Drag the side handles to modify shape **width**
 - Drag the **corner handles** to modify **height** and **width** at the same time



3. To rotate the shape, click and drag the **green handle**.
4. Some shapes also have one or more **yellow handles** that can be used to modify the shape. For example, with this sun shape you can adjust the diameter of the center circle and the length of the points.

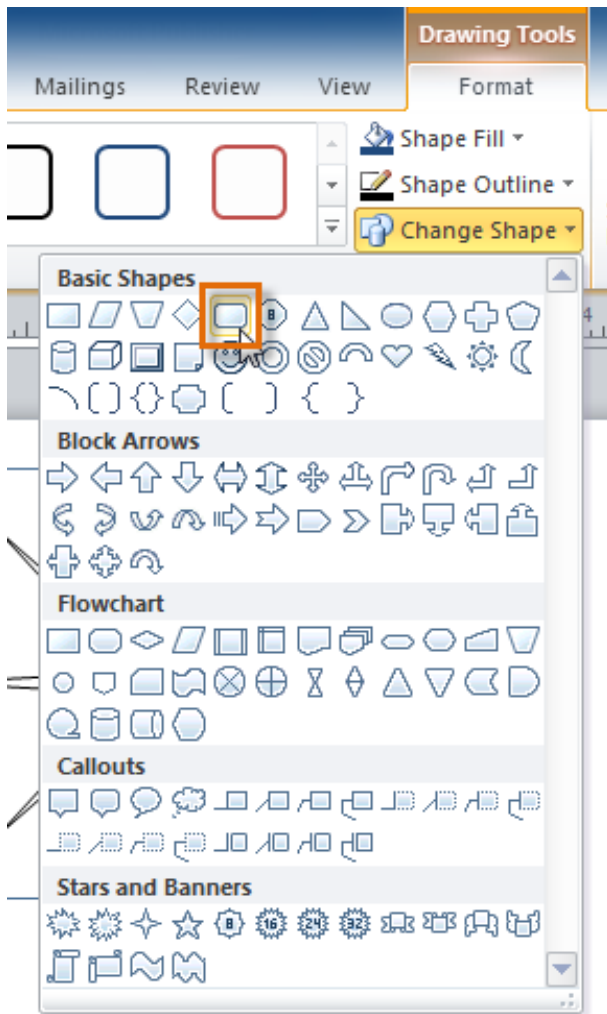
If you hold down the **shift** key while resizing a shape, the shape will keep its **proportions** instead of getting stretched out. For instance, if you hold down the shift key while you resize a **square**, the final shape will remain a perfect square with four equal sides.

• Modifying shapes

To change to a different shape:

1. Select the shape, then click the **Format** tab and locate the **Shape Styles** group.
2. Click the **Change Shape** drop-down command.

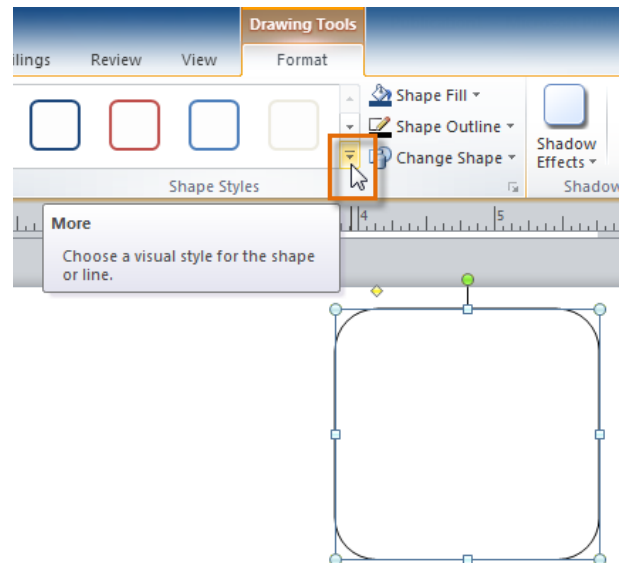
3. A drop-down list will appear.
Select the desired shape.



4. The shape will be changed.

• Change shape style:

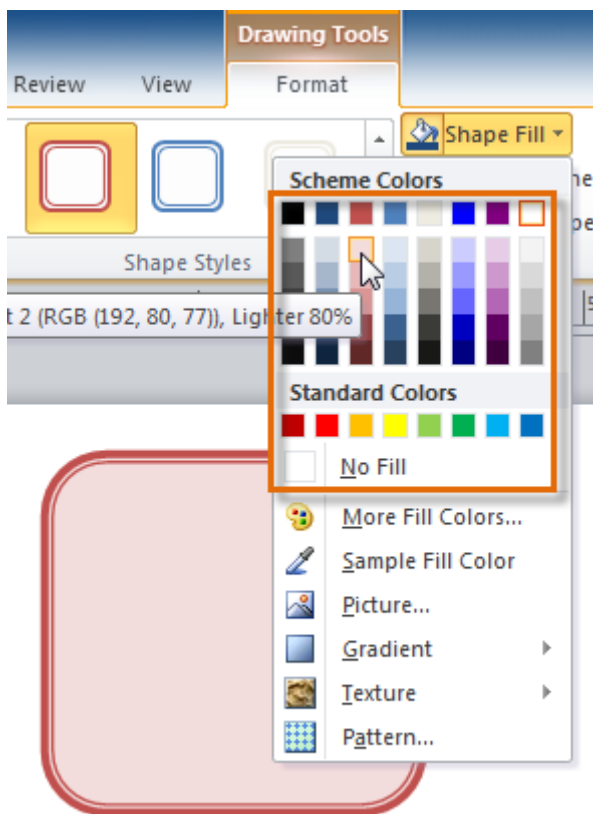
1. Select the shape, then click the **Format** tab and locate the **Shape Styles** group.
2. Click the **More Shape Styles** drop-down arrow.



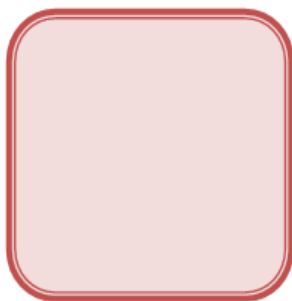
3. A drop-down list of styles will appear.
Move your cursor over the styles to see a live **preview** of the style in your publication, then select the desired style.
4. The style will be applied to the shape.

• Change the shape fill color:

1. Select the shape, then click the **Format** tab and locate the **Shape Styles** group.
2. Click the **Shape Fill** drop-down command.
3. A drop-down list of colors will appear.
Select the desired fill color from the list.
You can also choose **No Fill** to remove the fill from your shape or **More Fill Colors** to select a custom color.

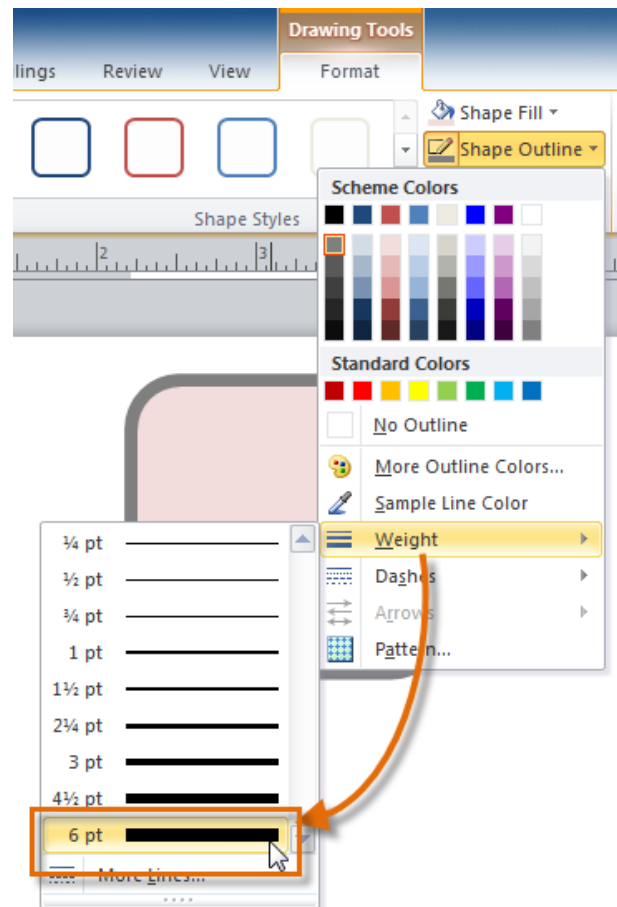


4. The new fill color will be applied.



• **Change the shape outline:**

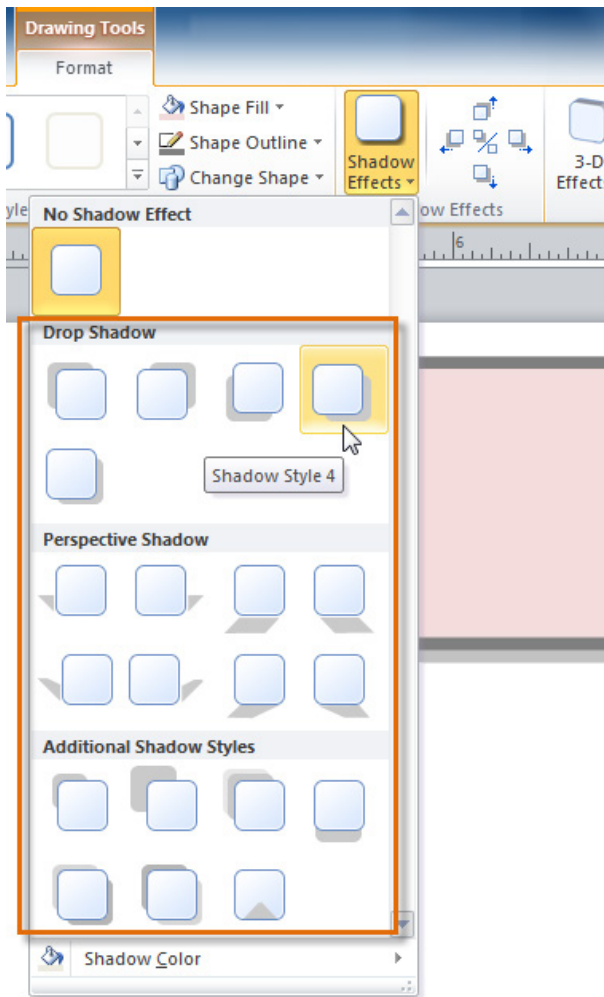
1. Select the shape, then click the **Format** tab and locate the **Shape Styles** group.
2. Click the **Shape Outline** drop-down command.
3. A drop-down list of options will appear. Select the desired outline color from the list. You can also choose **No Outline** to remove the outline from your shape or **More Outline Colors** to select a custom color.
4. If desired, further modify your shape outline by changing the outline's **weight** (thickness) and whether or not it is a **dashed** line.



5. The shape outline will be modified.

• **Add a shadow:**

1. Select the shape, then click the **Format** tab and locate the **Shadow Effects** group.
2. Click the **Shadow Effects** drop-down command.
3. A drop-down menu with a list of shadow choices will appear. Move your mouse over a shadow effect to see a live preview of it in your publication.



4. Click the desired shadow effect to apply it to your shape.

You can select **Shadow Options** from the drop-down menu and click the **Color** button to select a different shadow color for your shape.

• Working with Building Blocks

Building Blocks are another type of object in Publisher. They usually contain some combination of **text**, **shapes**, and **images**, and they're meant to enhance the appearance of your publication. Once you insert a Building Block, you can modify it to suit your needs.

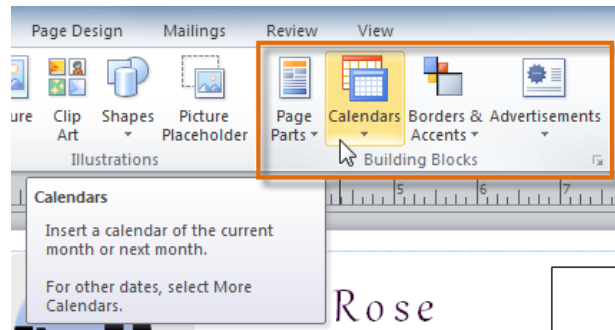
There are four types of Building Blocks Namely: Page parts, calendars, Borders and Accents, and advertisements

To insert a Building Block:

1. Select the **Insert** tab, then locate

the **Building Blocks** group.

2. Click one of the four **Building Block** drop-down commands.



3. A drop-down menu will appear with Building Block styles and options. Select the desired Building Block.
4. The Building Block will be inserted.
5. If desired, modify the Building Block's text and formatting until you are satisfied with its appearance.

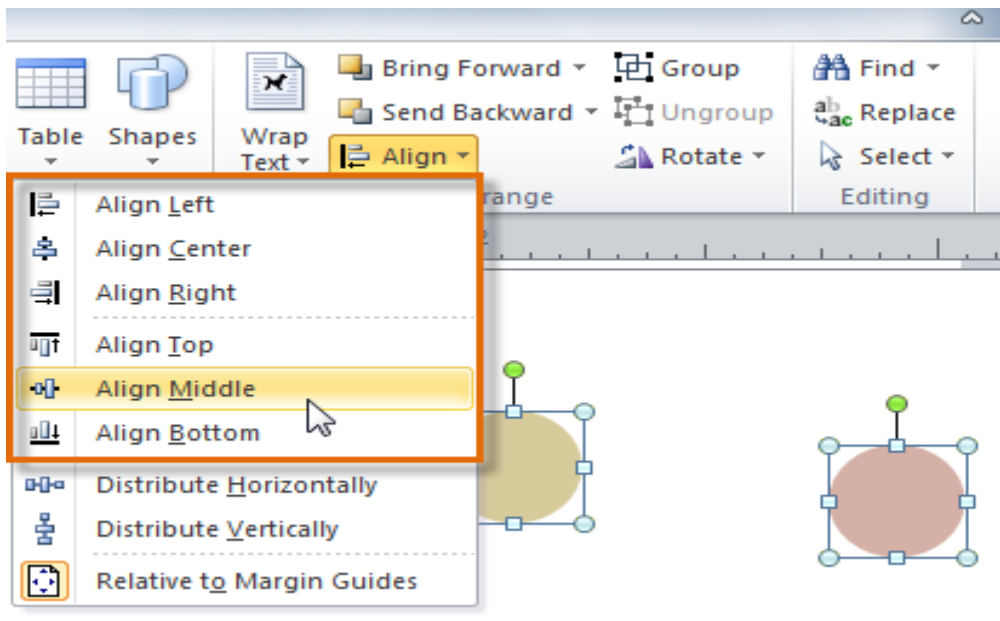
7.15 Arranging Objects

Publisher offers a number of tools to help you **arrange** and **order** your objects. These tools work for any object, and they can help you lay out your pages quickly and precisely.

• Aligning

To align two or more objects:

1. Click and drag your mouse to form a **selection box** around the objects you want to align. All of the objects will now have **sizing handles** to show that they are selected.
2. Click the **Format** tab, then locate the **Arrange** group.
3. Click the **Align** drop-down command.
4. Select one of the six **alignment options**.

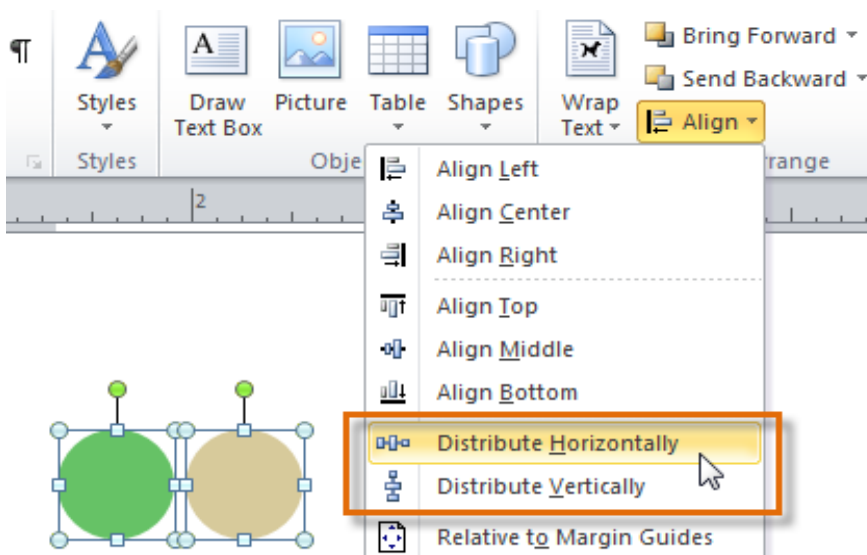


5. The objects will align to each other based on the option you have selected.

Another way to select multiple objects at once is to simply hold down the **shift** key and click each object you wish to select.

To align objects to the page, select Relative to Margin Guides.

If you have arranged objects in a row or column, you may want them to be an equal distance from one another for a neater appearance. To distribute objects select Distribute Horizontally or Distribute Vertically.

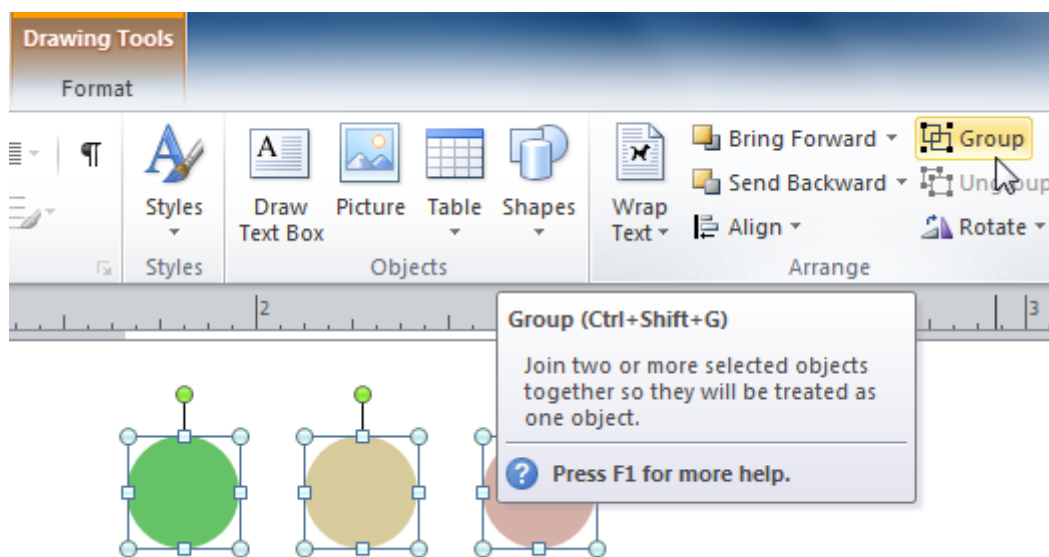


• Grouping

At times, you may want to **group** multiple objects into **one object** so they will stay together if they're moved. This can be easier than selecting all of the objects each time you want to move them.

To group objects:

1. Select the objects you wish to group.
2. Click the **Format** tab, then locate the **Arrange** group.
3. Click the **Group** command.



4. The selected objects will now be grouped. There will be a **single box with sizing handles** around the entire group to show that they're one object.

You can **ungroup** grouped objects at any time. Simply select the group, then click the **Ungroup** command.

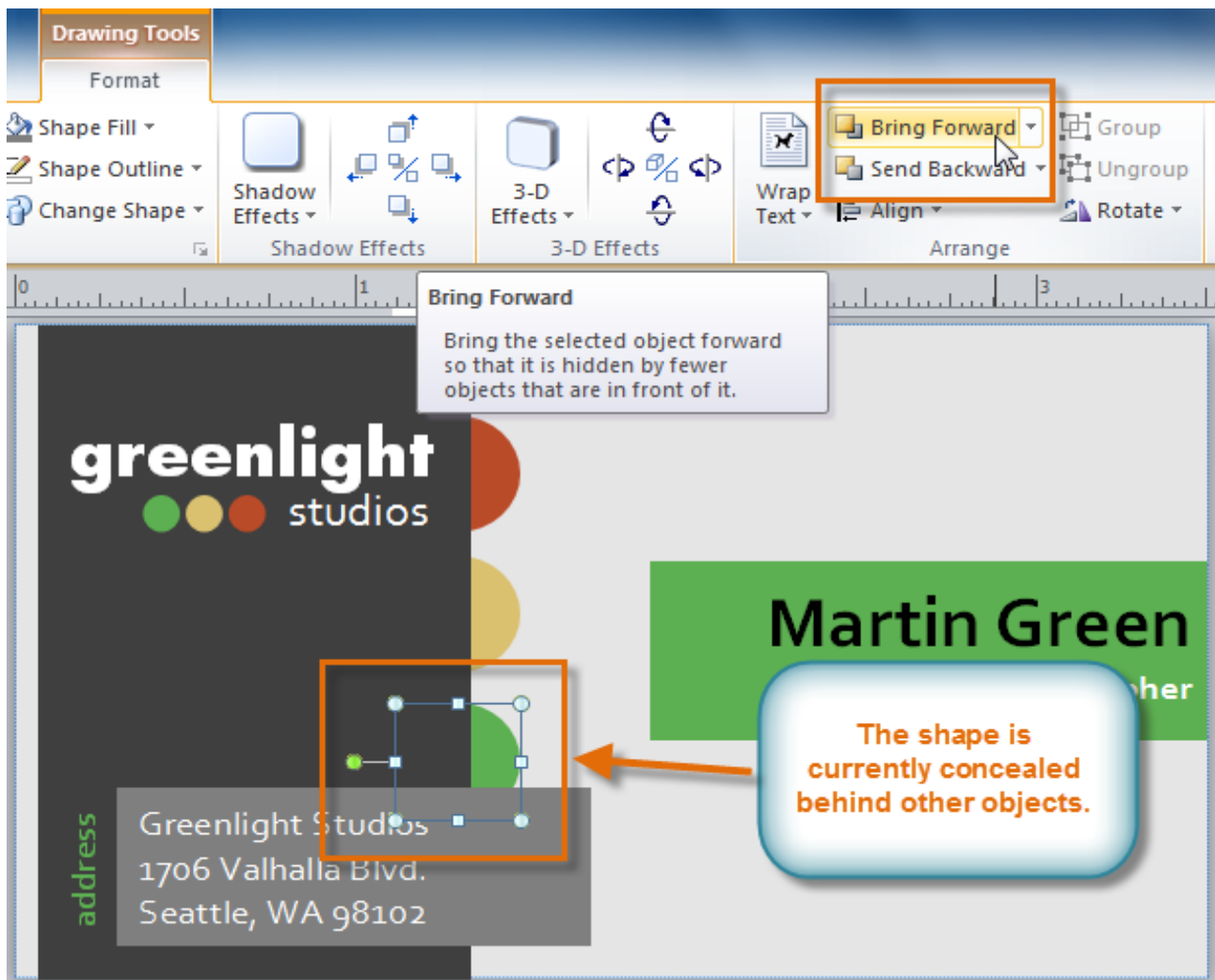
Backward command to change the object's ordering by **one level**. If the object overlaps with more than one other object, you may need to click the command **several times** to achieve the desired ordering.

• Ordering objects

In addition to aligning and grouping objects, Publisher gives you the ability to **arrange objects** in a **specific order**. Ordering is important when two or more objects **overlap**, as it will determine which objects are in the **front** or the **back**.

To change the ordering by one level:

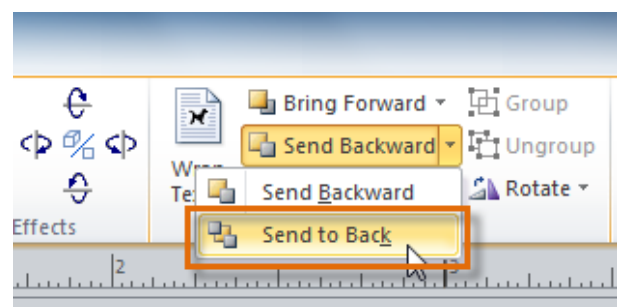
1. Select the object you wish to move.
2. Click the **Format** tab, then locate the **Arrange** group.
3. Click the **Bring Forward** or **Send Backward** command.



4. The objects will reorder themselves.

If you want to move an object behind or in front of several objects, it's usually faster to **bring it to front** or **send it to back** rather than clicking the ordering commands multiple times.

1. Select the object you wish to move.
2. Click the **Format** tab, then locate the **Arrange** group.
3. Click the **Bring Forward** or **Send Backward** drop-down command
4. From the drop-down menu, select **Bring to Front** or **Send to Back**.



5. The objects will reorder themselves.

7.16 Working with Pictures

• Cropping pictures:

Pictures have additional features compared to other objects i.e., shapes. They can be cropped

1. Select the picture, then click the **Picture Tools Format** tab and locate the **Crop** group.
2. Click the **Crop** command.
3. The black **cropping handles** will appear. Click and drag a **handle** to crop the picture. The areas that will be cropped will appear to be semi-transparent.



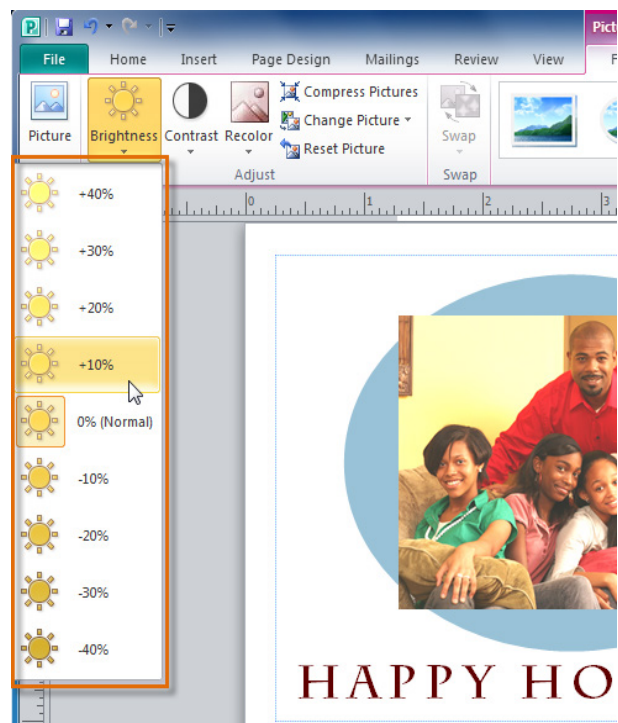
4. When you are satisfied with the appearance of your picture, click the **Crop** command again.
5. The picture will be cropped.

• Modifying Brightness and contrast

One of the most basic edits you can make to a picture is modifying its **brightness** and **contrast**. Although these tools are separated into two commands in Publisher, they are most effective when used together.

To adjust brightness and contrast:

1. Select the picture you wish to adjust, then select the **Picture Tools Format** tab and locate the **Adjust** group.
2. Click the **Brightness** drop-down command.
3. From the drop-down menu that appears, select the desired brightness. Positive numbers (+) will make the picture **brighter**, while **negative numbers (-)** will make the picture **darker**.



4. Click the **Contrast** drop-down command.
5. Select the desired **contrast** level. **Positive numbers (+)** will create a **greater contrast** between the light and dark areas of the picture, while **negative numbers (-)** will **reduce the contrast**.

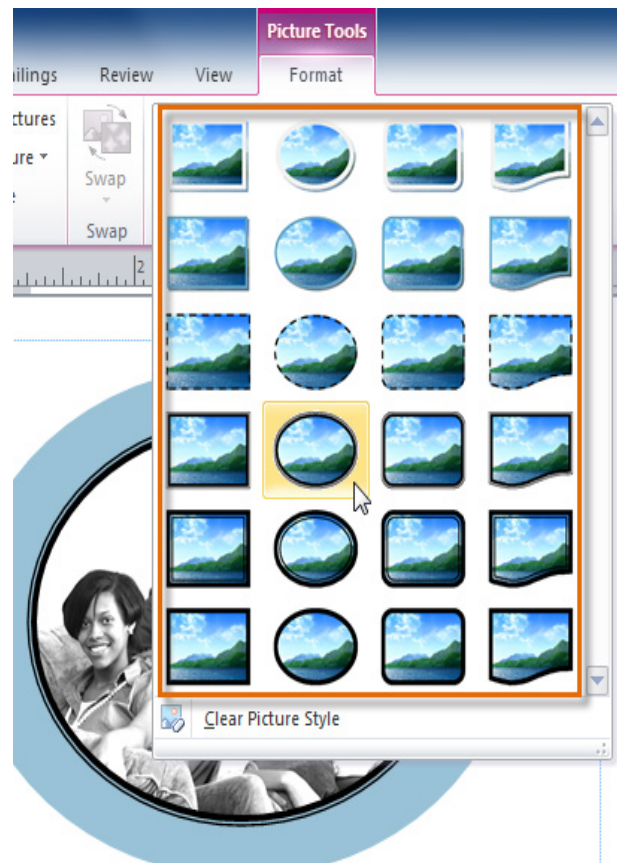
• To recolor the picture:

1. Select the picture you wish to recolor, then select the **Picture Tools Format** tab and locate the **Adjust** group.

2. Click the **Recolor** drop-down command.
3. From the drop-down menu that appears, select a **recoloring option** or select **More Variations** to see additional color choices.



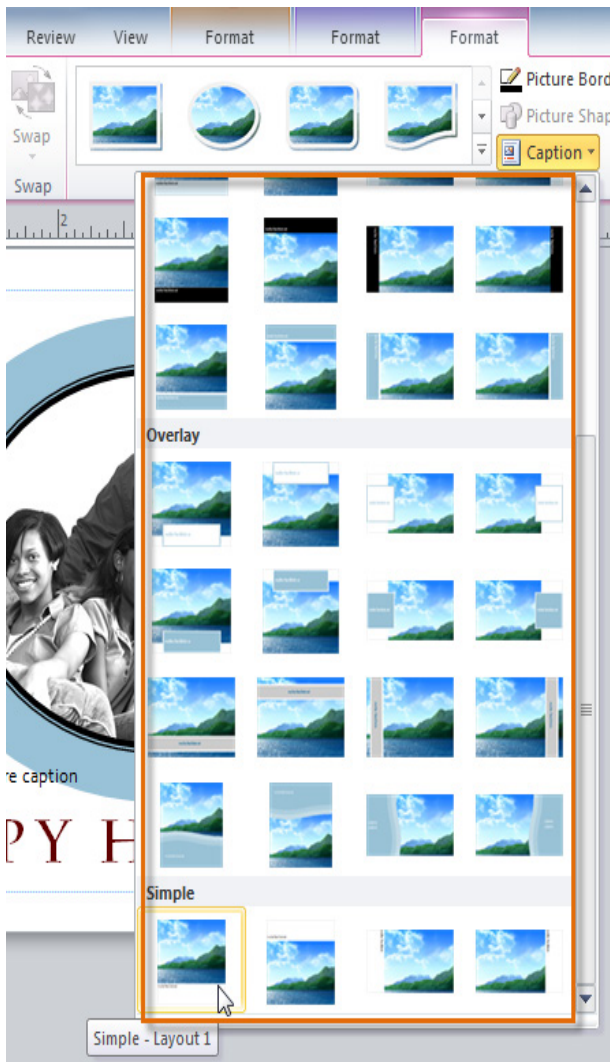
4. The picture will be recolored.
- **To apply a picture style:**
 1. Select the picture, then click the **Picture Tools Format** tab and locate the **Picture Styles** group.
 2. Click the **More Picture Styles** drop-down arrow.
 3. A drop-down list of styles will appear. Move your cursor over the styles to see a live **preview** of each style in your publication, then select the desired style.



4. The style will be applied to the picture.

- **To add a caption:**

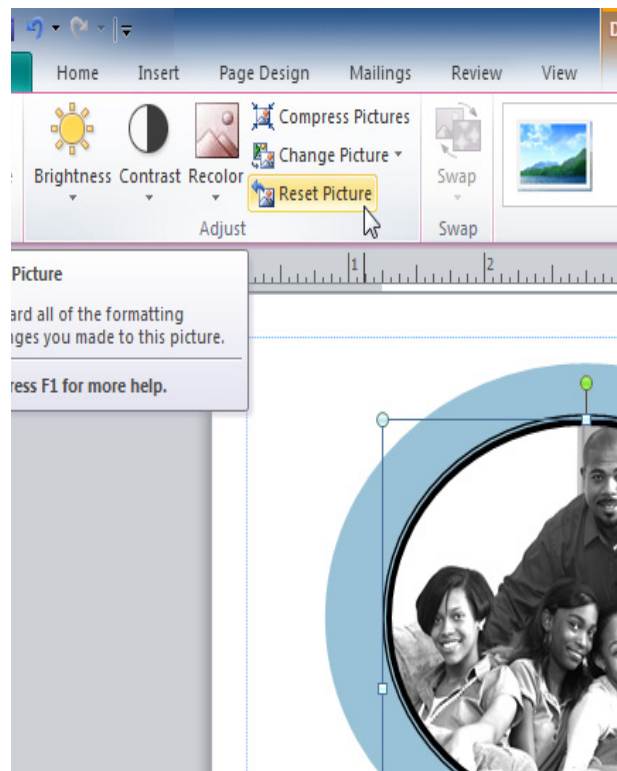
1. Select the picture, then click the **Picture Tools Format** tab and locate the **Picture Styles** group.
2. Click the **Caption** drop-down command.
3. A drop-down list of **caption styles** will appear. Move your cursor over the caption styles to see a live **preview** of the captions with your picture, then select the desired caption style.



4. Click the caption **text box** and type your caption text.

- **To restore a picture to its original appearance:**

1. Select the picture, then click the **Picture Tools Format** tab and locate the **Adjust** group.
2. Click the **Reset Picture** command.



3. The picture will be restored to its original appearance.

If you've worked with pictures in Word or PowerPoint 2010, you probably noticed that Publisher includes only a fraction of the image editing tools featured in those programs. If you find yourself reaching the limit of Publisher's editing capabilities, you may wish to edit your picture in one of those programs, then **insert** it back into your publication.

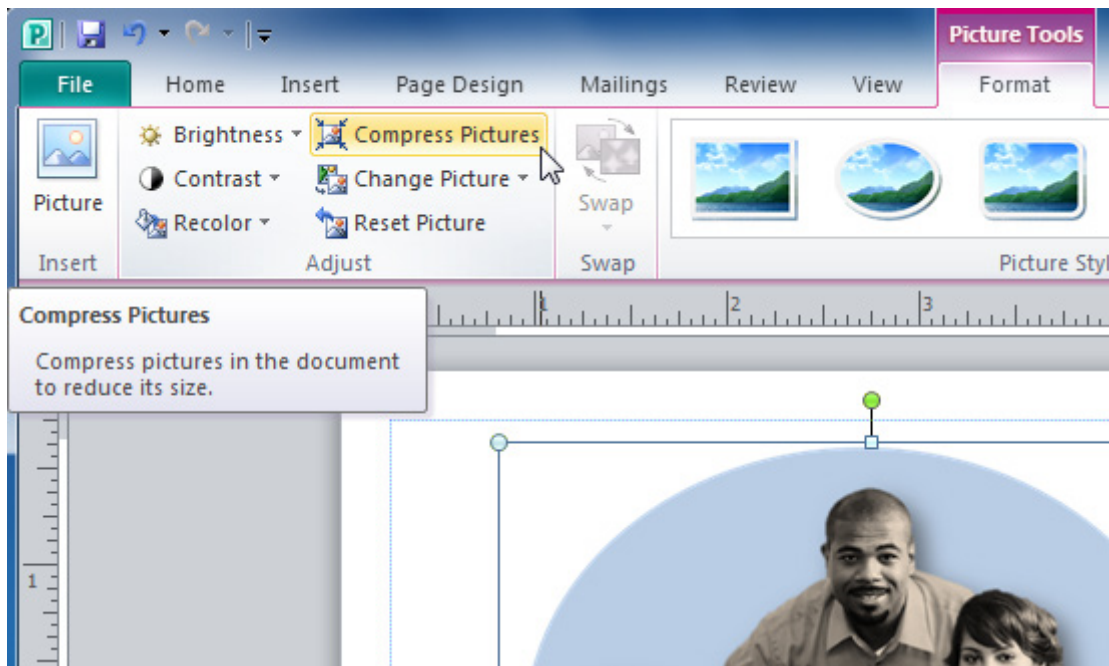
- **Compressing pictures**

You'll need to monitor the **file size** of publications that include pictures, especially if you send them via email. Large, high-resolution pictures can quickly cause your publication to become too large, which may make it difficult or impossible to attach to an email. In addition, **cropped areas** of pictures are saved with the publication by default, which can add to the file size. Publisher can reduce the file size by **compressing** pictures, lowering their **resolution**, and **deleting cropped areas**.

Only compress pictures **after** you have edited and resized them. Attempting to **enlarge** or otherwise edit a compressed picture may result in a blurry or otherwise **low-quality image**.

To compress pictures:

1. Select a picture, then click the **Picture Tools Format** tab and locate the **Adjust** group.
2. Click the **Compress Pictures** command.



3. The **Compress Pictures** dialog box will appear. Review the settings in the **Compression Options** section. All four boxes should be checked.
4. In the **Target Output** section, select your planned method of publication.
5. Choose whether to compress every picture in the publication or the selected picture only.
6. When you are satisfied with the publication settings, click **OK**. The picture or pictures will be compressed.

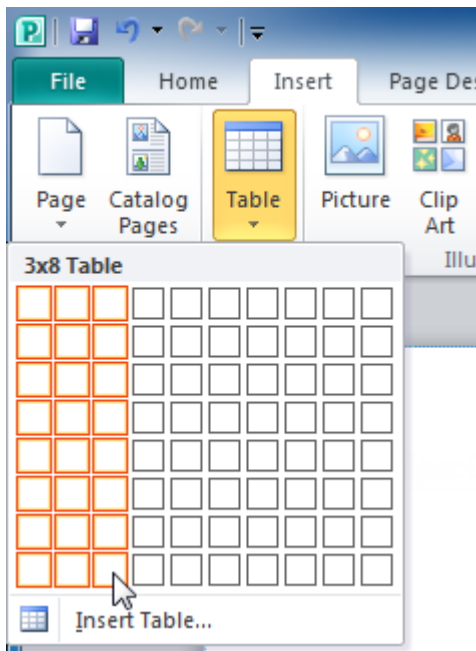
7.17 Inserting Tables

A **table** is a grid of cells arranged in **rows** and **columns**. Tables are useful for organizing information in a concise and easily readable way. Text contained in tables is easy to space and align, which make them ideal for presenting lists of related information in Publisher, like store hours or products and their prices.

In this lesson, you will learn how to insert, modify, and change the appearance of tables.

To insert a table:

1. Click the **Insert** tab, then locate the **Tables** group.
2. Click the **Table** drop-down command.
3. Hover your mouse over the diagram squares to select the number of **columns** and **rows** in the table, then **click** your mouse.



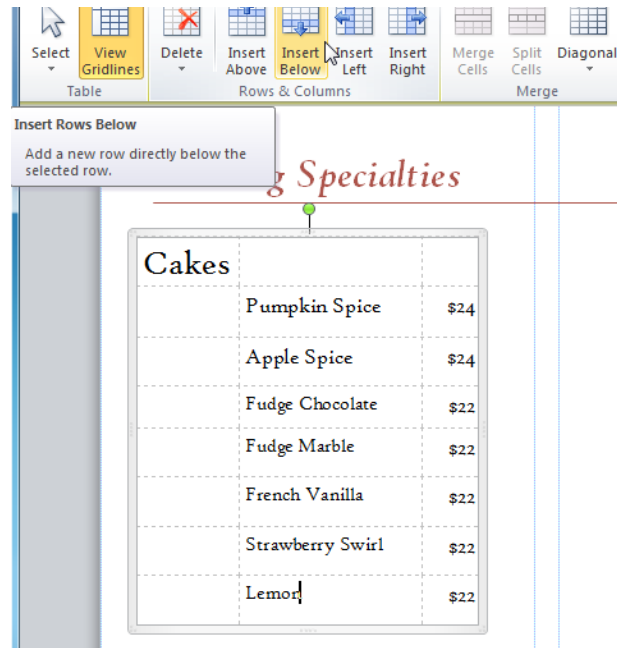
4. The table will be inserted.

Depending on the size of the page you're working with or the other objects you choose to add, you may have to resize or rearrange your table. Tables can be modified like any other objects.

- **Modifying table layout**

To add a row or column:

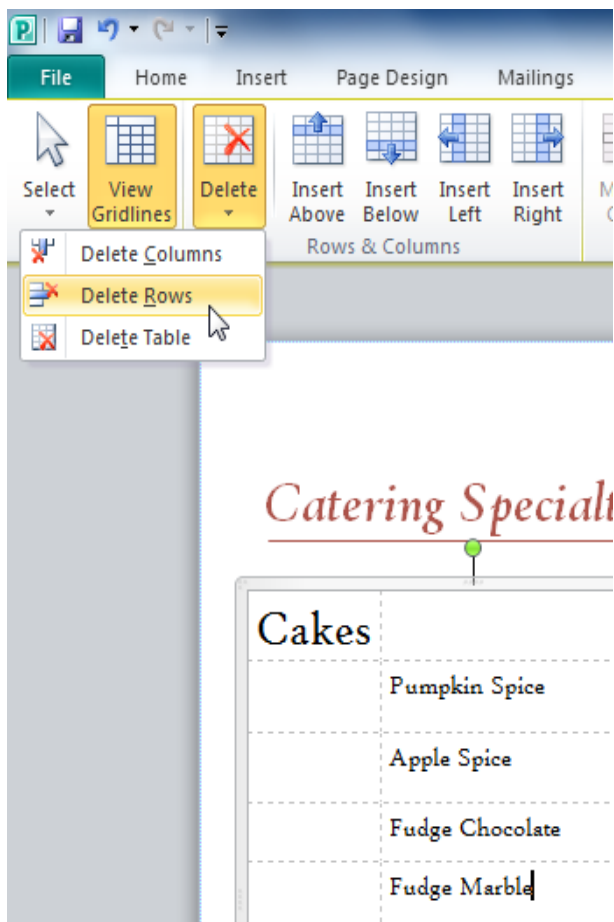
1. Place the insertion point in a cell
2. **adjacent to** the location where you wish to add a row or column.
3. Select the **Table Tools Layout** tab, then locate the **Rows & Columns** group.
4. Insert your new row or column.
 - If you would like to insert a new **row**, select either **Insert Above** or **Insert Below**.
 - If you would like to insert a new **column**, select either **Insert Left** or **Insert Right**.



5. The new row or column will appear.

- **To delete a row or column:**

1. Select the row or column you wish to delete by placing the insertion point in any cell in that row or column.
2. Select the **Table Tools Layout** tab, then locate the **Rows & Columns** group.
3. Click the **Delete** drop-down command.
4. A drop-down menu will appear. Select **Delete Rows** or **Delete Columns**.



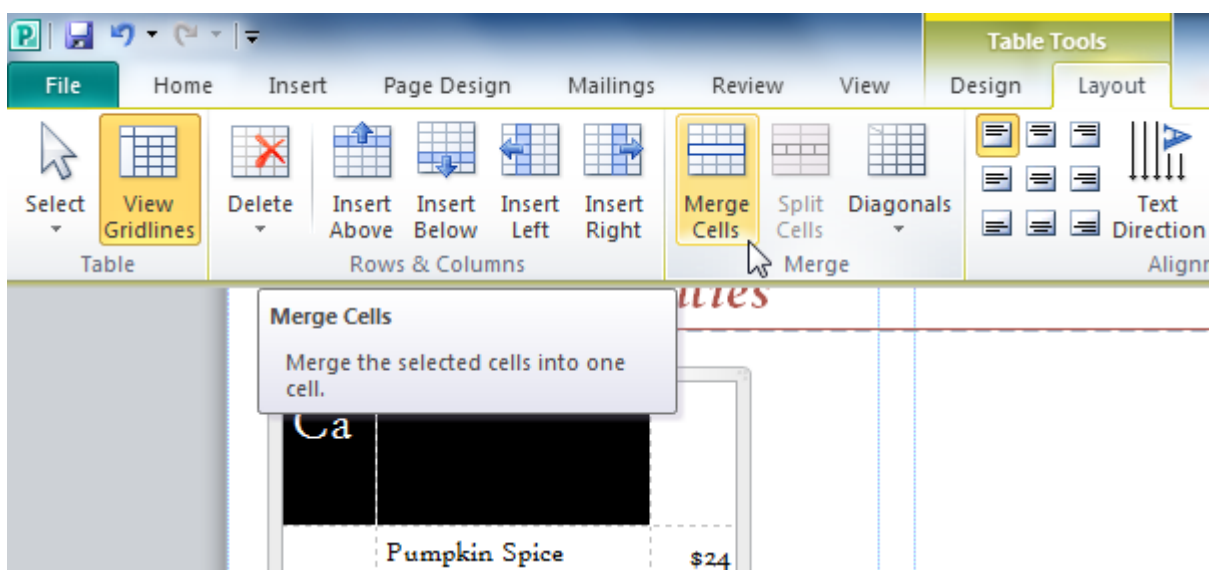
• Merging and splitting cells

If you want to create a cell that is wider or taller than the other cells in your table, you can use the **Merge** command to combine two or more cells into one large cell.

To merge cells:

1. Select the cells you would like to merge.
2. Click the **Table Tools** tab, then locate the **Merge** group.
3. Click the **Merge Cells** command.

5. The row or column will be deleted.

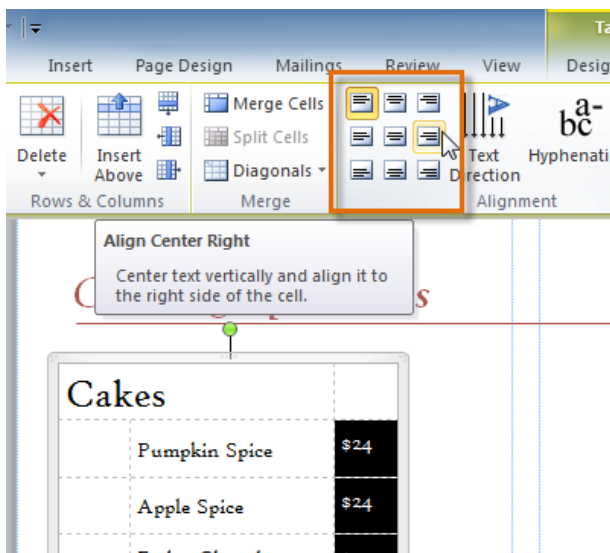


4. The cells will be merged.

You can separate merged cells by selecting them and clicking the **Split Cells** command.

• **Modify cell text alignment:**

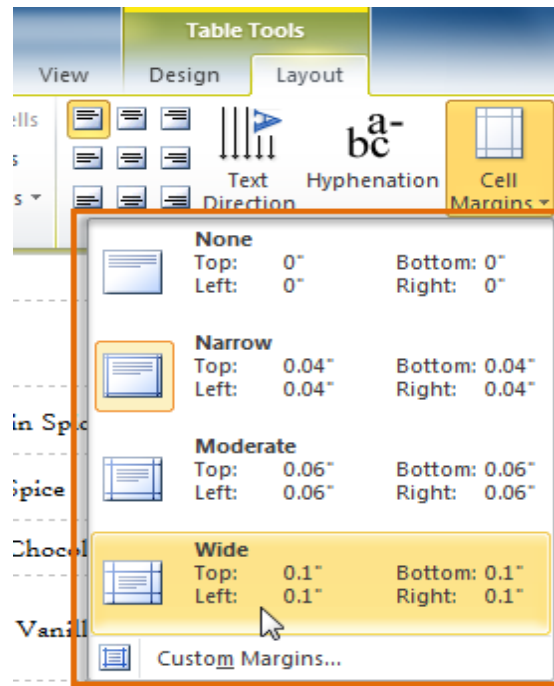
1. Select the cells whose text you want to align. To select the entire table, click the **gray box** surrounding the outer edge of the table.
2. Click the **Table Tools Layout** tab, then locate the **Alignment** group.
3. Select one of the nine **alignment options**.



4. Your table text will be aligned.

5. **Modify cell margins:**

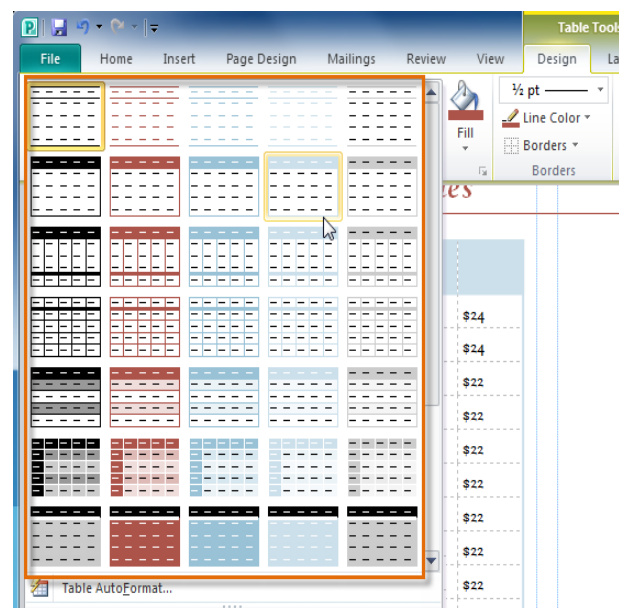
1. Select the cells you wish to set margins for. To select the entire table, click the **gray box** surrounding the outer edge of the table.
2. Click the **Table Tools Layout** tab, then locate the **Alignment** group.
3. Click the **Cell Margins** drop-down command.
4. A drop-down list will appear. Select the desired margins.



5. The new margins will be applied.

• **Apply a table style:**

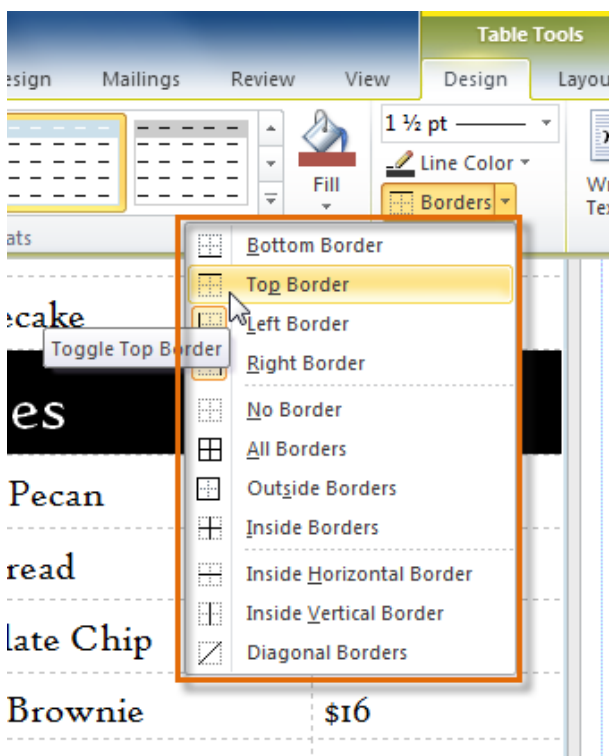
1. Click anywhere on the table, then select the **Table Tools Design** tab and locate the **Table Formats** group.
2. Click the **More Table Styles** drop-down arrow to see all available table styles.
3. Hover the mouse over the various styles to see a live preview.



4. Select the desired style. The table style will appear in the document.

5. Add borders to a table:

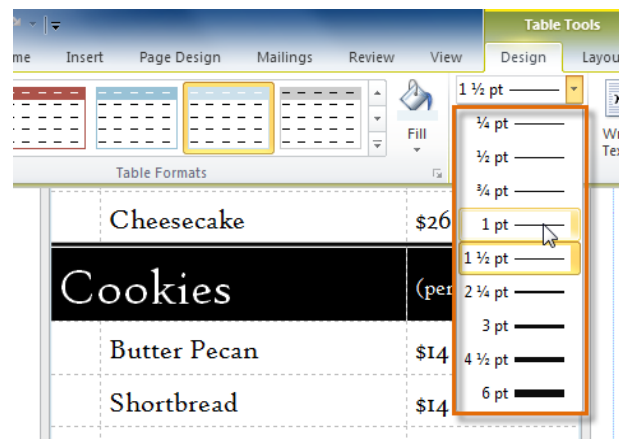
1. Select the cells you wish to add a border to. If you wish to add a border to the entire table, click the **gray box** surrounding the outer edge of the table.
2. Click the **Table Tools Design** tab, then locate the **Borders** group.
3. Click the **Borders** drop-down command.
4. From the drop-down menu, select the desired border.



5. The border will be applied.

6. Change the appearance of borders:

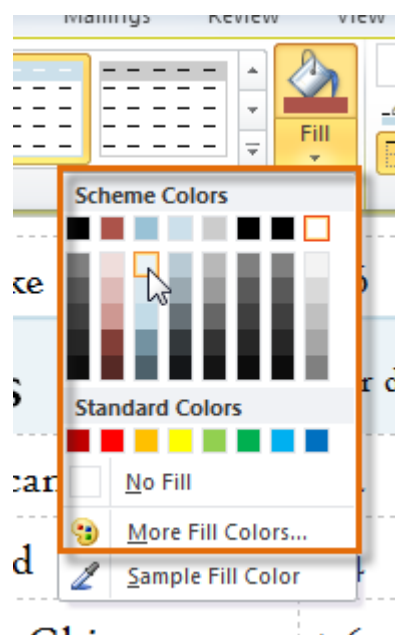
1. Select the cells whose borders you wish to modify, then click the **Table Tools Design** tab and locate the **Borders** group.
2. Click the **Line Weight** drop-down arrow.
3. Select a new line weight from the drop-down list.



4. Click the **Line Color** drop-down command.
5. Select a new line color.
6. **Double-click** the **Borders** command.
7. Changes to the border will be applied.

• Add a cell fill color:

1. Select the cell or cells you wish to add a fill color to, then click the **Table Tools Design** tab and locate the **Table Formats** group.
2. Click the **Fill** drop-down command.
3. Select the desired cell fill color.



4. The fill color will be applied.

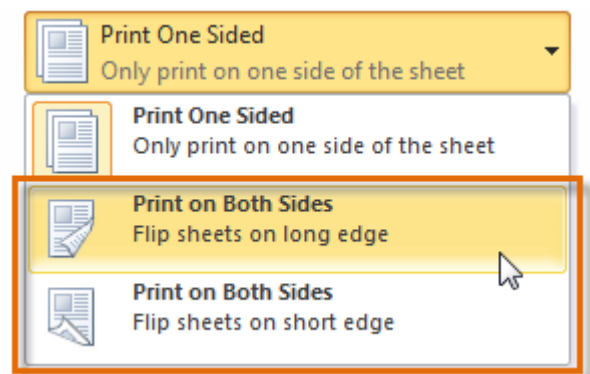
7.18 Printing and Publishing

Before you print your publication, take a moment to review the Publisher printing **options** and **settings**. These options give you the ability to control exactly how your publication prints. If you'd rather not print your publication, Publisher also offers a way to publish **electronically**. **Print settings**

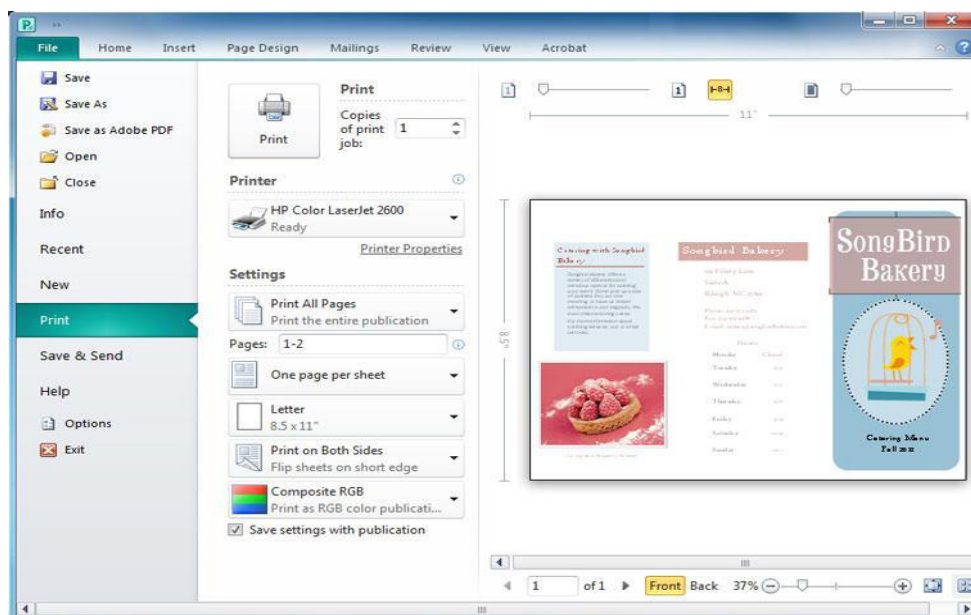
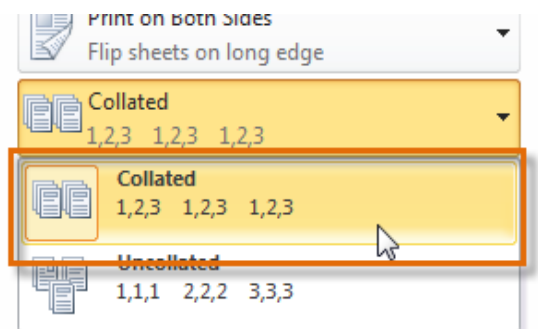
Publisher offers a variety of print settings you can modify to suit your needs. Among these are two tools for advanced printing tasks: **double-sided printing** and **collating**.

- **Double-sided printing**
Double-sided printing allows you to print on both the front and back of each sheet of paper. Publisher gives you two choices for double-sided printing: You can flip, or turn, the page on the **long side** of the page or the **short side**.

If you're not sure how flipping the page on each side affects your printed publication, you can preview your double-sided printing with the transparent view slider, which is explained in the interactive below. You can also print a page of your publication and fold, staple, or otherwise prepare it as planned. If the reverse side of your page is upside down, choose the other option.

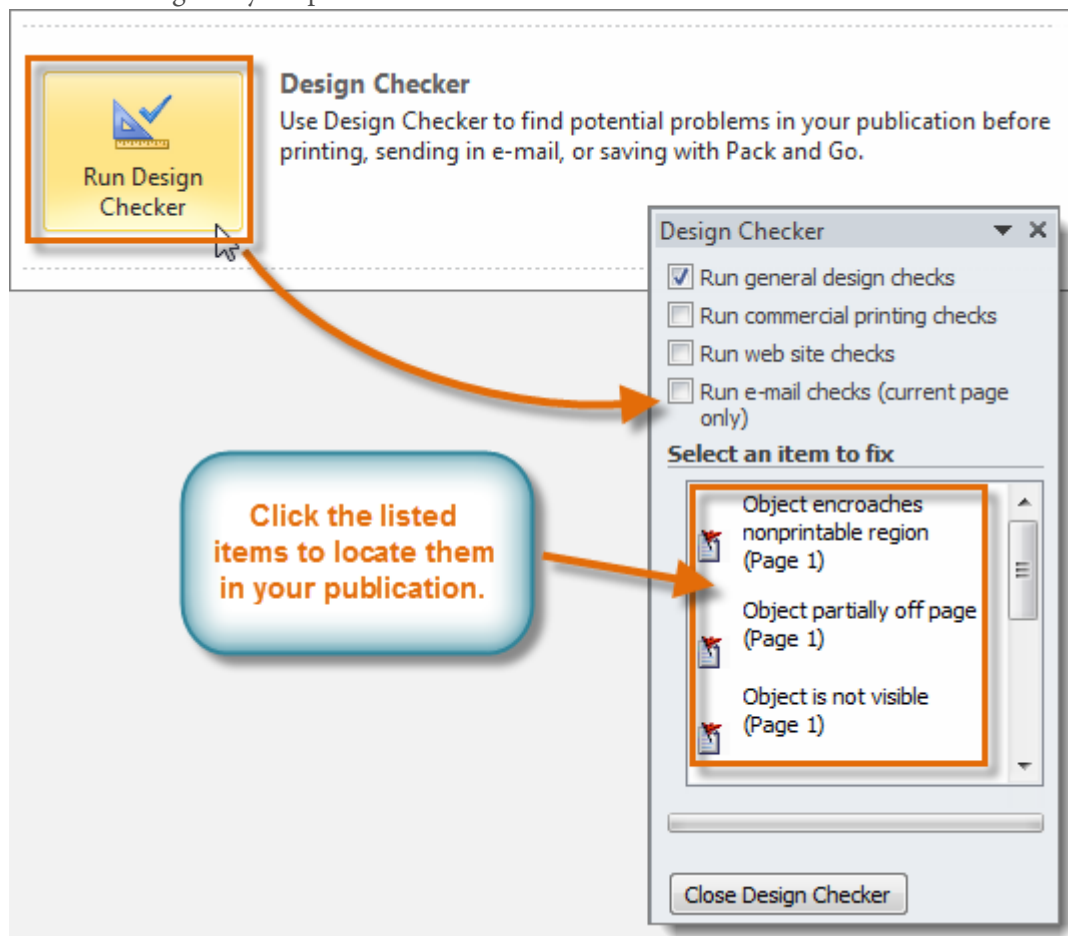


- **Collating**
The **collated printing** option lets you **assemble** copies of your publication with all pages in the correct **order**. By automatically grouping individual copies of your publication, **collating** can save you a lot of time and effort.



Before you print, review your print settings, and print a final test copy of your publication. You should also consider running the **Design Checker**. The Design Checker is a tool that helps you **find and fix problems** in your publication that may lead to printing errors.

- To run the **Design Checker**, go to the **Info** tab in **Backstage view** and click the **Run Design Checker** button. The **Design Checker pane** will appear to the right of your publication.



• Publishing electronically

Depending on the purpose of your publication, you may decide to publish it **electronically** and distribute it **online**. Publisher offers two ways to do this. You can either:

- Publish as a **PDF** and attach the file to an email or upload it to a website
- Publish as **HTML**, which Publisher then **embeds** directly into an email

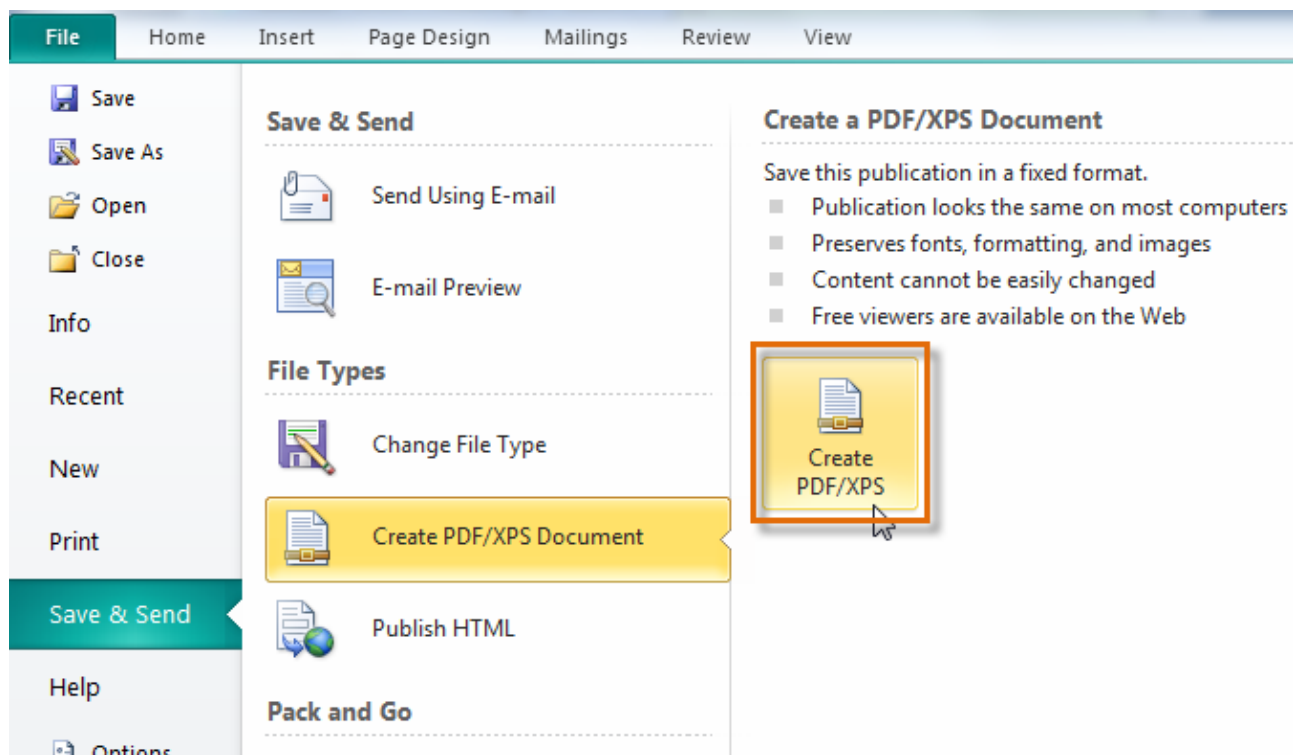
Although Publisher promotes the HTML option as useful, **it is almost always better to convert your publication into a PDF**. This is because the PDF option is better at presenting your publication the way you designed it. Publications saved as HTML can lose some of their formatting and may not include custom fonts and images.

However, PDFs aren't perfect either. Depending on the type of publication you're working with, the PDF version may not be easy to browse and read. For example, while you technically can convert a

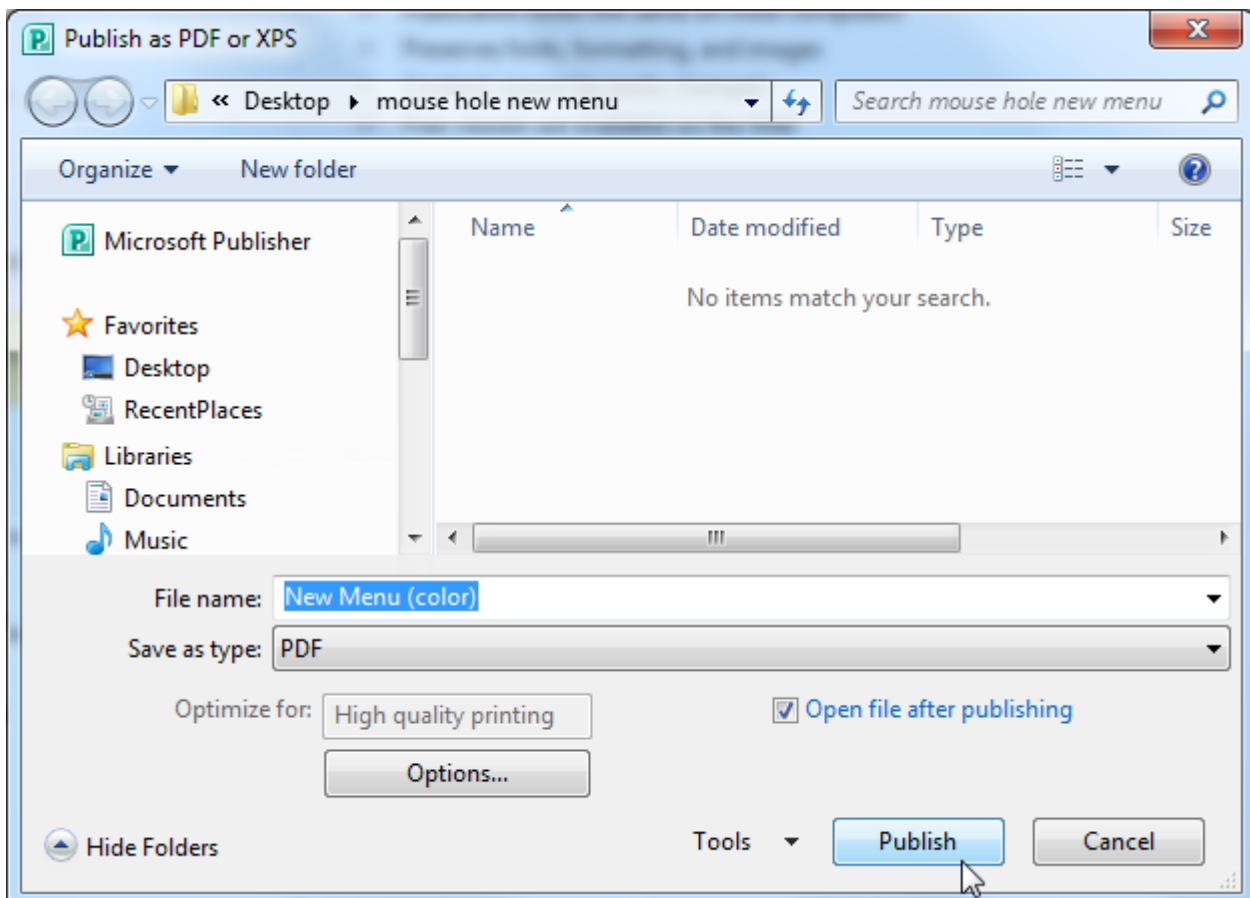
brochure to a PDF, the panels will not be lined up as they would be in a printed and folded version. If you're not sure whether or not your publication is suitable for delivery as a PDF, publish a test copy early in the design process.

To publish as a PDF:

1. Navigate to **Backstage view**, then select the **Save & Send** tab.
2. Select **Create PDF/XPS Document**, then click the **Create PDF/XPS** button in the right pane.



3. The **Publish as PDF or XPS** dialog box will open. Browse for and select the location where you wish to save your PDF, then type a **name**.
4. Click **Publish**.



5. Your PDF will be created and opened. Make sure to double-check for any mistakes before sharing it.

7.19 Learning Activities

You have been asked by your employer to prepare a professional document.

Required:

1. Create desktop publishing documents using different designs, elements, layouts and styles.
 - i. Add and rearrange pages
 - ii. Modify page layouts
 - iii. Insert objects and pictures
 - iv. Insert and format tables
2. Publish and print the document developed.

7.20 Self-Assessment Questions and Activities

1. What is the role of desktop publishing designs, elements, layouts and styles?
2. What are the critical factors to consider in the preparation of professional document?

7.21 References

- Sandra Cable, Steven M. Freund, Ellen Monk, Susan L. Sebok, Joy L. Starks (2019), Shelly Cashman Series Microsoft® Office 365 & Publisher 2019 Comprehensive, 1st Edition, eBook
- Morley, D., & Parker, C. S. (2014). Understanding computers: Today and tomorrow, comprehensive. Cengage Learning.

8.0 COMPUTER NETWORKS, INTERNET AND EMAILS

8.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- Identify Computer networks
- Describe Network configurations
- Describe the role of the internet
- Conduct searches on the internet
- Use emails for communication

8.2 Introduction

The topic introduces students to the concepts and terminology associated with computer networks. Issues related to networks are also discussed. Students are exposed to networking devices and applications. With the prominence of the Internet in our personal and professional lives today, this topic empowers students to appreciate how to use the internet in facilitating business. The unit module highlights how to conduct research on the internet using different browsers and how to communicate using different email platforms. Students learn how officially communicate using emails.

8.3 Overview of Computer Networks

A computer network is a collection of computers and other hardware devices connected so users can share hardware, software, and data, and electronically communicate.

Advantages of Networks

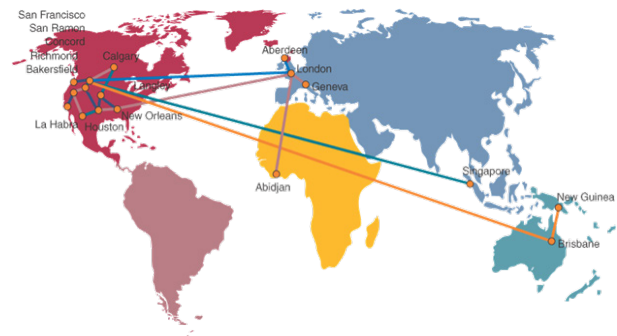
- Sharing of peripheral devices e.g. printers, HDD, scanners, etc.
- Sharing of programs and data
- Better communications e.g. e-mail.
- Security of information

Disadvantages of Networks

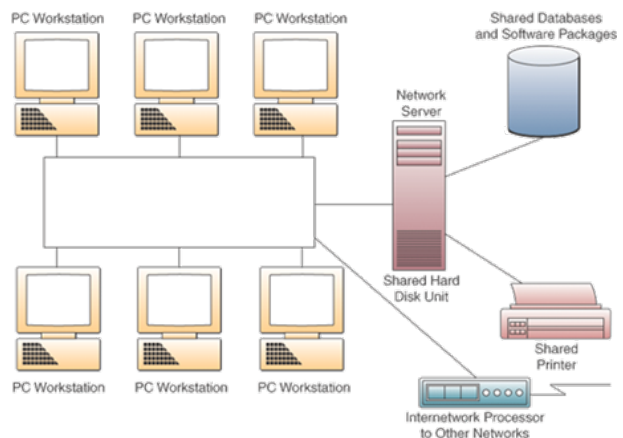
- If the network stops operating, then it may not be possible to access various resources
- Users work-throughput becomes dependent upon network and the skill of the systems manager
- It is difficult to make the system secure from hackers, novices or industrial espionage
- Decisions on resource planning tend to become centralized, for example, what word processor is used, what printers are bought, etc.
- Networks that have grown with little thought can be inefficient in the long term.

8.4 Types of Networks

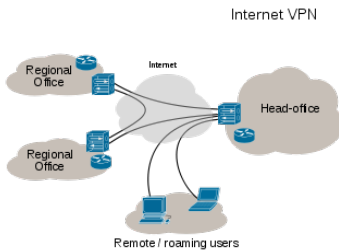
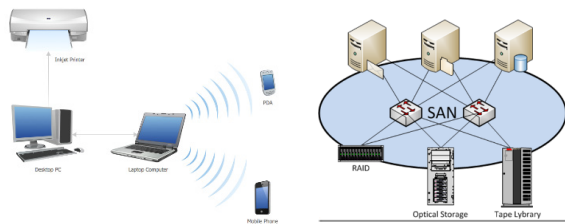
- Wide Area Network (WAN): - communications network that covers a wide geographical area, such as a state or a country.



- Metropolitan Area Network (MAN): - communication network covering a geographic area the size of a city.
- Local Area Network (LAN): - privately owned communication network that serves users within a confined geographical area.



- Other Types
 - Personal area network
 - Storage area network
 - Virtual private network

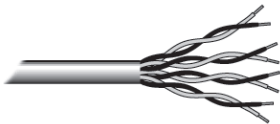


8.5 Computer Media

- Communication Media provides communications channel between nodes

○ Hard Wired Methods

1. Twisted Pair Wire: - type of communication channel consisting of two strands of insulated copper wire, twisted around each other in pairs.



Advantage: Easy to string
Cheap

Disadvantage: Subject to interference
= static

2. Coaxial cables – This has a Single copper conductor at the centre and a Plastic insulation layer. It is thus highly resistant to interference



Advantage: Not susceptible to interference
Transmits faster

Disadvantage: Heavy & bulky Needs booster over distance

3. Optic Fibre - Centre core made of glass or plastic fibre



Advantage: Smaller , Lighter,Faster
(speed of light!)

Disadvantage: Expensive Harder to install and modify

4. Wireless

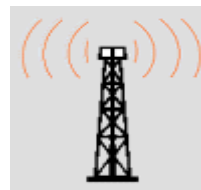
- **infrared, radio**



Advantage: Flexible
Portable

Disadvantage: Slower data transfer than hard-wired method
Subject to interference

- **Microwave**



Advantage: Speed of light

Disadvantage: Line-of-sight only

- **Satellite**



Advantage: Always in sight

Disadvantage: Expensive uplink and downlink facilities

8.6 Network Devices

This involves the hardware components associated with networking namely:

- **Network Interface Card (NIC):** - circuit board inserted into an expansion slot

in a microcomputer that enable it to send and receive messages on a network.

- **Switches:** - Switches are an expansion of hubs. They help connect different network segments together. The diagram below illustrates how switches and hubs work together. Switches generally Keep track of data packets
- **Routers:** - Connects any number of different Networks. Using protocols, a router can determine where packets should go and figure out the best route to get there. *Without routers, the Internet (which is essentially different networks connected) could not exist.*

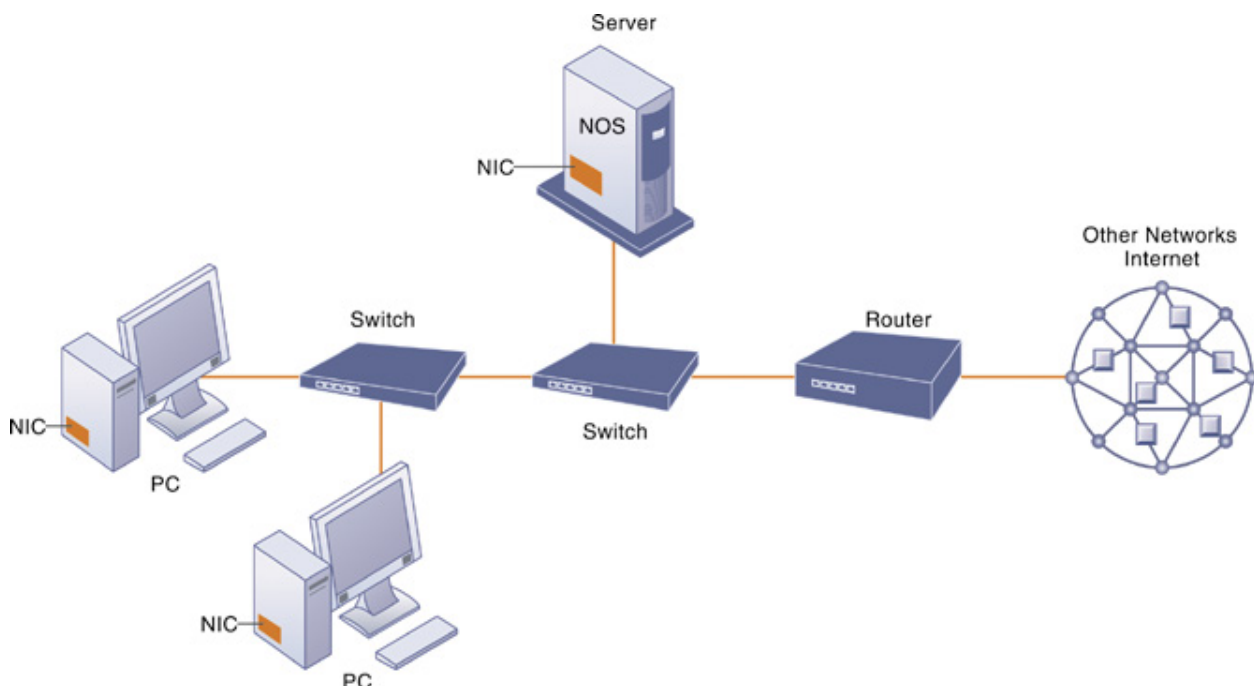
NB: Although bridges are still found in some networks, bridges are no longer being installed as new devices. Switches are replacing bridges and hubs. Thus, a typical network will be made up of switches and a router.

- **Band Width** - The amount of data that can be transferred in a given period of time. Defines Network Speed, measured in Kbps.
- **Kilobits per second (kbps):** unit of measuring data transmission speeds

8.8 Network Configuration

Network configuration is the process of assigning network settings, policies, flows, and controls.

Network monitoring is a function of network management that monitors a network and alerts network administrators to potential issues. The thresholds or conditions for alerting the administrator can be configured based on network traffic flow and business needs. When issues do occur, networking configuration management allows the administrator to quickly correct the problem by modifying the configuration or adding more network resources.



8.7 Network Terminologies

- **Node:** any device that is attached to a network
- **IP Address** - Number used for Node identification
- **Packet:** fixed-length block of data for transmission. It also contains instructions about the destination of the packet.

Configuration manager - Network configuration can also be automated and managed via a centralized configuration manager network configuration manager, further reducing manual IT workload and making it easier to:

- **Maintain** a network
- **Make** configuration changes
- **Relaunch** devices
- **Track** and report data

Benefits of Network Configuration

The right network configuration is essential to supporting the flow of traffic through a network, and it can also support and enhance network security and improve network stability. Network configuration tools can provide a number of benefits, including:

- Automated data tracking and reporting, allowing administrators to spot any configuration changes and potential threats or issues
- An easy way to make bulk changes, such as a blanket password change in a situation where passwords are compromised
- The means to swiftly roll back network settings to a previous configuration
- Reduced downtime, thanks to increased visibility and the ability to quickly identify changes
- Streamlined maintenance and repair of network devices (physical or virtual) and connections
- The ability to relaunch a device when it fails, thanks to centralized storage management of device configurations

Network Configuration Settings

When setting up a network switch and router, it's important to customize settings and apply all necessary configurations to ensure that your network will work properly. Some of the configurable settings on a network switch and router include:

- **IP address**—for identification
- **Password**—for added security
- **Channel and band selection**—to improve performance
- **Default gateway**—to make the device visible to network management tools
- **Neighbour discovery**—for added visibility
- **Correct time**—for proper troubleshooting and detailed error logs

8.9 Internet

- **Internet:** A matrix of networks that connects computers around the world. The Internet is any interconnection of computer network, especially a global interconnection of government, education, and business

computer networks, available to the public.

- **Intranet:** A network that connects computers within a company or organization, perhaps around the world. An Intranet is any interconnection of a computer network, that its access is limited to within that group or organization and is not available to the public.
- **Extranet:** A network based on Web technologies that links selected resources of a company's intranet with its customers, suppliers, or **other business partners**. It is a community of interest created by extending an intranet to selected entities external to an organization.

Applications of the internet

- Browsing/surfing - Searching for information. To searching the Internet, we use Search engines such as Bing or Google (www.google.com)
- Communicating - Using Email, Messaging (IM, Text), VoIP - Skype, Video Conferencing/NetMeetings, Social Networking
- Shopping - Ecommerce and Auctions
- Personal Finances - Such as Bill Pay, Banking, and Investing
- Entertainment
- Cloud storage and SaaS

Internet Characteristics

- **Geographic Distribution** - Global - reaches around the world
- **Robust Architecture** - Adapts to damage and error
- **Speed** - Data can travels at near 'c' on copper, fiber, airwaves
- **Universal Access** - Same functionality to everyone
- **Growth Rate** - The fastest growing technology ever
- **Freedom of Speech** - Promotes freedom of speech
- **The Digital Advantage** - Is digital: can correct errors

Authenticating a site

- Check for the Authors authority in the area
- Ensure the Title of the article is not biased
- Recent Date of publication or date of last revision
- The URL should be the correct one

Requirements for the internet

- A **web browser** is the software (Internet Explorer or Firefox or Google Chrome or Opera or...) that accesses the Internet and displays web pages, accesses e-mail accounts & news groups and can be used to upload files. It is your CLIENT software
- A **Web server** is a computer that stores the web documents that the users access. Your Internet service provider should have a web server on which you can "upload" your web pages. The web server runs SERVER software such as APACHE or Microsoft's IIS (Internet Information Server)
- A **web page** is an Internet "document" that can be accessed by Internet users with an HTML browser. Web pages commonly provide text, pictures, or other graphics, and links to other pages.
- **Uniform Resource Locator (URL)**, - a unique address that you must provide to the browser to open a page on the internet. It specifies a transmission protocol and an Internet host (identified by a number). It is used chiefly for moving around on the World Wide Web Example <http://normandy.sandhills.cc.nc.us/cis172/menu.html>

8.10 E-Commerce

- Commerce: the exchange of goods or services
- E-commerce: Act of doing business transactions over the Internet or similar technology
- M-commerce: E-commerce carried out via phones and other mobile devices

Advantages of E-Commerce

- Reduced costs - Dotcoms are less expensive than brick-and-mortar stores because there is no physical storefront to maintain
- Increased customer satisfaction - If shopping experience is convenient (open all the time, no driving, etc.)
- Broader customer base (less geographical restrictions)
- Potentially higher sales
- Convenience - Easier comparison shopping
- Higher degree of selection
- Potential cost savings
- Customized products

Disadvantages of E-Commerce

- Pressure to be always open, site always working
- Lost business due to some customer hesitation to shop online
- Risk of fraudulent credit card transactions
- Ease of entry for competitors
- Not being able to see or touch the goods
- Possible expense of returning merchandise

E-Commerce Models

- **Business-to-consumer (B2C)**: An e-commerce model in which a business provides goods or services to consumers. Wholesaler/manufacturer to end user
- **Business-to-business (B2B)**: An e-commerce model in which a business provides goods or services to other businesses. Manufacturer to wholesaler or wholesaler to retailer
- **Consumer-to-consumer (C2C)**: An e-commerce model in which a consumer provides goods or services to other consumers. End users sell to end users
- **Business-to-government (B2G)**: An e-commerce mode n which a business provides goods and services to government organizations

8.11 Electronic Mail (E-Mail) Concept

Email (electronic mail) is a way to **send and receive messages** across the Internet. It's similar to traditional post office mail, but it is electronic with digital content replacing paper content and IP addresses replacing postal addresses.

Email advantages

- **Productivity tools**: Email is usually packaged with a calendar, address book, instant messaging, and more for convenience and productivity.
- **Access to web services**: If you want to sign up for an account like Facebook or order products from services like Amazon, you will need an email address so you can be safely identified and contacted.
- **Easy mail management**: Email service providers have tools that allow you to file, label, prioritize, find, group, and filter your emails for easy management. You can even easily control spam, or junk email.
- **Privacy**: Your email is delivered to your

own personal and private account with a password required to access and view emails.

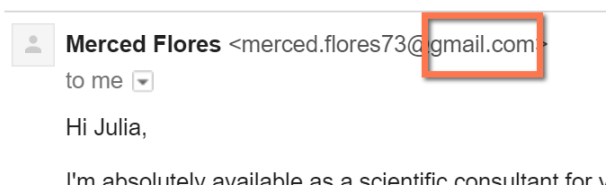
- **Communication with multiple people:** You can send an email to multiple people at once, giving you the option to include as few as or as many people as you want in a conversation.
- **Accessible anywhere at any time:** You don't have to be at home to get your mail. You can access it from any computer or mobile device that has an Internet connection.

Email accounts

- To receive emails, you will need an **email account** and an **email address**. Also, if you want to send emails to other people, you will need to obtain their email addresses. It's important to learn how to write email addresses correctly because if you do not enter them exactly right, your emails will not be delivered or might be delivered to the wrong person.
- Email addresses are always written in a standard format that includes a **username**, the **@** (at) symbol, and the **email provider's domain**.
 - The **username** is the name you choose to identify yourself.



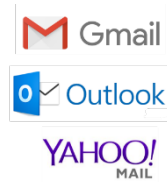
- The **email provider** is the website that hosts your email account.



- Some businesses and organizations use email addresses with their own website domain.

Email providers

- **Free web-based email service**, also known as webmail services exist. Anyone can use these services.
- Today, the top three webmail providers are **Yahoo!**, Microsoft's Outlook.com (previously Hotmail), and Google's **Gmail**.



Parts of the email

An email contains three parts: envelope, header, and body.

- **Envelope** - An email is wrapped in an envelope by the first Message Transfer Agent (MTA). It contains the delivery address, return address, and failed address on the envelope. This information is used to forward or deliver the email. An envelope determines where the email will be delivered or to whom it will be returned if it can't be delivered. The details of the Envelopes are invisible to users but are visible to the email applications (email clients).
- **Header** - The header keeps a record of all information about the email such as from which address it was sent, the date and time when it was sent, by which MTA it was received and forwarded, and when it was delivered to the destination. Email client programs usually hide headers from the user while displaying the email contents.
- **Body** - The body contains the message text and attachments. Originally, emails were developed for text messages. Over time, they started supporting several other formatting techniques such as HTML and encoding features using MIME (Multipurpose Internet Mail Extensions) features. allows us to format and encode the email text with more advanced formatting techniques such as HTML.

Types of email accounts

There are several different email account technologies, and you should know which type you have (or what kind you want, if you're still looking for an email provider) because the setup and the

choices of email programs you can use are different for each:

- **Web-based:** This type of email account is designed to be used primarily with a web-based interface. Many of the free email services are this type, including Gmail, Hotmail (now part of Outlook.com), and Yahoo! Mail. This is the easiest, most no-fuss type, and is great for casual users who don't send many messages and don't want to fool with setting up an email program.
- **POP3:** This type of email account is designed to be used with an email client, although the provider may also allow web access too. This type of account downloads your received messages to your local PC when it connects to the mail server. A POP3 account is tethered to a particular computer where the received mail is stored; it's best for someone who uses the same computer all or most of the time. POP3 stands for Post Office Protocol version 3.
- **IMAP:** This type of email account, like POP3, is also designed to be use with an email client. It does not download received messages, though; it reads them from the server, like web-based email does. That way, you can browse your mailbox from multiple computers and still see the full set of emails. The downside is that you can't browse your mail if you aren't connected to the Internet. IMAP stands for Internet Mail Access Protocol.
- **EAS:** This type is similar to IMAP except it is used by Exchange servers. It is a popular type of account for groupware and corporate accounts, as well as for mail delivered to smart phones. EAS stands for Exchange ActiveSync.

Email Etiquette

You should adopt courteous and polite habits when writing your email messages.

Some of these are listed below.

- **Keep it Short** - Reading text on the screen is harder (and arguably) more hazardous than reading on paper. Keep your emails short, sweet and to the point and your recipients will love you more.
- **Check Your Spelling** - When you have composed your message spend a bit more time using the spell checker to check the spelling. Then re-read the message and

ensure that the spell checker has done its job.

- **Use meaningful Subject Lines** - Always put meaningful text in the subject line of a message, such as "Sales Figures for June", and so on. Many people use the subject to prioritize reading or search for emails
- **Be polite** - Flaming is the act of telling somebody off using an email – and it should NEVER be done. If you have a gripe with someone, contact them over the phone or face to face, but never through an email. The big danger with email is that it can be read over and over again. In email shouting is done by using capital letters. Don't use capital letters (except in the proper literary way for sentence starts, names, and the like) unless you specifically mean to shout something and be offensive.
- **Protect The Privacy of Others** - If you are sending a message to many people and it is not necessary for the recipients to know who else received the message, put their addresses in the Bcc field and put your own address in the To field – Outlook needs to have at least one address in the To field.

8.12 Learning Activities

Identify a computer in your office or a laptop for use.

Required:

1. Undertake cable termination and router configuration
2. Use different search techniques to search for information on the internet related to your training program.
3. Create email and send email with attachments.

8.13 Self-Assessment Questions and Activities

1. What are the media communication techniques that a firm in the freight and logistics sector can use?
2. What is the importance of emails, internet and e-commerce? How can a clearing and forwarding firm use for improving business performance?

8.14 References

Morley, D., & Parker, C. S. (2014). Understanding computers: Today and tomorrow, comprehensive. Cengage Learning.

9.0 INFORMATION TECHNOLOGY SECURITY

9.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

- i. Identify Security and privacy threats (Information, Hardware, and Software)
- ii. Preventing computer crimes
- iii. Data Protection laws and copyright issues
- iv. Health concerns for computer users

9.2 Introduction

The increasing use of computers in our society opens up new opportunities for threats such as data loss due to system malfunctions or hardware theft, software piracy, and digital counterfeiting. This topic helps students appreciate computer-related security and privacy concerns and identify solutions to these concerns. Aspects of computer ethics and etiquette are also examined. The topic concludes by examining common health issues associated with computers and ways of preventing them.

9.3 Overview of Information Technology Security

There are a number of security concerns related to computers that users should be aware of:

- Hardware - Losing the computer/device entirely
- Software - Risks of acquiring pirated or counterfeited products
- Data - Loss of Privacy
- User - Being watched

9.4 Hardware Security

- Hardware loss: Can occur when a personal computer, USB flash drive, mobile device, or other piece of hardware is stolen, lost, or damaged
- Protecting Against Hardware calls for:
 - The use of door and computer equipment locks
 - Use of computer tracking software: Used to find a computer or other hardware devices after it is lost or stolen
 - Proper hardware care by avoiding misuse, using protective cases, Surge suppressors, Uninterruptible power

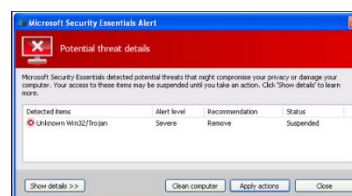
supplies (UPSs), and maintaining a clean environment.

FIGURE 15-8
Proper hardware care. Unless your computer is ruggedized (such as the one shown here), keep it out of the heat, cold, rain, water, and other adverse conditions.



9.5 Software Security

- Software piracy: Unauthorized copying of a computer program. Protection Against Software Piracy and Digital Counterfeiting calls for:
 - The use of Software antipiracy tools
 - Educating businesses and consumers
 - Enforcing Registration code or product key
 - Checking validity of a software installation before upgrades or other resources related to the program can be used
- Malware - Malware, short for “malicious software”, is any software designed to infiltrate a computer system without the owner’s knowledge. There are many kinds of malware. Popular kinds include:
 - Virus is a potentially damaging computer program. Can spread and damage files
 - Worm copies itself repeatedly, using up resources and possibly shutting down computer or network
- Protection calls for the use of antivirus



9.6 Data Security

There are three core elements to data security that all organizations should adhere to: Confidentiality, Integrity, and Availability. These concepts are also referred to as the **CIA Triad**, functioning as a security model and framework for top-notch data security.

- **Confidentiality.** Ensures that data is

- accessed only by authorized users with the proper credentials.
- **Integrity.** Ensure that all data stored is reliable, accurate, and not subject to unwarranted changes.
- **Availability.** Ensures that data is readily — and safely — accessible and available for ongoing business needs.

Protection mechanisms include:

- To ensure Confidentiality – Computers add additional privacy challenges where too much information is revealed through surveillance, and Electronic Profiling by Marketing database or Government database. We need to safeguard against loss of privacy. Be cautious of revealing personal information. Supply only the required information in registration forms. Delete your browsing history and e-mail settings when using a public computer. Properly dispose of hardware and outdated data.



FIGURE 15-21
Media disposal. When disposing of CDs, DVDs, and other storage media, the media should be shredded to ensure the information on the media is destroyed.

- To ensure Integrity - Computers add additional privacy challenges where information gets to the wrong hands through hackers. Protecting the Integrity of Personal Information calls for safeguarding your e-mail address. Use a throw-away e-mail address (an extra e-mail address that you can use for activities that might result in spam).
- To ensure availability is achieved - Have backup and disaster recovery plans.

9.7 User Security

- Computer monitoring software can be used to record an individual's personal behavior or computer usage either by capturing images of the screen or recording the actual keystrokes. Hackers (unauthorized users) can capture usernames and passwords to perform malicious acts to the user such as commit fraud.

- **Cybercrime** is committed by cybercriminals or hackers who want to make money. Here are some specific examples of the different types of cybercrime that can be committed against a user:
 - Email and internet fraud.
 - Identity fraud (where personal information is stolen and used).
 - Theft of financial or card payment data.
 - Theft and sale of corporate data.
 - Cyberextortion (demanding money to prevent a threatened attack)
- To protect the user, monitoring software should be installed cautiously and proper authentication mechanisms such as firewalls put in place. The user should also safeguard their passwords.

9.8 Data Protection Law

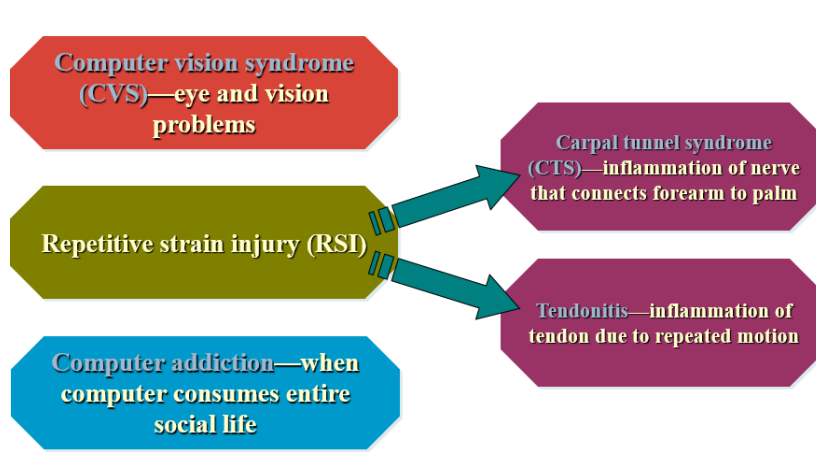
Data Protection gives you some control over the processing of your personal data. It imposes rules upon data controllers and grants rights to data subject. These rules apply to pretty much every personal data processing operation; the rights can be invoked by any living person.

Data protection is built around four rules:

1. There has to be a legitimate basis for the data processing to take place;
2. The processing has to comply with the principles of data protection;
3. The processing has to comply with certain sectoral rules such as the prohibition on the processing of sensitive personal data; and,
4. The rights of the subject, such as access and objection, have to be respected.

9.9 Health Concerns of Computer Use

- What are some health concerns of computer users?



- Protection mechanisms include
 - Take frequent breaks during computer session
 - Use wrist rest
 - Exercise hands and arms
 - Adjust the lighting if possible
- Apply Ergonomics - Applied science devoted to comfort, efficiency, and safety in workplace. Ergonomics refers to minimizing injury or discomfort while using the computer. These include:
 - Position monitor correctly
 - Use adjustable chair
 - Assume proper position while typing
 - Take breaks
 - Ensure adequate lighting

9.10 Learning Activities

Arrange and plan an interview with the Manager, Information Communication and Technology of a firm in the freight and logistics sector.

Required:

1. The ICT protection measures inherent in the organization
2. Strategies the organization uses to protect its employees who use computers
3. The laws related to ICT and data protection in your country and how the organization adheres to and implements the laws.

9.11 Self-Assessment Questions and Activities

1. What are the different types of information technology security threats?
2. What are the computer ethical issues and ICT Laws in the EAC country where you are located?
3. How should an individual protect themselves from health effects of sustained consumer use?

9.12 References

- Morley, D., & Parker, C. S. (2014). Understanding computers: Today and tomorrow, comprehensive. Cengage Learning.

UNIT 4:

ENGLISH LITERACY

Table of contents

UNIT 4 : ENGLISH LITERACY	242
1.0 UNIT OVERVIEW	242
1.1 .. Unit Description	242
1.2 .. Unit Summary Learning Outcomes	242
2.0 LISTENING AND SPEAKING IN ENGLISH	242
2.1 .. Specific Learning Outcomes	242
2.2 .. Pronunciation	242
2.3 .. Listening Comprehension and Note-Taking	246
2.4 .. Etiquette	249
2.5 .. Non-verbal Cues	251
2.6 .. References for Further Reading	253
3.0 GRAMMAR	254
3.1 .. Specific Learning Outcomes	254
3.2 .. Parts of Speech	254
3.3 .. Sub Topic 2: Nouns and pronouns	254
3.4 .. Distinguishing Verbs and Adverbs	257
3.5 .. Adjectives	259
3.6 .. Prepositions	260
3.7 .. Conjunctions	261
3.8 .. Direct and Indirect Speech	263
3.9 .. References for Further Reading	264
4.0 READING	265
4.1 .. Specific Learning Outcomes	265
4.2 .. Reading Skills	265
4.3 .. Extensive Reading	265
4.4 .. Intensive Reading	266
4.5 .. References for Further Reading	269
5.0 WRITING	270
5.1 .. Specific Learning Outcomes	270
5.2 .. Spelling Rules	270
5.3 .. Sentence Building Skills and Paragraphing	274
5.4 .. Punctuation	276
5.5 .. Types of Writings	279
5.6 .. Business Writing	284
5.7 .. References for Further Reading	286

LIST OF ABBREVIATIONS AND ACRONYMS

UNIT 4 : ENGLISH LITERACY

1.0 UNIT OVERVIEW

1.1 Unit Description

This unit describes competencies required to effectively use English in day-to-day interaction and in the conduct of business. In specific, the unit discusses English skills required in listening and speaking, grammar reading and writing.

1.2 Unit Summary Learning Outcomes

At the end of the sub-module, the trainee should be able to:

1. Listen and speak in English
2. Apply English grammar
3. Read in English
4. Write in English

2.0 LISTENING AND SPEAKING IN ENGLISH

2.1 Specific Learning Outcomes

At the end of this topic the trainee should be able:

- i. Discuss English pronunciation
- ii. Discuss listening comprehension and note-taking skills
- iii. Explain etiquette in English
- iv. Discuss nonverbal cues

2.2 Pronunciation

Pronunciation

Pronunciation refers to the way in which a word or letter of the alphabet is said. It is always important to pronounce words correctly so that we can communicate our ideas clearly and to avoid being misunderstood.

Sounds of English

The English language has 44 sounds from an alphabet of 26 letters. It is important to master and practise the production of these sounds.

Note that in some cases the same consonant sound can be represented by different letters e.g. /**z**/ can be represented by the letter **s** as in **does**. At other times the sound /**z**/ is represented by the letter **z** as in **size**. Likewise, the same applies to /**k**/ which is represented by the letter **c** as in **cat**. It can also be represented by the letter **k** as in the word **kick**.

2.2.1 Definition of Pronunciation

Pronunciation is the way in which one voices or speaks out a word or sound to make meaning when communicating with others. It involves particular consonants and vowels of a language.

Pronunciation refers to:

- how we produce the sound that we use to make meaning when we speak.
- How words are stressed (how loudly we say some letters)
- The intonation (whether our voices rise or fall) used when saying sentences.

For pronunciation to take place, organs of speech are used namely: The mouth, tongue, lungs, lips, vocal chords, teeth and the diaphragm.

2.2.2 The English Pronunciation

Pronunciation in English is in most cases not presented the same as it sounds. For example:

- a) **c**up - the letter **c** is pronounced as /k/
- b) plac**e** - letter c is pronounced as /s/
- c) **ch**ocolate - letter c is pronounced as /k/
- d) a**c**he - letter c is pronounced as /k/

This clearly shows that wrong pronunciation in English will affect comprehension. It can also lead to wrong meaning. Therefore, it is important to pronounce words correctly.

2.2.3 The Elements of Pronunciation:

There are two elements of pronunciation:

- a) Segmental features
- b) Super segmental features

Segmental Features

A Segmental feature sound uses a vowel, consonant and a diphthong (two vowel sounds are combined such as **ia** as in year and tear).

In English, we have pure vowels which are represented by a single character (e.g **u**) while long vowels are shown by the use of two dots or a colon (**:**).

There are five long vowels in English namely:

- a) /i:/ **feel**
- b) /a:/ **part**
- c) /u:/ **clue** or **broom**
- d) /ɔ:/ **port**
- e) /3:/ **bird**

There are six short vowels namely:

- a) /i/ **pin**
- b) /n/ **ant**
- c) /o/ **pot**
- d) /ʌ/ **but**
- e) /u/ **push**

A diphthong is a combination of two vowel sounds. For example:

- a. 'ia' in the word **ear**
- b. 'ea' in the word **pear**
- c. 'oi' in the word **boy**
- d. 'au' in the word **cow**
- e. 'ai' in the word **pie**
- f. 'ei' in the word **pay**

Examples of consonant sounds

/p/ pen	/r/ run	/dʒ/ judge
/t/ ten	/m/ man	/tʃ/ chalk
/k/ sky	/n/ net	/ŋ/ sing
/d/ doll	/z/ zip	/l/ lip
/g/ goat	/h/ hip	/ʒ/ measure
/f/ fish	/w/ wow	/ð/ these
/v/ vest	/j/ yes	/v/ vest
/s/ set	/ʃ/ shake	
	/θ/ three	

Supra segmental features

Supra segmental features refer to the style used when reading or pronouncing words or sentences such as:

- a) **Stress** refers to where emphasis is placed in a word to bring out meaning. In nouns, more force or stress is on the first syllable. In verbs, more force is on the second syllable

Example

Noun	Verb
Conduct – behaviour (Noun) Good conduct is always appreciated.	Conduct – to behave You should conduct yourself respectfully at all times.

- b) **Intonation** refers to rising and falling of a voice. It depends on the mood.

Examples

- a) In questions, the tone rises – did you see him?
- b) In exclamations, the tone falls – What a good day! e usually has a vowel sound –
- c) Statements mainly use a falling intonation e.g. I am coming.

- c) **Syllable** refers to a sound in a unit word or a beat. November has three syllables no-ve-mber. Patterns of syllable put together create a rhythmic pattern.

2.2.4 What Causes of Pronunciation Problems?

- a) **Physical unfamiliarity:** when one is not exposed to sounds of a language, he or she may have difficulty in pronouncing the language.
- b) **Difficulty in hearing:** some speakers have difficulty in recognising or hearing particular sounds in a language. Especially speaker of a second language (e.g. English) language may have problems dealing with different sounds not found in their first language.
- c) **Intonation problems:** some students may have difficulties in intonation as a result of lack of practise or listening to wrong models. Source for correct intonation from credible online sources such as the British Council websites.

2.2.5 Factors Causing Pronunciation Problems

1. **Mother tongue interference** clearly influences Second Language (L2) pronunciation. Some speakers mispronounce /p d/ for /t/ or /s/ for /z/ due to mother tongue influence.
2. **Sound system differences between your first language and English.** English has a different sound system from your languages. The organs of speech may not be accustomed to produce such sounds since they are unfamiliar with the sound. This may lead to pronunciation problems.

3. Inconsistency of English

Vowels: The English vowel has more than one pronunciation. O'Connor in Hassan (2014: 34) retorts that it is not simple to know how the exact sounds of the letters ... in a certain word. This causes difficulties to the learners leading to pronunciation problems.

4. Influence of spelling on Pronunciation:

Sounds of written English do not match up with sounds of spoken English.

2.2.6 Learning Activities

Activity: Pair and Group work

1. Citing examples explain what are diphthongs? Use an online source to practise pronouncing diphthongs.
2. Discuss how you can overcome pronunciation problems you experience as you speak to others.
3. Which sounds are difficult to pronounce in English? Practise pronouncing words with such sounds with a classmate.
4. Practise how to use the rising and falling intonation in questions and statements with a classmate.

2.2.7 Self-Assessment Questions and Activities

1. Say the following words as a noun and a verb. Make sentences using the words.
 - a. present
 - b. record
 - c. increase
 - d. reject
 - e. escort
 - f. import
 - g. export

Use the link below to listen to the pronunciation of the words.

<https://www.english-at-home.com/pronunciation/noun-and-verb-syllable-stress/>

2. Make a list of other words using the link above and learn their pronunciation.

2.2.8 References

- <http://repository.ump.ac.id/1345/3/LAELATUL%20MA%27LAH%20BAB%20II.pdf>
- <https://www.englishclub.com/pronunciation/>

2.3 Listening Comprehension and Note-Taking

2.3.1 Listening Comprehension

Definition of Terms

Listening

Listening is the ability to recognise and understand what others are saying. It involves understanding the speakers' grammar, vocabulary, meaning and usage of the sentences.

Listening comprehension

Listening comprehension is an interactive process in which listeners are involved in constructing meaning. Listeners will comprehend what is said through recognising sounds, using previous knowledge and grammatical structures, stress and intonation and other linguistic or non-linguistic clues.

Listening comprehension can also be defined as the ability to understand and make sense of spoken language. Listening is a skill that develops second language learning.

The difference between successful students and less successful students is related to their ability to use listening skill as an instrument of learning a second language. This is because to be able to learn a language, one should be able to receive language input. Learners should be able to listen so that they can understand the language input.

Developing listening comprehension skills helps students to succeed in language learning and other subjects as learners are able to receive information (input). Learning will not occur if there is no input.

When learners' comprehension skills are increased, they will be motivated to have access to spoken language. In addition, listening plays a role in communication process.

In conclusion, for you to understand what is being taught, you should be able to listen keenly. Listening comprehension provides a basis for listening keenly.

2.3.2 Importance of Listening Comprehension

- a) It enables learners to learn language easily and develop comprehension input. Since learner's self-reliance will be increased, they

will be motivated to have access to spoken English.

- b) It is useful for learner's pronunciation. When learners are exposed more to English (e.g. vocabulary and sentences), they get used to intonation, pitch, stress and much more thus improve their pronunciation.
- c) Learners are able to acquire or gather information, enjoy, evaluate and critic what they have listened to.
- d) Learners are able to engage in social protocols, entertainment such as listen to TV shows, comedy, exchange information and share emotion.

In conclusion when a learner acquires good listening skills, then he or she will be able to understand what is being said easily and in turn respond easily.

2.3.3 Strategies for developing listening skills:

There are two strategies for developing listening skills namely:

a) Top-down strategy

This is when the listener uses background knowledge to make sense of what he or she is listening to. This means that they already know a fair amount about the topic, story or information they are listening to. They therefore use this to their advantage and to listen better.

b) Bottom-up strategy

This happens when we understand language sound by sound or word by word, with less use of background knowledge.

As a student, you will need to combine some bottom-up and top-down listening to make sense of what you hear and perceive the world around them.

2.3.4 How to enhance listening comprehension skills:


- a) Use of technology such as videos, computers and the Internet to enhance listening comprehension skills.
- b) Use interesting materials such as: videos, movies, series, documentaries among others.
- c) Practise attentive listening skills when talking to peers.

- d) Always reflect on conversation by asking yourself whether you heard what was said to you.

2.3.5 Assessment

Source for listening comprehension texts from the Internet and answer the questions that follow. Assess yourself using the following rating scale.

Self-assessment

	I am able to listen attentively and answer all the questions easily	I am able to listen attentively and answer most of the questions easily. I need to work on getting all the questions right	I am able to listen attentively and answer some of the questions easily. I need to listen more keenly	I have difficulty listening attentively and I can only answer a few questions. I therefore need to work on my listening skills
---	---	--	---	--

You can use the link below to begin with.

<https://www.google.com/url?sa=i&url=https%3A%2F%2Fwww.youtube.com%2Fwatch%3Fv%3Dr9pWWYjBFw&psig=AOvVaw35hNYywRjuK1GpCjuw7lbn&ust=1629981649995000&source=images&cd=vfe&ved=2ahUKEwisZb7mMzyAhUB44UKHaljDIAQR4kDegUIARC8AQ>

2.3.6 Note making

Definition of note taking

It refers to the process of writing or recording key information in a systematic way from different sources and platforms.

The Process of note taking

The process of note taking involves using of both listening and writing skills simultaneously. It begins prior to the lecture and ends after students review their notes.

Prior to the lecture

- The student should be ready to learn.
- Find a seat with good view of the teacher.
- As you prepare to make notes, you should mark the date and the topic of discussion.
- Have enough paper and writing materials.

During the lecture

- Listen carefully
- Take note of the most important points and write them down
- Relate and assign meaning to the most important points

- Paraphrasing is good since you will understand what you have written more
- Use abbreviations, numbers, acronyms and other forms of notes taking to enable you write down as many notes as possible

After lecture

- The last step is reviewing the notes
- Review by going through the notes and filling in the gaps
- Clarify poorly understood concepts

- Correct spelling mistakes
- Handwriting should be legible
- Learners can use their textbooks to clarify or expand what they have not understood.
- Present your information in an organized manner

Guidelines to note taking:

- Use economy of words since it is impossible to record everything on hears or says
- Use a format that will help you review your notes easily
- Take note of the main issue being discussed
- Avoid examples and unnecessary details
- Identify the format to use, for example, clustering and mind maps
- Use of acronyms e.g. KNEC
- Use of abbreviations e.g. *info* for information.
- Use of symbols for example = (equals to), # number etc.

2.3.7 Activity: Differentiating note taking and noting making

Are notes taking and notes making the same? Discuss giving relevant examples.

2.3.8 Assessment: Note taking

Use the link below on environment to make short notes. Share with a classmate for feedback.

<https://www.youtube.com/watch?v=gEk6JLJNg0U>

2.3.9 References

- Garrod, S. (1986). Language Comprehension in Context: A Psychological Perspective. *Applied Linguistics*, 7, 226 – 238.
- Gilakjani, P. and Narjes B.S. (2016) *The Significance of Listening Comprehension in English Language Teaching* :India.
- https://www.researchgate.net/publication/254350486_The_process_of_Note_Taking_Implications_for_Students_with_mild_Disabilities

2.4 Etiquette

2.4.1 Definition of the term etiquette

This refers to acceptable social behaviour or how one is expected to conduct himself or herself in the society.

2.4.2 Need for Etiquette

Observing etiquette:

- Makes one to be cultured and well behaved
- It teaches one how to talk, walk behave in the society
- It is essential for an everlasting first impression since the way you interact with your peers, superiors and friends tells a lot about your personality
- It enables individuals to earn respect and appreciation in the society
- It inculcates the feeling of trust and loyalty in individuals
- It helps one value relationships and respect other's opinion

2.4.3 Types of Etiquette

a) Social etiquette

It teaches one how to behave in the society. A key aspect of etiquette when interacting with people is ensuring you use polite language such as thank you, excuse me, please, I beg your pardon among others.

b) Bathroom Etiquette

It deals with rules an individual is supposed to follow when dealing with public restrooms or toilets. For instance, when using the bathroom ensure you drain the water spilt on the floor to avoid accidents.

c) Corporate Etiquette

It deals with how an individual should behave while at work e.g. each and every employee should uphold the decorum of an organization.

d) Wedding Etiquette

This deals with how one behaves at wedding e.g., do not be late for weddings or do not serve too much food at the reception.

e) Meeting Etiquette

This refers to how one should behave when attending meetings, seminars, presentations and other official functions, e.g. never enter a meeting without a note pad and respect

other people's opinions. You should also use polite language when addressing people.

f) Telephone Etiquette

It deals with how one should speak and interact with one another while on phone e.g. do not hold the other caller for too long, always greet the other person before saying anything to them and avoid being rude while on phone.

g) Eating Etiquette

It deals with how one should behave while eating in public, e.g. do not make noise or talk while food is in your mouth.

h) Business Etiquette: It deals with how to behave while conducting business, e.g. do not cheat your customers because it is unethical.

In conclusion, etiquette determines ones conduct and behaviour. It defines one's personality and the way people gauge one's conduct.

2.4.4 Activities

Activity 1: Discussion

Discuss etiquette required in the following:

- Conversation
- Dressing
- Religious place or gathering

Activity 2: Dialogue

Engage in a conversation with a friend and use as many polite words and expressions as possible.

2.4.5 Assessment

Answer these questions

- Which polite words and expressions should we always use in our speech?
- Why is etiquette extremely important in society? Your answer should be in short notes, then rewritten in one short paragraph.

2.4.6 References

<https://www.managementstudyguide.com/whatt-is-etiquette.htm>

Hartley,B. (1860).The Gentleman's Book of Ettiquette:36,Cornhil, USA.

2.5 Non-verbal Cues

2.5.1 Definition of non-verbal cues

Non-verbal communication refers to use of signals such as eye contact, facial expressions, gestures, personal space, body movement and posture when communicating. It is usually passed without use of spoken word or written word.

Non-verbal communication and body language are not the same. Body language involves physical behaviour of our bodies such as eye contact, posture, gestures, orientation and so forth; Non-verbal communication on the other hand embraces all body language communication including clothing and adornment, environmental factors and the manner in which we use time.

Non-verbal behaviours such as gestures or eye movements are sometimes referred to as **tells** because they tell us about a person's true state of the mind.

There are six ways of how non-verbal communication can interact with verbal discourse namely: repeating, conflicting, complementing, substituting, regulating and accenting.

a) Repeating

It refers to using specific gestures to strengthen a verbal message. For example, pointing repeatedly to an object of discussion shows you are emphasising an important point.

b) Conflicting

This occurs when verbal and non-verbal messages within the same interaction send contradicting meaning. In such a situation the conflicting messages will cause feelings of confusion, indecision or frustration. Take for instance your friend explaining to you how he or she had a great day at a wedding party, but his/ her voice remains flat and the face lacks emotions.

c) Complementing

The accuracy of understanding information is said to be higher when verbal and non-verbal complement each other. It has been confirmed that messages have shown to be correctly recalled to a greater degree when body language speaks the same as verbal exchange. For instance, saying you are happy, sad or confused and showing it too.

d) Substituting

At times, non-verbal behaviour is used as a sole channel for communication. A simple gesture, for example, shaking your head up and down could mean acceptance, shaking your head side by side could mean refusing or rejecting an idea.

e) Regulating

We can use non-verbal signals to regulate speech. In such a case we refer to such signals as 'turn taking signals'. These gestures enable us to alternate between speaking and listening. For example, touching someone's arm may signal you want to talk next. In a debating session raising your hand may mean that you want to interrupt the speaker or you want to be given an opportunity to ask a question.

f) Accenting

This is used when non-verbal signals are used to emphasise the speaker's words. Good speakers will know when to use deliberate pauses, change vocal volume, use strong gestures or change speech rate among other things. Someone who is verbally expressing anger may emphasise this by taking a long pause.

In conclusion, we can observe that spoken language is used for communicating information about events external to the speaker while non-verbal communication is used to create and maintain interpersonal relationships.

2.5.2 Uses of Non-Verbal Communication

We use non-verbal communication to:

- Replace verbal communication in situations where it may be impossible or inappropriate to talk.
- Complement verbal communication, thereby enhancing the overall message.
- Modify the spoken word.
- Contradict either intentionally or unintentionally, what is said.
- Regulate conversation by helping to mark speech turns.
- Express emotions and interpersonal attitudes.
- Negotiate relationships in respect of, for instance, dominance, control and liking.
- Convey personal and social identity through features such as dress and adornments.
- Contextualise interaction by creating a particular social setting.

2.5.3 Activity: Group work

1. Give more examples of how non-verbal behaviour can be used as a sole channel for communication.
2. Engage in a conversation with group members and use the following non-verbal cues:
 - a) Maintain eye contact
 - b) Use gestures (e.g hands) to emphasise a point
 - c) Do not stand still. Walk around the room
 - d) Facial expressions such as nodding if you agree with a point or shaking your head if you don't agree.
3. Find out from your group members if you used the non-verbal cues well.
4. Continue using non-verbal cues as you interact with your classmates.

2.5.4 Assessment

- List and explain three types of non-verbal communication that might suggest a person is lying or being deceitful.
- Discuss advantages of non-verbal communication.

2.5.5 References

- Eunson Baden. (2012). Non-verbal Communication.
- <https://miuc.org/importance-of-non-verbal-communication/>
- <https://miuc.org/importance-of-non-verbal-communication/>
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2.6 References for Further Reading

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- Bolton, F. & Snowball, D. (1993). Teaching Spelling: A Practical Resource. Portsmouth, NH: Heinemann Educational Books.
- Unubi, A (2019). Conjunctions in English. Meaning, types and uses.

3.0 GRAMMAR

3.1 Specific Learning Outcomes

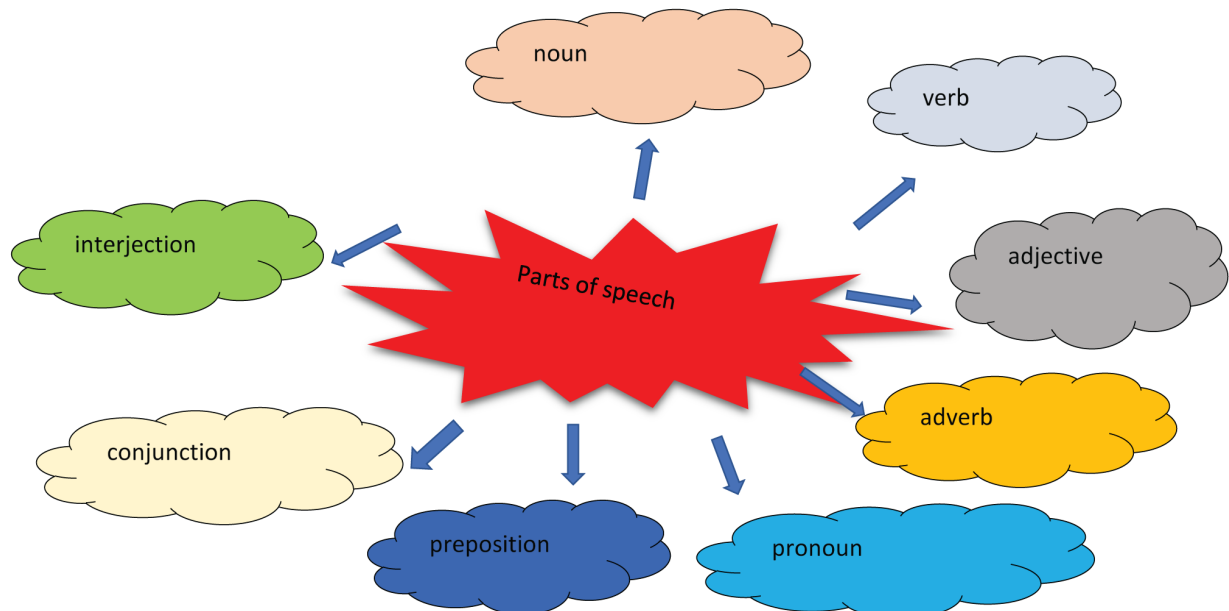
At the end of this topic the trainee should be able to:

- i. Describe parts of speech
- ii. Explain nouns and pronouns
- iii. Distinguish between verbs and adverbs
- iv. Explain adjectives
- v. Explain prepositions
- vi. Discuss conjunctions
- vii. Discuss direct and indirect speech

3.2 Parts of Speech

3.2.1 Task 1: Meaning of the term parts of speech

A part of speech is a class of words based on the word's function, the way it works in a sentence. There are 8 parts of speech in the English language as follows: noun, verb, adjective, adverb, pronoun, preposition, conjunction, and interjection.



3.2.2 Activity

- a) Discuss the parts of speech that you are familiar with.
- b) What can you remember about them?

3.3 Sub Topic 2: Nouns and pronouns

3.3.1 Nouns

Nouns are naming words. There are different types of nouns in the English language.

a) Proper nouns which refer to specific people, places or things

- The first president of independent Kenya was Mzee Jomo Kenyatta.
- Nairobi is the capital city of Kenya.
- **Mt. Kenya** is the tallest mountain in Kenya.

Proper nouns always begin with a capital letter even when they occur in the middle of a sentence.

b) Common nouns refer to any unspecified member of a class of persons, places, things, qualities or concepts.

Examples

Persons:

Mothers are kind and caring.

Fathers are also kind and caring.

Things:

Goats give us meat.

The soil sustains trees and other living things.

Abstract nouns refer to qualities, activities, concepts or conditions that are not tangible, for

Examples

Patience is a valuable virtue.

Smoking is bad for your health.

Common nouns are not capitalised unless they are the first word in a sentence.

Plural forms of nouns

Most nouns form their plurals by adding 's' to the singular, for example, nurse, nurses.

There are some exceptions, however, that the learner of English should be aware of

Examples,

In a noun that ends in 'y' preceded by a consonant, the 'y' changes to 'i' to which 'es' is added to form the plural, for example, baby - babies; puppy - puppies. We add 'es' when a noun ends in 's', for example, lense - lenses.

When a noun ends with 'z', we double the 'z' and add 'es', for example, quiz, quizzes

- When the noun ends in 'sh' or 'ch' we add 'es', for example, bush, bushes; watch, watches.
- We add 'es' when the noun ends with 'x', for example, tax, taxes

Note that there are certain nouns which do not change in forming plurals, for example, furniture, luggage, vocabulary, news, goods, headquarters and scissors.

Other words have irregular changes in the plural, for example, man - men; woman - women; child - children; foot - feet; tooth - teeth

c) Collective Nouns

These are nouns that represent a group or class of people or things and are followed by either a plural or singular verb depending on the meaning, for example, the audience, the crowd, the choir.

Note

When the collective noun is singular, the verb following it should be singular and when the collective noun is plural, the verb following it should be plural.

Example

The choir was supposed to have arrived by now.

The choirs were supposed to have arrived by now.

3.3.2 Activity: Story

Read the story below and answer the questions that follow.

Hen and Hawk

Read the following story about hen and hawk and answer the questions that follow.

Hen and Hawk were good friends. One day, Hen borrowed a pair of scissors from the hawk to shave her chicks. After shaving her chicks, she dug a hole in the ground where she hid the pair of scissors so that her chicks could not play with them. In the evening, Hawk asked Hen to give her back the pair of scissors. Hen could not remember where she had hidden them. She searched and searched and searched in vain. Hen was very disturbed while Hawk was angry. She hen that she would come back for them the following day. Hawk warned Hen that she would eat one of the chicks, if the pair of scissors was not found and that this would continue every single day, until the pair of scissors was found. As fate would have it, Hen had not found the scissors the following day and Hawk snatched one of the chicks and disappeared with it. To date Hen can be seen frantically scratching the ground looking for the scissors to give to Hawk and save her chicks.

Required

- Identify the proper nouns
- Identify the common nouns and give their plural
- Construct sentences using the nouns you have identified above.

3.3.3 Task 1: Meaning of Pronouns

Pronouns are words used in place of a noun to refer to a person, thing or idea that has been mentioned earlier in a sentence or speech.

Activity: Passage

Read the following passage and identify the pronouns used.

Many employers feel that advising their workers to mind their own business is bad for business. I am sure it can be for certain individuals. But for me, focusing on my own business, developing assets, made me a better employee. I now had a purpose.

I came in early and worked diligently, amassing as much money as possible so I could begin investing it in real estate. Hawaii was just set to boom, and there were fortunes to be made. The more I realized we were in the beginning stages of a boom, the more Xerox machines I sold.

(Adapted from Rich Dad Poor Dad)

- a) Identify all the words used in place of the writer.
- b) Identify a word that has been used to replace the word money.

Types of pronouns

a) Personal pronouns

These refer to people: I, you, he, they, we, she, etc

Examples:

- I am sure it can be.
- We won the race.
- They will plant trees tomorrow.

b) Impersonal pronouns

These pronouns refer to everything except people. These are: it and they.

Examples:

It rains heavily in the tropics.
The animals are grazing. They will then be led to the river.

c) Relative pronouns

They refer to people and objects. These are: which, whose, that, who, whichever, and whoever, whatever.

Examples

The cyclist who won the race trained hard.
The book that I bought yesterday was expensive.
Where did you buy the crayons that you use in class?

d) Demonstrative pronouns

(that, this, these, those) replace nouns and therefore function as nouns in a sentence. They are also used to point out nouns.

Examples:

- That is not mine
- Those belong to Joan.
- That is the most comfortable.
- This is very good.

e) Reflexive pronouns

They are used in sentences which contain verbs

whose actions are directed towards the subjects of the verbs - myself, yourself, herself, himself, ourselves, yourselves, themselves, itself.

Examples

She told herself that God would listen to her prayers. They found themselves in trouble for skipping classes.

f) Reciprocal pronouns

These are used to refer to more than two people - each other, one another.

Examples:

- Students prefer one another's company to that of adults.
- The students helped each other in their studies.

g) Indefinite pronouns

They are general and do not refer to a particular person, place or thing.

They include words like any, some, someone, all, either, anyone, each, anybody, everyone, few, little, much, more, oneself, everyone, everything.

Examples

- All we can do now is try our best. Someone must be held responsible for the damage.
- You can tell me anything you want, but I probably will not believe you.

Indefinite pronouns are placed in the same location as a noun would go in the sentence.

Activity: Indefinite pronouns

Complete the table below by providing an appropriate sentence in column B. The first one has been done for you.

A Noun	B Indefinite pronoun
I would like to go home now.	I would like to go somewhere now.
Janet gave me a pen.	
The children could have done it.	
Only my friends came to the party.	
I have three tomatoes.	

h) Interrogative pronouns are used to ask questions.

Examples

Where are you going?

Who will come with me?

When will you visit the orphanage?

In which direction is the administration block?

Activity

Construct sentences using the pronouns you have encountered in the session. Write them down and share your work with a classmate for peer review.

3.4 Distinguishing Verbs and Adverbs

3.4.1 Meaning of the terms

Verb

A verb is a word that tells what someone or something does – an action word or word of being. A sentence may either have a main verb, a helping verb or both. In other words, a verb is a word that informs about an action, an existence of something or an occurrence. The verb is the main word in a sentence. No sentence can be completed without a verb.

3.4.2 Types of Verbs

Verbs are differentiated according to the function they play in a sentence. There are:

a) Main Verbs (or Action Verbs) –

These express an action done by a person, an animal, or a thing, for example, walk, sleep, eat, grow, die read and cook.

Examples

- The students **walked** home.
- I **slept** well yesterday
- The cow **eats** grass.

Activity: Sentence construction

Form 12 sentences using the following main verbs.

study	weed	eat	edit
read	mine	drink	apply
listen	harvest	cook	interview
write	sell	wash	pack

b) Helping Verbs support the main verb when forming sentences. They include words like is, was, should, can.

Examples

- I **can** read.
- The girl **was** walking home.
- The boy **is** coming.

c) Linking Verbs

Linking verbs are also known as the State of Being verbs. They indicate the that of something, someone or animal.

Examples

- The river is very deep.
- That orphan is the most hardworking banker.
- I feel scared.

d) Transitive Verbs

Transitive verbs express action that is received by, an object.

The object of a transitive verb can be a noun, pronoun, or a noun clause or phrase.

Examples

- I **skipped** the rope. (the verb skipped is a transitive verb. The word rope is a noun phrase (has more than one word) and is the object of the sentence)
- We **helped** them. (helped is a transitive verb. The object them receives the action)

e) Intransitive Verbs

These are verbs that express action but that do not take an object.

Examples

- He reads fluently.
- They speak clearly
- They write creatively.

Assessment: Main and helping verbs

1. Assess your mastery of main verbs and helping verbs by doing the exercises below.

<https://www.everettcc.edu/files/programs/communications/writing-center/grammar/main-verbs-and-helping-verbs-with-exercises.doc.pdf>

<https://www.myenglishpages.com/english/grammar-exercise-auxiliary-verbs.php>

2. Adverbs

Task 1: Review

Can you remember what we said about a verb?
Discuss with a classmate.

Task 2: Meaning of the term adverb

An adverb is a word that modifies a verb, an adjective or other adverbs. It tells when, where, how, in what manner or to what extent an action is performed. Many end in “ly”, but this is not always the case.

Types of adverbs

Adverbs that tell us:

- **how something was done** – slowly, fast, quickly, lazily
- **Where something is done** – there, here, in town, outside
- **When something was done** – now, later, tomorrow, today,
- **To what extent** – very, extremely, greatly, really, too, quite
- **How often** – always, rarely, daily, often, weekly, monthly

From the above questions, we can group adverbs into the following types:

Type of adverb	How to identify them?	Example sentences
Adverb of manner	Ask a question starting with how or in what manner.	She moved swiftly. He prepared the meal very fast.
Adverb of time	Ask the question where.	He arrived this morning. I will visit the library tomorrow.
Adverb of place	Ask the question when.	The examination will be conducted here. We ate our lunch in the dining hall
Adverb of degree	Ask the question to what extent.	The old man was terribly exhausted. The tortoise moves extremely slowly.
Adverb of frequency	Ask the question how often.	

Activity 1

From the table above, identify the adverbs (they can be a single word or a phrase) used in the third column.

Form other sentences using the different types of adverbs.

Activity 2

Form adverbs of manner from the following adjectives and use them in sentences.

- bad
- complete
- normal

Activity 2

What differences did you note between verbs and adverbs? Tell your reading partner.

3.4.3 References

<https://www.theidioms.com/adverbs/>

3.5 Adjectives

3.5.1 Definition of the Term Adjective

An adjective is a word that describe a person, an animal or a thing.

Examples

Article	Adjective	Noun
a	tall	girl
The	round	plate
An	honest	person

Activity: Making sentences

Use the table below to form as many sentences as possible. All the sentences should make sense.

The An A	talkative round expensive honest teacher dog	watch is lost. dish is dirty. girl has gone home. child is a blessing. mistake was made. came to our class. ate the food.
----------------	---	---

3.5.2 Types of Adjectives

There are three main types of adjectives: *descriptive*, *limiting* and *proper*.

a) Descriptive adjectives name a quality or condition of the noun that is being talked about.

Examples:

an honest student
a blue dress
a broken relationship.

b) Proper adjectives are derived from proper nouns and describe the nouns they modify.

Examples

Zambian mines
Zambian flag
French fries
Indian *saris*

c) Limiting adjectives identify or give the number or amount of the noun being modified.

Examples

many mangoes
that woman
five coins
those antelopes

3.5.3 Comparison of Adjectives

Adjectives take three comparative forms: absolute, comparative and superlative.

Look at these sentences.

He is a good student (absolute)

He is a better student (Comparative)

He is the best student (Superlative)

Activity 1: Completing on adjectives

1. Complete the table below. The first two have been done for you. Where you are in doubt, discuss with a classmate.

Absolute	Comparative	Superlative
Good fine beautiful slow bright bad poor terrible	better finer	best finest

3.6 Prepositions

3.6.1 Meaning of the Term Preposition

A preposition is a word or group of words used before a noun, pronoun, or noun phrase to show direction, time, place, location, spatial relationships, or to introduce an object. Some examples of prepositions are words like in, at, on, under and behind.

The use of prepositions can be problematic for beginners but continuous practise and checking usage from reference materials such as the dictionary will help you master their use.

3.6.2 Types of Prepositions

Prepositions of Direction

They refer to a direction and include to, in, into and onto.

Examples

- She drove **to** the market.
- When you get to the school compound, Come right **into (in) the office**.
- She went into the house
- Drive **on(to)** the grass and park the car there.

Prepositions of Time

To refer to one point in time, and include words such as in, at and on.

- He rests **in** the evening.
- She wakes up **at** 7 a.m.
- The weather is hot **in** August
- I was born **in** July, 1985.
- I work **on** Saturdays
- I work **from** Monday **to** Friday

Other words that refer to time include since, for, by, during, within, until.

Activity

Work in groups to source for sentences from print and online sources that use the words above to refer to time.

Prepositions of Place

As their name suggests, they indicate place and include words such as in, on, inside, over, above, below, beneath, under, underneath, by, near, next to, between, among, opposite among others

- They will meet in the boardroom.
- She was waiting **at** the corner.
- He left his mobile phone **on** the drawer.
- The cat is **under** the table.
- There is a nail **beneath** the stone.
- The petrol station is **opposite** the supermarket.
- The gas station is **by** the grocery store.
- The school is **near** police station.

Prepositions of Location

To refer to a location, use the prepositions in, at and on.

- They live **in** Brazil. (an area)
- Lucy will find you **at** the library. (a point)
- There is a lot of food **on** the floor. (a surface)

Prepositions of Spatial Relationships

Prepositions of spatial relationships deal with “where” the subject of the sentence is or “where” the action is taking place. Examples include above, across, against, ahead, among and along.

Write your registration number above the line.	Provide drawing of a line and registration number written slightly above
The girl is walking ahead of her father.	Provide drawing
The boy is leaning against a tree.	Provide drawing
The boy is among the goats.	Provide drawing
The aeroplane flew across the sky.	Provide drawing

3.7 Conjunctions

3.7.1 Meaning of the term conjunction

The conjunction is one of the eight parts of speech in English. It is a word used to connect other words, phrases, and clauses.

3.7.2 Types of conjunctions

a) Coordinating conjunctions

These are used to link words, phrases and clauses and include and, nor, but, and or.

Examples

- I read a play and a novel.
- When he abused her, she did not reply nor follow him.
- She is poor but she is contented.
- The grains are in the granary or in the store.

b) Subordinating conjunctions

These are words which are used to link subordinate clauses with the main clauses in a complex sentence. They include: after, because, if, that, though, although, till, before, unless, as, when, where, while, than, whether, in order that, nevertheless, etc

Examples

- He came after I had finished my work.
- He was sacked from office because of his stance against corruption.
- I wonder if he will ever change.
- He thinks that we will agree.
- Though he is your brother, you should not trouble him like that

c) Correlative conjunctions

Correlative conjunctions are pairs of words that connect other parts of a sentence. They include:

Either....or, neither....nor, both....and, not only.... but also.

Examples

- You will either visit the orphanage or go for prayers.
- She will either bake a cake or cook matoke.
- Neither her mother nor her guardian has visited her this semester.
- Neither the principal nor the deputy principal is in school today.
- Both my sister and her son will visit us soon.
- He is not only an excellent footballer but also a swift runner.

Activity Practice Exercise

Use the links below to practise the use of coordinating, subordinating and correlative conjunctions.

- <https://www.englishgrammar.org/coordinating-conjunctions-worksheet/>
- <https://www.englishgrammar.org/subordinating-conjunctions-worksheet/>
- <https://www.k5learning.com/worksheets/grammar/grade-5-correlative-conjunctions-b.pdf>
- <https://www.tutoringhour.com/worksheets/language-arts/conjunctions/correlative-conjunctions/>

Reference

- Unubi, A (2019). Conjunctions in English. Meaning, types and uses.

3.8 Direct and Indirect Speech

3.8.1 Meaning of Terms

Direct speech

Direct speech refers to words uttered directly by the speaker. Varied punctuation marks are used in direct speech, such as opening and closing speech marks and commas.

Indirect speech

Unlike direct speech, indirect speech, also known as reported speech, is a means of expressing the content of statements, questions, or other utterances, without quoting them.

3.8.2 Examples of Direct and Indirect Speech

3.8.3 Examples of direct speech

- The doctor said, "Good morning, Kelvin."
- "I have come to visit the sick elderly lady," replied Kelvin.
- "I'm sorry Kelvin," said the doctor, "the sick lady has been transferred to another hospital."

Note:

- The actual words of the speaker are enclosed in inverted commas or quotation marks.
- There is use of the reporting verb e.g., the doctor said.
- There is always a comma after the reporting verb.
- There should be a comma, full stop, question mark or exclamation mark at the end of the speech. This is placed inside the closing speech marks.

Examples of Indirect speech

- The doctor said good morning to Kelvin.
- Kelvin replied that he had had come to visit the sick elderly lady.
- The doctor told Kelvin he was sorry and that he (Kelvin) could not see the sick lady since she had been transferred to another hospital.

Have you noticed that all the direct speeches have been changed to indirect or reported speeches? I hope you did.

Note the following about reported speech.

- The speaker's words are not enclosed in inverted commas/quotation marks.
- The word **that** is usually used between the reporting verb and the reported speech.
- The tense changes from present to past tense.
- There is a change in time if there is time mentioned in the sentence of the direct speech.
- The pronoun or subject of the reported speech changes according to the pronoun or object of the reported verb.

Activity

Read the following dialogue and answer the questions that follow.

- Musa: Hello Peter. How have you been since the last time I saw you?
- Peter: I'm fine Musa. I'm going to watch football. Would you like to come along?
- Musa: Unfortunately, I cannot go with you. My mother has asked me to buy her some things from the market.
- Musa: That is unfortunate. Maybe you will join next week.
- Peter: I hope so too. See you in school next week.

- Rewrite line 2 (Peter's first speech) using quotation marks.
- Rewrite the following in reported speech.

I'm going to watch a football match.
My mother has asked me to buy her some things in the market.

Activity

Select a novel of your choice. Identify instances of direct speech and write them down. Change the direct speech to reported speech.

3.9 References for Further Reading

- Nelson, G. & Greenbaum, S. (2016) An Introduction to English Grammar 4th Edition. Routledge.
- Langan, J. & Johnson, B. (2013). English Essentials, 3rd Edition. McGraw Hill
- Garrod, S. (1986). Language Comprehension in Context: A Psychological Perspective. Applied Linguistics, 7, 226 – 238.
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- Unubi, A (2019). Conjunctions in English. Meaning, types and uses.

4.0 READING

4.1 Specific Learning Outcomes

At the end of this topic, the trainee should be able to:

- i. Discuss the reading skills
- ii. Discuss intensive reading
- iii. Discuss extensive reading
- iv. Discuss comprehension skills

4.2 Reading Skills

4.2.1 Meaning of the term reading

Reading is making meaning from print. It requires the reader to identify or recognise the words in print, construct an understanding from them (comprehension) and Coordinate identifying words and making meaning so that reading is automatic and accurate (fluency).

4.2.2 Reading skills required for efficient reading

For one to be able to read efficiently, it is important to read as many materials as possible. This will help increase your vocabulary and sentence structures. The following are the reading skills that can enhance efficient reading and comprehension.

Previewing

This refers to running your eyes through the text to get an overview. Focus is normally on the title and author/writer details, the abstract, headings and sub-headings, chapter summaries, highlighted text.

Skimming

This entails reading a text quickly to get the overall or general meaning. In other words, it is running your eyes over large chunks of text to gain a general idea of the text. Rapid reading/tells you what general information is within a section.

Whenever you want to read a newspaper for example, what is the first thing you normally do? I am sure you go through the newspaper very fast to get the main highlights. That is skimming. Skimming enables one to get a feel of what they will read so that once they start reading, they will not have the urge to keep on jumping from one page to the next.

Scanning

This is the skill of sweeping your eyes over a part of a text to get specific information/reading rapidly

in order to find specific facts/helps you locate a particular fact. When reading, we scan a text quickly to look for the key pieces of information such as names and dates.

Guessing the meaning of unknown vocabulary

When reading, one may not know all the vocabulary that they are going to encounter in the text. One should therefore try working out the meaning of unknown vocabulary within a sentence by also looking at the sentence as a whole and the how the word has been used in the sentence.

4.3 Extensive Reading

4.3.1 Definition of Extensive Reading

Extensive reading is used to obtain a general understanding of a subject and includes reading longer texts for pleasure and story books. It requires one to read a wide variety of texts. One can use extensive reading skills to improve general knowledge of the information one already has. Extensive reading should be used to expose the learner to different types of literary works. It should also facilitate the study of emerging issues in society. This may be achieved through reading of literary and non-literary materials on issues such as health and sanitation and environmental conservation.

Extensive reading can also help learners to improve their reading skills, such as fluency and comprehension. When learners read extensively, they read books or materials that are enjoyable and accessible.

The following statements are true about extensive reading. Extensive reading is:

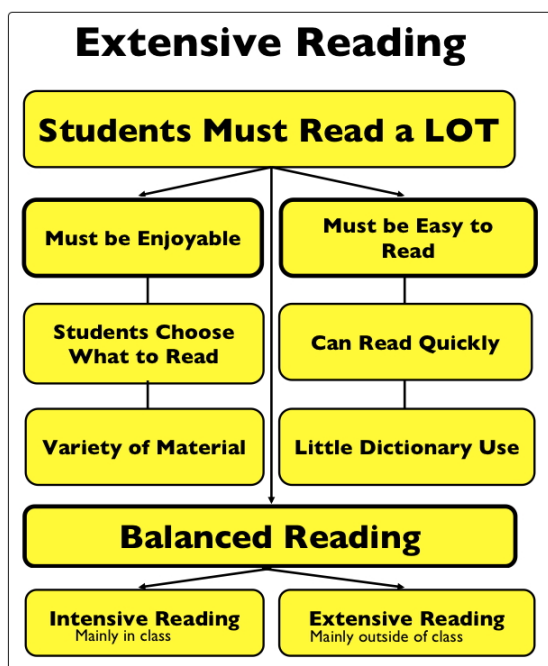
- Reading in quantity, outside the classroom, to get a general understanding of a text. This approach to reading is used when encouraging students to read widely, especially outside of class, at their independent or free reading level. Extensive reading is also known as pleasure reading, since its purpose is free, independent reading that is not overly dependent upon either teacher or dictionary.
- Wide reading for enjoyment and improving reading and interpretation skills.
- Reading for pleasure or information gathering instead of reading to increase language knowledge.

- Silent reading or free voluntary reading that is used to improve language learning performance.

Extensive read

Through reading extensively, you as a student:

- Become a better reader.
- Learn vocabulary.
- Become a better writer since you will acquire a wide range of vocabulary.
- Improve your overall language competence.
- Will be more motivated to read.
- Develop the competence of learning to learn or learning on your own.



4.3.2 Some materials that can be used for extensive reading

- Novels
- Plays
- Story books
- Newspapers
- Magazines
- Journals
- Comics
- Reference books
- Encyclopedia

4.3.3 Sources of materials for extensive reading

- School library
- Public or local library
- Resource centre
- Online sources
- Friends
- Parents
- Donations

Activity

Spare some time to read a variety of materials that interest you. Target to read at least one book every week. Ensure you select materials that are easy to read. In order to track the materials, you read, keep a journal in which you enter some of the following details as may be necessary:

- Title of material read
- Number of pages (where applicable)
- Short summary of the story or content
- What you learnt from the material
- What you found interesting about the material.

4.4 Intensive Reading

4.4.1 Definition of Terms

Intensive reading

This involves reading in detail with specific learning aims and tasks. During intensive reading, one pays attention to details such as the vocabulary, the flow of ideas, how characters interact with one another among others. This is geared to comprehending the text.

Meaning of the term comprehension

The term to comprehend means to understand. A student is supposed to go through passages from various sources such as journals, stories and magazines and answer questions. The reading materials mostly cover a variety of issues ranging from economic and social, to political aspects of life. One requires a range of comprehension skills for him or her to be able to answer the given questions correctly. One needs to read through a passage very fast to get the general idea, then a second time for the details. There are various types of comprehension questions.

- Define or explain the meaning. Here, one is encouraged to use short sentences to say what the word, phrase or sentence means. It is advisable to get the meaning from context and not from the dictionary.
- Context questions - These questions which are based on a given excerpt and answers are mostly found within the passage.
- Arguments - The answers will be based on the evidence or reasons given in a passage.

4.4.2 Comprehension Strategies

When engaging with texts, students should use the following strategies:

a) Activating and Using Background Knowledge in which readers apply their background knowledge (what they already know or their experiences) in trying to comprehend what they are reading.

b) Generating and asking questions

In this strategy, readers ask themselves pertinent questions in reading the text. This strategy assists readers to combine information, recognize main ideas, and summarize information. Asking appropriate questions permits successful readers to concentrate on the most important information of a text (Wood, Woloshyn, & Willoughby, 1995). Creating relevant questions helps good readers to concentrate on difficulties with comprehension and to take the necessary actions to solve those problems.

c) Making inferences

This refers to drawing conclusions from the text that one has read.

d) Predicting

Readers are able to gain meaning from a text by making educated guesses. During reading, successful readers can make predictions about what will occur next, or what opinions the writer will offer to support a discussion. Readers try to assess these predictions and change any prediction that is not approved by the reading.

Before reading, predict what the story or the text will be about by:

- Studying the title
- Looking at the picture on the cover
- Going through the rest of the pictures quickly
- Reading the first line of each chapter.

Predicting makes reading easier since your already have an idea of what the story or book is about. You will therefore be able to concentrate on what you are reading.

e) Summarising

Summarizing is a reading strategy that allows readers to remember text rapidly. summarising means recalling the main points or ideas. A reader must first learn to sequence a text, retell a text using the language of the text, then put it into their own words (paraphrase) and finally select the most important ideas to sum up what the author has told them.

Why is summarising important?

Summarising will help you to:

- Learn to determine essential ideas and consolidate important details that support them.
- Focus on key words and phrases of an assigned text that are worth noting and remembering.
- Take a large selection of text and reduce it to the main points for more concise understanding.

How to summarise a text

- Begin by reading the text carefully or listening to a text.
- Get answers to these questions:
 - What are the main ideas? Why did the author write the text?
 - What are the crucial details necessary for supporting the ideas?
 - What information is irrelevant or unnecessary?
- Use key words or phrases to identify the main points from the text.
- Change the structure of the text.
- Rewrite the main ideas in complete sentences.
- Check your work.

f) Visualizing

Readers can make mental picture of a text to comprehend processes they face during reading. This skill shows that a reader perceives a text. Readers who form a mental image as they read are better able to remember what they have read than those who do not image.

Visualising is very important when it is used for narrative texts. When readers read narrative texts, they can easily understand what is happening by visualising the places, characters, and their actions. It can also be used for the reading of expository texts.

g) Comprehension Monitoring

In this strategy, readers have the ability to know when they comprehend what they read, when they do not perceive, and to apply suitable strategies to make better their understanding. Successful readers know and check their thought processes as they read. Some of the ways you can use to check understanding are:

- Answering recall questions
- Answering inference questions
- Retelling what you have read
- Summarising
- Note making

Activity: Reading comprehension

Use the link below to practise using the comprehension strategies. Answer the questions that follow each passage.

<https://www.pinterest.com/pin/209980401357056208/>

4.5 References for Further Reading

- Nelson, G. & Greenbaum, S. (2016) An Introduction to English Grammar 4th Edition. Routledge
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- Unubi, A (2019). Conjunctions in English. Meaning, types and uses.

5.0 WRITING

5.1 Specific Learning Outcomes

At the end of this topic the trainee should be able:

- i. Explain the spelling rules
- ii. Discuss the sentence building skills and paragraphing
- iii. Discuss punctuation
- iv. Explain the types of writings
- v. Discuss institutional writing
- vi. Discuss business writing

5.2 Spelling Rules

5.2.1 Definition of Spelling

Spelling is a very important aspect of writing. It is the process of writing a word or naming the letters in a word. Spelling can be done verbally or in written form.

A student who has mastered spelling is likely to be efficient in reading. Due to the irregularity of the alphabetic systems used in English, English spelling is a bit complex. For instance, in English, one cannot predict pronunciation from spelling. English has very many ways of representing the same sound. A sound can be represented by different letters, or some letter combinations can represent one sound. For example:

cat	- the letter c is pronounced as /k/
place	- letter c is pronounced as /s/
chocolate	- letter c is pronounced as /k/
ache	- letter c is pronounced as /k/

Due to this irregularity student may find it challenging to spell words correctly in English.

5.2.2 Significance of Spelling

A single spelling error can change the meaning of a word. Good spelling knowledge is therefore important for effective word recognition which greatly enhances reading and writing.

Poor spelling can be a barrier to reading. For example, if one is reading a text that has so many spelling errors, he or she may not follow the thoughts of the writer well.

In conclusion, for one to get mastery in English language there is need to identify its spelling rules. It is also important to note the differences between British English and American English, for consistency in writing.

5.2.3 Nature of English Spelling

Spelling combines simplicity with consistency, for example in alphabetic writing, the same sound is regularly represented by the same character and a given character is always represented by the same sound. However, none of the given European language including English has acquired this characteristic fully.

5.2.4 Complexities in Spelling

A. Spelling of vowels sounds, for example,

The combination of letters ou as in:

through	loud	rough	famous
---------	------	-------	--------

The long vowel /i:/ can be spelt in many ways as in:

Believe	machine	be	see
Key	fine	time	idea

The short vowel /a/ can be represented in words such as:

Father	far	bag	axe
An	are	hat	pan

B. Spelling of consonant sounds, for example,

Combination of /gh/ gives different pronunciations such as:

though	- gh is silent
enough	- gh sounds as /f/
ghost	- gh sounds as /g/

Consonant /f/ has various representations such as:

far	laugh	pharmacy
-----	-------	----------

Sound /sh/ has many of spellings such as:

shoe	sugar	nation
suspicion	ocean	conscious
pleasure	-----	-----

In some words, the sound /k/ is silent

knee	kneel	knit
knife	knock	know

C. English has many homophones. A homophone is a word that is pronounced the same but it has different meaning. For example:

- Rose flower and rose past tense of rise
- Carat, caret and carrot
- Weather and whether
- Further and father

Homophones may lead to students confusing the correct spelling in a writing. Always master the spelling of these words and use them correctly in sentences.

D. English has many words borrowed from other languages and the spelling of these words has been retained in their original form. Examples include:

restaurant	French
fiancé	French
cookie	Dutch
banana	Portuguese
chaos	Greek
safari	Arabic

E. Spelling variations between British and American English

There is a slight difference in spelling of British and American English. When you write, ensure consistency. This means that if you wish to use British English, do so for the whole document.

Examples:

British English	American English
behaviour	Behavior
colour	color
honour	favor
flavour	honor

5.2.5 Spelling Rules

To get mastery of English one can use the rules of spelling extracted from 'The Penguin Spelling Dictionary (1990) and Summary of Spelling Rules and Generalizations' as given in 'Spelling Skills Builder (2004)' as listed below:

- Nouns are pluralised by adding -s and for nouns ending in -s, -x, -z, -ch, -sh, add -es:

Examples:

bag – bags
pot – pots
box – boxes
bunch – bunches
bush – bushes

- Nouns ending in -f and -fe either have the plurals ending in -s or -ves e.g.

chief – chiefs
knife – knives
safe – safes
wife – wives

- Nouns ending in -i usually form regular plurals but a few have the plural ending in -ies e.g.
Chilli – chillies

- Nouns ending in -is either form regular plurals or having the plural ending in -es e.g.

iris – irises
basis – bases

- Most nouns ending in -o either form regular plurals (adding s) or have the plural ending in -es e.g.

Examples

photo – photos
potato – potatoes

- v) Nouns ending in –y have their plurals ending in either –y or –ies

Examples

key – keys
toy – toys
donkey – donkeys
baby – babies

- vi) Some nouns remain the same in their plural form e.g.

deer – deer
sheep – sheep
music – music
time – time

Activity: Group work

In your groups, use the link below to go through other spelling rules and to be able to spell words correctly. Make a list of words you find difficult to spell.

<https://howtospell.co.uk/top-ten-spelling-rules>

5.2.6 References

- <https://www.grammarly.com/blog/plural-nouns/>
- https://www.researchgate.net/publication/283664530_English_Spelling_and_its_Difficult_Nature
- Bolton, F. and Snowball, D. 1993. Teaching Spelling: A Practical Resource. Portsmouth, NH: Heinemann Educational Books.
- Kareema, F. and Ismail, M. (2013). Conference Paper, The English Spelling and its Difficult Nature: SEUSL, Oluvil, Sri Lanka Vol. 2.

5.3 Sentence Building Skills and Paragraphing

Writing is a literacy skill that requires students to develop ideas, organise them, and compose a draft that will answer to a question, an assignment or goal that will satisfy specific writing purposes.

Writing requires the following:

- Evaluation and revision of ideas across sentences, paragraphs, and pages to ensure the message is well delivered to the readers.
- Ability to express oneself in accordance with a specific language system.
- Following the rules of grammar and sentence structure.

Note the following when writing:

- Sentences should not be too complex.
- The ideas should be well connected.

This will help the reader to comprehend what has been written easily.

It is therefore important for a student to develop sentence construction skills systematically so as to write clearly and have varied sentence structures.

5.3.1 Sentence Writing Skills

When writing in English you need to ensure that your sentences have the 4Cs of writing. That is your sentences should be:

- a. Clear
- b. Concise
- c. Correct
- d. Coherent

Ensure that your thoughts are flowing on paper because this will enable the reader to follow what you are writing. The sentences you are using need to have the following in order to create variety:

- A subject (S) (what is being talked about)
- A verb (V) (the action or doing words)
- An object (O) (what is being referred to)
- An adverb (A) (how the action is done)

Activity: Sentence construction

Construct sentences using a subject, a verb and an object.

Examples

I saw the girl.

S V O

I saw the girl who walked slowly.

S V O A

5.3.2 Developing Writing Skills from Sentences to Paragraphs

A paragraph is a group of related sentences that develop a single idea. Paragraphs are not mere arbitrary divisions of words and sentences. A paragraph may consist of a single sentence or many sentences. The divisions are according to introduction or change of ideas. The beginning of a new paragraph marks a change in the topic or step in the development of an argument. Paragraph structure may be guided by the following:

- a) Unity** – Each paragraph must deal with one topic or idea. In an essay, every sub-heading should have its own paragraph and every sentence must be closely connected with the topic of the paragraph. Every part of the paragraph must be an expression of one idea. The first sentence must be the topic sentence, that is, the sentence that states the main idea in the paragraph.
- b) Order** – This is the logical sequence of thoughts as one develops the subject. Events must be related in the order of their occurrence. All ideas should relate to the leading idea and then arranged in order of importance. The first sentence must introduce the idea or topic and arouse the interest of the reader, while the last sentence should conclude or sum up the idea.
- c) Variety** – Avoid monotony by varying sentence construction and lengths.

Activity: Explanation and discussion

- a) Explain the 4Cs of writing.
- b) Discuss various types of sentences a learner needs to be exposed to before writing a paragraph.

5.3.3 References

- Traga Philippakos Zoi, A. (2019) Sentence construction: Supporting Elementary Students' Editing Skills, The Language and Literacy Spectrum: VOL. 29:Iss.1, Article 3.
- <https://digitalcommons.buffalostate.edu/lls/vol29/iss1/3>
- <https://englishwithatwist.com/2014/12/01/english-writing-skills-sentences-structure-in-english/>
- 16 Wolf, J (2017) Developing Writing Skills from sentences to paragraphs
- <https://www.indstate.edu/education.instate.edu/files/Developing%20Writing%20Skills%20from%20Sentence%20to%20Paragraphs.pdf>

5.4 Punctuation

Punctuation marks are pauses or gestures used to clarify meaning of words. They are signals to the reader that indicate a pause, place, or emphasis. They alter the function or show the relationship between elements of the text.

5.4.1 Importance of Punctuation Marks

- a) They facilitate the reading of a reader and prevent confusion and overlap between sentences and words.
- b) If properly used, they will help the reader understand what is written.
- c) They give the intended meaning to a language. If wrongly used, they can distort the intended meaning and can sometimes change the sentence so that it becomes nonsensical.

5.4.2 Examples of punctuation marks and their usages:

1. Comma (,)

- a) When a subordinate (less important clause) comes before the main clause e.g. If you do not go, help me.
- b) To separate phrase in apposition (describing the same person or thing mentioned earlier) e.g., Mr. Brown, the doctor, has travelled to America.
- c) To separate items in the same list e.g. He travelled to Canada, Kenya, Saudi Arabia and Australia.

2. Full stop (.)

- a) It is used at the end of a sentence and the next sentence should begin with a capital letter e.g., John felt tired. He went to sleep early.
- b) Used with abbreviations e.g., Mr. Prof.
- c) Used with acronyms e.g., B.B.C. (British Broadcasting Cooperation).

3. Colon (:)

It indicates what follows is an explanation of what precedes it e.g. They have some news about the accident: John's father has passed on.

It introduces a list of items e.g. To travel you need the following: a passport, an application, and the correct documents.

4. Semi colon (;)

- a) It joins two independent but related clauses

or sentences e.g. She is a good writer; she has published several books.

- b) It separates clauses of conjunctive adverbs such as however, therefore, and moreover e.g. We shouldn't go to the show; however, I do hear that they have good cakes.

5. Quotation Marks ("")

- a) They are used in direct speech e.g., Angela said, "I cannot eat fish."
- b) They are also used to set off title of works of writing e.g. I read the play 'An Enemy of the People'.

6. Apostrophe (')

- a) It refers to possessive singular or plurals e.g. The boys' shirts (Plural) and The student's books (singular)
- b) Used when telling time e.g. It is eleven o'clock.
- c) Used to show that letters are missing e.g. You're (short from of you are.)

7. Exclamation mark (!)

Signals an expression of strong excitement, shock, and other emotions.

Examples

- a) Bravo! We have won.
- b) What a wonderful day!
- c) Ouch! I have hurt my arm!

8. Ellipsis (...)

- a) Shows that a speaker has been cut off abruptly e.g., 'Whatever you do, don't ...'
- b) Indicates a trailing of speech e.g. We could do this ... or may be ...

9. Slash (/)

- a) Is used for fractions e.g., 1/2(half), 3/4(three quarter).
- b) Used to separate the day, month, and a year e.g. She was born on 18/03/2021.

10. Question mark (?)

- a) Used at the end of a question e.g. Who is calling?
- b) Used with question tags e.g. I am coming, aren't I?

11. Hyphen (-)

- a) May separate a prefix from the root word e.g., Pre-school, co-opt T-shirt.
- b) It may join compound words e.g., twenty-one, long-term, mother-in-law

12.Parenthesis (())

These are used to include extra information in a sentence e.g. The football captain (who is in his second year) is very humble.

They are also used to give additional information that is non-essential in a sentence e.g., South Africa, Zambia, and Tanzania (but not Rwanda) will participate in the tournament.

Activity: Practice exercise and discussion.

- a) Practise using punctuation marks in the sentences.
- b) What happens when you omit punctuation marks in your writing?

5.4.3 References

<https://www.skillsyouneed.com/write/punctuation1.html>

5.5 Types of Writings

5.5.1 Meaning of the term writing

Writing is an advanced language skill which requires a person to:

- Communicate ideas effectively.
- Acquire skills to express ideas clearly.
- Be organised, logical and creative in thinking.

5.5.2 Types of Writing

There are several types of writing that are necessary both for life-long learning and to be able to fit in day-to-day interactions and in the world of work. These types of writing are outlined below:

1. Creative Writing

Creative writing is the art of “making things up”. It is any writing that is original and self-expressive. A news article, for example, cannot be considered creative writing because its main goal is to present facts and not to express the feelings of the writer. While a news article can be entertaining, its main purpose is to present the facts.

The purpose of creative writing is to both entertain and share human experience. If you'd like to try your hand at creative writing, just keep in mind that whether you are trying to express a feeling or a thought, the first step is to use your imagination.

Types of creative writing include: narratives, poems, description, plays, songs, speeches, personal essays among others.

Below are two pieces of writing.

A

The road to our village has become muddy and unpassable. As a result, the County Government has decided to tarmac the existing road and build gulleys that will divert rainwater from the roads to the sides. Work on the road will start in a month's time. The contractor has asked youth from the area to apply for construction work. This will help reduce the unemployment in the village. The rate of crime will also go down. Once the road is complete next year, the economy will improve because farmers will be able to sell their coffee produce easily.

B.

The girl began to cough loudly. She knew that she

should have gone to hospital as soon as she started coughing two days ago. However, she could not because she had no money at all. Her mother, Mama, was still away in the fields tilling the land. Her father had gone to work in the mines two weeks earlier. He had not come back.

“What should I do now?” she wondered, holding back her cough.

Just then, she heard her mother's familiar footsteps. “Hello, my daughter. How are you feeling now? Have you eaten anything?” Mama asked.

“No, Mama. What have you brought from the farm?” asked the young girl.

“Today I was very lucky. I met Your uncle near the farm, and he helped me dig up some yams. He also found some herbs in the bush for your cold. Let's go inside and prepare the yams. After you have eaten, I will boil the herbs for you to take. Then you will go and rest.”

“Thank you, Mama. You are the best,” said the young girl.

Mother and daughter went in. They were both hopeful that all would be well.

Questions

- Which piece of writing falls under creative writing.
- Give reasons for your answer. Use examples from the text to support your answer.
- Now, create your own story.

2. Public Writing

Public writing is the process of non-academic writing for a general audience in a structured deliberate manner intended to inform, influence, or entertain the audience. Examples include telephone messages, filling in forms and formal letters including letters of apology, application letters and letters of inquiry.

Example: Application to join a college club

Bright Vocational Training Institute
P.O. Box 345
BOLITO
10th January, 2021

The Patron
Journalism Club
P.O. Box 345
BOLITO

Dear Madam,

RE: APPLICATION TO JOIN THE JOURNALISM CLUB

I am a first-year student in Bolito Vocational Training Institute and I enjoy writing very much.

I hereby apply to join the Journalism Club in the Institute.

In my former school, I was a member of the journalism club. I wrote several articles for the school magazine, and I have also written several Children's stories which have been published.

I look forward to your positive response.

Yours faithfully,
John Lusaka

Activity 1: Writing a job application letter

Search for a job advertisement from a newspaper. Use the advertisement to apply for a job.

Activity 2: Filling in forms

Source for a form on-line, download it and fill it.

5.5.3 Institutional Writing

This is writing which aims at conveying a specific, direct, and clear message to a specific audience. Functional writing includes

Public notices Inventories Curriculum vitae Speeches	Business letters Posters Advertisements	Notification of meetings Agenda Minute writing
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Characteristics of Institutional writing

- Unlike creative writing, it follows a certain format.
- Write in a clear and concise style.
- Avoid long sentences.
- Use language that is free of grammatical errors.

Example 1: Business letters

Formal letters are also referred to as business or official letters. Letter writing forms part and parcel of our everyday lives. It is, therefore, important that we learn how to write letters correctly. This is more so for official letters, where mistakes in language use and the format may cost you an opportunity.

Writing formal letters is an important skill since in our day-to-day lives, we will be required to write:

- a) Application for an employment.
- b) A letter of apology.
- c) Application for admission in an institution.
- c) Application for sponsorship or for a bursary.

Just like all types of public writing, formal letters have a format that should be followed. A formal letter has the following parts:

- The writer's address and date.
- The receiver's address.
- The salutation, for example, 'Dear Sir or Dear Madam' should be directly below the address of the receiver.

- The heading or reference which should be brief, in capital letters and underlined. In a busy office, it is useful for people to get the main purpose of the letter immediately.
- The body which gives the message of the letter in a brief and clear manner.
- The ending or closing tags for example, 'yours faithfully'. If the writer is well known to the addressee, (for example, in the case of a student/tutor relationship) he or she can end with yours sincerely.
- The writer's signature and name should come immediately after the closing tag

To get a sample of a formal letter use the link below:

<https://www.pinterest.com/pin/554435404109781954/>

Note

The first sentence of a business letter should explain why the communication is being made. Official letters should be short and to the point and the language used should be courteous.

A letter reveals a lot about one's personality, thus the letter should be neat, clean, and clear as this suggests an organized person. A dirty, disorganized, and ungrammatical letter is likely to annoy the addressee.

Example 2: Speech

Speech writing

A speech is a public talk or a formal address on a specific subject and to a particular audience. In a speech, only one person is involved in addressing a group of people, referred to as the audience.

This could be during the College Closing Ceremony, a national celebration among others. The speaker should ensure that his or her speech is well organized so that his topic can be understood.

A speech has three basic parts, namely, the introduction, body, and conclusion.

Student Graduation Speech

Good morning family, friends, faculty, and fellow graduates.

Well, we did it. We all accomplished one of the major early milestones of our lives: high school graduation. This is a major step in the journey of our lives, one that should be recognized for its immense significance. It is an act not only of personal commitment, but also one of pride. We all worked hard to get to this day, and our work did not go to waste. A high school diploma is a wonderful tool in this world, one that opens many doors of opportunity for anyone who is lucky enough to have one.

But graduation is not an end goal in itself; it is instead a part of the larger journey of life. Wherever your future takes you, let it take you somewhere. Life is a journey, and all accomplishments we achieve during its course should be taken as starting points for further achievements. Our graduation should serve as such a launching point, projecting us to wherever our futures are meant to take us, whether we land ourselves a career, take up a trade, or continue our education at college or Vocational/technical School.

But before we can begin to reach for the stars, there is one more personal milestone that we all need to reach. Most people who graduate from high school experience only one graduation—that from high school. But we all have one more shortly ahead of us. We've already shown our commitment to personal growth through making it to this ceremony today, but soon, all of us will experience another ceremony when we graduate from our programs. As I said before, life is a journey—we don't stop growing once we get our diplomas. Life is *about* growing, and being in our programs gives each of us new opportunities to continue growing and to learn new skills that we will carry with us for the rest of our lives.

And we don't have to stop there! This graduation has already shown us how capable we all are of accomplishing our goals when we commit ourselves to them. I hope all of us here today can take this personal accomplishment as an example of how anything is truly possible when we put our minds to it. As we all continue on in our lives, let us take each new problem on with confidence, knowing that we have achieved great heights and are equipped with the necessary tools to tackle our futures.

Activity 1: completing a speech

Search from the Internet for ways of completing a speech and complete the speech above.

Activity 2: Writing other types of Institutional writing

Practise writing other types of Institutional writing, as indicated in table above.

5.5.4 References

<https://kcpe-kcse.com/wp-content/uploads/2017/05/FUNCTIONAL-WRITING-NOTES-F1-4.pdf>

5.6 Business Writing

5.6.1 Definition of the Term Business Writing

Business writing is a type of writing that is used in a professional setting. It is a purposeful piece of writing that conveys relevant information to the reader in a clear, concise, and effective manner. It includes client proposals, reports, memos, emails, and notices. Effective business writing is a critical aspect of effective communication in the workplace.

Business writing can be used for the following purposes:

- To inform as in the case of a memo
- To instruct as in the case of a manual
- To persuade as in the case of a proposal or an email
- To do business, for example, using invoices, email, or forms to do business.

5.6.2 Principles of Good Business Writing

1. Clarity of purpose

Before beginning a business document, memo, or email, one should ponder two primary questions:

- Who is the reader?
- What do I want to convey to the reader through my writing?
- Clarity of purpose gives a direction to the writing and develops its tone, structure, and flow.

2. Clarity of thought

Thinking while, rather than before writing, makes the writing less structured, meandering, and repetitive. Business writing requires the skill to reduce long, rambling sentences into concise, clear ones. One needs to extract what is significant to write clearly.

3. Convey accurate and relevant information

The primary goal of business writing is to convey valuable information. Inaccurate or irrelevant content affects the purpose of the document. For effective business writing, information must be value-additive and complete.

4. Avoid jargon

A simple and uncluttered writing style goes a long way in communicating the message to the reader. Grandiose writing full of industry-specific buzzwords and acronyms should be avoided to the maximum possible extent. Otherwise, the reader may be unable to comprehend the document or lose interest in it.

5. Read and revise

Reading the passages out loud after completion can reveal flaws and gaps in the arguments. It is recommended to welcome constructive feedback from colleagues and revise the document for improvement.

6. Practice is the key

Proficiency in business writing can be attained through regular practice. Paying attention to the vocabulary, sentence structure, and style of writing while reading can help to develop the same instinct while penning one's thoughts down.

7. Be direct

Presenting what you wish to say in the first 150 words is a good idea when it comes to business writing. It saves the reader time and sharpens the argument. If the meaning can be conveyed in three words, it should not be stretched to five.

8. Correct grammar and sentence structure

Good grammar portrays both attention to detail and skill – traits that are highly valued in business.

9. Easy to scan or read

Business executives value a document that can convey its message in a cursory glance. Business documents can be enhanced through the use of numbered or bulleted lists, clear headings, concise paragraphs, and judicious use of bold formatting to highlight the keywords.

Points to note

- Clearly stating your purpose
- Use concise or straight to the point language
- Know your audience
- Organise your ideas thoughtfully
- Make use of the active voice
- State facts instead of opinions
- Keep your writing free of errors

5.6.3 Reference

<https://corporatefinanceinstitute.com/resources/careers/how-to-job-guides/business-writing/>

5.7 References for Further Reading

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UNIT 5:

EMPLOYABILITY SKILLS

Table of contents

UNIT 5: EMPLOYABILITY SKILLS	292
1.0 UNIT OVERVIEW	292
1.1 . . Unit Description	292
1.2 . . Summary of General Learning Outcomes	292
2.0 SELF MANAGEMENT	292
2.1 . . Specific Learning Outcomes	292
2.2 . . Meaning of Self-Management	292
2.3 . . Formulating Personal Vision, Mission and Goals	293
2.4 . . Self-Management Skills	295
2.5 . . Strategies for Overcoming Life Challenges	297
2.6 . . Self-Awareness	297
2.7 . . Expressing Personal Thoughts, Feelings and Beliefs	300
2.8 . . Development and Maintaining High Self-Esteem	300
2.9 . . Developing and Maintaining Positive Self-Image	302
2.10 . Self-Development	302
2.11 . Healthy Lifestyles Practices at the Workplace	303
2.12 . Learning Activities	306
2.13 . Self-Assessment Questions and Activities	307
2.14 . References	308
3.0 EMOTIONAL INTELLIGENCE	309
3.1 . . Specific Learning outcomes	309
3.2 . . Meaning of Emotional Intelligence (EI)	309
3.3 . . Importance of Emotional Intelligence	309
3.4 . . Emotional Intelligence Domains	309
3.5 . . Effects of Low Emotional Intelligence	311
3.6 . . Techniques to Manage Emotions	311
3.7 . . Learning Activities	313
3.8 . . Self-Assessment Questions and Activities	314
3.9 . . References	315
4.0 TOPIC 3: WORK LIFE BALANCE (WLB)	316
4.1 . . Specific Learning Outcomes	316
4.2 . . Concept of Work Life Balance (WLB)	316
4.3 . . Purpose of WLB	316
4.4 . . Causes of Work Life Imbalances	316
4.5 . . Consequences Brought About by Lack of Work Life Balance	317
4.6 . . Process of Achieving WLB	318
4.7 . . Strategies of Coping with Competing Demands	320
4.8 . . Learning Activities	322
4.9 . . Self-Assessment Questions and Activities	322
4.10 . References	323
5.0 WORK PERFORMANCE	324
5.1 . . Specific Learning Outcome	324
5.2 . . Meaning of Work Performance	324
5.3 . . Performance Management Defined	324
5.4 . . Benefits of Performance Management	325
5.5 . . Aims of Performance Management	326
5.6 . . Performance Management Process	326
5.7 . . Setting Performance Targets	327
5.8 . . Developing Work Plans	327
5.9 . . Setting Work Priorities	328
5.10 . Performance Monitoring and Evaluation	329
5.11 . Learning Activities	334
5.12 . Self-Assessment Questions and Activities	334
5.13 . References	335

6.0	PROFESSIONAL GROWTH AND DEVELOPMENT	336
	6.1 . . Specific Learning Outcome	336
	6.2 . . Overview of Professional Growth and Development	336
	6.3 . . Avenues for Professional Growth and Development	337
	6.4 . . Continuous Professional Development (CPD) Programmes	338
	6.5 . . Continuous Professional Development (CPD) Programme in Logistics Sector	339
	6.6 . . Professional Development Plan (PDP)	340
	6.7 . . Learning Activities	342
	6.8 . . Self-Assessment Questions and Activities	342
	6.9 . . References	343
7.0	LEADERSHIP AND TEAMWORK	344
	7.1 . . Specific Learning Outcome	344
	7.2 . . Definitions in Leadership	344
	7.3 . . Leadership Characteristics / Traits	344
	7.4 . . Difference Between Manager and Leader Manager Leader	346
	7.5 . . Leadership and Credibility	347
	7.6 . . Qualities of Leadership	347
	7.7 . . Criteria for Effective Leadership	349
	7.8 . . Leadership Styles	349
	7.9 . . Teamwork	354
	7.10 . Learning Activities	357
	7.11 . Self-Assessment Questions and Activities	358
	7.12 . References	359
8.0	PROBLEM SOLVING SKILLS	360
	8.1 . . Specific Learning Outcome	360
	8.2 . . Introduction to Problem Solving	360
	8.3 . . Barriers to Problem Solving	360
	8.4 . . Problem Solving Skills	360
	8.5 . . Qualities of Good Problem Solvers	361
	8.6 . . Steps of Problem Solving	361
	8.7 . . Learning Activities	363
	8.8 . . Self-Assessment Questions and Activities	363
	8.9 . . References	364
9.0	PERSONAL FINANCIAL MANAGEMENT	365
	9.1 . . Specific Learning Outcome	365
	9.2 . . Meaning of Personal Financial Planning	365
	9.3 . . Benefits to Personal Financial Planning	365
	9.4 . . Financial Planning Process	365
	9.5 . . Personal Short- And Long-Term Goals	366
	9.6 . . Preparation of a Personal Budget	367
	9.7 . . Savings and Investment in Personal Financial Planning	368
	9.8 . . Learning Activities	369
	9.9 . . Self-Assessment Questions and Activities	369
	9.10 . References	370
10.0	CRITICAL SAFE WORK HABITS	371
	10.1 . Specific Learning Outcome	371
	10.2 . Stress and Stress Management	371
	10.3 . Time Management	375
	10.4 . Practices to Manage HIV and AIDS	381
	10.5 . Drugs and Substance Abuse	385
	10.6 . Learning Activities	391
	10.7 . Self-Assessment Questions and Activities	391
	10.8 . References	392

11.0	OFFICE BEST PRACTICES	393
	11.1 . Specific Learning Outcome	393
	11.2 . Definitions of Key Terms	393
	11.3 . Functions of an Office	393
	11.4 . Office Layout	394
	11.5 . Types of Office Layout	394
	11.6 . Factors to Consider When Setting an Office	395
	11.7 . Office Equipment and Resources	395
	11.8 . Office Management Basics	396
	11.9 . Office Etiquette	397
	11.10 Learning Activities	398
	11.11 Self-Assessment Questions and Activities	398
	11.12 References	399
12.0	RECORDS MANAGEMENT	400
	12.1 . Specific Learning Outcome	400
	12.2 . Concepts of Records Management	400
	12.3 . Elements of a Records Management System	400
	12.4 . The Purpose of Records Management	402
	12.5 . The Importance of Records Management	403
	12.6 . Types of Records Maintained by Clearing Firms	403
	12.7 . Records Filing System	403
	12.8 . Automated Records Management Systems	406
	12.9 . Relevant Legal Requirements in Records Management	409
	12.10 Learning Activities	410
	12.11 Self-Assessment Questions and Activities	410
	12.12 References	411

LIST OF ABBREVIATIONS AND ACRONYMS

UNIT 5: EMPLOYABILITY SKILLS

1.0 UNIT OVERVIEW

1.1 Unit Description

This unit covers competencies required to demonstrate self-management skills. It involves conducting self-management, managing emotions, achieving work-life balance, critical safe work habits, managing personal finances, performing at work, planning and organizing self to work and managing office records.

1.2 Summary of General Learning Outcomes

At the end of the unit, the trainee should be able to:

1. Conduct self-management
2. Manage Various Emotional States
3. Achieve Work Life Balance
4. Perform at Work
5. Manage professional growth and development
6. Instil leadership and teamwork in self and the team
7. Manage Personal Finance
8. Demonstrate critical safe work habits
9. Plan and organize work
10. Manage Office Records

2.0 SELF MANAGEMENT

2.1 Specific Learning Outcomes

- i. Explain the meaning of self-management
- ii. Formulate personal vision, mission and goals
- iii. Make strategies for overcoming life challenges
- iv. Demonstrate Self-awareness
- v. Express personal thoughts, feelings and beliefs
- vi. Develop and maintain high self-esteem
- vii. Develop and maintain positive self-image
- viii. Practice Healthy lifestyles

2.2 Meaning of Self-Management

Self-management is the process to design your identity and encourage yourself and others to

accomplish the predetermined goal on time. Self-Management is the responsibility that one takes of their behavior and own wellbeing. Self-management is also referred to as “self-control” or “self-regulation,” is the ability to regulate one’s emotions, thoughts, and behaviors effectively in different situations. This includes managing stress, delaying gratification, motivating oneself, and setting and working toward personal and academic goals.

Self-management requires a person to know oneself. There are various ways of describing oneself. This involves knowing and understanding oneself in terms of abilities, feelings, emotions, habits or tendencies, positions in life and society, strengths, and weaknesses. Some of the questions are helpful in understanding oneself:

- Who am I?
- How do I relate with myself?
- Where am I coming from in terms of family, social cultural and economic background?
- Where am I now?
- Where am I going?
- How can I get there?

These questions help people to evaluate themselves in terms of:

- Physical attributes
- Intellect
- Strengths and weaknesses
- Personal values, beliefs, goals and ambitions

Self-awareness is having knowledge of oneself in terms of one’s social background, strengths, weaknesses, potential, position in society, likes and dislikes. Knowing oneself promotes self-acceptance and the need to take personal responsibility in decision making and for his/her actions. This skill enables individuals to respond appropriately to various situations such as avoiding drug and substance abuse. Self-awareness is the basis of all life skills as the acquisition and development of other skills depends on how well an individual knows himself or herself. One should honestly evaluate oneself against a given situation in order to enhance self-awareness.

Self-awareness is important in that it enhances interpersonal relationships; promotes self-acceptance and care; enhances achievement of personal goals and promotes high self-esteem.

One should assess self by evaluating oneself in terms of strengths and weaknesses. It is important

for each person to be aware of his or her strengths and weaknesses. People should work towards capitalizing on their strengths and overcoming their weaknesses. However, where the weakness is the result of an attribute that one cannot change then acceptance is very important. For example, if one is physically handicapped, he or she has to accept their attribute.

Self-management has several dimensions as described in the figure below:



2.3 Formulating Personal Vision, Mission and Goals

2.3.1 Goal Setting

This is the ability to determine what you want to achieve in a clear and well-defined manner. Goal setting is a process for thinking about your ideal future and for motivating yourself to turn this vision of the future into reality. It is the process of goal setting that will help you where you want to go in life. Goal-setting is a process by which we identify our goals. It is concentrating on how goals indicate and give direction to an individual about what needs to be done and how much effort is required to be put in to achieve a given task or goal.

Properly set goals can be motivating and as one gets into the habit of setting and achieving goals,

you will find your self-confidence builds fast. Goal setting in the workplace helps you to decide what's important and to create an action plan that will help you achieve goals that align with those values. This skill is necessary to maintain productivity in the workplace because it enables you to manage your time and actions.

2.3.2 Setting Personal Goals

Goals and Goal-Setting means that when we know our goals, we know what direction to take in order to fulfil them. The first step in setting personal goals is to consider what you want to achieve in your lifetime (or by a time at least, say, 10 years in the future).

Personal goal is both short term and long term. Set your goals on at least three (3) levels:

- Create a “big picture” of what you want to do with your life.
- Break them into smaller or short-term targets that correspond to steps you must accomplish to hit your goal.
- Start working to achieve them.

One convenient way of creating your list of goals is to fill in the blanks under the following categories.

- What you want to BE.
- What you want to DO.
- What you want to HAVE.
- What you want to GIVE
- What you Don't want to BE, DO, HAVE, and GIVE

To give a broad coverage of all important areas in your life, try to set goals in all of the following categories: attitude, career education, family, financial, physical, pleasure, public service.

Steps of Setting Goals

- Step 1: Setting Lifetime Goals
 - Career
 - Financial
 - Education
 - Family
 - Artistic
 - Attitude
 - Physical
 - Pleasure
 - Public Service
- Step 2: Setting Smaller Goals. Smaller goals might be to:
 - Read books
 - Gather information about your higher goals, etc.

The goals you set must fulfil the SMART Goal Principle:

- S – Specific (Significant)
- M – Measurable (Meaningful)
- A – Attainable (Action-Oriented)
- R – Relevant (Rewarding)
- T – Time-bound (Trackable)

2.3.3 Challenges That Hinder One from Attainment of Personal Goals

There are many challenges that hinder the attainment of one's goals in life. However, the following are the most common:

- Lack of skill: Some goals like those which are career or business oriented require specific skills. Lack of such skills may hinder attainment.
- Limiting beliefs: Individuals with self-limiting beliefs such as; “I can't make it, people like me never make it” lack the required drive to achieve goals.
- Wellbeing: Individuals with physical and emotional problems may not be in a position to achieve their personal goals.
- Other people: People interacting with an individual like peers, friends, relatives who do not support his/her goals may discourage him/her from working towards achieving them.
- Own motivation: Lack of personal drive to achieve a certain goal may lead to failure
- Time: Lack of sufficient time to work on one's goal may lead to failure.
- Money: Attainment of some goals requires financial facilitation. An example is academic development. Lack of money can hinder attainment of such a goal.
- Fear: Fear of people, failure or venturing into the unknown, makes some individuals unable to attempt to work on achieving some personal goals.

2.3.4 Personal Vision Statement

It is a brief description of who you are; a guiding light; a way to focus your energy, actions and behaviours towards what is most important to you.

A personal vision statement is a brief summary of your ultimate career goal and key attributes. You may also see such statements referred to as “career mission statements” or “career vision statements.”

Vision Statement is a vision statement is a bit more emotional because it defines our core values and how we apply these values to our mission. It also tends to provide the general directions that guide the course of our lives, even the choices we would have to make about our future careers.

2.3.5 Personal Mission Statement

A mission statement defines our purpose. It's what we ultimately want to achieve in our lives or careers, and expressed in a very specific, measurable way. It helps us identify our core values.

A personal mission statement defines who you are as a person (or as a team member where you work) and identifies your purpose, whether that's in the office or simply in life. It explains how you aim to pursue that purpose, and why it matters so much to you.

2.3.6 Personal Values

Personal Values are broad desirable goals that motivate people's actions and serve as guiding principles in their lives. Everyone has values, but each person has a different value set. These differences are affected by an individual's culture, personal upbringing, life experiences, and a range of other influences.

Personal Values helps answer questions:

- What do I want from my life?
- What are my talents?
- At the end of my life, what do I want to have accomplished?

2.4 Self-Management Skills

Self-management skills are the abilities that allow people to control their thoughts, feelings and actions. Self-management skills allow you to maximize your productivity, improve your workplace performance and efficiently achieve professional goals. Improving your self-management skills can help you increase your employability and better manage your career path. If you have strong self-management skills, you're able to set goals independently and take the initiative to achieve them. Purposeful self-management can help you direct the trajectory of your career and ensure you seek opportunities that get you closer to your goals.

2.4.1 Types of Self-Management Skills

Self-management skills focus on personal responsibility in the following areas as illustrated below:

1. **Time management:** Strong time management skills allow you to prioritize tasks, avoid distractions and maintain focus. Effective time management in the workplace helps with setting and meeting deadlines, working on one thing at a time and delegating responsibilities appropriately. Managing your time is an essential part of managing yourself.

2. **Stress management:** Stress management can take many forms, from maintaining a healthy diet and exercise regimen to proactively engaging in activities like meditation or journaling about your experiences. Proactively managing workplace stressors can help you remain calm on the job. Handling stress before it becomes an issue allows you to focus on your goals and make steady progress forward. Managing stress helps you self-manage your emotions and maintain a professional demeanour in the workplace.

3. **Problem Solving:** A systematic approach to defining the problem (question or situation that presents uncertainty, perplexity, or difficulty) and creating a vast number of possible solutions without judging these solutions. It is the ability to accurately identify challenges and risky situations and come up with workable solutions. It involves analysing the causes of the problem and looking for possible options. This enables one to take the best alternative in whatever situation he or she is confronted with. Problem solving is a cognitive processing directed at achieving a goal where no solution method is obvious to the problem solver. Critical thinking is defined as purposeful mental activity that helps formulate or solve problems, make decisions, or fulfil a desire to understand.

4. Confidence

Confidence is a state of being clear-headed either that a hypothesis or prediction is correct or that a chosen course of action is the best or most effective.

Self-confidence is an attitude about your skills and abilities. It means you accept and trust yourself and have a sense of control in your life.

Types of Self Confidence

- **Low Self Confidence:** Low Self Confidence Governing your behaviour based on what other people think. Staying in our comfort zone, fearing failure and to avoid taking risks. Some Points are, "I can't find happiness." This is the paradox that confuses even the smartest people. You need to learn how to set yourself up so that success and happiness find you. "Life has nothing more to offer me." This statement is another mistake that people make. It is a mistake because the statement is inside-out,

in reverse. Instead, it should read: “What do I have to offer life?”

- **Optimal Self Confidence:** Doing what you believe to be right, even if others mock or criticize you for it. Make Decisions with Absolute Confidence. At Optimal Self-Trust you’ll learn how to: Release self-doubt and replace it with self-confidence. Make crisis-time decisions with swift and total clarity. Stop beating yourself up about past choices. Listen to what you want instead of needing others’ approval.
- **Over Confidence:** Over Confidence is often we come across people who are self-confident i.e. egotistic and stubborn. Generally, these people have the so called ‘Superiority Complex’. A condition of over-approximating one’s capacity to perform or under-approximating the capacity of an opponent to perform. An unsupported belief or unrealistically good presumption that a favoured result will arise. Overconfidence is generally not an attractive trait in anyone.

How to Develop Self Confidence?

- Identify your negative thoughts.
- Turn your negative thoughts to positive thoughts.
- Refuse to allow negative thoughts to occur more often than positive thoughts.
- Maintain a positive support network.
- Eliminate reminders of your negativity.
- Identify your talents.
- Take pride in yourself.
- Accept compliments gracefully.
- Look in the mirror and smile.

Advantages of a Strength Self Confidence

- Greater self-worth.
- More happiness and enjoyment.
- Freedom from self-doubt.
- Greater strength and capabilities.
- Freedom from fear and anxiety.
- Freedom from social anxiety.
- More peace of mind and less stress.
- More energy and motivation to act.
- Greater success
- More beneficial and enjoyable interactions with others.

2.4.2 Improving Self-Management Skills

Enhance your self-management skills by actively focusing on ways you can direct, evaluate and improve upon your daily tasks. Here are a few ways you can improve your self-management skills:

- **Assess your strengths.** Determine what professional tasks you’re best at and focus on ways to maximize your abilities in these areas. Understanding your strengths helps you manage your career path in a way that makes the most of skills like coding, technical writing, graphic design, or customer service.
- **Prioritize your responsibilities.** Clearly define which responsibilities are most important, and focus your attention on the most critical jobs, avoiding distractions that draw you away from what matters.
- **Develop organizational systems.** Find effective methods that help you manage your time, streamline your daily activities, and keep important items in easy-to-find places. This step might include using an agenda book, setting up a time-management app on your phone or creating a filing system at your desk.
- **Create strict deadlines.** Assign deadlines to each stage of a project and maintain your schedule. Hold yourself accountable for getting tasks done on or ahead of schedule by committing to put in more hours when needed to reach your self-designated checkpoints.
- **Perform one task at a time.** Focus your time, energy, and abilities on a single task at any given moment. Complete each task fully before moving on to another so that you’re managing your time and effort efficiently.
- **Practice patience.** Maintain a sense of calm so you can think clearly and objectively. Be considerate of others and try to empathize with their needs and experiences to help them more effectively.
- **Take care of your health and wellness.** Maintain a proper diet, exercise regularly, care for your personal hygiene and actively focus on lowering

your stress levels. Take breaks to stretch and clear your mind, keep healthy snacks at work and look for opportunities for physical activities, such as a brisk walk on your lunch hour.

- **Evaluate your progress.** Objectively assess the progress you've made toward your goals by setting checkpoints along the way and tracking your accomplishments to see if you've met them. Ask a mentor for assistance to get a well-rounded appraisal. Use this feedback to improve your self-management going forward.

2.4.3 Self-Management Skills in the Workplace

Carefully managing your activities in the workplace can help you achieve and exceed your professional goals. Use the following tips to practice self-management in the workplace and maintain a productive and efficient schedule:

- Arrive at meetings on time and fully prepared: If you know a meeting is coming up, collect all the information you may need and prepare the questions you may want to ask ahead of the meeting. You can also review your questions and notes in the hour before the meeting to ensure you are focused on the meeting's goals and can be a collaborative contributor.
- Plan for the next day before leaving work: Set time aside at the end of each workday to organize your calendar, write a to-do list or organize your planner with the tasks you are to complete the next day. You can also use this time to review your accomplishments and how successful you were in reaching your daily goals.

2.5 Strategies for Overcoming Life Challenges

There are various strategies that can be used in overcoming challenges in life. These include:

1. Use positive self-talk.
 - When you face a challenge, do you find yourself saying, "I can't do this?" If that is the case, your self-talk is sabotaging your success. Instead, tell yourself you can and will succeed.

2. Give yourself permission to make mistakes and learn from them.
 - Resolve today that you refuse to give up until you reach the goal you have set.
 - By simply changing what you say in certain situations, you can alter the way your mind thinks about difficult circumstances.
3. Replace negative thinking with productive thinking.
 - Think about the road before you in a way that spurs you on toward success.
 - Replace thoughts of "I can't" or "I'll never make it" with productive thinking. Tell yourself, "I'll figure out a solution."
4. Focus on a solution, instead of the challenge.
 - When something is frustrating you, put your mind to work in a productive manner.
 - Think about what is great about the situation you are in. How can you make it the way you want it? This kind of thinking can only lead to success.
5. Face it head on.
 - Don't beat around the bush. If you are having an issue, do something about it. Burying it does nothing but eat away at you. Seek counselling if need be.
6. Focus on what you can do and what you have, not what you can't do and don't have.
 - Live within your means is a suitable statement for many situations, not just financial.

2.6 Self-Awareness

Self-awareness is knowing one's own. It is the ability to tune in to one's feelings, thoughts, and actions. Being self-aware also means being able to recognize how other people see you. People who are self-aware recognize their strengths and their challenges. This looks at attitudes, opinion, feelings, emotion, motives, purpose, desires, needs, strengths and weaknesses, among others.

To be self-aware, you must be able to:

1. **Identify your emotions.** You need to be able to identify their feelings. Learning the difference between frustration and anger will help you navigate your emotions.

By recognizing the link between feelings, thoughts, and actions, you can then address these feelings and react to them appropriately.

2. **See yourself honestly.** Looking at yourself honestly can help you respond to compliments, feedback, and criticism openly and earnestly. This sense of self allows one to see and acknowledge both the positive and negative things in their nature.
3. **Recognize your strengths and weaknesses.** Your ability to see yourself, acknowledge your shortcomings, and embrace your strengths is a great confidence booster. Knowing that it's okay to admit you are wrong or don't understand something sets you up for growth. Acknowledging aptitude also builds confidence.
4. **Work toward growth.** All of these skills lead to self-efficacy. Self-work and growth are positive activities that result in healthy, happy people with a drive to achieve.

2.6.1 Types of Self-Awareness

Generally, there are two types of self-awareness:

1. **Internal self-awareness** – This represents how clearly we see our own values, passions, aspirations, fit with our environment, reactions (including thoughts, feelings, behaviours, strengths, and weaknesses), and impact on others. Internal self-awareness is associated with higher job and relationship satisfaction, personal and social control, and happiness; it is negatively related to anxiety, stress, and depression.
2. **External self-awareness** – This means understanding how other people view us, in terms of those our strengths, weaknesses, values, aspirations, etc. People who know how others see them are more skilled at showing empathy and taking others' perspectives. In the workplace, leaders who see themselves as their employees do, their employees tend to have a better relationship with them, feel more satisfied with them, and see them as more effective in general.

Based on the two types discussed above, one can fall under any of the below categories:

- Introspectors
- Seekers
- Aware
- Pleasers


	Low external self-awareness	High external self-awareness
High internal self-awareness	INTROSPECTORS They're clear on who they are but don't challenge their own views or search for blind spots by getting feedback from others. This can harm their relationships and limit their success.	AWARE They know who they are, what they want to accomplish, and seek out and value others' opinions. This is where leaders begin to fully realize the true benefits of self-awareness.
Low internal self-awareness	SEEKERS They don't yet know who they are, what they stand for, or how their teams see them. As a result, they might feel stuck or frustrated with their performance and relationships.	PLEASERS They can be so focused on appearing a certain way to others that they could be overlooking what matters to them. Over time, they tend to make choices that aren't in service of their own success and fulfillment.

2.6.2 Understanding Self using the Johari Window Model

The Johari window is a technique that helps people better understand their relationship with themselves and others. It was created by psychologists Joseph Luft (1916–2014) and Harrington Ingham (1916–1995) in 1955 and is used primarily in self-help groups and corporate settings as a heuristic exercise. The Johari Window is widely used model for understanding and Training Self-Awareness, personal development, improving communications, interpersonal relationships, group dynamics, team development and intergroup relationships.

The Johari Window model is also referred to as a ‘disclosure/feedback model of self-awareness’, and by some people an information processing tool. The Johari Window represents information such as feelings, experience, views, attitudes, skills, intentions, motivation among others within or about a person in relation to their group, from four perspectives.

The Johari Window Model



JoHari Window

	Known to self	Not known to self
Known to others	OPEN - Known to me and known to others	BLIND - Known to others but Not known to me
Not known to others	HIDDEN - Known to Me but not known to others	UNKNOWN - Neither known to me nor known to others.

<https://www.facebook.com/alwaystinkprettythings>

The four Johari Window perspectives are called ‘regions’ or ‘areas’ or ‘quadrants’. Each of these regions contains and represents the information - feelings, motivation among others known about the person, in terms of whether the information is known or unknown by the person, and whether the information is known or unknown by others in the group.

Johari quadrant 1 (Open /Free Area):

Johari region 1 is also known as the ‘area of free activity’. This is the information about the person behaviour, attitude, feelings, emotion, knowledge, experience, skills, views, among others known by the person (‘the self’) and known by the group (‘others’).

Johari Quadrant 2 (Blind Spot):

Johari region 2 is what is known which is about a person by others in the group but is unknown by the person him/herself.

Johari Quadrant 3 (Hidden Area):

This is what is known to ourselves but kept hidden from, and therefore unknown to others.

Johari Quadrant 4 (Unknown Area):

It contains information, feelings, talent abilities, aptitudes, experiences among others, that are unknown to the person him/herself and unknown to others in the group.

2.6.3 Increasing Your Self-Awareness

1. Internal self-awareness
 - Tell the true story about yourself – shaping who you really are allows you to understand your current motives and the goals you set for your future.
 - Write a journal – a long-recognised technique for framing your experience and finding connections.
 - Establish inner dialogue with yourself – think regularly about how you feel. Are you happy? Are you under stress?
 - Try meditation – focusing on the current moment and making your mind clear – ask yourself what you want to achieve, what obstacles are in your way and how you will overcome them.
 - Create a list of your life priorities – and then keep track of progress.
2. External self-awareness
 - Talk to a friend you can trust – this can help you to see things you’ve never noticed in yourself.
 - Get feedback from the people around you – ask them to tell you what you’re good at and what you’re bad at and think about what you hear.
 - Give a video interview – invite a friend to film you and ask you questions. Take some time to watch it back and analyse what you see. Is there anything you want to change about how you come across?

When collecting feedback from the people around you, don't ask everyone you know or work with all at once, as that amount of feedback could easily overwhelm you. For example, start by choosing one or two trusted colleagues and ask them for some constructive feedback on a particular aspect of your approach.

2.7 Expressing Personal Thoughts, Feelings and Beliefs

Self-Expression is your ability to understand and articulate the *What*, *Why* and the *How* of your emotions in a constructive manner.

- **What:** what is the Emotion you're undergoing?
- **Why:** Why are you undergoing the Emotion?
- **How:** How is it impacting you – physically and mentally?

Self-Expression has 3 sub-components:

- **Emotional Expression:** Emotional Expression is one's ability to openly express their emotions. The form of expression can be both verbal and non-verbal. There's a widespread misconception that emotionally intelligent people do not express their emotions and are excellent at concealing emotions linked to displeasure and sadness. On the contrary, emotionally intelligent people are good at articulating their emotions, their underlying causes, and their potential impact. As a result, people view them as transparent individuals. This trait helps them gain trust.
- **Assertiveness:** Assertiveness is the ability to communicate thoughts feelings and beliefs openly, in a socially acceptable and constructive manner. While Assertive and Aggressive behaviors are used interchangeably by some, they're different in nature. In simple terms, an Aggressive individual is always focused on self while an Assertive individual focusses on a "win-win" for all those involved. Being Assertive helps an individual by ensuring that there are no hard-feelings left after a conversation and at the same time ensures that there is clarity all around

- **Independence:** Independence is about being self-directed. It's the ability to free oneself from emotional dependency on others. It can be gauged by assessing how autonomous one is in taking decisions and executing daily tasks. Depending on someone often causes a lot of stress. Independent people are self-confident, calm and composed.

2.8 Development and Maintaining High Self-Esteem

2.8.1 Meaning of Self Esteem

Self-esteem is the awareness of good in self. It is also defined as self-worth or the value you attach to yourself. It involves what the individual feels about his or her personal attributes (physical, social, and psychological). Socializing agents such as family members, teachers, peers, and culture may determine the level of an individual's self-esteem. Life experiences such as loss and grief, illnesses, transition and change of social environment can affect self-esteem. A high self-esteem enhances self confidence that enables a person to interact, participate and relate positively with others. A low self-esteem may undermine the growth and development of a person. Every one of us is always confronted with situations that challenge our self-esteem. We should be aware of the factors that may lower our self-esteem and that of others. Our perception of ourselves has a profound effect on how we live our lives.

2.8.2 Signs of high self-esteem in an individual

The signs of high self-esteem in an individual include:

- Self-confidence
- Self-discipline
- Relating well with others
- Self-care
- Self-trust
- Positive self-image
- Outgoing and assertive
- Good performance of tasks
- Cheerfulness

2.8.3 Signs of low self-esteem in an individual

The signs of low self-esteem in an individual include:

- Isolation and withdrawal
- Self-doubt
- Self-neglect
- Vulnerability to peer pressure
- Aggressiveness
- Low performance of tasks
- Lack of assertiveness
- Lack of self-confidence
- Negative self-image
- Defensive behaviour
- Dependency
- Passiveness
- Violent behaviour
- Work holism

2.8.4 Factors that enhance high and low self-esteem

High self-esteem enhances self-confidence that enables a person to interact, participate and relate positively with others. Low self-esteem may lead to poor self-image and inability to relate well with oneself and with others as well. There are several factors that influence self-esteem. These include the following:

- **Age:** Self-esteem tends to grow steadily until middle school when the transition of moving from the familiar environment of elementary school to a new setting confronts children with new demands. Self-esteem either continues to grow after this period or begins to decrease.
- **Gender:** Girls tend to be more susceptible to having low self-esteem than boys, perhaps because of increased social pressure that emphasizes appearance more than intelligence or athletic ability.
- **Socio-economic Status:** Children from higher income families usually have a better sense of self-esteem in the mid - to late-adolescence years.
- **Body image:** Especially true for teens but also important for younger children, body image is evaluated within the context of media images from television, movies, and advertising that often portray girls as thin, beautiful, and with perfect complexion. Boys are portrayed as muscular, very good looking, and tall. Girls who are overweight

and boys who are thin or short often have low self-esteem because they compare themselves against these cultural and narrow standards.

Other factors that enhance high and low self-esteem include:

- **Social factors:** Family, school and peers influence an individual's self-esteem.
- **Mental factors:** Mental abilities and gifting will affect an individual's self-esteem.
- **Physical factors:** Good health enhances high self-esteem while ill health enhances negative self-esteem.
- **Good health habits:** Good health habits like physical exercises and eating healthy enhances high self-esteem while bad health habits enhance low self-esteem.
- **Goal setting:** Goal setting enhances high self-esteem. On the other hand, lack of goals leads to disorganization and confusion which lead to low self-esteem.
- **Good grooming:** Good grooming shows self-care and self-respect. It enhances high self-esteem. On the other hand, self-neglect enhances low self-esteem.

2.8.5 Ways of Boosting Self-Esteem

Ways of boosting self-esteem include the following, among others:

- Focusing on strengths and weaknesses and building on what you do well.
- Wise choice of friends: Surround yourself with positive friends, that is, friends who love you as you are and who are supportive.
- Good health practices: Healthy habits such as eating healthy, doing physical exercises, medical check-ups make a person to feel better about themselves.
- Set goals for yourself: Setting goals causes people to feel more focused and in control of their lives. This makes them feel better.
- Positive thoughts: We should train ourselves to focus on thoughts that will move us forward in the right direction.
- Having sense of humour: Ability to laugh and make others laugh makes people feel better about themselves.
- Rewarding yourself: Rewarding oneself motivates one to work hard and achieve more. This boosts people's self-esteem.
- Self-respect: Self-respect emanates from

self-love. Individuals who love themselves treat themselves with care and dignity and this increases self-esteem.

2.9 Developing and Maintaining Positive Self-Image

Self-image is the personal view, or mental picture, that we have of ourselves. It is how you view yourself, your characteristics, and abilities. Self-image is an “internal dictionary” that describes the characteristics of the self, including such things as intelligent, beautiful, ugly, talented, selfish, and kind. These characteristics form a collective representation of our assets (strengths) and liabilities (weaknesses) as we see them. It is the value you place on yourself and how worthy you feel. Self-image is influenced by your self-esteem and your body image.

Self-image is affected by:

- What you think you look like
- How you see your personality
- What kind of person you think you are?
- What you believe others think of you
- How much you like yourself or think others like you
- The status you feel you have

Poor or low self-image can be caused by

- Negative environment
- Unfair or unnecessary comparison
- Lack of self-awareness
- Negative self-talk
- Unrealistic expectations

Self-image is influenced by one's thinking. Positive thinking affects one's self-image. Positive thinking is a mental attitude that admits into the mind thoughts, words and images that are conducive to growth, expansion, and success. It is a mental attitude that expects good and favourable results. A positive mind anticipates happiness, joy, health and a successful outcome of every situation and action. Positive thinking helps with stress management and can even improve one's health.

Steps to Build a Positive Self-Image

Negative self-image can affect virtually every facet of your life, including your relationships, your job and your health. Several strategies can be used to ensure a high self-image:

- Take a self-image inventory.

- Make a list of your positive qualities.
- Ask significant others to describe your positive qualities.
- Define personal goals and objectives that are reasonable and measurable.
- Confront thinking distortions.
- Identify and explore the impact of childhood labels.
- Refrain from comparing yourself to others.
- Develop your strengths.
- Learn to love yourself.
- Give positive affirmations.
- Remember that you are unique.

2.10 Self-Development

Self-Development is a process of consciously improving yourself in various aspects of your life. It is the conscious pursuit of personal growth by improving personal skills, competencies, talents, and knowledge to seek self-fulfilment and proactively reach one's fullest potential. Self-development is taking steps to better oneself, such as by learning new skills or overcoming bad habits. This is the process by which a person's character or abilities are gradually developed.

Self-development consists of activities that develop a person's capabilities and potential, build human capital, facilitate employability, and enhance quality of life and the realization of dreams and aspirations. Self-development may take place over the course of an individual's entire lifespan and is not limited to one stage of a person's life. It can include official and informal actions for developing others in roles such as teacher, guide, counsellor, manager, coach, or mentor, and it is not restricted to self-help. When personal development takes place in the context of institutions, it refers to the methods, programs, tools, techniques, and assessment systems offered to support positive adult development at the individual level in organization.

The key component of self-development is the growth of one's personal self to seek self-fulfilment and proactively reach fullest potential. This starts with self-discovery, self-development, self-mastery and finally self-actualization.

Process of self-development

Self-discovery: The self-development starts with the self-discovery or self-awareness. It is finding out where one is in order to move on from there.

Self-discovery gives one insightful understanding of personality, values, tendencies, and beliefs. It provides insights of what to do or to become. This is helping a person to have self-improvement process by assessing the current skills, talents, and components. Self-assessment is the process of gathering information about one's own aptitude, skills, competencies, and talents and critically reviewing the quality of one's performance and abilities.

Self-assessment is different from self-awareness and self-discovery in that awareness and discovery is simply a recognition of something or knowing something exists. Self-assessment provides basis for setting out and reaching personal goals. It provides information needed to create an effective development plan which involves making goals or benchmarks that help define the path that you intend to follow. By knowing what specific skills, you need to develop or work on, you are able to focus your attention on those skills and making yourself more proficient at them. You force yourself to focus on the acquisition of knowledge and organize resources thus allowing one to become more organized and effective. As one becomes more effective, he/she can improve both abilities and ultimately performance. The increase on performance helps one to achieve more which increases self-confidence. Increase in self-confidence leads to being happier and feeling more fulfilled in life hence reaching self-actualization and realization of one's full potential.

Self-improvement and self-development

Self-improvement refers to something one can do to improve an aspect of life in which one is struggling. This includes building self-esteem and getting organized. These are worthy improvements to one's self, but the focus is on a person's weakness not on a strength or good quality.

Self-development focusses on personal growth in all aspects of one's life. It targets areas of both strength and weakness. It addresses areas of weaknesses to make them less challenging. it focuses on building one's talents and in areas that interest a person so that one reaches fullest potential and feel self-fulfilled.

Methods of Self-development

The Methods of Self-development includes

- **Coaching:** Coaching is a person-to-person technique designed to develop

individual skills, knowledge, and attitudes. In Coaching, coaches concentrate on helping people to develop more productive ways of behaving and to change dysfunctional management styles.

- **Mentoring:** Mentoring is the process of using specially selected and trained individuals to provide guidance and advice that will help to develop the careers of the people allocated to them. The following are the benefits of Mentoring:
 - Guidance on how to acquire the necessary knowledge and skills to do a new job.
 - Advice on dealing with any administrative, technical or people problems individuals meet, especially in the early stages of their careers.
 - The Advice in drawing up self-development & learning programs.
 - A parental figure with whom the people they are dealing with can discuss their problems and concerns.
 - Help in tackling projects by pointing them in the right direction.
- **Action learning:** Action learning is a method of helping people to develop their skills by exposing them to real problems. In this method, People are required to analyse the problems, formulate recommendations, and then take action. It accords with the belief that People learn best by doing rather than being taught.

2.11 Healthy Lifestyles Practices at the Workplace

A healthy lifestyle is one which helps to keep and improve people's health and well-being. A healthy workplace is one where workers and managers collaborate to continually improve the health, safety and wellbeing of all workers and by doing this, sustain the productivity of the business (World Health Organisation, 2009).

1. Healthy eating

You should begin their day with a healthy breakfast and partake in a regular lunch to be more productive. An environment where there is availability of healthy food choices is key to promoting healthy diets that can become the norm in the workplace. Avoid foods made with refined

carbohydrates and high in fat, sugars or salt. You should:

- Select whole grains, brown rice over refined cereals
- Select healthy fats and proteins
- Choose poultry, fish, or lean meat
- Avoid processed, salted meats and fish
- Avoid adding excess salt or high salt flavour enhancers and always use iodized salt
- Select small portions if weight loss is the goal
- Eat adequate fruits and vegetables as part of your daily diet.

2. Engaging in physical activity

Numerous health benefits are associated with regular physical activity and exercise. Scientific literature shows that adults and older adults benefit the most from regular physical activity. Benefits include lowering their risk of early death, coronary heart disease, stroke, high blood pressure, adverse blood lipid profile, type 2 diabetes, metabolic syndrome, risk of colon and breast cancer, weight gain; improving cardiorespiratory and muscular fitness; preventing falls; reducing depression; having better cognitive function; as well as many benefits related to work performance of employees. WHO recommends that physical activity for health is the primary prevention of non-communicable diseases. For adults aged 18–64 years (working age group), physical activity includes leisure time activities; transportation activities (walking or cycling); occupational (work) household chores; and playing games, doing sports or planned exercise, in the context of daily, family and community activities.

WHO Global Recommendations

1. Adults aged 18–64 should do *at least 150 minutes* of moderate-intensive aerobic physical activity throughout the week or at least 75 minutes of vigorous-intensive aerobic physical activity throughout the week or an equivalent combination of moderate- and vigorous-intensive activity.
2. Aerobic activity should be performed in bouts of at least 10 minutes' duration.
3. For additional health benefits, adults should increase their moderate-intensive aerobic physical activity to 300 minutes (5 hours) per week or engage in 150 minutes of vigorous-intensive aerobic physical activity per week, or an equivalent combination of

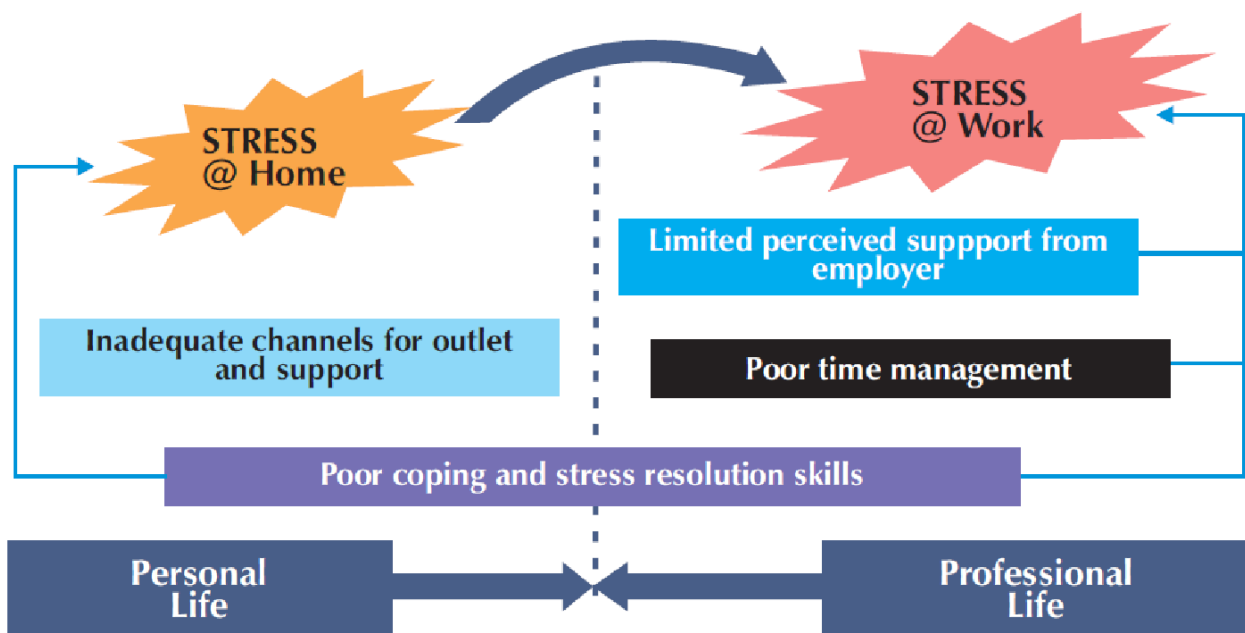
moderate- and vigorous-intensive activity.

4. Muscle-strengthening activities should be done involving major muscle groups on 2 or more days a week.

3. Mental well-being and happiness at the workplace

Stress has multiple causes. It is not simply the result of a stressful event alone. What manifests as 'stress' is usually the end product of the interaction of several predisposing factors.

- People tend to carry stress along with them – both from work to home and home to work, thus stressful situations at home can contribute to stress at the workplace.
- Inadequate personal coping mechanisms and/or support structure at home make it difficult to cope and become a source of stress. For most of the employees, it is not lack of knowledge or skills that causes stress; rather, it is the pressure of meeting deadlines.
- Again, in many situations, it is not lack of time but improper management of time that makes it a challenge to meet deadlines.
- “Perceived” lack of support from supervisors also contributes to the experience of stress.
- Lack of communication or ineffective communication also leads to stress.



Stress in the long term leads to depression, anxiety, hypertension, diabetes, and many other health conditions. It is important to manage your stress.

Possible stress reduction solutions

At the level of the employee

- Learn time management skills
- Learn simple de-stressing (relaxation) exercises e.g. deep breathing
- Develop channels for venting emotions and sharing feelings at home/with friends.

4. Monitoring of personal and organizational changes

As individuals and organizations adopt and take actions for change, monitoring of changes is important as it provides/consolidate information showcasing progress. Individuals can learn from the result of their behavioural change and gain a sense of fulfillment adding to a sense of satisfaction at the workplace. Positive change is most likely to occur, as changes are happening side by side with organizational change to promote healthier lifestyles. Changes in an organization that are conducive to help people to adopt active and healthy lifestyles create a new norm and new culture for a healthier society. Knowing what is changing and how it is changing means, one must have tracking records or monitoring procedures to see the change. Monitoring change is important for individuals and organizations to learn what works and to share

those lessons with each other. They could be role models for others who want to replicate the same experience.

5. Watching tobacco and alcohol consumption

Tobacco and alcohol are main risk factors for all major lifestyle diseases. The use of tobacco and alcohol cause dependence/addiction, leading to health, economic and social consequences. This includes reduced attention, absenteeism at work, debt, increased risk of injuries while performing tasks, compromising resources to fulfil basic family needs, etc. The compromised performance and absenteeism of employees addicted to tobacco and alcohol lead to overall loss of productivity at the workplace. Making workplaces healthy, safe, completely tobacco, alcohol and drug-free leads to healthier employees and increased productivity. Workplaces can be made completely tobacco free. We recommended that the workplace issue a code of conduct for all staff NOT to consume alcohol during office hours, after hours, or during office functions (events), especially office parties. Information and education on the harmful use of alcohol will be helpful to curb risks that contribute to a number of health problems. Employees have to be assisted with tobacco cessation and alcohol de-addiction. The workplace policy is an important mechanism to control tobacco and alcohol users, benefiting nonuser employees and their families, while making the workplace productive and pleasant.

Benefits of reducing alcohol consumption at the workplace

Drinking alcohol seems to be understood as a personal or individual concern rather than a concern for employers and workplaces. Evidence shows that drinking too much or at the wrong time can be harmful especially when drinking while operating machinery, using electrical equipment, ladders, etc. Drinking alcohol before work or before coming on shift, or during lunch time can affect an employee's work performance. Alcohol consumption may result in reduced work performance, damaged customer relations and resentment for other staff who have an overload of work due to alcohol users. Drinking alcohol raises the drinker's blood pressure and increases the risk of coronary heart disease and stroke. Reducing alcohol consumption benefits the drinker directly and improves office interpersonal relations, thereby promoting a healthy and safe workplace.

Expected personal changes towards healthy lifestyles

- Becoming active
- Being aware/conscious of food consumption
- Being able to make the right choices to maintain good health
- Being able to have good mental and physical balance at the workplace
- Increasing capacity for time management and reducing risk behaviour
- Improving overall health outcomes and productivity at work
- Improving interpersonal skills and engagement in social network
- Improving workplace environment.

2.12 Learning Activities

Learning Activity 1: How do others see me? (this activity requires an element of self-reflection)

- a) Choose a colleague or a friend and ask them for some feedback. Think carefully about what you want feedback on – is it something specific, such as how you interact with people in a certain situation, or do you want their perspective on your strengths and weaknesses?

Required:

Note what they say about you.

- b) Now think about how you feel about that feedback. Did it surprise you? Did it make you feel defensive? What have you learned about yourself?

Required:

Note your responses about how you felt as a result of the feedback.

- c) Finally, try to turn your learning into a positive action for change. For example, if they pointed out that you can be overly dominant in team meetings, not letting anyone else speak – perhaps, for the next meeting, you could resolve to really listen to what everyone says and invite others to contribute.

Required:

List your proposed actions for improvement / change based on the feedback given.

Learning Activity 2: Personal Self Esteem Evaluation

The following exercise allows you to evaluate your self-esteem using this scale:

- 5 = Always
- 4 = Most of the time
- 3 = Sometimes
- 2 = Rarely
- 1 = Never

Statement	Score
I feel successful in my present college/work activities.	
I feel satisfied with my present career path.	
I feel that furthering my education is the priority.	
I deliberately look for the good in others.	
I am able to achieve all my set goals.	
I am comfortable in new social situations.	
I accept compliments from others and reverberate them as well.	
I am comfortable speaking before others.	
I look for what positively stands out in others.	
I enjoy publicizing my success.	
I am an optimist.	
I am result oriented.	
I am comfortable with making decisions.	
I am physically able and healthy.	
I am respected by others for who I am.	
I project a positive self-image.	
I am an active listener.	
I like being responsible for projects.	
I enjoy controversial discussions.	
I find obstacles challenging.	
I am able to freely ask for help without feeling guilty.	
I can find humour in my own mistakes.	
I feel responsible for my thoughts and actions.	
I am direct when I voice my feelings.	
I am leading a balanced life.	
I am enthusiastic.	
I use eye contact when talking to others.	
I genuinely like myself for who I am.	
I take criticism well and learn from it.	
I exercise regularly and eat a balanced diet	
Total Score	

Add up your points and put the total here:

Your score indicates:

- 120 – 150 = Very high self esteem
- 90 – 119 = moderately high self esteem
- 60 – 89 = Average self esteem
- 31 – 59 = moderately low self esteem
- 0 – 30 = Low self esteem

2.13 Self-Assessment Questions and Activities

1. Describe what you understand as self-management
2. Why is self-management important for a clearing and forwarding agent?
3. Discuss the components of self-management
4. Why is it important for anyone to maintain a positive healthy lifestyle?

2.14 References

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3.0 EMOTIONAL INTELLIGENCE

3.1 Specific Learning outcomes

- i. Explain the meaning of emotional intelligence
- ii. Explain the importance of emotional intelligence
- iii. Explain the domains of emotional intelligence
- iv. Explain the effects of low emotional intelligence
- v. Evaluate the techniques to manage emotions

3.2 Meaning of Emotional Intelligence (EI)

Meaning of emotion

Emotion is a strong feeling derived from one's circumstances, mood, or relationships with others. It includes an instinctive or intuitive feeling as distinguished from reasoning or knowledge. This is a subjective, impulsive response to a situation. It is devoid of logical reasoning and can be unpredictable. Emotions can be evoked in an individual by good or bad news; delightful or sorrowful situations. One's mental thought can also evoke emotions. Emotions are strong feelings in response to situations, issues and needs. These may cause mood swings in children and young people in their various developmental stages. Such emotions include love, fear, anger, shyness, self-doubt, hate, joy, frustration, sadness, guilt and jealousy.

Meaning of Emotional Intelligence

Emotional Intelligence (EI) is the ability to monitor one's own emotions and other people's emotions, to discriminate between different emotions and label them appropriately, and to use emotional information to guide thinking and behaviour. Emotional intelligence is the capacity to understand and manage your emotions. The skills involved in emotional intelligence are self-awareness, self-regulation, motivation, empathy, and social skills.

3.3 Importance of Emotional Intelligence

- Strong propensity in EI increases one's ability to make sound decisions, build and sustain collaborative relationships, deal effectively with stress, and cope to a greater degree with constant change.
- EI enables an individual not only to perform well in the workplace, but also

in accomplishing various other goals and objectives in his or her life.

- EI is essential in conflict management in the workplace, which involves having the ability to help others through tense situations, tactfully bringing disagreements into the open, and defining solutions that everyone can endorse. People who take time to understand different perspectives work toward establishing a middle ground in disagreements. By paying attention to how others respond to one another, you can try to help people feel heard, which in turn, will help them be more willing to compromise.
- EI involves recognizing various aspects of one's feelings and emotions and taking the time to work on the elements of self-awareness, self-regulation, motivation, empathy, and social skills.

3.4 Emotional Intelligence Domains

There are five Domains of Emotional Intelligence found in Daniel Goleman's book Emotional Intelligence.

1. Knowledge of one's own emotions: Self-Awareness

The first, most important ability in EI is awareness of one's own emotions. One way to think about this is the concept of "meta-awareness", 'meta' meaning above. Imagine that there is a part of your mind that always pays attention to what you are feeling whether you are mad, sad, scared or happy. People have widely varying levels of emotional self-awareness. Those who are less aware of their emotions—perhaps figuring out they were angry an hour after raging—tend to feel more controlled by their emotions than vice versa. They can be afraid of the unpleasant emotions, thinking they are bad or evil. Those who are "in touch" with their emotions are more emotionally fluid.

There are three key elements of Self-Awareness. These include:

1. Emotional awareness: Recognizing one's emotions and their effects.
2. Accurate self-assessment: Knowing one's strengths and limits.
3. Self-confidence: Sureness about one's self-worth and capabilities.

2. Ability to manage one's own emotions: Self-Regulation

The ability to manage one's emotions is a natural result of becoming more emotionally aware. It is having the ability to choose what you do when you are feeling strong emotion. It is also the ability to choose what you will feel. It is taking care of your emotions—working with them as opposed to stuffing them—so that you have mastery over them instead of their having control over you.

There are five key elements of Self-Regulation. These include:

1. Self-control: Managing disruptive emotions and impulses.
2. Trustworthiness: Maintaining standards of honesty and integrity.
3. Conscientiousness: Taking responsibility for personal performance.
4. Adaptability: Flexibility in handling change.
5. Innovativeness: Being comfortable with and open to novel ideas and new information.

3. Ability to self-motivate: Self-Motivation

Goleman states: "Underlying both [optimism and hope] is an outlook psychologists call self-efficacy, the belief that one has mastery over the events of one's life and can meet challenges as they come up." There are two pieces to self-motivation.

- Keep yourself from doing what you want to do when you should be doing something else, in other words, delaying gratification. An example of this is not watching your favorite soap opera because you have a report that must be done.
- Doing what you should do when you don't want to or practicing self-discipline.

Both of these pieces are flip sides of the same coin - doing what will create the most pleasure in the long run, as opposed to finding immediately gratification.

There are four key elements of Self-Motivation. These include:

1. Achievement drive: Striving to improve or meet a standard of excellence.
2. Commitment: Aligning with the goals of the group or organization.
3. Initiative: Readiness to act on opportunities.
4. Optimism: Persistence in pursuing goals despite obstacles and setbacks.

4. Ability to recognize emotions in others/empathy: Social Awareness

Empathy is a combination of observation and intuition. It is the ability to identify what another person is feeling without having to be told - picking up on another's mood, etc.

There are five key elements of Social Awareness. These include:

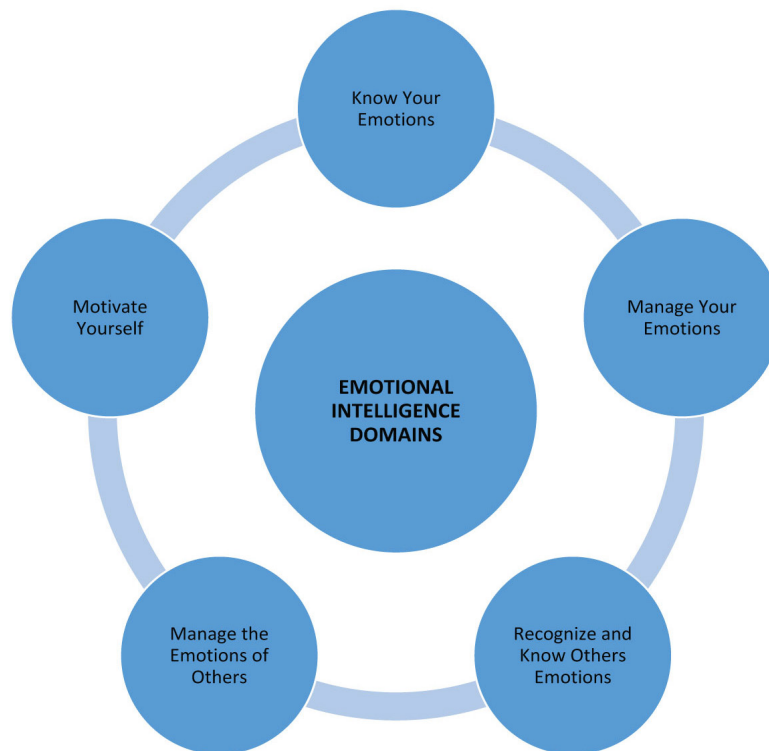
1. Empathy: Sensing others' feelings and perspective and taking an active interest in their concerns.
2. Service orientation: Anticipating, recognizing, and meeting customers' needs.
3. Developing others: Sensing what others need in order to develop and bolstering their abilities.
4. Leveraging diversity: Cultivating opportunities through diverse people.
5. Political awareness: Reading a group's emotional currents and power relationships.

5. Ability to handle relationships/respond emotions in others: Social Skills

Individuals who have skill in this area are considered popular and well-liked. They are able to get others to work with them, and create a desired outcome, often by affecting others' emotions. They are social 'stars'.

There are eight key elements of Social Awareness. These include:

1. Influence: Wielding effective tactics for persuasion.
2. Communication: Sending clear and convincing messages.
3. Leadership: Inspiring and guiding groups and people.
4. Change catalyst: Initiating or managing change.
5. Conflict management: Negotiating and resolving disagreements.
6. Building bonds: Nurturing instrumental relationships.
7. Collaboration and cooperation: Working with others toward shared goals.
8. Team capabilities: Creating group synergy in pursuing collective goals.



3.5 Effects of Low Emotional Intelligence

People with low emotional intelligence often find it tough to:

- Decipher and manage your own emotions
- Understand how other people feel

Low emotional intelligence can show up in various ways. Some of these manifestations affect the people around you, so you might notice some challenges with maintaining your relationships. The manifestations include:

- Trouble understanding what causes certain feelings
- Frequent emotional outbursts or mood changes
- Difficulty asserting opinions or taking charge in a situation
- Little interest in finding new ways of solving problems
- Trouble accepting criticism, constructive or otherwise
- Difficulty expressing ideas clearly or getting a point across
- A habit of saying the wrong thing at the wrong time
- A certain obliviousness to emotional cues from others
- A tendency to fixate on mistakes instead of learning from them and moving on

- Pessimism and loss of motivation after setbacks
- Stress and depression as a result of not accepting and manage certain negative situations they may find themselves in.

3.6 Techniques to Manage Emotions

1. **Understanding Your Emotions**
 - **Acknowledge your feelings.** Dealing with emotions can be difficult, as they can change rapidly. But it's important to allow yourself to experience your emotions, as repressing them can cause stress. When you experience an emotion, identify it and acknowledge it
 - **Deal with sadness.** Sadness is a common emotion, and it is completely normal to feel that way occasionally. If your sadness only lasts a day or two, that is healthy. If you are experiencing prolonged bouts of sadness, it is a good idea to contact your doctor or a mental health specialist
 - **Reflect.** Once you have identified your feelings, spend some time thinking about what is causing those emotions.
 - **Practice self-care.** Self-care is the process of making sure that all of your needs are being met. It is extremely important for your emotional health. Practicing self-care can be as simple as making sure that you

- allow yourself time to do things you enjoy, such as reading a chapter of a book each day.
- **Find a support system.** To fully be able to manage your emotions, you need to have a support system. A support system is essential for your emotional well-being. When you are dealing with stress or other intense emotions, make sure that you have a friend or family member to talk to
- **Consider counselling.** Talking to a mental health specialist is a great way to process emotions and learn to handle them. If your emotions are interfering with your day-to-day life, you should consider seeking help from a professional. For example, if your sadness is causing you to call in sick to work, or you can't seem to handle simple tasks, you may need help.

2. Find Coping Mechanisms

There are various things that a person can do to cope with emotions. Managing emotions are an important factor in organisations. There are many ways to do it such as meditation which can help to achieve both, self-control and mastery over the self. Sometimes dealing with your emotions can feel overwhelming. When life is hectic or stressful, it's all too easy to give in to feelings of anger or depression. However, you will be more productive and feel better if you can learn to manage your emotions. There are ways to change your attitude and your environment so that you can better cope with a wide range of feelings.

- Understand your emotional needs. To manage your emotions, you need to fully understand them. All of us have certain emotional needs that are just as important as our physical needs. Spend some time taking an inventory of the emotional needs that are most important to you Understand your emotional needs.
- Know your triggers. Throughout the course of a day, it is normal to go through a wide range of emotions. When things aren't going your way, it is very common to feel anger or irritation. The key is to be able to manage your emotions so that they do not negatively impact your daily life. Knowing the things that trigger negative emotions is an important part of remaining in control Know your triggers.
- Shift your focus. Once you know your triggers, you can use that to your advantage. When you know that something is triggering a negative emotion, try to shift your focus

away from that person or situation. Instead, refocus on something positive to help you regain your composure.

- Calm down. When you are experiencing very strong emotions, it can be difficult to think and act rationally. When you are angry or frightened, your body goes into a flight or fight mode, which can cause you to react emotionally instead of logically. This type of response is generally not helpful in professional or social settings, so it is important to learn to calm yourself down when you are experiencing negative emotions for example:
 - Take deep breaths. Focusing on your breathing will not only shift your focus, but it will help you calm down, physically and emotionally.
 - Breathe in slowly for five counts, then let your breath out slowly for two counts. Repeat this for a few minutes, or as long as needed.
 - Do something repetitive. Repetition can calm your nerves. Try walking, or even rhythmically tapping your feet.
- Take a time-out. Strong emotions can cause you to act impulsively. This is true for both positive and negative feelings, like extreme sadness or happiness. A good way to manage your emotions is to take a time-out before acting when you are feeling intense emotions.

3. Making Positive Changes

Choose a different response. You can make many changes to your life and your overall outlook. Take some time to think about what would help you better manage your emotions. It is likely that finding a different way to respond in tough situations will be high on your list of priorities.

- Once you have identified your triggers, you can work on finding more positive ways to respond to those triggers. For example, maybe you typically raise your voice when your child complains about eating broccoli for dinner. Next time this happens, actively choose to keep your tone neutral.
- Maybe you tend to burst into tears when you are criticized. When you feel the tears coming, choose to take deep breaths and voice your frustrations calmly instead.

4. Change your environment

Small changes can make a big impact on your emotional health. Try altering your living space to make it a more calming place. For example, try buying some fresh flowers to put in your living room. Look at them and think calming thoughts when you are feeling stressed.

- If your negative emotions stem from feeling out of control, try organizing your workspace. Getting rid of clutter can make you feel on top of things.
- Try adding more light. Natural and artificial light can help ease anxiety. So open your curtains and add some higher wattage bulbs to your lamps

5. Be healthy

Staying physically fit can have positive benefits for your emotional health. Exercise can boost your mood and decrease stress, which can help you retain control of your emotions. Aim for 30 minutes of physical activity most days of the week.

6. Keep a journal

There are multiple mental health benefits that come from writing in a journal. Writing down your experiences and your reactions can help you learn to identify your emotional triggers. It can also help you to see patterns in your reactions, which will allow you to think about how to modify those behaviours. Journaling can also reduce stress and anxiety

7. Talk about your feelings

Managing your emotions does not mean that you need to ignore or repress your feelings. It is normal and healthy to feel a wide array of emotions. Learn to express those feelings in healthy ways. Talking about your emotions is very productive

8. Cope with hormones

Hormones can cause significant mood swings, and are also related to many emotions, such as sadness, irritability, and even depression. Women typically deal with a lot of hormone-related emotions during pregnancy, menopause, and menstruation. Track your emotions to figure out if they are related to times when your hormones are in flux

9. Self-distraction

- Take a break/sleep/rest/walk: Self distraction through walking or resting gives one time to think and make a rational behaviour.
- Do exercises: Being involved in physical activity distracts the individual from

the negative emotion and cheers him/her up.

10. Avoid toxic people

- It has been said that we are the average of the five people we spend most of our time with. This is not a scientific fact, but it is a principle that holds true in general. If we are constantly hanging out with people who are angry, grumpy and discouraging, we will eventually become like them. It is difficult to be in control of our emotions when we spend a lot of time with people who push our buttons in the wrong way.

3.7 Learning Activities

Learning Activity 1: Knowing Your Emotional Intelligence

Instructions: Follow the steps below to take a 10-minute online EI assessment. When you have finished the online EI assessment, answer the questions which appear below.

Online EI Assessment

1. Enter the following address in your browser window: <http://www.maetrix.com.au/meit/eitest.html>
2. For each item, select the statement which describes you best.
Note: Try not to over-analyse the questions or think of “exceptions to the rule.” Be spontaneous and choose the statement which comes closest to the way you are.
3. Click Score test to view the results.
4. On the results page, a score appears which indicates your level of each of the EI skills measured by the test. The higher the number, the higher your skill level. Enter the number shown for each skill:
 ___ Self-awareness
 ___ Self-management
 ___ Social awareness
 ___ Social management
5. Beneath the table with your scores, click the [here](#) link on the website. The link will open a page giving information about interpreting your scores and a more detailed explanation of the results.
6. Once done with the analysis on the website, answer the questions below:

- a) Were the results of the EI test or your responses to the checklist what you expected? Why or why not?
- b) Did anything surprise you? If so, what?
- c) Now that you know more about your EI, how do you think it affects your job performance?
- d) Does the information provided give you any new ideas about the types of positions or work environments which you might prefer? If so, what are they?

Learning Activity 2: Managing Emotions

You work in a clearing and forwarding firm. One day a client walks in to inquire about some delayed cargo. The client states the costs to his businesses and inconveniences caused to his customers as a result of the delayed cargo. You explain to the client that the delay was due to Port congestion and a global logistic problem in the availability of shipping containers. This infuriates the client further as previously he had been promised by your supervisor that the cargo would have arrived a week ago. The client shouts at you and insults you, blaming you for all his predicament. He has promised to get you fired as a result or he moves his business elsewhere.

You feel disrespected, unfairly judged, and abused as a result. How would you handle the situation? Discuss based on the 5 domains of Emotional Intelligence below.

Self-Awareness

Are you aware of your emotional responses? What are you feeling in your body as a result? What emotions are connected to those physical sensations? What are you thinking about this situation?

Required:

1. Write down what you are feeling and thinking to get clear about what is a memory of a past similar situation (for you personally as well as any possible similar situation with an employee) causing your response to this situation and what is your personal emotional empathic response.
 - Describe the situations
 - Write about outcomes from those past situations.
 - Are you projecting into the future based on a past experience? or

- Are you responding in the here and now?

Self-Management:

Are your responses appropriate to the situation or disproportional or reactive? What tools can be used to manage your responses?

Self-Motivation:

What is your level of self-efficacy around this situation? How can you use it to build self-efficacy in the future?

Social Awareness

What state is the other person(s) in? Use your observation skills to be aware of the other – note their physiology, their words, etc. Remember that we often are incorrect in our projections of what another is thinking and feeling.

Social Skills

What do you need to say or do in this situation to guide it to the desired outcome? What does the other need to get there?

3.8 Self-Assessment Questions and Activities

1. Discuss the meaning and importance of emotional intelligence for a clearing and forwarding agent
2. Discuss the domains of emotional intelligence and how they relate to the successful engagement of a client in the logistics sector
3. Discuss the various techniques that you can recommend to anyone with low emotional intelligent as a way of managing their emotions.

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4.0 TOPIC 3: WORK LIFE BALANCE (WLB)

4.1 Specific Learning Outcomes

- i. Describe the concept of WLB
- ii. Explain the purpose and benefits of WLB to the employee and organization
- iii. Identify causes of imbalances in WLB
- iv. Describe the process of achieving WLB for both the employee and organization
- v. Identify strategies of coping with competing demands

4.2 Concept of Work Life Balance (WLB)

Work life balance is a phrase used to refer to concept of balancing between an individual work responsibilities and personal responsibilities. Work-life balance is a concept including proper prioritizing between “work” (career and ambition) and “lifestyle” (Health, pleasure, leisure, family, and spiritual development/meditation). Every individual human being has various needs, roles, and responsibilities in life. Some individuals are parents while others are spouses, children, siblings, friends, and relatives to other people and are expected to fulfil some responsibilities towards these people. Sometimes individuals find themselves in positions where they have allocated more time to their work duties and have neglected their other personal responsibility. Absence of this balance between work and life responsibilities results in what is commonly referred to as work life conflict. Though many people associate the concept of work life conflict with individuals concentrating more on work and neglecting home duties, a reverse situation may also result in work/ life imbalance. The concept of work life balance has become a practicable and ethical issue in modern day societies for both employers and workers as well. This is because lack of this balance presents numerous consequences both to an organization and the individual involved.

4.3 Purpose of WLB

Work-life balance is an important aspect of a healthy work environment. Maintaining work-life balance helps reduce stress and helps prevent burnout in the workplace. Chronic stress is one of the most common health issues in the workplace. It can lead to physical consequences such as hypertension, digestive troubles, chronic aches and pains and heart problems. Chronic stress can also negatively

impact mental health because it's linked to a higher risk of depression, anxiety, and insomnia.

Employee benefits from work-life balance:

- Easier ability to participate more fully in paid work as well as other activities that are important, e.g. spending time with family, leisure, personal development and community activities.
- Improved self-esteem, health, concentration, confidence, loyalty, and commitment.
- Not bringing problems at home to work and vice versa.
- Greater control of their working lives.
- Happier at home as well as:
 - Greater responsibility and a sense of ownership.
 - Better relations with management.
- Ability for women in paid work to take time off rather than resign from their jobs to stay at home, or to return to work too early after childbirth.

Work-life balance benefit to employers:

- Business will attract and retain the best people.
- Increased employee retention.
- Reduced absenteeism.
- Employer loyalty.
- Increased productivity and profit.
- Maximised available labour.
- Making employees feel valued.
- The reputation of being an employer of choice.

4.4 Causes of Work Life Imbalances

Lack of Self-Discipline

Balance equals discipline. Self-discipline is a vital trait for restoring and maintaining life balance. In essence, we must discipline ourselves to keep balance in our lives. How often do you find yourself allowing others to make their emergency your emergency such that it leads to extra work for you?

Poor Work-Life Time Management

Do your time management skills get you into trouble often? Procrastination can be our worst enemy, stealing time from other areas of lives because of the wrong decision to put off the work today and overload our tomorrows.

Putting The Needs of Others Ahead of Ourselves – Not being able to say “NO”

How many times a day do you put someone else's needs ahead of your own? We're all a little guilty of being too polite, struggling with saying 'no', and even falling victim to caring about what others will think of us if we dare to put ourselves ahead of someone else's goals. This decision to put the needs of others ahead of our own can tip the scales.

The Power of Consistency

Consistency is a close cousin of self-discipline and has a role in life balance. Once you find your balance, sustaining it requires that you stick to the plan. For example, going to the gym involves a significant amount of self-discipline and consistency if you are going to see any results.

Workplace Competition

Workplace competition can be a fantastic motivator, encouraging us to work a little harder and it can be extremely useful yielding great results for the business. There are some downsides to dabbling in too much workplace competition if we obsess over it.

Advanced communication technology

Due to advance communication people get work assignment at home so they spend the family time also on work so work-life imbalance occurs. Also due to advance communication people spend their free time on internet not their families.

4.5 Consequences Brought About by Lack of Work Life Balance

• Poor Work-Life Balance Affect Relationships:

The imbalance of life creates a quandary for most of us. If your focus is on your career and nothing else your friendships, familiar and romantic relations will suffer because they require just as much attention as your career. We have to make the time to nurture and broaden our friendships and in effect, be there as a support system for our friends and also, lean on our friends during difficult times. Our bonds with other people are a necessary part of the balance equation. They keep us grounded. If we fail to make the time for these relationships, we risk losing them.

• Generate Feelings of Stress:

A poor life balance can generate feelings of

stress. Although our family, financial woes, or an unexpected event such as a death or relocation can be a source of stress, work often tends to be a substantial driver of pressure in our lives. The need to succeed or to stand out from the rest can lead us to spend far too much time in this area of our lives, raising stress levels to an all-time high. This stress may interfere with the employee physical and psychological wellbeing as well as his relationship with fellow employees and the management. Stress caused by work/ life pressure may results in employee turning violent.

• Health Problems of Poor Work Life Balance:

One side effect of a poor life balance are the health problems that may emerge as a result. This affects eating habits and sleeping practices go downhill. Overworked employees are also likely to get sick and therefore the organization will experience higher absentee rate. Work life Imbalance may result to great personal problems for an employee. Apart from stress, lack of work life balance may also cause a lot of damaging effects on person's health. Cardiovascular diseases, sexual health problems, weakened immunity, backaches, weight gain, forgetfulness and mental and physical fatigue are signs associated with unhealthy work life balance. Sometimes such physical health problems may deteriorate and become very serious or in extreme cases fatal.

• Poor Work-Life Balance Leads to Poor Sleep:

Working long hours for too long can blur the lines between work and home life. The practice of not creating boundaries can leave us with feelings of mental and physical exhaustion.

• Aches and Pain as Symptoms of Life Imbalance:

Another symptom that is associated with life imbalance is aches and pains. If stress levels remain high for an extended period, the muscles in your body your body may respond by tensing. People commonly report tightness, strains, pain, that neve resolves itself or discomfort that occurs in the form of inexplicable spasms.

• Reduced performance:

Work related stress among employees not only affects the employees but also the organization itself as this stress may lead to

less productivity by the employee, poor health condition and in extreme cases lawsuits against the organization by the affected employee or family members

- **Destroys relationship:**

Lack of work life balance also ruins interpersonal relationships such as marriages, friendships, parents-child relationship among other types of relationships. This is because when no boundaries exist between work and home life an individual ends up missing important events that involve members of his families or close friends thereby ruining the relationships that existed between them.

- **Job dissatisfaction and employees turn over:**

Work/ life imbalance is also linked to high rate of job dissatisfaction and employees turn over. Employees working at organization where they feel that they are being deprived off time to perform their personal responsibilities are likely to consider moving to other jobs or organizations. This has cost and productivity implication for a given company. The company will end up spending more time and money recruiting and training new staff after the previously existing employees move on due to the work/ life conflict they were experiencing. During this period of sourcing and recruiting appropriate employees to replace the ones that have left, productivity of the company is definitely hampered. The low productivity situation is likely to prevail during the orientation and training of the newly acquired employees. If the factors that made the outgoing employees experience conflict between their work and lives will not be addressed, it is also likely that the newly acquired employees will not stay for long without considering moving. Employees working for such organizations are also likely to demand for high labour compensation than employees in organizations that have achieved a balance. This means more cost of labour and decreased profit margins.

4.6 Process of Achieving WLB

4.6.1 Personal Strategies for Ensuring WLB

The process of achieving WLB is explained below:

- **Step 1:** Set your priorities:
Figure out what you want your priorities to

be, not what you think they should be. Ask yourself, “If I could only focus on one thing in my life, what would it be?” That answer is your top priority. What would you focus on second? Third? Fourth? Fifth? You’ve now identified your top five priorities.

- **Step 2:** Track your time:

For one week, track how you spend your time. How much time do you spend doing things that don’t matter to you? Or that don’t align with your priorities? Eliminate these things from your life or delegate them.

- **Step 3:** Concentrate on one thing at a time.

Forget multi-tasking. It’s not possible to focus on two things at the same time. Instead, devote your full attention to the task at hand. When you are working, work. When you are spending time with your family, focus solely on them.

- **Step 4:** Schedule one thing you look forward to each day.

Book some time to play tennis with a friend, go to an art museum, or have a massage. The activity doesn’t have to be time-consuming, complicated, or expensive. Put aside an hour on your schedule to read a book, take a walk, or just to be alone.

- **Step 5:** Respect your private time.

An emergency would most likely have to come up before you’d reschedule an important work meeting. Give your own time the same respect. Once you’ve put private time on your schedule, protect it, unless there’s an emergency.

- **Step 6:** Take a look at your personal habits and general lifestyle.

Lack of sleep, poor nutrition, and bad exercise habits can cause you to feel a lack of balance in your life and can counteract any efforts you are making to achieve work-life balance.

- **Step 7:** Take a vacation.

At the very least, take two weeks off from work per year. You don’t need to go far, and you don’t need to spend lots of money, but you do need to recharge your batteries in order to be the most productive, creative, and happy person possible. Turn off your cell phone computer and enjoy.

- **Step 8:** Ask for support:

Tell your boss, family, friends, colleagues, and anyone else involved in your life that

you are seeking a better work-life balance. Tell them what your plan is and ask them to respect it.

- **Step 9:** Hire a personal coach:
A personal coach can assess your current work-life balance and can tell you what you can do to achieve optimal balance.
- **Step 10:** Get plenty of exercise.
It may feel counterintuitive to add another activity to your life, but exercise relieves stress, clears your mind, and ultimately makes you more productive. Don't skip it. You'll find that you greet work, family, and personal commitments with renewed vigor.
- **Step 11:** Set boundaries.
Today's technology can make the line between your work life and personal life quite blurry. Turn off your cell phone and laptop when you're at your son's soccer game and ask friends and family not to interrupt your workday unless it's an emergency.
- **Step 12:** Find a mentor.
Do you know someone who has it all — a successful career and a terrific personal life? Ask him or her to give you advice on career development, setting priorities, and time management.
- **Step 13:** Learn how to say "no".
Don't acquiesce to every request that comes your way. If it doesn't fit into your schedule or align with your priorities, don't overwhelm yourself by taking on more.
- **Step 14:** Evaluate your work-life balance on a regular basis.
Achieving work-life balance is a never-ending journey, and your needs will be different at different times in your life. Set aside some time once every other month or so to reflect on your current balance, what you would like it to be, and what the plan is for arriving there.

4.6.2 Organizational Strategies for Achieving Work Life Balance

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- **Development of good work policies:** One way that may be effective in promoting work life balance is the development of good work policies. Good work policies are one that allocate reasonable amount of works and work hours to employees. Organizations should focus on providing optimum working hours

and encouraging employees to take their home responsibilities seriously.

- **Development of work plans:**
Another possible solution would be for an organization to develop work plans that accommodate different cultures, values and working patterns. Organization that aims at achieving better work life balance should consider such unique cultural differences and offer working plans that accommodate them. It would be prudent to offer flexible working hours. Workers should be allowed to organize themselves into shifts so that no worker is disadvantaged by working in one shift throughout
- **Use of modern technologies:**
Adopting modern technologies would help achieve work/ life balance in a number of ways. Better working technologies would ensure that the workers are able to complete the same amount of work within shorter periods of time leaving them with enough time to attend to their personal duties. An organization may also adopt technology to improve the employee movement between the employees' homes and the work premises. This are technologies may be such as provision of company vehicles to pick and drop off workers from their home to work. Technologies such as the internet, online lodgement of documents, video and teleconferencing may make it possible for employees to work from home which will ensure that this employee is in a position to easily attend to both home and work duties.
- **Better management of an organization human resource:**
This is also another means of enhancing work life balance. Supervisors need to allocate duties, working hours in a way that it will not deprive the workers the opportunity to fulfil their personal responsibilities. Employees with a proper balance between work and life duties are happier, healthier, and likely to stay in the organization for long thereby increasing responsibilities.
- **Time management:** Many people are not able to meet their work or personal responsibility not because of too much work and limited time but because of their inability to manage the time available to them. If one can minimize wastage of time, for example by avoiding playing games or

visiting non-work-related sites during work hours and rather getting straight to having the day's job done, he would finish the job early and have ample time to attend to his home and other personal duties. It would also be prudent to keep a work schedule and plan your activities ahead. In this way one will be able to account for most of his or her time spent.

4.7 Strategies of Coping with Competing Demands

Managing WLB requires that one is able to manage and cope with many competing demands from many aspects of life including work, family and social. Managing time is critical to managing competing demands. The seven elements of managing time are discussed below.

Set Goals

Set goals that are achievable and measurable. Use the SMART method when setting goals. In essence, make sure the goals you set are **S**pecific, **M**easurable, **A**ttainable, **R**elevant, and **T**imely.

Prioritize wisely

Prioritize tasks based on importance and urgency. This can be achieved by use of the Prioritization Matrix which is a tool for rating your tasks based on urgency. It helps you know the critical activities and those tasks that you should bypass and can be useful in personal tasks. Also known as the Eisenhower matrix, this simple prioritization matrix template contains two axes and four quadrants, as illustrated below. The X-axis (horizontal axis) represents urgency, while the Y-axis (vertical axis) represents importance. The four quadrants represent:

1. Important and urgent: Do these tasks right away.
2. Important but not urgent: Decide when to do these tasks.



3. Urgent but not important: Delegate these tasks if possible.
4. Not urgent and not important: Set these aside to do later.

“What is important is seldom urgent and what is urgent is seldom important.”
- President Dwight D. Eisenhower

	Urgent	Not Urgent
Important	<p>DO Do it now.</p> <p>Examples:</p> <ul style="list-style-type: none"> - Write article for today - Answer certain emails - Meet with business mentor 	<p>DECIDE Schedule a time to do it.</p> <p>Examples:</p> <ul style="list-style-type: none"> - Exercise - Research articles - Call Derek
Not Important	<p>DELEGATE Who can do it for you?</p> <p>Examples:</p> <ul style="list-style-type: none"> - Scheduling interviews - Book flights - Answer every email 	<p>DELETE Eliminate it.</p> <p>Examples:</p> <ul style="list-style-type: none"> - Watching TV - Checking social media - Sorting through junk mail

Set a time limit to complete a task

Setting time constraints for completing tasks helps you be more focused and efficient. Making the small extra effort to decide on how much time you need to allot for each task can also help you recognize potential problems before they arise. That way you can make plans for dealing with them.

Take a break between tasks

When doing a lot of tasks without a break, it is harder to stay focused and motivated. Allow some downtime between tasks to clear your head and refresh yourself. Consider grabbing a brief nap, going for a short walk, or meditating.

Organize yourself

Utilize your calendar for more long-term time management. Write down the deadlines for assignments, or for tasks that are part of your job. Think about which days might be best to dedicate to specific tasks.

Remove non-essential tasks/activities

It is important to remove excess activities or tasks. Determine what is significant and what deserves your time. Removing non-essential tasks/activities frees up more of your time to be spent on genuinely important things.

Plan ahead

Make sure you start every day with a clear idea of what you need to do – what needs to get done THAT DAY. Consider making it a habit to, at the end of each workday, go ahead and write out your “to-do” list for the next workday. That way you can hit the ground running the next morning.

4.8 Learning Activities

Managing WLB

Instructions: As a player in the logistics and freight sector, you realize that there are so many competing demands that you have to undertake within the limited time you have. Yet you also have to ensure a work life balance.

Required

1. Make a list of tasks that are likely to come up as part of your job and at home
2. Prioritise these tasks based on the urgency and importance of each task.
3. Map the task in the Prioritization Matrix Quadrants indicating:
 - a) Important and urgent tasks
 - b) Important but not urgent tasks.
 - c) Urgent but not important tasks
 - d) Not urgent and not important tasks
4. What strategies as a result will you adopt to manage WLB?

4.9 Self-Assessment Questions and Activities

1. Explain the importance of WLB to the employee and organization in the logistics sector
2. What are the main causes of work life imbalances among employees in the logistics sector?
3. What strategies can you use to ensure a WLB for the employees in the logistics sector as identified in 2 above?

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5.0 WORK PERFORMANCE

5.1 Specific Learning Outcome

- i. Explain the meaning of work performance
- ii. Discuss performance management and setting performance targets
- iii. Discuss the key elements of work plans
- iv. Explain how to set work priorities
- v. Discuss how to monitor and evaluate performance in a given case.

5.2 Meaning of Work Performance

Work performance is the process of setting expectations, aligning goals, assessing results, and focusing on staff development through ongoing conversations between managers and their direct report(s). Work performance is the overall expected value from employees' behaviours carried out over the course of a set period of time. Work performance is how well an individual performs a given job, task, responsibility. Performance is a property of behaviour, or, plainly stated, what people do at work.

Several key terms are used in work performance:

- **Setting Expectations** is the process of discussing what is expected from an employee in terms of job roles and responsibilities.
- **Goals and Objectives** is the desired results each employee aims to achieve, determined based on conversations between managers and employees.
- **Goal Alignment** is the process of ensuring individual goals support the achievement of department goals and department goals support the achievement of organizational goals.
- **Assessment** is the review of goals, objectives, and other factors, and the determination of the level of successful achievement.
- **Performance Calibration** is the process in which supervisors and managers at the same level in an organization discuss staff performance ratings and outcomes to ensure ratings and development messages are applied consistently across the organization.
- **Feedback and Development** is the focus of the conversations between

managers and employees in determining strengths, opportunities for improvement, and how to grow and develop.

- Performance management is not just a once-a-year conversation.

Work performance is measured or evaluated against documented responsibilities, goal, objectives, outcomes, and reasonable expectations associated with a role or profession. It's a kind of evaluation report indicating how well an employee is executing the expected related work activities. It is an accomplishment of the assigned tasks for achieving organization's goal. It is an accomplishment of the assigned tasks for achieving organization's goal. It is an accomplishment of the assigned tasks for achieving organization's goal.

5.3 Performance Management Defined

Performance management can be defined as a systematic process for improving organizational performance by developing the performance of individuals and teams. It is a means of getting better results by understanding and managing performance within an agreed framework of planned goals, standards, and competency requirements.

Processes exist for establishing shared understanding about what is to be achieved, and for managing and developing people in a way that increases the probability that it *will* be achieved in the short and longer term. It focuses people on doing the right things by clarifying their goals. It is owned and driven by line management.

Performance management can be defined as a set of strategies and actions designed to develop and utilize the skills and talents of individuals and groups for optimal organizational results. It is an ongoing process that facilitates the planning, coaching, and evaluating of employee performance.

The essence of performance management can be captured in the following set of six core strategies (6 Cs of Performance):

- **Clarify** job responsibilities and clearly state agreed upon goals/work priorities.
- **Communicate** regularly by giving and receiving feedback throughout the year on performance, goals, directions and changing expectations.
- **Coach** to improve performance problems

- and/or develop employee performance.
- **Compare** performance to agree upon objectives on an annual basis and evaluate results.
- **Cultivate** continuous learning, employee growth and development.
- **Celebrate** exemplary performance.

Performance Management is therefore much more than merely telling a person what to do and “policing” them until it is done. Rather, it is an integral part of the manager and the employee’s job – it is a **joint process**.

5.4 Benefits of Performance Management

1. **Improved performance.** When performance is managed, it tends to be better. Managed performance involves setting clear goals, giving ongoing feedback, and coaching employees to be successful. Employees get better results when they know management takes an interest in them and what they are doing. Using a systematic approach to performance also helps improve results. You can’t manage performance by accident. You must have a plan and a process.
2. **Improved communication.** A proactive partnership requires communication. People have to interact. One of the most common employee complaints in most organizations usually has something to do with communication. Effective performance management results in more effective communication.
3. **Organization alignment.** When the entire organization focuses on performance management, there is alignment up and down the line. Everyone speaks the same language and goals are in alignment. People and/or departments aren’t working at cross-purposes. Employees are more focused on the same major priorities, and all have a clear understanding of how they can contribute to the organization’s overall success. Alignment helps the organization achieve more because employees are working together to help the organization succeed and vice versa.
4. **Organization capability.** More can be accomplished when everyone

is working toward the same goals and objectives. Strong individual performance helps build organization capability. As employees develop their skills and abilities the whole organization is in a better position to achieve its mission and strategic objectives. As the organization’s capability increases, it is also more likely to attract highly capable people to its workforce. The result is an upward spiral in performance and capability both at the individual and organization levels.

5. Reduced management time.

Performance management really does take less time. One of the keys to performance management is up-front planning and communication that occurs between employees and managers. The initial time investment is more than made up with the time saved in the long run by having employees who are actively involved in managing their own performance.

6. Increased employee self-management.

Performance management is a partnership. This is a critical difference between performance management and other systems that organizations sometimes embark on to improve organizational effectiveness. Many of those initiatives are directed **at employees**. Performance management, on the other hand, seeks to work **with employees** so they take on a significant amount of the responsibility for managing their own performance. It’s no longer just the manager who is responsible for performance. Instead, managers shift the emphasis to the employees and provide them with the tools they need to manage their own performance.

7. Increased employee satisfaction.

Effective performance management yields greater employee satisfaction. Employees like to have clear expectations and get feedback about how well they are performing. Also, the more involved employees are in planning and carrying out their goals, the more satisfaction they have in their jobs. Giving employees a significant voice in their day-to-day activities can be a big morale.

5.5 Aims of Performance Management

The following are the aims of performance management as expressed by a variety of organizations:

- Empowering, motivating and rewarding employees to do their best.
- Focusing employee's tasks on the right things and doing the right. Aligning everyone's individual goals to the goals of the organization.
- Proactively managing and resourcing performance against agreed accountabilities and objectives.
- The process and behaviours by which managers manage the performance of their people to deliver a high-achieving organization.
- Maximizing the potential of individuals and teams to benefit themselves and the organization, focusing on achievement of their objectives.

5.6 Performance Management Process

Performance management can be viewed as five interrelated steps:

1. Step 1: Planning Performance
2. Step 2: Monitoring Performance
3. Step 3: Analysing Performance
4. Step 4: Improving Performance
5. Step 5: Maintaining Performance

Step 1: Planning Performance

- Planning performance is about establishing expectations
- Planning answers "What is expected?"
- Clear expectations provide direction.
- Planning involves the employee and the manager linking the employee's job responsibilities the organization's goals, values, and initiatives.
- Planning performance helps derive a set of specific goals and objectives that describe what will be accomplished and by when.

Step 2: Monitoring Performance

- Monitoring performance is about ensuring expectations are being met.
- Need to reach agreement on how to monitor, measure performance and interpret results
- Monitoring performance involves gathering actual performance data

Step 3: Analysing Performance

- This is about determining the cause of poor performance. It is about identifying performance gaps
- The manager and the employee must look at the situation and find out what performance gaps exist.
- A performance gaps exists when there is a difference between desired and actual behaviour or results
- Once performance gaps are identified,
 - Determine their cause (s)
 - Figure out what can be done to improve performance
 - Determine what's the PIP (Potential for Improved Performance)

Step 4: Improving Performance

- Improving performance is about implementing strategies to reduce or eliminate performance gaps
- Manager and the employee must agree on what action to take to get performance back on track.
- Strategies for Improving Performance Gaps
 - Making organization and environment changes.
 - Providing training and development.
 - Coaching and mentoring.
 - Developing performance action plans.

Step 5: Maintaining Performance

- How do we keep performance on track?
- To maintain performance a number of strategies can be adopted
 - Develop feedback systems
 - Provide employees with either positive or corrective feedback as appropriate.
 - Conduct formal performance appraisals
 - Consider role of compensation in maintaining performance
 - Use of non-monetary rewards and incentives.

5.7 Setting Performance Targets

Performance Targets means the specific objective goal or goals (which may be cumulative and/or alternative) that are timely set-in writing by the management for each employee for the performance period.

The importance of target-setting

Performance target setting helps in identifying the vital indicators of your company's success that will help you establish accurate performance targets. For example, the number of customers you have may not be as important as the total revenue your sales generate. It helps in identifying areas of excelling and improvement. Measuring your company's success through achievable goals is an aid in analysing areas where your business excels and where it can be improved. If you rely only on figures that represent total sales, revenue, or profits, you may not know where you can do a better job and how you'll be able to grow your operation. Performance measurement and target-setting are important to the growth process.

In target setting you ask the following questions:

- What do you expect to achieve?
- What motivates improvement?
- What are you trying to accomplish?
- How do you meet/exceed expectations and standards?

Key performance indicators (KPIs)

Key performance indicators (KPIs) refer to a set of quantifiable measurements used to gauge a company's overall long-term performance. KPIs specifically help determine a company's strategic, financial, and operational achievements, especially compared to those of other businesses within the same sector.

KPIs are at the heart of any system of performance measurement and target-setting. When properly used, they are one of the most powerful management tools available to growing businesses/company. One of the key challenges with performance management is selecting what to measure. The priority here is to focus on quantifiable factors that are clearly linked to the drivers of success in your business and your sector.

In the freight logistics sector, examples of KPIs may include:

- Time taken to clear container
- Cost of clearing a container
- Turnaround time on customer queries
- Cost of transporting cargo to a client
- Time to deliver cargo in a container
- Warehousing efficiency

5.8 Developing Work Plans

In an effective organization, work is planned out in advance. Planning means setting performance expectations and goals for groups and individuals to channel their efforts toward achieving organizational objectives. Getting employees involved in the planning process will help them understand the goals of the organization, what needs to be done, why it needs to be done, and how well it should be done.

The requirements for planning employees' performance include establishing the elements and standards of their performance appraisal plans. Performance elements and standards should be measurable, understandable, verifiable, equitable, and achievable. Through critical elements, employees are held accountable as individuals for work assignments or responsibilities.

A Work Plan is a detailed accounting of how an individual or group proposes going about accomplishing a specific task, approaching a project, or pitching a new business concept. A work plan is an outline of a set of goals and processes by which a team and/or person can accomplish those goals and offering the reader a better understanding of the scope of the project. It is also known as a project plan or a feasibility or proposal report.

A work plan generally includes an introduction or overview of a project or job, a breakdown of how individual project-related tasks will be accomplished, a timeline for completion and in some cases cost projections for implementation. Work plans show all the tasks involved in a project, who is responsible for each task, and when the tasks will be completed. A work plan represents the formal road map for an assignment. It should clearly articulate the required steps to achieve a stated goal by setting demonstrable objectives and measurable deliverables that can be transformed into concrete actions.

Benefits of Using Work Plans

- Clearly identifies specific actions steps that will lead you to your desired outcomes

- Serve as a roadmap to keep you focused and on track with implementation of targeted activities
- Help you communicate what you are doing, and why it is important
- Clearly identifies the outcomes/deliverables of your work—can use as a justification of funding

Steps of developing a work plan

1. Identify the organizational goals/targets
2. Identify employee tasks or activities to achieve organizational goal
3. Identify key performance indicators
4. Identify targets
5. Determine responsibilities
6. Determine the timelines

The table below presents a format that can be adopted in developing a work plan.

Organizational Goal	Activities / actions	Key performance indicators	Target	Responsible	Timelines
Goal 1					
Goal 2					

5.9 Setting Work Priorities

During the workday, tasks are often prioritized (or not) according to the needs of others or the immediacy of deadlines. Prioritization involves creating an agenda, evaluating tasks, and allocating time and work to bring the most value in a short amount of time. Prioritization should be flexible, as you may need to interrupt low-priority tasks for urgent must-dos as follows:

- **Have a list that contains all tasks in one:**

Effective prioritization comes from understanding the full scope of what you need to get done—even the most mundane tasks should be written down and considered. To give yourself a complete picture, it's a good idea to include both personal and workday tasks in a single task list. Everything from picking up your dry cleaning to scheduling a one-on-one meeting with your boss should be captured in

the same place. Once everything is written down, prioritization typically happens according to the importance, urgency, length, and reward of each task.

- **Identify what's important:**

Understanding your true goals: While it might seem like an immediate time management strategy, prioritization is key in achieving long-term goals. Understanding what you're *really* working towards whether it is a promotion, a finished project, or a career change that helps you identify the tasks most pertinent to those future outcomes. It can be a good idea to break these larger goals into smaller, time-related goals. For example, a yearly goal can be deconstructed into monthly to-do lists, which then lead to weekly tasks, daily priorities, etc.

- **Highlight what's urgent:**

Your to-do list should provide full visibility of deadlines, helping you to identify which tasks must be completed promptly and to plan according to future deadlines. Creating deadlines even when they're not formally required is also important; otherwise, you will continue pushing back important tasks simply because they aren't time-sensitive.

- **Prioritize based on importance and urgency:**

The urgent and important are the tasks that should be done first. Block off time on your calendar to get the important and urgent done, without interruption. Those that are Urgent but unimportant can be delegated or delegate those tasks that are neither urgent or important and remove them from your to-do list.

- **Avoid competing priorities:** When the tasks you're working on aren't particularly difficult, it's relatively easy to manage them in tandem. A tactic for staying focused on one

important task at a time is identifying likely distractions for example concurrent tasks or ad-hoc requests and actively avoiding them throughout the day.

- **Consider effort:**

When staring at a long to-do list, it's easy to become overwhelmed by the work that needs to be done hence a feeling that reduces productivity and leads to procrastination. A strategy to overcome this involves evaluating tasks according to the effort required to complete them. If your to-do list is becoming too burdensome, prioritize those tasks that require minimal time and effort and move through them quickly. This clearing of tasks will give you some breathing space and generate a sense of accomplishment to propel you throughout the day.

5.10 Performance Monitoring and Evaluation

Performance Monitoring and Evaluation is a strategic approach to management, which equips leaders, managers, employees, and stakeholders at various levels with a set of tools and techniques to regularly plan, continuously monitor, periodically measure, and review performance of the organisation in terms of indicators and targets for set during the performance planning. In organizations, different terms are used including performance assessment and performance appraisal.

5.10.1 What is Performance Appraisal (PA)

Performance appraisal is a systematic, periodic, and so far, as humanly possible, an impartial rating of an employee's excellence in matters pertaining to his present job and to his potentialities for a better job. It is a systematic evaluation of performances of several employees so that they can understand all abilities of a person and their development and growth. Performance appraisal is also done in a very systematic manner which includes measuring the pay of employees and comparing it with all plans and targets.

Performance appraisal is a record of progress for apprentices and regular employees, as a guide in making promotions, transfer or demotions, as a guide in making lists for bonus distribution, for seniority consideration and for rates of pay, as an instrument for discovering hidden genius, and as a

source of information that makes conferences with employees helpful".

Appraisal should be in writing and carried at least once a year. The performance appraisal information should be shared with the employee. Employee should have the opportunity to respond in writing to the appraisal. Employees should have a mechanism to appeal the results of the performance appraisal. Manager should have adequate opportunity to observe the employees. Anecdotal notes on the employee's performance should be kept during the entire evaluation period.

Evaluator should be trained to carry out the performance appraisal process. Performance appraisal should focus on employee behaviour and results rather than on personal traits or characteristics.

In summary:

- PA is the process by which a manager evaluates an employee's work performance by measurement and comparison with previously established standards
- The identification, measurement, and management of human performance in organizations.
- Performance Appraisal is the systematic, periodic, and impartial rating of an employee's excellence, in matters pertaining to his present job and his potential for a better job

5.10.2 Purposes of Conducting Performance Appraisals

Performance appraisal helps the management to take decision about the salary increase of an employee. The continuous evaluation of an employee helps in improving the quality of an employee in job performance. It minimizes the communication gap between the employer and employee. Promotion is given to an employee based on performance appraisal.

Other uses of performance appraisal include:

- Provide information about work performance that is used for administrative decision making e.g.
 - Salary increase
 - Bonuses
 - Training
 - Discipline promotions

- Provide employees with feedback about their work performance based on standards established in the job description and analysis
 - Examine employee performance toward goals
 - Improve employee performance
 - Identify current or potential problems
 - To set targets for future performance
 - To identify potential for promotion
 - To monitor the achievement of policies and objectives
 - To consider salary increase potential
 - Foster positive working relationship

5.10.3 Who should conduct Performance Appraisal

A. Who Should Do the Evaluating?

1. By tradition, a manager's authority typically has included appraising subordinates' performance.
 2. Others may actually be able to do the job better.
 3. Immediate Superior
 - a) The employee's immediate boss conducts most of all performance evaluations at the lower and middle levels of the organization.
 - (1) Many bosses feel unqualified to evaluate the unique contributions of each of their subordinates.
 - (2) Others resent being asked to "play God" with their employees' careers.
 - (3) Organizations using self-managed teams, telecommuting, and other organizing devices, distance bosses from their employees.
 4. Peers
 - a) Peer evaluations are one of the most reliable sources of appraisal data.
 - (1) Peers are close to the action.
 - (2) Using peers as raters results in several independent judgments, whereas a boss can offer only a single evaluation.
 - (3) And the average of several ratings is often more reliable than a single evaluation.
 - b) On the downside, peer evaluations can suffer from co-workers' unwillingness to evaluate one another and from biases of friendship or animosity.
5. Self-Evaluation
 - a) An employee evaluating their own performance is consistent with values such as self-management and empowerment.
 - b) Self-evaluations get high marks from employees themselves.
 - c) They suffer from overinflated assessment and self-serving bias.
 - d) Self-evaluations are often low in agreement with superiors' ratings.
 6. Immediate Subordinates
 - a) Immediate subordinates' evaluations can provide accurate and detailed information about a manager's behaviour because the evaluators typically have frequent contact with the manager.
 - b) The problem—fear of reprisal from bosses given unfavorable evaluations. Respondent anonymity is crucial if these evaluations are to be accurate.
 7. 360-Degree Evaluation
 - a) The latest approach to performance evaluation.
 - b) Performance feedback comes from the full circle of an employee's daily contacts.
 - c) The number of appraisals can be as few as three or as many as twenty-five, with most organizations collecting five to ten per employee.
 - d) Its appeal—it fits well with organizations using teams, employee involvement, and quality management programs.

5.10.4 How Often Should Performance Appraisals Be Given?

Performance evaluations should be an ongoing process and not relegated to a specific time and place. Basically, there are three types of performance reviews:

1. Feedback – formal (such as weekly tally sheets of sales) and informal (such as brief discussions between a manager and an employee) ways for a manager to stay in touch with staff members. This generally occurs as a manager sees and talks with individuals as they do their work or over coffee. Because of the informality of this type of evaluation, there is ample opportunity for information exchange between the employee and the supervisor. Effective feedback should be ongoing and not scheduled.
2. Coaching – a continual troubleshooting process in which the manager acts as a coach or facilitator, encouraging the practice of positive and productive activities. Coaching takes place between formal performance review interviews. While this can occur on an informal day-to-day basis, it also can be more formalized, occurring only when a performance problem surfaces. At this point, it is the responsibility of the manager to call a meeting with the employee to discuss the problem and to analyse solutions to it. A record of the coaching meeting can be submitted to the employee's personnel file for reference during the regular performance appraisal. In this way, it can be added to performance objectives to be met by the employee.
3. Performance interviews – formal evaluations of employees that are scheduled quarterly, at six-month intervals, or annually, depending on the nature of the organization. This is a formal activity designed to review the employee's progress toward the goals and objectives established in the previous performance appraisal.

5.10.5 The Performance Appraisal Process

I. Before The Appraisal

A. Step One: Define expectations for the job.

- Is there a job description?
- Have expectations of good performance been communicated? How? When?
- Are you confident that the employee knows what is expected?

B. Step Two: Observe performance. Have you conferred with other managers or operations personnel with whom this person is likely to work? Do you have specific behaviours to support the ratings and agree on the appraisal form?

C. Step Three: Reviewed goals established from previous appraisals, if applicable. Were the goals achieved? Were goals not achieved? Are there any developmental areas established in the last review? Remember that the performance appraisal process is ongoing; performance is reviewed daily, weekly, quarterly. There should be no surprises during the review. One should not save all the problems occurring in the previous 12 months and unload them during the appraisal. It is hoped that most problems are addressed when they occur.

D. Step Four: Allow the employee to prepare a self-appraisal. Meet with the employee one or two weeks prior to the appraisal.

II. Opening The Appraisal Meeting

- I. State the goal of the appraisal
 - The goal of the appraisal is to maintain a relaxed mood so that proper communication and trust will occur. This relaxed mood is related to how you present your communication in both the verbal and nonverbal sense.

The following *nonverbals* are important:

- a. Eye Contact.** Look directly at the employee when speaking; nod your head; smile when appropriate; display interest.
- b. Nearness.** Sit at a close, comfortable distance. Avoid sitting behind large desks.
- c. Posture.** Sit straight; be attentive; maintain a symmetrical posture with employee.

The following verbals are important:

- a. Small Talk.** “Break the ice” initially; talk about family, a recent happening. Each employee is different; use whatever approach will build rapport and reduce nervousness. Some employees prefer a direct “strictly business approach.”
- b. Prods.** Acknowledge listening. “Uh huh...I see...Hmmm...Go on...Tell me more about that.” Use open-ended questions like why, how, when, where; get employee to talk.
- c. Speak Positively.** Compliment; show appreciation; acknowledge where appropriate.

III. The Appraisal Begins

A. Step Six: State purpose and objectives of the appraisal.

The primary purpose of an appraisal is three-fold:

- Provide feedback on performance
- Increase your job satisfaction
- Help strengthen the employee’s skill areas

B. Step Seven: Techniques for presenting information

The following techniques may prove helpful in presenting information during the performance appraisal.

1. The Tell-and-Sell Technique.

This is used to persuade an employee to improve. This may be used nicely in skill areas where both parties have agreement. The employee is aware of developmental areas and wishes to correct them. You provide evidence and counsel on how the employee can change behaviour for the better.

2. The Tell-and Listen Technique.

The employee is defensive and may disagree with an aspect of the evaluation. Use listening rather than selling skills. People will change if defensive feelings are released. Make a statement to the employee about the behaviour; allow employee to comment; ask probing questions; summarize feelings. Once both parties

understand each other, and then agree on a way to correct.

3. The Problem-Solving Technique.

A helper of sorts. The employee does not recognize a problem in behaviour or asks for your assistance in correcting. You will jointly analyse the problem together; probe for reasons; ask questions; make and ask for suggestions. Essentially, you jointly solve the problems together and develop an action plan to correct it.

Note: These techniques may work in tandem; that is, a tell-and-listen technique may work into problem solving. Or a tell-and-listen may work into a tell-and-sell if there is no agreement. It all depends.

C. Step Eight: Set goals and develop action plan

Once you have reviewed each skill area and reached some form of consensus, you are ready to establish developmental goals. Do not be disappointed if the employee does not agree with your recommendations despite all these wonderful strategies. You may have to change the focus and simply provide direction on what you expect. Try and turn things into a positive format by demonstrating your sincere willingness to help them strengthen any developmental areas.

- Allow the employee to discuss the goals they had set prior to the evaluation. Have the employee explain:
 - ☐ What is their goal (in specific terms)?
 - ☐ How can it be achieved?
 - ☐ When do they expect to achieve it?
 - ☐ Why it is important to their continued success?
- Once the employee identifies the goals (some may not), then proceed with an explanation of your goals. Avoid directive phrases such as “you will.” Use phrases like “I would like,” “How do you feel about?” “What is your best estimate, Mary, on when we can achieve this?” If they agree, terrific. If not, present your goals.

D. Step Nine: Set date for next review

It is important to close the interview on a positive note. Set the date for the next review and set up a monitoring system for goal achievement. Advise the employee that you will be transferring information to a new form, and they will be allowed to offer comments.

E. Step Ten: Deliver what you promise

Monitor performance regularly to ensure goals are achieved. Don't wait until next year. Performance is evaluated daily. It has been said that feedback is the breakfast of champions!

The PIP has several requirements including:

- **Practicality** - Every point articulated in the plan must be directly related to the employee's job performance in order for it to make sense and for it to be immediately usable.
- **Timeliness** - The plan is helpful only if it has immediate value and sets timelines for achieving specific goals.
- **Specificity** - The plan needs to be clearly articulated and understood by both parties outlining activities the employee will undertake and for what reason.
- **Organizational support** - the organization should back up an employee's efforts to grow and develop. E.g. offering time off for outside coursework, by in-house career counseling, by developing employee assistance programs etc.

5.10.6 Performance Improvement Plan (PIP)

A performance improvement plan (PIP), also known as a performance action plan, is a tool to give an employee with performance deficiencies the opportunity to succeed. It may be used to address failures to meet specific job goals or to ameliorate behaviour-related concerns. Generally, even though a PIP is developed at the end of every performance period after an appraisal, it can also be developed midstream when an employee's performance is declining.

Performance Gap	Intervention strategy	By who	By when	Resources required	Review date	Comments

Signed: _____ **Employee:** _____
Supervisor: _____
HR Manager: _____

5.11 Learning Activities

You are an employee working the freight and logistics sector. As a clearing and forwarding agents you carry out customs clearance procedures and ensure that insurance, export/import licenses and other formalities are in order. Specifically, the tasks include:

- Carrying out Customs clearance procedures for exports and imports;
- Ensuring that insurance is in order;
- Ensuring that export/import licenses and other formalities are in order;
- Signing and issuing bills of lading
- Checking import export documentation to determine cargo contents;
- Classifying goods into different fee or tariff groups, using a tariff coding system.

Required

Using The table below, develop a work plan for a clearing and forwarding agent.

Organizational Goal	Activities / actions	Key performance indicators	Target	Responsible	Timelines
Goal 1					
Goal 2					

5.12 Self-Assessment Questions and Activities

1. What is the importance and benefits of performance management?
2. Why should we set performance targets in the freight and logistics sector?
3. Explain the key performance indicators for a clearing and forwarding agent
4. Discuss the strategies that can be used to improve employee performance in the clearing and forwarding sector

5.13 References

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6.0 PROFESSIONAL GROWTH AND DEVELOPMENT

6.1 Specific Learning Outcome

- i. Explain the meaning and importance of professional growth and development
- ii. Identify approaches for professional growth and development
- iii. Discuss sector continuous professional development programme
- iv. Develop an individual professional development plan

6.2 Overview of Professional Growth and Development

6.2.1 Meaning Professional Growth and Development

Professional growth refers to gaining new skills and work experience that can help you reach a goal in your career. And since we're going through an ever-changing job market, keeping yourself up-to-date with trends will give you a better chance to distinguish yourself among others for years to come.

Professional Development (PD) is quite simply a means of supporting people in the workplace to understand more about the environment in which they work, the job they do and how to do it better. It is an ongoing process throughout our working lives. PD opportunities provide a means whereby we can keep in sync the changes, broaden our skills and be more effective in our work.

PD can be part of an individual's personal ambition to be a better practitioner, enhance his/her career prospects or to simply feel more confident about their work and make it more personally fulfilling. It can be a step on the ladder to higher qualifications or enhanced job prospects or be required by professional bodies to maintain professional status. It can be part of meeting targets set by workforce performance management schemes or an opportunity for individuals to change their career paths.

6.2.2 Purpose of Professional Development

The purpose of professional development is to give professionals the opportunity to learn and apply new knowledge and skills that can help them in their job and further their career. Professional development is all about building your skill set and knowledge base

for your field. Professional development is helpful for self and employer. By having opportunities to learn, increase your skill sets, and stay up-to-date on industry trends, professionals like yourself increase your own worthwhile also adding to your company's overall value.

6.2.3 Importance and Benefits of Professional Growth and Development

Benefits of professional development and growth include:

- 1. Professional development expands your knowledge base.** Professional development and continuing education opportunities can expose both young and experienced professionals to new ideas, solidify their knowledge, and increase their expertise in their field.
- 2. Professional development boosts confidence and credibility.** By increasing professionals' expertise through professional development, their confidence in their work will increase as well. No one likes to think they're missing important skills in their industry. Professional development courses, continuing education, and training opportunities allow professionals to build confidence and credibility as they acquire new skill sets and professional designations.
- 3. Professional development increases earning potential and hireability.** Professional development and continuing education offers both young and experienced professionals with opportunities to boost their earning potential and future hireability by increasing their knowledge and updating their skill sets. Professional credentials, certifications, and designations also provide easy ways to increase a professional's value. Professionals with the right skill sets who seek out and take advantage of upskilling opportunities are certainly more bankable than those who don't.
- 4. Professional development can provide networking opportunities.** Many professional development opportunities such as workshops, conferences, and other

networking events allow professionals to branch out and meet other people within their industry who may be able to help them with career opportunities in the future. When you decide you want a change or are ready to move up in your career, your professional network, and the professional relationships you forged will come in handy.

5. **Professional development keeps professionals current on industry trends.** Professional development and continuing education and learning opportunities are great ways to stay up-to-date on industry knowledge and trends. Every professional industry is constantly evolving, so employees should use professional development and training opportunities to expand their knowledge base, learn new practices and techniques, and embrace new technology.
6. **Professional development can open the door to future career changes.** For professionals who are looking to make a complete career change or to pivot within their industry, new skills acquired through professional development training could be critical to opening new doors within their field or to transition to a new industry.

6.2.4 Approaches to professional development:

- **Skill Based Training:** Effective skill-based training allows participants to learn conceptual information or necessary behaviours, practice learning the new information or behaviours, and receive feedback on their performance. Making the most of a training program: Have a discussion with supervisor regarding reasons for attending, what you hope to get out of it; post-conference debriefs the experience. Discuss what you have learned at the training session and how you might immediately apply it to your work. Practice skills that you learned.
- **Job Assignments:** Learning by doing – by working on real problems and dilemmas. May be an entirely new job, a responsibility added to an existing job such as a short-term project. The key element in a developmental assignment is challenge, something that stretches people, pushes them out of their comfort zones, and requires them to think and act differently
- **Developmental Relationships:** Learning through interaction with others. Three major roles that a person can play include: (1) assessment (feedback provider, sounding board, point of comparison, feedback interpreter), (2) challenge (dialogue partner, assignment broker, role model), (3) support (counselor, cheerleader, reinforcer, cohort).

6.3 Avenues for Professional Growth and Development

- **Continuing Education:** Enrolment in formal degree programs, courses, or workshops, pursuing certificates, accreditations or other credentials through educational programs.
- **Attend a professional conference.** Conferences are great opportunities to learn from experts in your field, network with like-minded professionals, and have a good time.
- **Participate in workshops.** The purpose of workshops is to bring together professionals with specific expertise to discuss problems and offer solutions. Unlike most conferences, workshops require active participation from those attending. This hands-on experience can be especially useful in learning new skills.
- **Complete your CPD.** Continuing education is required to maintain most professional licenses and designations. Some people view continuing education as a chore they have to get out of the way every year, but proactive professionals take advantage of their continuing education courses to hone their knowledge and update themselves on their industry.
- **Take advantage of micro-learning.** Micro-learning is an effective learning method especially useful for busy professionals. Also known as “bite-sized learning”, micro-learning consists of brief learning units that give brief, focused bursts of content (usually between 1 and 10 minutes long) allowing professionals to fit short learning sessions into their busy schedules.
- **Shadow a colleague.** If opportunity presents itself, it may be useful to shadow a colleague or superior whose type of job or skills you are interested in.

Shadowing another professional can be a positive learning experience that can offer a lot of clarity about your interest in that career.

- **Read a book that can help you in your field.** There are going to be a lot of books out there, no matter what industry you are in. If you're unsure of what to read, ask your manager or mentor what they recommend.
- **Research:** Conducting research, presenting findings of research to others
- **Increased duties and responsibilities:** Taking on new challenges in current position, projects, long or short-term assignments

6.4 Continuous Professional Development (CPD) Programmes

A profession is a career area for which one needs a professional qualification to join. Traditionally, the professions included law, medicine, accountancy, the civil service and similar. More recently, many other professions have emerged, including logistics, clearing, and forwarding, customs agents, HR, marketing, sales and IT, all of which have recognized professional qualifications. Professional qualifications are a requirement to operate in some professions, such as medicine or dentistry.

Continuous Professional Development (CPD) refers to systematic maintenance and improvement or broadening of knowledge and skills and the development of personal qualities necessary for the execution of professional and technical duties throughout the professional working life.

Continuous professional development refers to the process of training and developing professional knowledge and skills through independent, participation-based or interactive learning. This form of learning allows professionals to improve their capabilities with the help of certified learning. CPD courses for professionals should reflect their current expectations as well as future ambitions. As your career develops, the knowledge and skills you require will also evolve. This is where CPD will come to your rescue and help you steer your career in the future.

As a process of lifelong learning for professionals, this CPD program is an extension of the initial training and development process that qualifies an individual as a practitioner. It is a post-qualification

program that enables freight and forwarding professionals to continue with the development of their professional knowledge, skills, and attitudes to adapt to evolving industry and professional demands.

CPD training helps professionals to:

- Stay up to date with the latest trends and learn new skills;
- Improve their performance at work;
- Boost their self-confidence;
- Enhance their professional reputation and future job prospects;
- Obtain concrete proof of their professionalism and commitment.

6.4.1 Types of Continuing Professional Development

- **Formal CPD:** This type of CPD involves active and structured learning that is usually done outside the organisation for which you work. Formal CPD usually consists of more than one professional, however in some cases it could just involve a single professional. Some activities in this form of structured learning include:
 - Offline and online training programmes;
 - Learning-focused seminars and conferences;
 - Workshops and events;
 - Lectures.
- **Informal CPD:** Informal CPD is also known as self-directed learning, in which the professionals carry out development activities according to their own choice and without a structured syllabus. This form of learning usually consists of:
 - Studying publications written by industry experts;
 - Perusing relevant case studies and articles;
 - Listening to industry-specific podcasts and following industry-specific news;
 - Studying and revising for professional exams.

6.4.2 Benefits of Continuous Professional Development

Continuous professional development programmes provide two-fold benefits — for the learner and for the employer.

Benefits of CPD for the learner:

- Improves intellect, personal skills and confidence;
- Opens doors to excellent future employment opportunities;
- Improves learning ability;
- Promotes independent learning;
- Demonstrates ambition and commitment to professional self-improvement;
- Relevant practical qualifications that will impress current and prospective employers.

Benefits of CPD for the employer:

- Sets a high standard across the company for staff development;
- Improves productivity with the help of motivated and skilled employees;
- Endorses a learning culture in the organisation;
- Enhances the reputation of the company among prospective employees and clients;
- Increases employee retention;
- Allows the company to keep up with the latest trends and changes in the industry.

6.5 Continuous Professional Development (CPD) Programme in Logistics Sector

The Federation of East African Freight Forwarders Associations (FEAFFA) as an apex body of national associations of clearing and freight forwarding agents in the East African Region has developed a CPD programme for the sector with a primary aim to assist professionalization of the sector. The CPD program aims to;

- a) Professionalize the Freight Logistics industry through provision of a platform for the industry professionals to continuously seek and keep themselves in the know of the trends in freight logistics.
- b) Define the continuous development process for the Customs and Freight Logistics Professionals as they seek to remain relevant and competitive in their field of practice.
- c) Regulate the EAC Customs and Freight Logistics industry through a monitored

qualitative professional development process that leads to attainment of CPD Points per calendar year.

- d) Provide professional development opportunities for Customs and Freight Logistics Professionals to keep them effective, efficient, relevant and at par with global standards of competitiveness
- e) Enforce regulation of the EAC Customs and Freight Logistics industry to weed out and keep off quacks in the industry.

6.5.1 The FEAFFA CPD Structure and Requirement

There are two categories of CPD activities:

- Structured CPD Activities
- Unstructured CPD Activities

Structured CPD Activities

Structured CPD is the undertaking of any formal learning activity designed to meet a specific development need (this is what an individual is expected to know, understand or do as a result of his or her learning). Structured CPD hours shall be earned from structured CPD activities. To qualify for the structured CPD hours, the activity must have had a pre-planned written program, expert trainers, and certificate of completion. Recording such activities will require that the individual member must present both the program and certificate of completion of the activity. The hours awarded will be effective learning hours. Structured CPD hours shall be earned from seminars, conferences, in-house trainings, workshops, and relevant academic courses but subject to a maximum of 10 hours per course per year.

Unstructured CPD Activities

Unstructured CPD is any activity an individual considers has met a learning objective, but has not been specially undertaken for this purpose. Unstructured CPD can also be defined as any form of informal learning or development of day to day working skills achieved through self-study and/or informal training. Unstructured CPD hours shall be earned from self-guided CPD activities such as watching videos, reading relevant and current journal articles. The individual may submit to the Board evidence of attendance, presentation or participation in other initiatives which expose such an individual to different areas of knowledge and skills necessary for their work such as innovations,

coaching and mentoring, chats, professional networking events, publishing articles and books, Blogs, and personal development activities. For all unstructured activities, the burden of proof and justification falls entirely on the individual.

6.5.2 CPD Competency Classification

Professionals in the freight logistics industry in East Africa may attend different programs and activities for accumulation of CPD points. The competencies that they need for better performance may fall in the following categories:

- a) Technical Competencies-** these include content that update them on best practices in carriage of goods, warehousing, Customs clearance and fiscal matters. This category includes content that are core to performance of core professional business and shall constitute 50% of the CPD content in any year.
- b) Emerging issues** – these include emerging issues that may affect the professional practice trajectory in the foreseeable future. Emerging issues include technological aspects like cloud computing and blockchain as well as political and general regional development issues. These shall constitute 30% of an individual's CPD content.
- c) Leadership and personal development** – this includes governance, change management, personal branding and relevant motivation. These shall constitute 20% of an individual's CPD content in a year.

6.6 Professional Development Plan (PDP)

A Professional Development Plan (PDP), also known as an Employee Development Plan or an Individual Development Plan, is used to document career goals and set out a strategy on how to meet them.

Creating a PDP takes time and planning. But, writing and implementing a PDP can help you to identify and develop the professional skills needed to reach your goals, and can keep you on the track to success. It's an important process that helps you achieve your potential, reach your goals and take charge of your professional development.

A professional development plan documents the goals, required skill and competency development, and objectives a staff member will need to accomplish in order to support continuous improvement and career development. A professional development plan is created by the manager working closely with the staff member to identify the necessary skills and resources to support the staff member's career goals and the organization's business needs.

Professional development for staff members begins when a new member joins your team. In addition, all staff members should have a "living" professional development plan in place. Planning should not take place only after a staff member is identified as needing improvement. Professional development plans should be reviewed on an on-going basis throughout the year, with at least one interim review discussion between the staff member and supervisor prior to the end of the yearly performance review period.

Step 1: Assess where you are now

How is your career currently progressing? Assessing your current career situation is a good place to start. Ask yourself the following questions:

- What have you been doing over the past year, 3 years or 5 years to help your professional development?
- Are you where you thought you'd be at this stage in your career?

If the answers are 'nothing' and 'no', a PDP is a great place to start to begin turning that around. Even if those were not your answers, this step will give you the chance to assess the effectiveness of the strategies and actions you have been taking in the past. Take this opportunity to reflect on your actions and be honest with yourself. Identify, and write down, any actions that have specifically helped, or hindered, your professional development.

Step 2: Identify your specific career goals

Where do you want to be? Answering this question can take a lot of time. It is a good idea to carve out a block of about thirty minutes; sit calmly and don't rush. To help you get started with identifying your career goals, ask yourself the following questions:

- **What does success mean to you?** Is it financial success, a promotion to a managerial position or starting your own business? The definition of 'success' varies from person to person. There is no 'one-size-fits-all', so you need to understand

what *YOUR* motivations are to answer this question.

- **What activities do you love the most?** Are these activities a part of your current job? If not, can you change this?
- **Are you experiencing a version of this success in your current job?**
- **Where would you like to be in 5 years' time? Ten years?** This is a good time to identify your long-term goals.

Defining your long and short-term goals can be scary. It can take a long time and a *lot* of thought, and you might start to get overwhelmed by the enormity of all the decisions, but that's alright. Remember it's okay to think big (like 'dream job' big) because with a proper PDP anything should be possible.

Just make sure that your goals are '**SMART**':

- Specific.
- Measurable.
- Achievable.
- Realistic.
- Timely.

Step 3: Gather Information

What professional skills are needed to get where you want to go? After you have identified your long and short-term goals, researching what you need to achieve them is the next step. Which skills under your belt will impress at interviews and make you an ideal candidate?

Take this time to break your long-term goals down into more manageable steps. For example, if your long-term goal is to become an Area Manager, identify what the individual steps required to reach that position might be. These could be progressing to a supervisor position, being promoted to Team Manager and then Area Manager. Each one of these positions will have different job and skill requirements, and breaking them down into individual steps will allow you to create a better plan for the future.

Meeting with your line manager is a good place to start, as they might help you identify other areas you need to work on and offer suggestions about upcoming training opportunities provided by the company. Researching the criteria for the job you envision yourself having and looking into new workshops that target the key skills needed in your profession, can also be helpful.

This step is important because it helps you identify the professional skills and abilities you need to help you reach your goals, enabling you to plan new learning and development opportunities that are relevant to your professional development.

Step 4: Evaluate your professional skills

Now that you have identified what professional skills are desirable for your ideal career path, take a moment to tick off ones you're already proficient in. Knowing your current strengths is important, so you can clearly distinguish what you are lacking that might be holding you back.

Step 5: Decide on a strategy

Now that you have identified the areas you need to work on, it is time to decide how you will remedy this. To be effective, your professional development should be;

- Job embedded.
- Strategic.
- Continuous and ongoing.

Perhaps you could sign up to skills workshops and seminars that your company is offering, get involved in formal CPD training (such as the business courses offered by Revenue Authorities, FEAFFA and National Associations), or keep up to date with new technology relating to your field.

There are many strategic ways to develop the skills you need to accomplish your goals; take it in small chunks, relate all learning experiences to the skills identified by your PDP and remember this is a process of continual development – not a one-time thing.

Step 6: Develop a timeline

It is important to decide when you want to achieve your goals and laying out a time-frame is an important factor in making sure that you stick to your PDP. Knowing you have given yourself a deadline means you are more likely to achieve your plans.

Plan your targets on a yearly basis, make sure to give each target more time than you envision it taking because things rarely go to plan, and schedule your targets around opportunities you'd like to achieve. By planning and scheduling your professional development, you'll be the ideal candidate by the time that promotion you want rolls around.

Step 7: Write it all down

Keep detailed notes of your Professional Development Plan that you can update and alter as you go along. Writing it all down will help you remember your overall goal and all the steps you have laid out for yourself. A PDP is not something to be written and forgotten. It is a career-long tool that you should refer to regularly. Writing it down will also be handy for when you are ready to apply for that new position or promotion. You will have a detailed list of all the professional skills you have been working on, and examples of just how you have gone about facilitating your own professional development.

Step 8: Evaluate your plan

Before you commit to your PDP, look over it. Check again that all the goals and steps are:

- Specific.
- Measurable.
- Achievable.
- Realistic.
- Timely.

Even though you should dream big, setting unreasonable goals and targets will make the experience of following a PDP stressful and disheartening. It's important to evaluate your plan to make sure you can meet your targets – be it task or time-frame – and that your goals are realistic and achievable.

Step 9: Measure your progress

Are you meeting your targets? Assessing your progress regularly is important. Even though you know your professional development is important (you've made a plan for it, after all) professional education can quickly fall in priority. Measuring your progress will help you know if you are hitting your 'check lists', meeting your targets and are on track for reaching your goals. You may need to set more manageable steps, or make new targets, or even set new goals.

Remember that plans change and, as you go through your career, your goals will progress with you. Learning is a lifelong process, and it's important to continue your professional development to ensure career success.

6.7 Learning Activities

As a professional in the freight and logistics sector, develop a personal Professional Development Plan based on the steps discussed before.

6.8 Self-Assessment Questions and Activities

1. What are the benefits of a professional growth program to both the employee and employer?
2. Discuss the approaches for professional growth and development
3. Discuss the avenues and strategies available for a profession in the freight logistics sector for professional growth and development

6.9 References

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7.0 LEADERSHIP AND TEAMWORK

7.1 Specific Learning Outcome

- i. Explain the meaning of leadership
- ii. Identify characteristics of leadership
- iii. Identify types of leadership
- iv. Analyse leadership qualities
- v. Examine teamwork in organizational success

7.2 Definitions in Leadership

Leadership is not about a title or a designation. It's about impact, influence, and inspiration. Impact involves getting results, influence is about spreading the passion you have for your work, and you have to inspire team-mates and customers. Leadership is the one of the most important function of management. Leading involves directing, influencing, and motivating employees to perform. Leadership is shifting of own vision to higher sights, the raising of man's performance to higher standards, the building of man's personality beyond its normal limitations.

Leader

One that leads or guides. One who is in charge or in command of others. One who heads a an organization, family, country, team, etc. One who has influence or power over followers.

Leadership

Leadership can be defined as the effective use of power and influence. Power is the capacity to influence the behaviour of others. Leaders use power to get results.

Management

It is the art-science of implementing organizational goals and objectives through people to achieve the laid down objectives.

Power

This is the capacity to influence the behaviour of others to achieve a result.

Influence

This is the process by which people successfully persuade others to follow their advice, suggestions, or orders.

Leaders influence followers by:

- Developing followers to higher levels of ability and potential

- Stimulating and enabling followers to think about old problems in new ways
- Communicating inspirationally and persuasively their high-performance standards and expectations
- Communicating their values - walking their talk. Followers identify with the leader, and they copy the leader's actions.

7.3 Leadership Characteristics / Traits

7.3.1 Characteristics of Good Leaders

A common misconception is that individuals are just naturally gifted with leadership skills. The truth is that leadership traits, like other skills, can be acquired with time and practice. Below are seven traits of an effective leader:

Effective Communicators

Leaders are excellent communicators, able to clearly and concisely explain problems and solutions. Leaders know when to talk and when to listen. In addition, leaders are able to communicate on different levels: one-on-one, via phone, email, etc.

Accountable and Responsible

Leaders hold themselves accountable and take responsibility for any mistakes. Leaders support and encourage individuality while abiding by organizational structure, rules, and policies that need to be followed.

Long-term Thinkers – Visionary

Leaders are visionaries. This is evidenced by the leadership trait of being able to plan for the future through concrete and quantifiable goals. They understand the need for continuous change and are open to trying new approaches to solve problems or improve processes.

Self-motivated

Leaders are self-motivated and are able to keep going and attain goals despite setbacks. In addition, good leaders try their best to exceed, not just meet, expectations.

Confident

Virtually all good leaders share the leadership trait of confidence. They are able to make tough decisions and lead with authority. By being confident, leaders are able to reassure and inspire others, establish open communications, and encourage teamwork.

People-oriented

Leaders are typically people-oriented and team players. They're able to foster a team culture, involve others in decision-making, and show concern for each team member. By being people-oriented, leaders are able to energize and motivate others. By making each individual feel important and vital to the team's success, they secure the best efforts from each member of the team.

Emotionally Stable

Leaders exercise good control and regulation over their own behavior and are able to tolerate frustration and stress. Leaders are able to cope with changes in an environment without having an intense emotional reaction.

7.3.2 Characteristics of a Bad Leader

Listed below are the traits that bad leaders commonly exhibit:

- Too bossy
- Fearful of change
- Unwilling or unable to communicate effectively
- Dismissive of ideas other than their own
- Lacking empathy
- Inconsistent
- Prone to blame others rather than accept responsibility themselves
- Indecisive



7.4 Difference Between Manager and Leader Manager Leader

Manager is the one who handles, controls, or directs the activities of others in an organization. Anyone who uses management skills or holds the organizational title of 'manager' having ability to command a certain unit. Oversees the current process well. Managers are always process oriented on how the organization works. Managers always protect himself. Managers always avoid being involved in conflicts.

Leaders are vision oriented and think about future. Leaders always protect their staff. Leader always deal with conflicts in a positive way. Leaders always trust on his staff and vice versa.

What Do Managers Do?

Managers:

- Motivate people toward established goals and clarify roles and tasks.
- Control complexity and chaos
- Obtain resources needed to implement organizational objectives through the planning and budgeting processes.
- Provide incentives to 'push' people in the 'right' direction so goals are implemented efficiently. Managers will monitor and detect mistakes or variances from standards and take actions to have those mistakes corrected.
- Tend to coordinate information flows through organizational structure, channels, and chain of command.
- Think, delegate, direct and discipline.

Are leaders different from managers?

Leaders are seen as brilliant, lonely, heroic, visionary, effective, imaginative, creative, and self-reliant.

Managers are seen as rational, problem-solving, directing, task-oriented, efficient, persistent, tough-minded, hardworking, intelligent, analytical, tolerant, practical, and innovative. When they were young people, leaders sought to change the world around them, and as a result these people as adults are prone to challenging the status quo, even creating (thriving on) chaos. Managers, in contrast, frequently talk of growing up with a sense of fitting and as adult managers, these people seek and maintain order – even if they sponsor change, they want that change to be orderly.

Leaders use their influence to change people's views of what is desirable, possible, and necessary. Managers are more likely to use their influence to implement organizational goals. They tend to have a more impersonal attitude towards the needs and desires of the individuals involved. Managers are therefore often good with tactical plans, bargaining, negotiating, using rewards, and coordinating different approaches to issues. Leaders explore and encourage fresh solutions to existing problems – encouraging people to examine a wide range of options to manifest the vision.

Both managers and leaders care about creating and fulfilling an agenda. However, Managers create their agendas through planning and budgeting and Leaders create their agendas through establishing a direction.

Leadership concentrates on vision, strategic development and initiative. Management on the other hand seeks to implement the vision. (See table below). Leadership is concerned with long-term perspectives anticipating the organization's future needs. Management looks at the short-term issues. Leadership is related to all employees with the ability to influence and inspire them to achieve set goals.

Criteria	Leadership	Management
Change	Provide vision, initiate change	Implement suggested change
People	Inspire, develop	Control
Power	Ability to influence	Authority
Task	Do the right thing	Do things right
Commitment to goal(s)	Passionate	Impersonal

Why Leadership/Management Fails

Leaders and managers can fail when they appear insensitive, cold, abrasive, aloof, arrogant, or corrupt. Leaders-managers who do not keep their word, betray a trust, fail to delegate, and have no strategy may also fail.

Differences between Managers and Leaders

Leaders	Managers
Focus on the future.	Focus on the present.
Create that which works better.	Make sure things work well.
Create a better future.	Solve today's problems.
Focus on the product.	Make sure details are handled.
Inspire people to do more than is expected of them.	Make sure people put in a good day's work and are rewarded for doing so.
Create a vision of the organization several years in advance.	Organize and plan to meet this year's objectives.

7.5 Leadership and Credibility

Credibility is the degree to which the source is perceived as trustworthy and competent. In a culture of distrust, most communication is viewed without credibility. If credibility is high employees are more likely to

- Be proud to tell others they're part of organization.
- Feel strong sense of team spirit.
- See personal values as consistent with those of organization.
- Feel attached and committed to organization.
- Have a sense of ownership.

However, if credibility is low, employees are more likely to

- Produce only if they're watched carefully.
- Be motivated primarily by money.
- Say good things about organization publicly, criticize privately.
- May look for another job if organization experiences problems.
- Feel unsupported and unappreciated.

7.6 Qualities of Leadership

• Integrity

How deep are your convictions on the things you believe in? What do you believe in SO MUCH about your work that you will stand up to anyone about it?

How much are you willing to compromise your important beliefs? To what extent do your behaviour and the choices you make align with your guiding values and principles?

Integrity means honesty and more. It refers to having strong internal guiding principles that one does not compromise. It means treating others as you would wish to be treated. Many experts believe that a solid sense of right and wrong and strong guiding principles are the most essential and basic of all leadership skills or characteristics. Integrity promotes trust, and not much is accomplished without trust.

• Vision/strategy

Can you see, do you see where your department, team, and organization are going? How often do you talk about the ways in which what you are doing in your area are related to the overall mission? Do you think and speak inspiringly about what the organization is doing and about the future of the organization?

A leader must have a clear idea where his or her organization and unit are going beyond this month's results or this year's budget. Where is it going in the long term? Even tactical leaders must be clear about this and need to refer frequently to the vision, mission, and values of the organization in their communications with others.

• **Communication**

How much and how willingly do you speak out and keep information flowing? Conversely, can you keep confidential information private? How often can and do you listen more than you speak in conversations with your employees? How would you assess your communication skills with each of your employees? How do you handle "bad news" when you receive it?

The chief complaint of employees in nearly every organization of all types, whether large or small from any industry segment, is "lack of communication." Communication in the context of leadership refers to both interpersonal communications between the leader and followers and the overall flow of needed information throughout the organization. Leaders need to learn to be proficient in both the communication that informs and seeks out information (gives them a voice) and the communication that connects interpersonally with others.

• **Relationships**

What is the level of trust and respectful feelings you have with each of your employees? With each of your peers? How easy or difficult is it for you to initiate new relationships? Deepen existing relationships?

Networking (the art of social "schmoozing") is also a relationship skill. Relationships develop from good interpersonal and group communication skills, but relationship skills also go deeper.

A leader who likes dealing with people issues, who can initiate and deepen relationships with others, has a great leadership advantage. This is a leader who can build a team and achieve impressive results. This kind of leadership is based on personal power (the right kind of power), not position power.

• **Persuasion / Influence**

How persuasive and influential are you? Under what circumstances can you persuade others to your point of view? To what extent do people value your opinion and follow your lead?

The ability to influence others and cause them to move in a particular direction is a highly important skill in leadership. In fact, leadership is often defined

as the ability to persuade or influence others to do something they might not have done without the leader's persuasion.

Your ability to be persuasive is directly related to how much people trust you and how good your communication and relationships are.

• **Adaptability**

To what degree can you relinquish rigidity? Control? When is it easy and when difficult for you to embrace change? How do you react when things don't go as planned?

Adaptability and flexibility in not being bound by a plan are important success factors in leadership today. The leader must move easily from one set of circumstances (the plan) to the next (the plan is not going as expected) and take them all in stride, even when the circumstances are unexpected. The good leader has to embrace change and see it as opportunity.

• **Teamwork**

To what extent do you value working cooperatively as part of a group? How do you promote teamwork among those you lead? In what ways do you work collaboratively with your peers? How do you handle team conflict?

No one person can do it all. That's why a team, comprised of others with different skill sets, is essential. A leader must know how to build and nurture such a team. A good leader knows when to be a leader and when to be a follower. The best leaders are good followers when that's what is needed.

• **Coaching and Development**

How do you feel about developing others around you? How do you encourage, nurture, and build the capacity of those you lead? How easy or hard is it for you to set your needs aside and share control with others? Can/do you delegate well?

Developing others is an important role for a leader. Encouraging others to expand their capabilities and take on additional assignments is part of the leader's responsibility. Leaders who feel threatened by the capabilities of others are challenged in this area. Coaching and development are essential skills all leaders must cultivate.

• Decision-making

How comfortable are you with having to make the "final decision" on things? Do you have any tendency to decide too quickly without due consideration or, conversely, to gather data, analyze and ponder endlessly and be unable to decide? In what areas do you struggle with making firm decisions and standing up for what you believe?

A leader must be able to wade through information, comprehend what's relevant, make a well-considered decision, and take action based on that decision. Making decisions too quickly or too slowly will impede your leadership effectiveness.

• Planning

How easy is it for you to put together plans for activities and projects, including contingency plans (what will happen IF...)? How easily are you able to focus your attention and stick to your plan, yet without being rigid about it? How do you decide when to push ahead or, instead, to modify your plan?

Planning involves making certain assumptions about the future and taking actions in the present to positively influence that future. To plan means to focus more strategically. Plans are important for guidance and focus, but plans can seldom be cast in stone.

7.7 Criteria for Effective Leadership

1. Leader is committed to a vision that he or she clearly and consistently communicates in word and deed so that it becomes:
 - A stimulus to commitment and action.
 - A force for coherence and focus.
 - A guide for decisions.
2. The leader's actions build values into the organization that:
 - Reinforce the organization's competitive strengths.
 - Bind the organization together in a sense of community.
 - Improve the decision-making process.
3. Exerts considerable effort to attract and develop high-caliber personnel and create a motivating, innovative environment.
4. Commitment, not only to vision and set of values, but also to individuals in organization.
5. Acts as a task master, setting standards of excellence and stretching subordinates to achieve them.
6. Acts to minimize political maneuvering and bureaucratic processes and to assure substance dominates decision making processes.
7. Has a clear self-understanding – recognizes personal limits, but with confidence to persist through disappointment and resistance.

7.8 Leadership Styles

A leadership style is a leader's style of providing direction, implementing plans, and motivating people. Leadership traits tell who a leader is as leader. Leadership styles tell what a leader does in the process of leading. Leadership style is the way in which the functions of leadership are carried out, the way in which the manager typically behaves towards members of the group. Attention given leadership style is based on the assumption that subordinates are more likely to work than they will for managers who adopt alternative styles. This is due to the fact that in the current work situation managers can no longer rely solely on the use of their position in their hierarchical structure as a means of exercising the functions of leadership. In order to get best results for there is need to encourage high morale, a spirit of involvement and co-operation, and a willingness to work.

There are many different leadership styles that can be exhibited by leaders in the political, business, or other fields. Some of the leadership styles include:

- Autocratic
- Democratic
- Laissez-faire
- Transactional
- Transformation
- Situational

7.8.1 The Authoritarian (or autocratic) style

Autocratic leadership, also known as authoritarian leadership, is a leadership style characterized by individual control over all decisions and little input from group members. This is where the focus of power is with the manager and all interactions within the group move towards the manager. The manager alone exercises decision-making and authority for determining policy, procedures for achieving goals, work tasks and relationship, controls of rewards or punishments. Autocratic leaders typically make choices based on their ideas and judgments and rarely accept advice from followers. Autocratic leadership involves absolute, authoritarian control over a group.

Like other leadership styles, the autocratic style has both some benefits and some weaknesses. The key characteristics of this style and the situations in which this style is the most effective as explained below. Situations under which autocratic leadership style can be applicable Authoritarian leadership is a leadership style in which the leader dictates and controls all decisions in the group and task. Authoritarian leadership is about control, organization and discipline and while it still has a place in the leader's toolbox, it was regarded as the most prominent style almost one hundred years ago.

Use more of a directing, authoritarian style in the following scenarios:

- When a task is urgent and needs to be completed quickly, with little time for thought and planning
- As in the situational leadership model, use this style when skills are in short supply and people need to be guided through a task or tasks with clarity and structure.
- Where there is little margin for error.
- When conditions are dangerous – rigid rules can keep people out of harm's way.

7.8.2 The Democratic Leadership Style

The democratic leadership style is a very open and collegial style of running a team. Ideas move freely amongst the group and are discussed openly. Everyone is given a seat at the table, and discussion is relatively free-flowing. This style is needed in dynamic and rapidly changing environments where very little can be taken as a constant. In these fast-moving organizations, every option for

improvement has to be considered to keep the group from falling out of date. The democratic leadership style means facilitating the conversation, encouraging people to share their ideas, and then synthesizing all the available information into the best possible decision. The democratic leader must also be able to communicate that decision back to the group to bring unity the plan is chosen.

In a setting that allows for democratic leadership, the decision-making process and overall responsibility among the group members is shared. No decisions are made without consultation from group members by the leader, so that the final result is an outcome of group effort, and not individual choices. Tasks are delegated to subordinates effectively, where the implementation of the task is entirely in their hands. Feedback is always welcome, and every member is encouraged to function as a leader in terms of decision-making and execution of decisions

Characteristics of Democratic Leadership Style

- Delegation of tasks to other employees and subordinates along with full responsibility makes them accountable for their actions and tasks.
- The manager or leader in-charge is always open to feedback (initiatives and otherwise) and it forms the basis of future assignments.
- Encouragement by the leader to inspire the employees to become leaders and develop in this area.
- The manager seeks consultation on all issues and decisions but remains the final authority on which ones to be put into use.

This leadership style can seem particularly attractive so it might be hard to think of situations where it would not be useful, but when there is no time for mass consultation and the cost of making the wrong decision is simply too high, the consultative democratic style may have to take a backseat. If the workforce does not have the level of experience necessary to make decisions, the democratic style can have devastating results.

Benefits of democratic leadership

- This leadership style enforces a work environment where everyone is allowed to contribute to the decision-making process. This not only gives a certain amount of importance and authority to the group members, but also makes them more

responsible as the burden of executing the choices they have made rests on their own shoulders. Involving more members in the decision-making process enables the group to reach the best solution possible. The variety of viewpoints allows the group to deal with every challenge after analysing each perspective and provide solutions in the same manner.

- By allowing everyone to be a part of the process, this leadership style permits creativity and creative thinking. With a multitude of brains working on any one particular project, the democratic leadership style challenges their creativity, thereby making them go beyond the usual to come up with innovative solutions. Such creativity is required and appreciated in any kind of setting. In such a setting, employees or group members learn to respect each other's viewpoint, including that of the leader and vice versa. Since everyone is given equal opportunity, a conflict of interest is less likely when this leadership style is implemented.
- Communication gap is reduced. Tension between the leader and team members is decreased as a result of which fear of rejection and denial also reduces and this makes all sorts of issues addressable. An autocratic leader, on the other hand, would have certain demands and expectations from his subordinates which make the employees fear the leader.
- A positive work environment is created. This means that a culture of junior workers getting a fair amount of responsibility and challenges is encouraged. When there are the right vibes among employees, work becomes more pleasurable.
- Employee turnover reduction. A democratic leadership makes people feel empowered at work as it is essentially performance based. A majority of the workers appreciate this method of management as it secures them a safe future with the company. Active participation in the management by labour assures rising productivity and satisfaction. Workers develop a greater sense of self-esteem, due to importance given to their ideas and their contributions. They become more committed to changes that may be brought about by policy changes, since they themselves participate in bringing about

these changes. The leadership induces confidence, cooperation, and loyalty among workers. This results in higher employment morale.

7.8.3 A laissez-faire (genuine) style

This is where the manager observes that the members of the group are working well on their own. The managers consciously make a decision to pass the focus of power to members, to allow them freedom of action "to do as they think best" and not to interfere but is ready available if help is needed. The word "genuine" is emphasized so as to differentiate the style from leadership behaviour of this nature. This is contrasted to a manager who does not care, who deliberately keeps away from trouble spots and does not want to get involved. The manager just lets members of the group get on with the work in hand. Members are left to face decisions that rightly belong with the manager. This is called abdication.

This style of leadership calls for the person at the head to allow those who follow to make their own decisions and choose the path they think is best. The leader takes direction and advice from those placed in key positions and this is in stark contrast to the democratic leader who invites input but reserves the right to make the final decision.

Under a laissez-faire approach the experienced staff members analyse, interpret and arrive at a decision. Laissez-faire leaders should not choose this as a path to laziness but rather they must have extreme trust in their team. Laissez-faire leadership, is a type of leadership style in which leaders are hands-off and allow group members to make the decisions. Researchers have found that this is generally the leadership style that leads to the lowest productivity among group members.

A laissez-faire leader lacks direct supervision of employees and fails to provide regular feedback to those under his supervision. Highly experienced and trained employees requiring little supervision fall under the laissez-faire leadership style. However, not all employees possess those characteristics. This leadership style hinders the production of employees needing supervision. The laissez-faire style produces no leadership or supervision efforts from managers, which can lead to poor production, lack of control and increasing costs

Characteristics of Laissez-Faire

Leadership Laissez-faire leadership is characterized by:

- Very little guidance from leaders
- Complete freedom for followers to make decisions
- Leaders provide the tools and resources needed
- Group members are expected to solve problems on their own
- Power is handed over to followers, yet leaders still take responsibility for the groups decisions and actions

Benefits of Laissez-Faire Leadership

Like other leadership styles, the delegative style has both a number of benefits and shortcomings.

- a) Laissez-faire leadership can be effective in situations where group members are highly skilled, motivated, and capable of working on their own.
- b) The laissez-faire leadership style is successful most often when team members are mature team members.
- c) Laissez-faire usually works best on teams with high seniority and competence.

7.8.4 Transactional Leadership Style

Transactional leadership style use “transactions” between a leader and his or her followers - rewards, punishments, and other exchanges - to get the job done. The leader sets clear goals, and team members know how they’ll be rewarded for their compliance. This “give and take” leadership style is more concerned with following established routines and procedures in an efficient manner, than with making any transformational changes to an organization.

Transactional leadership focuses on results, conforms to the existing structure of an organization and measures success according to that organization’s system of rewards and penalties. Transactional leaders have formal authority and positions of responsibility in an organization. This type of leader is responsible for maintaining routine by managing individual performance and facilitating group performance.

This type of leader sets the criteria for their workers according to previously defined requirements. Performance reviews are the most common way to judge employee performance. Transactional, or managerial, leaders work best with employees who know their jobs and are motivated by the reward-

penalty system. The status quo of an organization is maintained through transactional leadership.

Characteristics of Transactional Leadership

- Focused on short-term goals
- Favor structured policies and procedures
- Thrive on following rules and doing things correctly
- Revel in efficiency
- Very left-brained
- Tend to be inflexible
- Opposed to change

Advantages:

- Leaders create specific, measurable, and time-bound goals that are achievable for employees.
- Employee motivation and productivity is increased.
- Transactional leadership eliminates or minimizes confusion in the chain of command.
- It creates a system that is easy to implement for leaders and easy to follow by employees.
- Employees can choose reward systems.

Disadvantages:

- Innovation & creativity is minimized.
- Empathy is not valued.
- Transactional leadership creates more followers than leaders among employees.

7.8.5 Transformational Leadership Style

Transformational leadership is defined as a leadership approach that causes change in individuals and social systems. In transformational leadership style, the leader inspires his or her followers with a vision and then encourages and empowers them to achieve it. The leader also serves as a role model for the vision. It creates valuable and positive change in the followers with the end goal of developing followers into leaders. Transformational leadership enhances the motivation, morale, and performance of followers through a variety of mechanisms. These include connecting the follower’s sense of identity and self to the mission and the collective identity of the organization; being a role model for followers that inspires them; challenging followers to take greater ownership for their work, and understanding the strengths and weaknesses of followers, so the leader can align followers with tasks that optimize their performance.

Transformational leaders inspire and motivate their workforce without micromanaging — they trust trained employees to take authority over decisions in their assigned jobs. It's a management style that's designed to give employees more room to be creative, look to the future and find new solutions to old problems. Employees on the leadership track will also be prepared to become transformational leaders themselves through mentorship and training.

Transformational Leadership Characteristics

A transformational leader is someone who:

- Encourages the motivation and positive development of followers
- Exemplifies moral standards within the organization and encourages the same of others
- Fosters an ethical work environment with clear values, priorities, and standards.
- Builds company culture by encouraging employees to move from an attitude of self-interest to a mindset where they are working for the common good
- Holds an emphasis on authenticity, cooperation, and open communication
- Provides coaching and mentoring but allowing employees to make decisions and take ownership of tasks

Advantages:

- It leads to a lower employee turnover rate.
- Transformational leadership places high value on corporate vision.
- High morale of employees is often experienced.
- It uses motivation and inspiration to gain the support of employees.
- It is not a coercive approach to leadership.
- It places high value on relationships.

Disadvantages:

- Leaders can deceive employees.
- Consistent motivation and constant feedback may be required.
- Tasks can't be pushed through without the agreement of employees.
- Transformational leadership can sometimes lead to the deviation of protocols and regulations.

7.8.6 Situational Leadership Style

Situational leadership is a leadership style in which a leader adapts their style of leading to suit the current work environment and/or needs of a team. This style of leadership is not dependent on the skills of a leader; rather it is based on a leader's ability to adjust to the requirements of a team or organization in order to be a better and more effective leader.

A leader implementing a situational style of leading will evaluate an organization or team and adjust their way of leading to meet the particular needs of the team or organization. A situational leader implements adaptability and flexibility into their leadership and regularly assesses the situation to ensure they are leading in the most appropriate and successful way.

Situational Leadership Characteristics

Common traits that a situational leader illustrates or is capable of illustrating in the workplace include:

- **Direction.** Some teams or organizations require a high level of direction to be successful. A situational leader is effective in giving direction and providing constant supervision.
- **Flexibility.** Since a situational leader is constantly adjusting their leadership style to suit the current situation, they must be flexible and able to adapt on a regular basis.
- **Encourage participation.** Situational leaders will often encourage team members to become more self-reliant by promoting participation in decisions.
- **Delegation.** A successful situational leader must be able to delegate tasks to those team members who are capable of working independently. This is especially true as the leader's team becomes more mature under the leader's guidance.
- **Regular coaching.** Situational leaders often need to be able to coach their team to encourage growth and independence.
- **Honesty.** A situational leader must be honest about a situation and adapt their leadership style to suit it rather than lead in a way that is most advantageous to the leader.

A true situational leader is able to successfully assess their team and implement various leadership styles to meet the needs of the team in each situation. These leaders offer support where needed and encourage growth and independence among their teams to promote increased productivity and success.

Advantages:

Situational leadership can have many benefits for both the leader and the team or organization. A few advantages of this type of leadership include:

- Leaders are able to use whichever leadership style they believe is best in a given situation.
- A situational leadership style can be more comfortable for good leaders who know how to use it.
- This type of leadership style is simple, as all that is needed is the ability to assess a situation and adjust to it.
- Situational leadership can create a more comfortable environment for employees as the leadership style implemented will typically match their needs.
- This type of leadership accounts for the various levels of development in employees and helps to address each employee's skill level and needs.

Disadvantages:

In addition to benefits, there are also potential pitfalls to implementing a situational leadership style within an organization. Disadvantages to consider when using this style of leadership include:

- Situational leadership could cause confusion within an organization, as a situational leader may constantly change their approach to address each team or individual's needs.
- Situational leadership tends to only focus on short-term goals and as a result, may overlook long-term goals.
- Situational leadership often does not work well when repetitive tasks need to be completed, as this type of leadership is flexible, and many task-driven environments are not.
- Situational leadership depends on the leader's ability to judge an employee's maturity level. Some leaders are unable to do this effectively and may, therefore, provide a style of leadership that does not suit a particular employee or team.

7.9 Teamwork

A team is a small number of people with complementary skills who are committed to a common purpose, performance goals, and approach for which they are mutually accountable. A team is a group of people who are mutually dependent on one another to achieve a common goal.

Team building is an important factor in any organization, its focus is to specialize in bringing out the best in a team to ensure self-development, positive communication, leadership skills and the ability to work closely together as a team to solve problems. Team building can also refer to the process of selecting or creating a team from scratch.

Teams are empowered to participate in decision-making, exercise influence over how their objectives are met and, often establish many of those objectives. Organizational empowerment means that the team has delegated authority and discretion.

Teamwork involves a set of interdependent activities performed by individuals who collaborate toward a common goal.

7.9.1 Characteristics of Effective Teams

An effective team accomplishes its goals in a way that meets the standards set by those who evaluate its performance. Effective teamwork requires certain conditions to be in place that will increase the likelihood that each member's contributions—and the effort of the group as a whole—will lead to success. Effective teams share five characteristics:

- **Shared values:** a common set of beliefs and principles about how and why the team members will work together
- **Mutual trust:** confidence between team members that each puts the best interest of the team ahead of individual priorities
- **Inspiring/shared vision:** a clear direction that motivates commitment to a collective effort
- **Skill/talent:** the combined abilities and expertise to accomplish the required tasks and work productively with others
- **Rewards:** recognition of achievement toward objectives and reinforcement of behaviour that supports the team's work

Effective teamwork requires that people work as a cohesive unit. These five characteristics can help individuals collaborate with others by focusing their efforts in a common direction and achieving an outcome that can only be reached by working together.

7.9.2 Team Dynamics for Successful teams

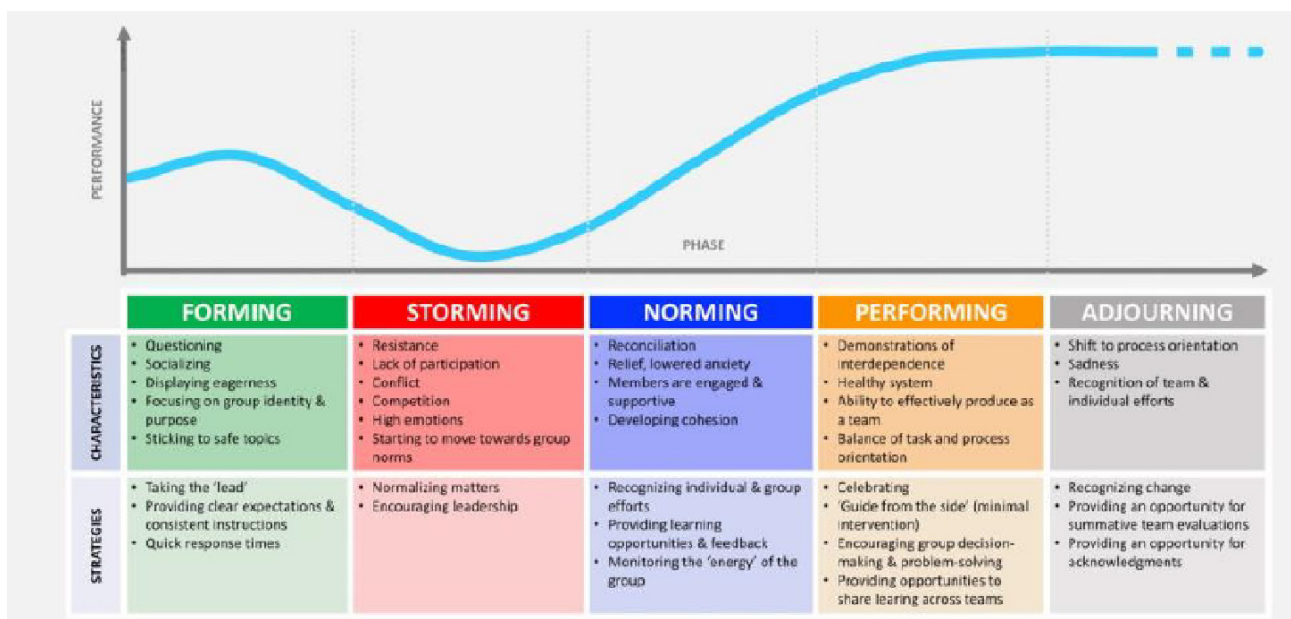
There are several factors that ensure a successful team. These include:

- **The team member:**
Successful teams are made up of a collection of effective individuals. These are people who are experienced, have problem solving ability, are open to addressing problems, and are action oriented.
- **Team relationships:**
For a team to be successful the members of the team must be able to give and receive feedback.
- **Team problem solving:**
An effective team depends on how focused and clear the goal of the team is. A relaxed, comfortable, and accepting environment and finally, open and honest communication.

- **Team leadership:**
Effective team leadership depends on leadership competencies. A competent leader is focused on the goal, ensures a collaborative climate, builds confidence of team members, sets priorities, demonstrates sufficient “know- how,” and manages performance through feedback.
- **Organizational environment:**
The climate and culture of the organization must be conducive to team behaviour.

7.9.3 Team Development

Teams go through various stages of development. Research has shown that teams go through definitive stages during development. Bruce Tuckman, an educational psychologist, identified a five-stage development process that most teams follow to become high performing. He called the stages: forming, storming, norming, performing, and adjourning. Each stage of team development has its own recognizable feelings and behaviors; understanding why things are happening in certain ways on your team can be an important part of the self-evaluation process.



1. Forming:

The first stage of team formation is characterized by uncertainty as the group attempts to get oriented to its goals and procedures. Group members test each other's reactions to determine which actions are acceptable and unacceptable. The amount of information available and the manner in which it is presented are critical to group development. Serious topics and feelings are avoided; goals and expectations are unclear and little work gets done.

2. Storming:

This stage is characterized by intra-group conflict. Hostility, disagreement, and tension arise as group members discuss how power and status should be shared. The storming process involves resistance or emotional responses to task demands and interpersonal hostility in relationships. Members try to manage conflict in order for the growth to continue. Output at this level is still low.

3. Norming:

This phase is characterized by rule making, cooperation, commitment, feelings of cohesiveness, adoption of procedures and rules, and free discussion about accomplishing the task, sharing of information and expression of opinions. Group unity develops as conflicts are resolved; shared responsibilities increase, typically leading to decision-making by consensus and democratic leadership styles. Output is between moderate and high.

4. Performing:

At this stage the team becomes functional and gets down to work. Internal hostility is low, and the group directs its energies towards successfully performance of valued tasks. Members also trust and accept one another. Output is now high.

5. Adjourning:

In the adjourning stage, most of the team's goals have been accomplished. The emphasis is on wrapping up final

tasks and documenting the effort and results. As the workload is diminished, individual members may be reassigned to other teams, and the team disbands. There may be regret as the team ends, so a ceremonial acknowledgement of the work and success of the team can be helpful. If the team is a standing committee with ongoing responsibility, members may be replaced by new people and the team can go back to a forming or storming stage and repeat the development process.

7.9.4 Types of Teams

Teams may be permanent or temporary, and team members may come from the same department or different ones. Common types of teams found in organizations include *project teams*, *virtual teams*, and *cross-functional teams*.

- *Project teams* are created for a defined period of time to achieve a specific goal. Members of a project team often belong to different functional groups and are chosen to participate in the team based on specific skills they can contribute to the project. Software development is most commonly done by project teams.
- *Virtual teams* have members located in different places, often geographically dispersed, who come together to achieve a specific purpose. Academic researchers often work on virtual teams with colleagues at other institutions.
- *Cross-functional teams* combine people from different areas, such as marketing and engineering, to solve a problem or achieve a goal. Healthcare services are frequently delivered by interdisciplinary teams of nurses, doctors, and other medical specialists.

It is common for an organization to have many teams, including teams of several types. Effective teamwork depends on choosing the type of team best suited to the work that needs to be accomplished.

7.9.5 Benefits of Teams

The primary benefit of teamwork is that it allows an organization to achieve something that an individual working alone cannot. This advantage

arises from several factors, each of which accounts for a different aspect of the overall benefit of teams.

Higher Quality Outcomes

Teamwork creates outcomes that make better use of resources and produce richer ideas.

- Higher efficiency: Since teams combine the efforts of individuals, they can accomplish more than an individual working alone.
- Faster speed: Because teams draw on the efforts of many contributors, they can often complete tasks and activities in less time.
- More thoughtful ideas: Each person who works on a problem or set of tasks may bring different information and knowledge to bear, which can result in solutions and approaches an individual would not have identified.
- Greater effectiveness: When people coordinate their efforts, they can divide up roles and tasks to more thoroughly address an issue. For example, in hospital settings teamwork has been found to increase patient safety more than when only individual efforts are made to avoid mishaps.

Better Context for Individuals

The social aspect of teamwork provides a superior work experience for team members, which can motivate higher performance.

- Mutual support: Because team members can rely on other people with shared goals, they can receive assistance and encouragement as they work on tasks. Such support can encourage people to achieve goals they may not have had the confidence to have reached on their own.
- Greater sense of accomplishment: When members of a team collaborate and take collective responsibility for outcomes, they can feel a greater sense of accomplishment when they achieve a goal they could not have achieved if they had worked by themselves.

The total value created by teamwork depends on the overall effectiveness of the team effort. While we might consider simply achieving a goal a benefit of teamwork, by taking advantage of what teamwork has to offer, an organization can gain a broader set of benefits.

7.9.6 Differences Between Teams and Groups

While all teams are groups of individuals, not all groups are teams. Team members work together toward a common goal and share responsibility for the team's success. A group is comprised of two or more individuals that share common interests or characteristics, and its members identify with each other due to similar traits. Groups can range greatly in size and scope. For example, members of the millennial generation are a group, but so is a small book club formed by neighbors who enjoy reading.

Groups differ from teams in several ways:

- Task orientation: Teams require coordination of tasks and activities to achieve a shared aim. Groups do not need to focus on specific outcomes or a common purpose.
- Degree of interdependence: Team members are interdependent since they bring to bear a set of resources to produce a common outcome. Individuals in a group can be entirely disconnected from one another and not rely on fellow members at all.
- Purpose: Teams are formed for a particular reason and can be short- or long-lived. Groups can exist as a matter of fact; for example, a group can be comprised of people of the same race or ethnic background.
- Degree of formal structure: Team members' individual roles and duties are specified and their ways of working together are defined. Groups are generally much more informal; roles do not need to be assigned and norms of behavior do not need to develop.
- Familiarity among members: Team members are aware of the set of people they collaborate with, since they interact to complete tasks and activities. Members of a group may have personal relationships, or they may have little knowledge of each other and no interactions whatsoever.

7.10 Learning Activities

Identify successful leaders in the political, business, and social spheres. Write down the names of the identified leaders.

Required

1. What makes you rate those leaders as successful leaders?
2. What characteristics would you want to learn from the leaders that is missing from you?
3. Develop a plan for acquiring and developing the leadership skills in (2) above

7.11 Self-Assessment Questions and Activities

1. Discuss the characteristics of a successful leader
2. Identify the various leadership styles. What are the advantages and disadvantages of each?
3. Discuss the importance of teamwork in the logistics and freight forwarding sector.
4. Discuss the factors that ensures successful teamwork in an organization.

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8.0 PROBLEM SOLVING SKILLS

8.1 Specific Learning Outcome

- i. Explain the meaning Problem solving
- ii. Describe the steps of problem solving
- iii. Discuss the different problem skills
- iv. Apply problem-solving strategies

8.2 Introduction to Problem Solving

Today any organization would be faced with the problem of problem solving. There are problems relating to employee conflicts, systems workings, any product failures or malfunctioning or any sudden problems occurring due to unforeseen circumstances. But we cannot let these problems rule us or our company and hence there is a need to have a proper problem-solving mechanism through which we can solve the problems.

Problem solving a systematic approach of understanding the problem and developing number of solutions to it without being judgmental. Involves using higher order thinking skills to effectively handle and critically work out realistic solutions to problems. It is a basic skill or tool that is needed by employees for workplace demands.

Problem-solving skills will help you pinpoint problems in your workplace and effectively solve them in a timely fashion. It is among the most important skills employers are looking for in employees today. Individuals with problem-solving skills are often self-reliant and will identify an underlying workplace issue and implement an effective solution.

There are a set of problems that are peculiar to an organization for various reasons for example as a result of:

- Policies that are unique to your workplace
- Processes that should be followed for various work-related issues
- Types of clients the organization provides services to
- Interpersonal conflicts
- Other constraints at work i.e., Inadequate resources, equipment etc

The following is a list of some of the reasons why people fail to find effective solutions include not being methodical

- Lack of commitment to solving the problem
- Misinterpreting the problem
- Lack of knowledge of the techniques and processes involved in problem solving
- Ability to use the techniques effectively
- Using a method inappropriate to the particular problem
- Insufficient or inaccurate information
- Inability to combine analytical and creative thinking
- Failure to ensure effective implementation

8.3 Barriers to Problem Solving

- Lack of problem-solving skills
- Failure to recognize the problem- not sure what the problem is
- Conceiving the problem too narrowly, not sure what is happening
- Making a hasty choice, not sure what you want
- Failure to consider all consequences, not enough resources
- Failure to consider the feasibility of the solution
- Failure to know to communicate what is possible
- Failure to define what YOU did that was responsible for your success
- Team attitudes like complacency, ridiculing others' ideas, lack of accountability, dysfunctions, fear of change, lack of trust and doubts

8.4 Problem Solving Skills

Several sets of skills are required in solving problems. A combination of these skills will be required based on the complexity of the problem. In fields such as logistics, freight and forwarding all require a high degree of business problem solving techniques to handle everyday issues are required. These include the soft and technical skills such as:

1. Analytical skills

Identifying the issues, you are dealing with is the first step to solving any problem. This is key because if you don't correctly identify the problem, it will be challenging to develop an effective solution. After identifying the problem, you will need to analyze it. This involves using your analytical skills to understand why the problem occurred and determine the course of action you will take to solve the problem.

2. Evaluation skills

When formulating a solution to your problem, you will develop a few potential courses of action. This is because most problems we face do not have just one obvious and simple solution- there will always be a few different ways to address them. Being a good problem solver means you can evaluate the weaknesses and strengths of using particular solutions to the problem. You have to evaluate if the solution you have in mind can be quickly implemented and effectively addressed in a timely manner.

3. Communication skills

Most problems faced at the workplace will require a lot of input from your colleagues. Being in a workplace environment means working as a team. If a problem arises, you will need to communicate with other team members and come up with a solution. If there is a communication problem, most team members may not understand the problem, thus leading to confusion and making it difficult to formulate and implement a solution.

4. Decision-making

Formulating a plan on how to solve a problem you are facing can only take you so far. You will need to put your foot down and decide how the problem will be solved. You should use your evaluation skills to determine the best way to solve the problem. You should be able to work with others seamlessly, and together, you can better understand the problem and come up with all the possible solutions to address it.

5. Creativity

Creativity is among the Examples of problem-solving skills. Problems encountered at the workplace will require creative business problem solving techniques. Many problems faced at the workplace often have a limitation in which the solution must fall. As a good problem solver, you will be able to think outside the box and arrive at the best possible solution. This involves exploring novel and new approaches and working with others to understand what has been tried before.

6. Listening

Active listening helps you gather valuable information for problem-solving. A good problem-solver can identify everyone involved, encourage them to get involved and actively listens to different opinions to understand the problem, its root cause, and workable solutions.

7. Teamwork

Problem-solving involves teamwork. You ask people about their perspective on the problem, involve them in developing effective solutions, seek their feedback on the chosen solution and rely on team members to implement the process. It is essential to involve and motivate all members of the team for effective problem-solving.

8.5 Qualities of Good Problem Solvers

In his book, *the 21 Indispensable Qualities of a Leader: Becoming the Person Others Will Want to Follow*, John C. Maxwell (1999) describes the five qualities of leaders with good problem-solving ability. They:

- ***Anticipate problems.*** Problems are inevitable and good leaders anticipate them. Have a positive attitude but plan for the worst.
- ***Accept the truth.*** Denying problems only prolongs the agony. Be willing to look at the issues honestly, accept responsibility, and move forward.
- ***See the big picture.*** Have a vision of the future and be able to see where the organization can be in five or ten years. Do not be overwhelmed by emotion or bogged down with details. Have someone trustworthy ferret out the details.
- ***Handle one problem at a time.*** Eat the elephant one bite at a time.
- ***Don't give up on a major goal when they're down.*** See life as a roller coaster sometimes up and sometimes down. Don't give up on the vision just because some glitches occurred.

8.6 Steps of Problem Solving

There are different steps in problem solving as discussed below:

Step 1: Define the problem:

Analyse the situation carefully to learn more about the problem. A single situation may involve multiple problems. Identify each problem and determine the cause. Try to anticipate the behaviour and response of people affected by the problem. Clearly state the problem, detect the circumstances that lead to the incidence of the problem. Write a clear definition of the problem and the barriers encountered. There is a need to write down what exactly the problem

entails, which helps to identify the real problem that is under study & needs an immediate solution.

Based upon your preliminary observation, take the following steps to pinpoint the problem more accurately:

- Separate facts from opinions.
- Determine the process where the problem exists.
- Analyze company policies and procedures.
- Discuss with team members involved in order to gather more information.
- Define the problem in specific terms.
- Gather all the necessary information required to solve the problem.

While defining a problem, make sure you stay focused on the problem rather than trying to define it in terms of a solution at this stage

Step 2: Generating possible solutions / alternatives:

Analyse the problem so you fully understand it and then develop ideas which will achieve your goal. Develop several ideas to solve the problem to increase your chances of finding the best solution to the problem. In generating possible solutions, one's focus must be on identifying and generating all possible solutions for a problem. Each potential idea for solution of a problem must be considered without discarding it through value judgment.

Brainstorm all possible ways to solve the existing problem. Invite suggestions from everyone affected by the problem and consult those who may have more experience with the type of challenge you're experiencing. You can also use discussion groups to generate ideas.

Keep the following points in mind while exploring alternatives:

- Consider every aspect that could slow down the process of solving the existing problem.
- Make sure the ideas generated are consistent with relevant goals and objectives.
- Check that everyone participates in the process of idea generation.
- Distinguish between short- and long-term alternatives.

Write down all the proposed solutions. You should have at least five to eight of them for each problem.

Step 3: Analysing / Evaluate the Options:

Once you have a list of alternatives, it is time to evaluate them. Various factors about each of the potential solutions are investigated, wherein all the positive and negative aspects of each solution are analysed. Assess the positive and negative consequences of each alternative defined in the previous step. Analyse and compare all the alternatives in terms of the resources required for their implementation, including time, data, personnel and budget.

Step 4: Choose the best solution:

This stage is a process of decision-making based on your comparing the possible outcomes of your alternative solutions; this is the "DO" stage. This stage involves identifying all parts of the solution, eliminating solutions that do not meet certain criteria, evaluating the solutions against the desired outcomes, assessing the risks associated with the best solution and making a decision to implement the solution. An attempt is made to compare the available solutions, and eventually the best solutions is selected based on the careful judgment.

After the evaluation process is over, select a solution most likely to solve the problem. Consider to what extent a solution meets the following objectives:

- It solves the problem smoothly without creating another problem.
- It is acceptable to everyone involved.
- It is practical and easy to implement.
- It fits within the company's policies and procedures.

It is important to consider the implementation part while choosing a solution. Decide the following:

- The employees responsible for executing the solution
- How the employees will implement the solution
- The amount of time and resources needed.

Step 5: Implement the best solution(s):

The final step of the problem-solving process is to practically solve the problem by implementing the selected solutions. This stage involves accepting and carrying out the chosen course of action. Implementation means acting on the chosen solution. Consider the following actions in implementing the solution:

- Develop an action plan to implement the chosen solution.
- Define objectives and separate them into measurable targets to monitor the implementation.
- Define timelines for implementation.
- Communicate the plan to everyone involved.
- Develop feedback channels to use during the process.

Step 6: Evaluate the best solution(s):

Successful problem-solving involves looking at the outcome of the solution and making the necessary changes in the earlier stages, if necessary, in order to reach the identified goal. Make sure to continuously measure progress to ensure your solution works. Gather data and feedback from others to determine if the solution meets their needs. You may need to adjust the process if anything unexpected arises. If you feel the solution doesn't work as planned, you may need to return to your alternative solutions and implement a new plan. An evaluation is made to judge the effectiveness of the solution in resolving the problem. It also helps to redefine the problem and revise the problem-solving process in case the initial solution fails to manage the problem effectively.

8.7 Learning Activities

A client of yours has had several issues with their cargo at the ports. You have been asked to identify and solve the issues of cargo disappearance before reaching destination.

Required

Discuss the process that you would go through in solving the issues of the client's cargo.

8.8 Self-Assessment Questions and Activities

1. Discuss the qualities of a good problem solver
2. Discuss the process that one should go through in problem solving
3. Discuss the different types of problems encountered in the freight and logistics sector. How would you go about solving these problems?

Step	Characteristics
1. Define the problem	<ul style="list-style-type: none"> • Differentiate fact from opinion • Specify underlying causes • Consult each faction involved for information • State the problem specifically • Identify what standard or expectation is violated • Determine in which process the problem lies • Avoid trying to solve the problem without data
2. Generate alternative solutions	<ul style="list-style-type: none"> • Postpone evaluating alternatives initially • Include all involved individuals in the generating of alternatives • Specify alternatives consistent with organizational goals • Specify short- and long-term alternatives • Brainstorm on others' ideas • Seek alternatives that may solve the problem
3. Evaluate and select an alternative	<ul style="list-style-type: none"> • Evaluate alternatives relative to a target standard • Evaluate all alternatives without bias • Evaluate alternatives relative to established goals • Evaluate both proven and possible outcomes • State the selected alternative explicitly
4. Implement and follow up on the solution	<ul style="list-style-type: none"> • Plan and implement a pilot test of the chosen alternative • Gather feedback from all affected parties • Seek acceptance or consensus by all those affected • Establish ongoing measures and monitoring • Evaluate long-term results based on final solution

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9.0 PERSONAL FINANCIAL MANAGEMENT

9.1 Specific Learning Outcome

- i. Explain the meaning and importance of personal financial planning
- ii. Discuss the preparation of personal short and long-term goals
- iii. Describe the components of a personal financial plan
- iv. Explain how to prepare a personal budget
- v. Explain the concept of savings and investment in personal financial planning.

9.2 Meaning of Personal Financial Planning

This is the process of managing your money to achieve personal economic satisfaction. This planning process allows a person to control your financial situation. Every person, family, or household has a unique financial position, and any financial activity therefore must also be carefully planned to meet specific needs and goals.

A comprehensive financial plan can enhance the quality of your life and increase your satisfaction by reducing uncertainty about your future needs and resources. A financial plan is a tool to help you reach your goals. It is not a straight jacket to keep you from enjoying life.

A financial plan is a road map to help you get where you want to go. People use a road map when they begin a trip where they have not travelled before, yet many will take a financial journey through life without a road map, that is “If you don’t know where you are going, you may end up somewhere else.”

A financial plan is a report that summarizes your current financial condition, acknowledges your financial needs, and sets a direction for your future financial activities. Financial planning includes

- Evaluating one’s financial position
- Setting financial goals
- Guiding activities and resources toward reaching those goals

Key areas of personal finance include:

- Money and income
- Spending and debt
- Savings and investments

- Risk management
- Life’s milestones

9.3 Benefits to Personal Financial Planning

The specific advantages of personal financial planning include:

- Increased effectiveness in obtaining, using, and protecting your financial resources throughout your lifetime.
- Increased control of your financial affairs by avoiding excessive debt, bankruptcy, and dependence on others for economic security.
- Improved personal relationships resulting from well-planned and effectively communicated financial decisions.
- A sense of freedom from financial worries obtained by looking to the future, anticipating expenses, and achieving your personal economic goals.

9.4 Financial Planning Process

- Step 1: Determine Your Current Financial Situation.

Make a list of items that relate to your finances Savings, Monthly income (job earnings, allowance, gifts, and interest on bank accounts) Monthly expenses (money you spend) Debts (money you owe to others). A good way to estimate, or make an approximate calculation of, your monthly expenses are to keep a careful record of everything you buy for one month.

- Step 2: Develop Your Financial Goals. Ask yourself the following questions Is it more important to spend your money now or to save for the future? Would you rather get a job right after high school or continue your education? Will your chosen career require additional training or education in the future? Do your personal values affect your financial decisions? Values are the beliefs and principles you consider important, correct, and desirable. Different people value different things. Differentiate your needs from your wants. Remember a need is something you must have to survive, such as food, shelter and clothing. A want is something you desire or would like to have or do.
- Step 3: Identify Alternative Courses of Action.

It is impossible to make a good decision unless you know all your options. Options to consider: Continue the same course of action; Expand the current situation; Change the current situation; Take a new course of action

- **Step 4: Evaluate Your Alternatives.**
Choosing between two alternatives involves more than knowing what you would gain. It also includes evaluating of risks. When you make financial decisions, you accept financial. Risks include inflation, interest rate, income risk, personal risk, liquidity risk. Liquidity is the ability to easily convert financial assets into cash without loss in value. Some long-term investments can be difficult to convert quickly.
- **Step 5: Create and Use your financial plan of action.**
A plan of action is a way to achieve your financial goals.
- **Step 6: Review and Revise your plan.**
Financial planning continues as you follow your plan. As you get older, your finances and needs will change. This means your plan will need to change as well.

9.5 Personal Short- And Long-Term Goals

Financial goals are developed according to different needs and goals at different life stages.

- Make a list of all needs and goals.
- Map out the cost of each financial goal.
- Different life events affect what financial goals you will set.

Financial goals are not static once set or achieved. They will need to be redeveloped and may even change over time. Plan according to your situation:

- Age
- Income and expenses
- Assets and liabilities
- Marital status
- Family conditions
- No. of dependents
- Specific needs
- Other constraints

Several times a year, you should analyze your financial values and goals. This activity involves identifying how you feel about money and why you feel that way. Are your feelings about money based on factual knowledge or on the influence of others? Are your financial priorities based on social

pressures, household needs, or desires for luxury items? How will economic conditions affect your goals and priorities? The purpose of this analysis is to differentiate your needs from your wants.

Specific financial goals are vital to financial planning. Others can suggest financial goals for you; however, *you must decide which goals to pursue. Your financial goals can* range from spending all of your current income to developing an extensive savings and investment program for your future financial security.

Types of financial goals

- Short-term:** A short-term goal is something you want to do in the near future. The near future can mean today, this week, this month, or even this year
- Long term goals:** A long-term goal is something you want to do further in the future. Long-term goals require time and planning. It should be planned in coordination with short-term and intermediate goals. Setting personal long-term goals can be a powerful tool for taking your life in the direction you want it to go. A long-term goal is one that can't be achieved right away, but rather one that takes sustained effort over a period. These examples will inspire you to create your own personal goals, no matter where you find yourself right now in your life and career. Services and goods are two different categories of financial needs. How you establish and reach your financial goals will depend on whether a goal involves the need for:

- Consumable goods (such as a soda)
- Durable goods (such as a car)
- Intangible items (such as an education)

Make sure the goal you are working for is something you really want, not just something that sounds good.

Financial Goals Should Be:

- Specific
- Measurable
- Action Oriented
- Realistic
- Timely

9.6 Preparation of a Personal Budget

A budget is a plan for managing your money in a way that best meets your personal needs and wants. A budget is an assessment of income and expenses for attaining financial goals. Personal budgeting is about understanding the equation between an individual's income and expenses to regulate the usage of money. Understanding personal budget results in a healthy financial life of an individual.

Reasons for preparing a personal budget

Reasons to budget are numerous:

- Determine how much money, you have to spend
- Decide how you want to spend your money
- Determine how to spend money in the future
- Learn to live on less than available income
- Stay out of financial trouble
- Helps you identify and achieve financial goals
- Helps you manage your money
- Increases your saving
- Directs your money flow.
- Prepares you for contingencies
- Provides sense of financial security
- Develop better financial habits
- Relieve emotional stress

Without a budget, you are unaware of your financial situation. By surviving month to month, you are not prepared for any emergency. There will be no savings and investment ideas if you do not know your budget. Absence of a budget can keep you in debts.

Keys to Effective Budgeting

- Identify and develop personal goals
- Evaluate and record current trends, both income and expenses
- Assign priorities
- Develop a timeline for the month
- Keep it simple
- Remain flexible: One size does not fit all.
- Review and revise

Budget item categories

- Savings
- Food
- Clothing
- Household
- Transportation

- Health and personal care
- Recreation and education
- Gifts and contributions

Creating a Budget

Creating a budget begins with a clear, accurate, and well-thought-out plan. This will allow you to be able to:

- Adjust plans, activities, and spending as needed
- Spend money cost-effectively
- Reach the specific goals you have set
- Strengthen internal control system

Steps in personal Budgeting

- **Set financial goals:**
 - Identify and write them down long term (1-5 years) and short term (within a year)
 - Make them achievable, practical, and owned by everyone, keep them in the fore front and journal the process and celebrate their completion
 - Write them into your monthly budget
 - Adjust them as necessary
- **Estimate your income**
 - Make a list of each income stream that you receive on a regular basis each month. The key is to only include that income you get every month.
 - Include both monthly wages earned from your job(s) as well as monthly supplemental income (i.e., child support, disability, etc.)
 - Mark down the date these are received
 - Calculate the monthly income total
 - Record, but do not include any periodic income you may receive at this point.
 - If your income is unpredictable, estimate what you will receive in the next month and adjust it DOWN a little
- **Record what you spend**
 - Review the previous month's check book ledger, bank statements etc. and record your spending and income.
 - Record what you spend for the next month and write down what your actual expenses and income
- **Budget for actual and unexpected expenses**
 - Actual Expenses by identifying fixed expenses (i.e., rent, car payment, student loans). Record the monthly payment deadline and plan according to your

payday date. These expenses include rent or Mortgage, Car – payment, upkeep, Insurance (health/medical, life, auto, home, et.), Food, Household utilities, Clothing, Entertainment among others.

- Variable Expenses: Identify recurring expenses the fluctuate (monthly grocery, automobile, etc.) calculate an average based on previous months that is when in doubt, guess high. Consult with friends and family on what they spend
- **Review and evaluate monthly**
 - Review on a monthly basis, especially when you begin the process.
 - Evaluate the budget against your personal financial goals.
 - All monthly deficits need to be addressed immediately
 - All surplus experienced needs to be added to savings
 - Consider operating on a cash envelope system
 - Do not get discouraged.

9.7 Savings and Investment in Personal Financial Planning

9.7.1 Savings

Savings refers to the process of keeping some amount from the current income for the purpose of taking care of future and wants. Savings refers to the money that a person has left over after they subtract out their consumer spending from their disposable income over a given time period. The term savings means refraining from spending for consumption needs. Savings, therefore, represents a net surplus of funds for an individual or household after all expenses and obligations have been paid.

Objectives of savings

- Reduces economic insecurity especially in old age
- Help in period of inability
- Useful during an emergency
- Becomes a source of income
- Savings are useful habit to cultivate as it is a sure means of family security
- Useful for children's marriage, education, or other family expenditure
- It gives feeling of security

Why do people save?

- Because they have too much income.
- In case of emergencies. For example, health problems.
- For something in the future. For example, their children's education.
- For an upcoming event. For example, holiday or daughter's wedding.
- For something that they really need but cannot afford at the moment and they know to buy the item using credit is too expensive.
- For their old age when they can no longer work.

Savings is the difference between earnings and expenditure. It can be defined as, certain proportion of income kept aside for future use. The most common way to save is keeping savings in a current bank account, cash savings at home. Other methods many people use for saving money include treasury bills, Government bonds, a pension account, an investment fund, Money market insured accounts, Certificates of Deposit among others.

Characteristics of a good saving plan

- Safety of original amount invested
- Return – Higher the return, the greater is the risk
- Convenience – plan should be easy to handle and understand
- Liquidity – Easily converted into cash
- Income tax relief offered on certain saving

9.7.2 Investments

Investment is the process of using your money or capital, to buy an asset that you think has a good probability of generating at or above market returns over time is called Investment. An investment is the sum of money that one has paid to an agency for safekeeping and earning interest. Investing may be defined as committing money for the purpose of assets, based on a careful analysis of risks and rewards anticipated over a period of one year or more.

Personal investment is one of most important personal finance ingredients. Investments are additional source of income ensuring regular capital to meet of personal needs and to implement financial purposes, the main of that - the financial independence. In a broad sense - investment is financial resources of investment in various assets which have value for growth.

Investing funds is the process of placing them in a more or less permanent form, with the expectation of assuring the security of the principal and of receiving a regular and predictable return on it. The most popular investment groups are cash deposits, stocks, bonds, real estate, mutual funds, derivatives and others and they are decisive economic growth factors.

Objectives of investment

- Security after retirement
- Education children
- Building up an estate
- Improving status and standard of living

All investments can be evaluated by return on investment and operating risk factors. The securities whose returns are higher are riskier than those which produce lower returns. Taxes influence the realized return of investments. A person needs to have funds available for the unexpected. Without liquid funds long-term investments must be liquidated and results in lower price, tax consequences, or missed opportunities.

9.7.3 Criteria for Selecting Savings/ Investment Products

You need to keep certain factors in mind when investing in the best savings / investment plan.

- **Your goals**
First and foremost, you need to set long-term and short-term financial goals. It will bring in a lot of clarity and will help you choose the right investment plan. Your goals will help you decide on the plan you need to buy. The process might sound tedious now, but it will pay at a later stage.
- **The balance between risk and reward**
When you choose an investment product, you need to invest very carefully and maintain a balance between the risk and reward associated with the same. Consider your risk appetite when you choose a plan.

- **Liquidity**

Your savings plan should have adequate liquidity to satisfy your needs. You need to ensure that the plan provides funds to you in times of an emergency. Consider your liquidity requirement before you choose a plan.

- **Understand the tax deduction offered**

When you make a savings investment, consider the tax benefit offered by the investment product. Various investment products such as treasury bonds, life insurance and health insurance offer a tax benefit. Investing in such products will not only reduce your tax amount but will also protect you in case of a medical emergency.

- **Look out for the diversity aspect**

Your money-saving plan should not be restricted to one investment product. You will have to diversify the investment you make to reduce the risk associated with the same. Consider all the investment options, which serve your purpose and diversify the portfolio.

- **Terms and conditions**

This includes the maturity period of the investment. Some investment may require a long period of time to mature in which case maybe limiting for a shorter financial need.

9.8 Learning Activities

Develop the following financial plans for yourself:

1. A personal financial plan
2. A personal budget
3. A personal savings and investment plan

9.9 Self-Assessment Questions and Activities

1. Discuss the importance of personal financial planning
2. What are the components of a personal financial plan?
3. Discuss the concept of savings and investment in personal financial planning

9.10 References

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10.0 CRITICAL SAFE WORK HABITS

10.1 Specific Learning Outcome

- i. Discuss the stress and stress management
- ii. Discuss time management
- iii. Evaluate Leisure, health and wellness
- iv. Explain best practices to manage HIV and AIDS
- v. Evaluate drug and substance abuse policies

10.2 Stress and Stress Management

Work stress is recognized world-wide as a major challenge to workers' health and the healthiness of their organizations by the ILO. Workers who are stressed are also more likely to be unhealthy, poorly motivated, less productive, and less safe at work. Their organizations are less likely to be successful in a competitive market. Stress can be brought about by pressures at home and at work.

Stress is a *reaction* to a situation – it isn't about the actual situation. We usually feel stressed when we think that the demands of the situation are greater than our resources to deal with that situation. Common sources of stress may include major life events, like moving or changing jobs. Long-term worries, like a long-term illness or parenting, can also feel stressful. Even daily hassles like dealing with traffic can be a source of stress.

Stress is your body's way of responding to compelling demands. It can be caused by both good and bad experiences. When people feel stressed by something going on around them, their bodies react by releasing chemicals into the blood. These chemicals give people more energy and strength, which can be a good thing if their stress is caused by physical danger. But this can also be a bad thing, if their stress is in response to something emotional and there is no outlet for this extra energy and strength. This class will discuss different causes of stress, how stress affects you, the difference between 'good' or 'positive' stress and 'bad' or 'negative' stress, and some common facts about how stress affects people today.

Work-related stress is the response people may have when presented with work demands and pressures that are not matched to their knowledge and abilities and which challenge their ability to cope. Stress occurs in a wide range of work circumstances but is often made worse when employees feel they have little support from supervisors and colleagues and where they have little control over work or how they can cope with its demands and pressures.

Workplace stress then is the harmful physical and emotional responses that can happen when there is a conflict between job demands on the employee and the amount of control an employee has over meeting these demands. In general, the combination of high demands in a job and a low amount of control over the situation can lead to stress.

10.2.1 Causes of Workplace Stress

Stress in the workplace can have many origins or come from one single event. It can impact on both employees and employers alike. It is generally believed that some stress is okay (sometimes referred to as "challenge" or "positive stress") but when stress occurs in amounts that you cannot handle, both mental and physical changes may occur.

Excessive and otherwise unmanageable demands and pressures can be caused by poor work design, poor management and unsatisfactory working conditions. Similarly, these things can result in workers not receiving sufficient support from others or not having enough control over their work and its pressures. Research findings show that the most stressful type of work is that which values excessive demands and pressures that are not matched to workers' knowledge and abilities, where there is little opportunity to exercise any choice or control, and where there is little support from others. The more the demands and pressures of work are matched to the knowledge and abilities of workers, the less likely they are to experience work stress.

Common causes of workplace stress include:

Job Content <ul style="list-style-type: none"> • Monotonous, under-stimulating, meaningless tasks • Lack of variety • Unpleasant tasks • Aversive tasks 	Working Hours <ul style="list-style-type: none"> • Strict and inflexible working schedules • Long and unsocial hours • Unpredictable working hours • Badly designed shift systems
Workload and Work pace <ul style="list-style-type: none"> • Having too much or too little to do • Working under time pressures 	Participation and Control <ul style="list-style-type: none"> • Lack of participation in decision making • Lack of control (for example, over work methods, work pace, working hours and the work environment)
Career Development, Status and Pay <ul style="list-style-type: none"> • Job insecurity • Lack of promotion prospects • Under-promotion or over-promotion • Work of 'low social value' • Piece rate payments schemes • Unclear or unfair performance evaluation systems • Being over-skilled or under-skilled for the job 	Interpersonal Relationships <ul style="list-style-type: none"> • Inadequate, inconsiderate or unsupportive supervision • Poor relationships with co-workers • Bullying, harassment and violence • Isolated or solitary work • No agreed procedures for dealing with problems or complaints
Role in the Organization <ul style="list-style-type: none"> • Unclear role • Conflicting roles within the same job • Responsibility for people • Continuously dealing with other people and their problems 	Organizational Culture <ul style="list-style-type: none"> • Poor communication • Poor leadership • Lack of clarity about organizational objectives and structure
Home-Work Interface <ul style="list-style-type: none"> • Conflicting demands of work and home • Lack of support for domestic problems at work • Lack of support for work problems at home 	Job Security <ul style="list-style-type: none"> • Lack of employment contracts • Lack of management assurances in times of uncertainties

10.2.2 The Effects of Stress / Warning Signs

The effects of work stress on individual employees

Stress affects different people in different ways. The experience of work stress can cause unusual and dysfunctional behaviour at work and contribute to poor physical and mental health. In extreme cases, long-term stress or traumatic events at work may lead to psychological problems and be conducive to psychiatric disorders resulting in absence from work and preventing the worker from being able to work again. When under stress, people find it difficult to maintain a healthy balance between work and nonwork life. At the same time, they may engage in unhealthy activities, such as smoking drinking and abusing drugs.

Stress may also affect the immune system, impairing people's ability to fight infections.

When affected by work stress people may:

- Become increasingly distressed and irritable
- Become unable to relax or concentrate
- Have difficulty thinking logically and making decisions
- Enjoy their work less and feel less committed to it
- Feel tired, depressed, anxious
- Have difficulty sleeping
- Substance abuse - Using alcohol or drugs to cope
- Loss of sex drive
- Apathy, loss of interest in work
- Social withdrawal
- Experience serious physical problems, such as:
 - Heart disease,
 - Disorders of the digestive system,
 - Increases in blood pressure,
 - Headaches,
 - Musculo-skeletal disorders (such as low back pain and upper limb disorders)

The effects of work stress on organizations

If key staff or a large number of workers are affected, work stress may challenge the healthiness and performance of their organization. Unhealthy organizations do not get the best from their workers, and this may affect not only their performance in the increasingly competitive market but eventually even their survival.

Work stress is thought to affect organizations by:

- Increasing absenteeism
- Decreasing commitment to work
- Increasing staff turn-over
- Impairing performance and productivity
- Increasing unsafe working practices and accident rates
- Increasing complaints from clients and customers
- Adversely affecting staff recruitment
- Increasing liability to legal claims and actions by stressed workers
- Damaging the organization's image both among its workers and externally.

The long-term effects of stress

Untreated long term (chronic) stress has been reported to be associated with health conditions such as:

- Anxiety
- Insomnia
- Muscle pain
- High blood pressure
- Weakened immune system
- Heart disease
- Depression
- Obesity

10.2.3 Stress Management; How to Reduce, Prevent, and Cope with Stress

It may seem that there's nothing you can do about stress. Managing stress is all about taking charge: of your thoughts, emotions, schedule, and the way you deal with problems. Several strategies are recommended:

4. Identify the sources of stress in your life

Stress management starts with identifying the sources of stress in your life. To identify your true sources of stress, look closely at your habits, attitude, and excuses:

- Do you explain away stress as temporary ("I just have a million things going on right now") even though you can't remember the last time you took a breather?
- Do you define stress as an integral part of your work or home life ("Things are always crazy around here") or as a part of your personality ("I have a lot of nervous energy, that's all")?
- Do you blame your stress on other people or outside events, or view it as entirely normal and unexceptional?

Until you accept responsibility for the role you play in creating or maintaining it, your stress level will remain outside your control.

5. Start a stress journal

A stress journal can help you identify the regular stressors in your life and the way you deal with them. Each time you feel stressed, keep track of it in your journal. As you keep a daily log, you will begin to see patterns and common themes. Write down:

- What caused your stress (make a guess if you're unsure).
- How you felt, both physically and emotionally.
- How you acted in response.
- What you did to make yourself feel better

6. Look at how you currently cope with stress

Think about the ways you currently manage and cope with stress in your life. Your stress journal can help you identify them. Are your coping strategies healthy or unhealthy, helpful, or unproductive? Unfortunately, many people cope with stress in ways that compound the problem.

7. Identify healthier ways to manage stress

If your methods of coping with stress aren't contributing to your greater emotional and physical health, it's time to find healthier ones. There are many healthy ways to manage and cope with stress, but they all require change. You can either change the situation or change your reaction. When deciding which option to choose, it's helpful to think of the four A's: avoid, alter, adapt, or accept. Since everyone has a unique response to stress, there is no "one size fits all" solution to managing it. No single method works for everyone or in every situation, so experiment with different techniques and strategies. Focus on

what makes you feel calm and in control. The Four A's are discussed below:

Change the situation:

- **Avoid** the stressor.
- **Alter** the stressor.

Change your reaction:

- **Adapt** to the stressor.
- **Accept** the stressor.

Avoid the stressors

Not all stress can be avoided, and it's not healthy to avoid a situation that needs to be addressed. You may be surprised, however, by the number of stressors in your life that you can eliminate.

- Learn how to say "no" – Know your limits and stick to them. Whether in your personal or professional life, refuse to accept added responsibilities when you're close to reaching them. Taking on more than you can handle is a sure-fire recipe for stress.
- Avoid people who stress you out – If someone consistently causes stress in your life and you can't turn the relationship around, limit the amount of time you spend with that person or end the relationship entirely.
- Take control of your environment – If the evening news makes you anxious, turn the TV off. If traffic's got you tense, take a longer but less-travelled route. If going to the market is an unpleasant chore, do your grocery shopping online.
- Avoid hot-button topics – If you get upset over religion or politics, cross them off your conversation list. If you repeatedly argue about the same subject with the same people, stop bringing it up or excuse yourself when it's the topic of discussion.
- Pare down your to-do list – Analyse your schedule, responsibilities, and daily tasks. If you've got too much on your plate, distinguish between the "should" and the "musts." Drop tasks that aren't truly necessary to the bottom of the list or eliminate them entirely.

Alter the situation

If you can't avoid a stressful situation, try to alter it. Figure out what you can do to change things, so the problem doesn't present itself in the future. Often, this involves changing the way you communicate and operate in your daily life.

- Express your feelings instead of bottling them up. If something or someone is bothering you, communicate your concerns in an open and respectful way. If you don't voice your feelings, resentment will build, and the situation will likely remain the same.
- Be willing to compromise. When you ask someone to change their behaviour, be willing to do the same. If you both are willing to bend at least a little, you'll have a good chance of finding a happy middle ground.
- Be more assertive. Don't take a backseat in your own life. Deal with problems head on, doing your best to anticipate and prevent them. If you've got an exam to study for and your chatty roommate just got home, say up front that you only have five minutes to talk.
- Manage your time better. Poor time management can cause a lot of stress. When you're stretched too thin and running behind, it's hard to stay calm and focused. But if you plan ahead and make sure you don't overextend yourself, you can alter the amount of stress you're under.

Adapt to the stressor

If you can't change the stressor, change yourself. You can adapt to stressful situations and regain your sense of control by changing your expectations and attitude.

- Reframe problems. Try to view stressful situations from a more positive perspective. Rather than fuming about a traffic jam, look at it as an opportunity to pause and regroup, listen to your favorite radio station, or enjoy some alone time.
- Look at the big picture. Take perspective of the stressful situation. Ask yourself how important it will be in the long run. Will it matter in a month? A year? Is it really worth getting upset over? If the answer is no, focus your time and energy elsewhere.
- Adjust your standards. Perfectionism is a major source of avoidable stress. Stop setting yourself up for failure by demanding perfection. Set reasonable standards for yourself and others and learn to be okay with "good enough."
- Focus on the positive. When stress is getting you down, take a moment to reflect on all the things you appreciate in your life, including your own positive qualities and gifts. This simple strategy can help you keep things in perspective.

Accept the things you can't change

Some sources of stress are unavoidable. You can't prevent or change stressors such as the death of a loved one, a serious illness, or a national recession. In such cases, the best way to cope with stress is to accept things as they are. Acceptance may be difficult, but in the long run, it's easier than railing against a situation you can't change.

- Don't try to control the uncontrollable. Many things in life are beyond our control—particularly the behaviour of other people. Rather than stressing out over them, focus on the things you can control such as the way you choose to react to problems.
- Look for the upside. As the saying goes, "What doesn't kill us makes us stronger." When facing major challenges, try to look at them as opportunities for personal growth. If your own poor choices contributed to a stressful situation, reflect on them, and learn from your mistakes.
- Share your feelings. Talk to a trusted friend or make an appointment with a therapist. Expressing what you're going through can be very cathartic, even if there's nothing you can do to alter the stressful situation.
- Learn to forgive. Accept the fact that we live in an imperfect world and that people make mistakes. Let go of anger and resentments. Free yourself from negative energy by forgiving and moving on.

8. Make time for fun and relaxation

Beyond a take-charge approach and a positive attitude, you can reduce stress in your life by nurturing yourself. If you regularly make time for fun and relaxation, you'll be in a better place to handle life's stressors when they inevitably come. Don't get so caught up in the hustle and bustle of life that you forget to take care of your own needs. Nurturing yourself is a necessity, not a luxury.

- Set aside relaxation time. Include rest and relaxation in your daily schedule. Don't allow other obligations to encroach. This is your time to take a break from all responsibilities and recharge your batteries.
- Connect with others. Spend time with positive people who enhance your life. A strong support system will buffer you from the negative effects of stress.

- Do something you enjoy every day. Make time for leisure activities that bring you joy, whether it be stargazing, playing the piano, or working on your bike.
- Keep your sense of humour. This includes the ability to laugh at yourself. The act of laughing helps your body fight stress in a number of ways

9. Adopt a healthy lifestyle

You can increase your resistance to stress by strengthening your physical health.

- **Exercise regularly.** Physical activity plays a key role in reducing and preventing the effects of stress. Make time for at least 30 minutes of exercise, three times per week. Nothing beats aerobic exercise for releasing pent-up stress and tension.
- **Eat a healthy diet.** Well-nourished bodies are better prepared to cope with stress, so be mindful of what you eat. Start your day right with breakfast and keep your energy up and your mind clear with balanced, nutritious meals throughout the day.
- **Reduce caffeine and sugar.** The temporary "highs" caffeine and sugar provide often end in with a crash in mood and energy. By reducing the amount of coffee, soft drinks, chocolate, and sugar snacks in your diet, you'll feel more relaxed, and you'll sleep better.
- **Avoid alcohol, cigarettes, and drugs.** Self-medicating with alcohol or drugs may provide an easy escape from stress, but the relief is only temporary. Don't avoid or mask the issue at hand; deal with problems head on and with a clear mind.
- **Get enough sleep.** Adequate sleep fuels your mind, as well as your body. Feeling tired will increase your stress because it may cause you to think irrationally.

10.3 Time Management

It is rightly said "Time and Tide wait for none". An individual should understand the value of time for him to succeed in all aspects of life. People who waste time are the ones who fail to create an identity of their own.

Time management is the process of organizing and planning how to divide your time between specific activities. Good time management enables you to work smarter – not harder – so that you get more done in less time, even when time is tight, and pressures are high. Failing to manage your time damages your effectiveness and causes stress.

Time management refers to managing time effectively so that the right time is allocated to the right activity. Effective time management allows individuals to assign specific time slots to activities as per their importance. Time Management refers to making the best use of time as time is always limited. Ask yourself which activity is more important and how much time should be allocated to the same? Know which work should be done earlier and which can be done a little later. Time Management plays a very important role not only in organizations but also in our personal lives.

10.3.1 Components of Time Management

- **Effective Planning:**
Plan your day well in advance. Prepare a To Do List or a “TASK PLAN”. Jot down the important activities that need to be done in a single day against the time that should be allocated to each activity. High Priority work should come on top followed by those which do not need much of your importance at the moment. Complete pending tasks one by one. Do not begin fresh work unless you have finished your previous task. Tick the ones you have already completed. Ensure you finish the tasks within the stipulated time frame.
- **Setting goals and objectives:**
Working without goals and targets in an organization would be similar to a situation where the captain of the ship loses his way in the sea. Yes, you would be lost. Set targets for yourself and make sure they are realistic ones and achievable.
- **Setting deadlines:**
Set deadlines for yourself and strive hard to complete tasks ahead of the deadlines. Do not wait for your superiors to ask you every time. Learn to take ownership of work. One person who can best set the deadlines is you yourself. Ask yourself how much time needs to be devoted to a particular task and for how many days. Use a planner to mark the

important dates against the set deadlines.

- **Delegation of responsibilities:**
Don't do everything on your own. There are other people as well. One should not accept something which he knows is difficult for him. The roles and responsibilities must be delegated as per interest and specialization of employees for them to finish tasks within deadlines. A person who does not have knowledge about something needs more time than someone who knows the work well.
- **Prioritizing activities as per their importance:**
Prioritize the tasks as per their importance and urgency. Know the difference between important and urgent work. Identify which tasks should be done within a day, which all should be done within a month and so on. Tasks which are most important should be done earlier.
- **Spending the right time on the right activity:**
Develop the habit of doing the right thing at the right time. Work done at the wrong time is not of much use. Don't waste a complete day on something which can be done in an hour or so. Also keep some time separate for your personal calls or checking updates on Facebook or Twitter. After all human being is not a machine

10.3.2 Importance of Time Management

Time management is important for your personal life and career success. It teaches you how to manage your time effectively and make the most of it. Here are a few of the reasons why it is so important, and how it can help you use and manage your time more advantageously:

- Time is a special resource that you cannot store or save for later use. Everyone has the exact same amount of time each day. Time not well used cannot be retrieved.
- Most people feel like they have too much to do and not enough time. They blame lack of time for their poor finances, unachieved goals, stress, bad relationships and not exercising their body. Wise time management can help you find the time for what you desire to do or need to do.
- You need time to get what you want out of life. If you wait for extra time to appear, you might lose the game of life. Through right time management, you can “create” the time

you need, and not just wait for it to come. By planning your time wisely, you will have more time to do more things.

- Time management will help you set up your priorities.
- Time is limited to 24 hours a day, so plan your life wisely.
- Time management helps you make conscious choices, so you can spend more of your time doing things that are important and valuable to you.
- You can learn to find the time for the things that are important to you. Even a small amount of time once a day, or even once a week, will take you closer to your goals, and you will be surprised at the progress you make.
- You become more productive using improved time management skills and tools and can accomplish more with less effort and time. Time management can help you reduce wasted time and energy, help you become more creative and productive, and enable you to do the right thing at the right time. This will of course lead to more balance and fulfilment in your life.

10.3.3 Benefits of Effective Time Management

Time Management refers to making the best possible use of available time. Managing time well enables an individual to do the right thing at the right time.

a) Time Management plays a pivotal role in one's personal as well as professional life.

Time management makes an individual punctual and disciplined. One learns to work when it is actually required as a result of effective time management. To make the judicious use of time, individuals should prepare a "TASK PLAN" or a "TO DO" List at the start of the day to jot down activities which need to be done in a particular day as per their importance and urgency against the specific time slots assigned to each activity. A Task Plan gives individuals a sense of direction at the workplace. An individual knows how his day looks like and eventually works accordingly leading to an increased output.

b) One becomes more organized as a result of effective Time Management.

Keeping the things at their proper places minimizes the time which goes on unnecessary searching of documents, important files, folders, stationery items and so on. For better time management, individuals keep their workstations, study zones, cubicles, meeting areas clean and organized. People learn to manage things well as a result of time management.

c) Effective time management boosts an individual's morale and makes him confident.

As a result of time management, individuals accomplish tasks within the stipulated time frame, making them popular in their organization as well as amongst their peers. People who understand the value of time are the ones who manage to stand apart from the crowd. Individuals who finish off work on time are looked up to by others and are always the centre of attention everywhere.

d) Achievement of individual effectiveness

- Individuals who stick to a time plan are the ones who realize their goals and objectives within the shortest possible time span. Managing time effectively helps employees to meet targets way ahead of deadlines and finish off task just when it is required.
- Effective time management helps an employee to reach the pinnacle of success quickly and stay firm at the top for a longer duration. An employee who works just for the sake of working fails to create an impression and is never taken seriously at work.
- Effective time management plays a pivotal role in increasing an individual's productivity. Output increases substantially when people manage their time well.
- Time Management enables an individual to prioritize tasks and activities at workplace. It is foolish to stay overburdened. Do not accept anything and everything that comes your way.
- Time Management helps an individual to adopt a planned approach in life

e) Better time management helps in better planning and eventually better forecasting.

Individuals learn to plan things well and know where exactly they stand five years from now. Individuals who accomplish tasks on time are less prone to stress and anxiety. Remember there is no point in wasting time and cribbing later. Finish off pending work on time and then you would have ample time for your friends, relatives, and family members.

10.3.4 Time Wasters in the Workplace

There are many time wasters that will really eat into **Clearing and Forwarding Agents** time if they allow them to. To free up your time you need to identify those time wasters, decide what you want to do about them and then take action.

- Lack of planning, prioritizing and focus.
Without these, you'll find yourself drifting and working in a scattered and disjointed way, and not spending time on what's most important to you. You'll end up working on activities that aren't moving you towards your vision and if this is so, it's not an effective way to spend your time. You'll feel directionless and your productivity will drop. When you're not fully focused in the moment, you inhibit the momentum required to be effective and to get things done faster and more easily.
- Procrastination.
Putting things off wastes not only your time but also your energy and thoughts. When you procrastinate, much time is spent thinking and worrying about the things you need to do. Procrastination refers to the act of replacing high-priority actions with tasks of low-priority, and thus putting off important tasks to a later time. You give yourself a hard time for not doing them and therefore you're unable to spend your time effectively, especially when crunch time arrives and what you've been procrastinating over finally has to be done. If you see yourself as someone who procrastinates, you'll remain in that endless cycle.
- Interruptions
This may be the telephone, people dropping into your office, unanticipated events or visitors, anything that stops what you're doing. Interruptions prevent you from being focused; they pull you away from important things at that moment. Time is wasted when you allow different areas of your life to overlap into each other. Focus and time are lost when you allow your work and personal life to interrupt each other. The same goes for the different things you're working on. Keep them separate and don't allow them to interfere with each other. Focus on each specific thing at a time.
- Lack of delegation
It's a real waste of your time to think you need to do everything and no one ever does it as good as you. You'll end up doing too much and having insufficient time to focus only on what you're really good at, your gifts, strengths and ability. You miss out on leveraging your time by not delegating people to carry out your basic and routine tasks.
- Meetings
Meetings can be a time waster if there isn't a specific reason, agenda and timeframe for holding them. It's too easy to fall into the habit of holding meetings without realizing that some of that time could be spent more effectively. A small amount of time clarifying the need and reason for the meeting could save a lot of time in the long run.
- Crisis management, firefighting.
When you're running around like a headless chicken, too much time is wasted through a lack of effectiveness. You're not focused and working on what's important. There are too many urgent items getting in the way. Because you're in such a hurry, things are not done well and often come back to bite you, wasting more time when you need to redo it.
- Telephone, email and Internet.
These can also be interruptions and as with meetings, it's easy to spend quite a bit of time on the telephone or internet without any real reason or intention. Time is wasted when you don't make the best use of the time, when you're unclear about what you want to get out of what you're doing and when you stray off the point and drift. It's so easy to justify to yourself that you're working hard when in fact what you're doing may serve no useful or effective purpose at all. It may be just a distraction.

- Not saying 'No'.
Taking on too much puts pressure on you and prevents you from working at your best. Not working at your best and most effective means everything takes longer and more of your time is stolen from you. You don't value your time and you don't decide how you want to spend it and therefore, you allow others to make that choice for you. You're not going to spend your time effectively if you allow others to ask too much of you.
- Lack of organisation and untidiness.
Clutter zaps your energy and not only leaves you less able to work effectively, but wastes time as you try to sort through it. You may find yourself looking through the same clutter time and again. Clutter can be a distraction for you and anything that distracts doesn't allow for effective use of your time. When you lack organisation, much time can be spent doing the same thing repeatedly or because there aren't the necessary systems or processes in place. Not simplifying robs you of your time.
- Not enough time-off or time for yourself.
You need to step back, evaluate, and re-energise yourself in order to be effective. Many people 'try' to do more and more thinking they're using their time better. But in actual fact, this can often result in being less productive and not working on what's most important. You waste time when you keep doing, doing, doing, without enough time for just being and listening to your inner wisdom. Without enough time-off or time for yourself, your health may suffer and eventually you'll reach a crisis point where you're forced to take even more time off.

10.3.5 Managing Time Wasters

For Effective Time Management one needs to be:

- Organized - Avoid keeping stacks of file and heaps of paper at your workstation. Throw what all you don't need. Put important documents in folders. Keep the files in their respective drawers with labels on top of each file. It saves time which goes on unnecessary searching.
- Don't misuse time - Do not kill time by loitering or gossiping around. Concentrate on your work and finish assignments on time. Remember your organization is not paying you for playing games on computer or peeping into other's cubicles. First complete your work and then do whatever you feel like doing. Don't wait till the last moment
- Be Focused - One needs to be focused for effective time management. Develop the habit of using planners, organizers, table top calendars for better time management. Set reminders on phones or your personal computers.

10.3.6 Principles of Time Management

The principles below are derived from research on time management, and are critical when making the moment-to-moment decisions that are crucial to effective time management for balance and well-being.

- 1. Commitment**—if you can't commit to devoting time to a task, don't put it in your schedule. Only schedule tasks you WILL do. Be brutally realistic, not idealistic when making your schedule. Creating a schedule, you can't actually keep is setting yourself up for frustration. If you don't actually stick to your schedule, it will soon become useless.
- 2. Time vs. task focus**—Think of your day in terms of time, not the tasks you have to do. Devote time to important tasks every day. It's hard to predict how long a task will take, so it's hard to schedule with great precision. But you can reliably schedule regular intervals of time and get into a routine. Make an appointment with yourself for a particular time period, and when playing or working, set your purpose "I'll get the most out of this time."
- 4. One thing at a time**—Current research shows us that multi--tasking is a myth. In actuality, we are switching back and forth between tasks. With each switch we pay a cognitive cost and a time cost: It takes time to get mentally back into the task, thus making us less efficient. When switching we lose the depth of our engagement, absorption.
- 5. Block out time**—devote, on a regular basis, chunks of time to a specific class. Make it part of your schedule, your routine. Estimate how many hours per week you want to devote to a class. Set aside this many

hours for working tasks in the course Slice up your task into pieces and allow specific blocks of time for specific pieces of a big project.

- 6. First Things First**—if you can do so, schedule the things that are most important to you first thing in the day, or at the first available time slot. Anything that gets scheduled later in the day has a greater chance of getting interrupted, put off and never gotten to. You won't be thinking or worrying about your work during your leisure time if you get academic tasks done first.
- 7. Routine**—It takes 30 days to create a habit, but good habits make your life easier. With good habits in place, you don't have to make as many hard decisions, thus you are less likely to make unproductive ones such as talking yourself out of doing what you had planned.
- 8. Flexibility**—How do you incorporate flexibility into your schedule? Don't schedule every hour of the day, leave empty time slots, and schedule in recreation time. Create a two-hour or three-hour block on Friday as a catch all makeup time. When things come up and you are deciding whether to diverge from your established schedule, survey future hours and days to see where you can make up lost time. Switch blocks of time so that your schedule reflects your new commitments.
- 9. Respond vs. react**—In the moment of decision--making, when faced with a decision or an impulse to diverge from your schedule, don't just react, RESPOND. Pause, take a moment to think. Remember what's most important to you and do what

will help you get it. For example, if exercise is a top priority for you, don't let a sudden fear about a grade prevent you from exercising. Be ready to reduce the amount of time, but don't compromise on your health. Don't let "mindgames" in which you create justifications get in the way or lead you astray.

- 10. Organize your environment**—both physical and social—for success, for support—be creative.

10.3.7 Time Management Techniques

1. Pareto Analysis (the 80/20 rule)

The 80/20 rule is a technique created by the Italian economist Vilfredo Pareto. It's the idea that 20% of actions are responsible for 80% of outcomes. The goal of Pareto analysis is to help you prioritize tasks that are most effective at solving problems.

2. Eisenhower Matrix

Before Dwight Eisenhower became president in 1953, he served in the U.S. Army as an Allied Forces Commander during World War II. He was faced with difficult decisions every day that led him to invent what is now called the *Eisenhower matrix*, or the *urgent-important matrix*.

The matrix involves organizing your tasks into four separate quadrants, sorting them by important vs. unimportant and urgent vs. not urgent, as shown in the graphic below. Urgent tasks are those we feel need to get done immediately. Important tasks are those that contribute to your long-term goals or values. Ideally, you should only work on tasks in the top two quadrants—the other tasks, you should delegate or delete.



3. Time Blocking Method

Inventor Elon Musk is known for being productive. He manages his time so efficiently that he can work over 80 hours a week and still make time for himself. What's his secret? Time blocking. From the moment you wake up, assign each time block in your day to a task. These tasks can be anything from eating breakfast to studying for a test. Below are the steps Elon Musk uses to block his time:

1. Divide a piece of paper into two columns. On the left, write down each hour of the day and create blocks of time such as half-hour or hour chunks.
2. Estimate the time it's going to take to complete each of your tasks and fit them into your time blocks.
3. Add buffer times in between each time block to allow for adjustments during the day.

10.4 Practices to Manage HIV and AIDS

The rapid spread of HIV/AIDS is having an increasingly adverse impact on the operations of many companies and employee households. In countries and communities where HIV/AIDS is most concentrated, companies have experienced increased production costs, reduced profits and greater difficulty delivering products and services. Employees experience long periods of absenteeism, extensive out-of-pocket expenses for medical care and the trauma of caring for family and friends who are ill with HIV/AIDS.

For a business to be productive, offer services efficiently and turn a profit, the skills and experiences of employees at all levels (from senior managers to cleaners) are needed to develop quality products or services that are purchased by customers. The rapidly changing environment in which a company operates requires flexibility and coordination of production processes.

Like other challenges in the contemporary business world, HIV/AIDS is a factor that a company must now consider in its planning and operations. HIV infection can disrupt the smooth operations of a business in a variety of ways. For example, if the staff person primarily responsible for handling accounts receivable experiences frequent or prolonged absences, cash flow is likely to suffer.

10.4.1 Defining HIV / AIDS

AIDS stands for acquired immunodeficiency syndrome—a pattern of devastating infections caused by the human immunodeficiency virus, or HIV, which attacks and destroys certain white blood cells that are essential to the body's immune system.

When HIV infects a cell, it combines with that cell's genetic material and may lie inactive for years. Most people infected with HIV are still healthy and can live for years with no symptoms or with only minor illnesses. They are infected with HIV, but they do not have AIDS.

After a variable period of time, the virus becomes activated and then leads progressively to the serious infections and other conditions that characterize AIDS. Although there are treatments that can extend life, AIDS is a fatal disease. Research continues on possible vaccines and, ultimately, a cure. For the moment, however, prevention of transmission remains the only method of control.

From HIV to AIDS

Individuals with HIV are infected for life and will probably die from opportunistic infections caused by the weakening of their immune system. Treatment with antiretroviral drugs can slow the progression of HIV. Regular medication for opportunistic infections can substantially prolong the life of someone with HIV. In individuals who do not get antiretroviral therapy, the time between infection with HIV and the development of the serious illnesses that define AIDS is around eight years, and most patients do not survive much more than two years after the onset of AIDS.

10.4.2 How HIV is Transmitted

A person can become infected with HIV by exchanging bodily fluids with an infected person. Specifically, HIV infection can occur by:

- Having unprotected vaginal, anal or oral sex with an infected person;
- Sharing drug needles or other skin-piercing instruments (such as razor blades) contaminated with HIV;
- Receiving a transfusion with HIV-contaminated blood;
- Transmitting the virus from mother to fetus/infant during pregnancy, birth or nursing.

Because of biological and societal differences, women (especially young women) are generally more vulnerable than men to HIV. However, both women and men are at serious risk of contracting HIV from an infected partner during unprotected sex (vaginal, anal or oral). The risk increases substantially if either partner has an STI or is in the stage of HIV infection when virus levels in the blood are very high. This is the case both immediately after being infected and late in the disease.

10.4.3 How HIV/AIDS is Not Transmitted

HIV infection does not just happen. A person cannot simply “catch” it like a cold or the flu.

Unlike cold or flu viruses, HIV is not spread by coughs or sneezes or by sharing drinking or eating utensils. HIV is not transmitted through sweat or tears. HIV is not passed through everyday contact with people at work, home, school or anywhere else. A person will not get HIV from clothes, telephones or toilets. It cannot be transmitted through everyday contact with an infected person, such as shaking hands. Likewise, HIV cannot be contracted from insect bites. Transmission of HIV requires exchange of bodily fluids containing the virus; none of the normal daily, non-intimate interactions involves exchange of bodily fluids.

HIV is NOT contracted by:

- Shaking hands, hugging, kissing
- Coughing or sneezing
- Working with people
- Sharing food or utensils
- Using toilets or showers
- Getting a mosquito or insect bite
- Protect yourself by:
- Using a condom during sex;
- Using clean needles, if injecting drugs or other
- Substances;
- Ensuring that any blood for transfusions has been screened for HIV.

10.4.4 Preventing HIV Transmission

HIV transmission is a result of specific behaviours; avoiding these behaviours will prevent it. To reduce the risk of sexual transmission:

- Get tested for HIV with your partner;
- Postpone the age of initiating sexual activity;
- Abstain from sexual intercourse when not with your regular partner;
- Reduce the number of sexual partners;
- Use a latex condom.
- Healthcare workers should eliminate contact with blood by using protective materials (e.g., latex gloves). This will reduce the risk of transmitting HIV, hepatitis and other blood-borne pathogens.
- When assisting accident victims at the workplace or elsewhere, similar precautions are needed (e.g., latex gloves).
- Needles, surgical knives and other skin-piercing instruments should be used only once, for only one person, and then discarded. If one-time use is not practical,

instruments should be properly sterilized between each use and/or before they are used on another person.

- Donated blood should be screened for HIV before being given to another person.
- Sharing needles and other drug preparation paraphernalia while injecting drugs carries the risk of transmitting HIV through blood left in the equipment.
- Implement mother to-fetus/infant transmission by preventing HIV infection in women of reproductive age, and making formula available to HIV-positive women who give birth.

10.4.5 Factors that Increase the Risk of HIV/AIDS to Businesses

Companies, too, can be “at risk” because of the nature of the work that they and their employees perform. The following questions and background information will help managers assess the risk posed by HIV/AIDS to their companies and employees:

1. ***Does the company employ a large number of workers who live without their families or away from their home communities?***

When away from spouses and home social environments, people sometimes engage in different and risky behaviours. Men are more likely than women to have multiple sex partners and visit commercial sex workers.

2. ***Does the company operate construction projects, such as road building, where men are employed away from their homes and where women congregate to provide services, including sex?***

Mining and construction are typical business sectors that employ large numbers of single men. Recreation activities are few, and inevitably bars, drug dealers and sex workers can be found nearby.

3. ***Does the company have relatively well-paid workers in areas of high unemployment and/or poverty?***

Employees who are well paid in comparison to most people in a region with a high

unemployment are exposed to situations of sexual exploitation of women and schoolgirls who need or want money, food, or material goods.

4. ***Does the company run long-distance transportation?***

According to surveys, long-distance truck drivers and drivers’ helpers who travel within and between towns and countries have, on average, higher HIV infection rates, sometimes three to five times the rate of the general adult population. A survey in East Africa found one-third of drivers to be HIV-positive (at least twice the national averages found in the region); women workers and sex workers at truck stops had infection rates ranging from 44 percent to 88 percent. Trucks often experience long delays at customs checkpoints. Surveys in have found that drinking and casual sex frequently occur while drivers wait for their papers and goods to be inspected.

5. ***Do company employees frequent commercial sex workers and engage in extensive casual sexual relations?***

A growing number of national and local surveys indicates an active sex industry in many countries and frequent contact with sex workers by younger men.

6. ***Is the country or region undergoing rapid economic change?***

Economic globalization—increasing free movement of capital because of external pressures and internal reforms—produces rapid changes in the well-being of large segments of the population. Many people are becoming poorer or more economically stressed. Cuts in social services (e.g., healthcare, education) further limit opportunities. Migration in search of work, alcohol or drugs, and sexual intimidation, follow these changes.

10.4.6 Knowing of HIV/AIDS Status

It is difficult to tell if someone has HIV because the virus can remain in the human body for many years without any obvious signs. Most people with

HIV feel healthy and lead productive lives for years after infection with the virus. It is only when the immune system is sufficiently compromised and individuals develop other illnesses, such as influenza and pneumonia, that they become noticeably and seriously ill. This delay in diagnosis also results in people initiating treatment at a late stage of HIV progression. Early diagnosis and treatment reduces further infections and ensures that the immune system is able to recover. For this reason, it is important that everyone is encouraged to know their HIV status.

Some individuals can find out if they have contracted HIV by having an HIV test. In most cases people who have been infected will test positive within a few weeks of infection. However, in some cases, it may take up to three months before the virus is detectable. The period between infection and when antibodies can be detected is called the 'window period'. It is important that workplaces offer a supportive environment for HIV testing.

The UNAIDS/WHO options for HIV testing:

- Client initiated (opt-in), commonly known as VCT
- Provider initiated (opt-out), which may also include routine offer of HIV testing by health care providers
- The '3 Cs' are observed in both kinds: counselling, confidentiality, and consent.

A routine offer of HIV testing may be made in the clinical setting. Testing is offered by health care workers to all (asymptomatic) patients using antenatal, childbirth and postnatal health services, STI services, TB services, health services, in-patient and out-patient facilities (adults, children, surgical, medical) and reproductive health services.

There are some basic things to know before being tested for HIV antibodies. People need to decide:

- Why they are getting tested
- Whether they will want an anonymous test or a confidential test
- Where they will go to get tested.

Testing enables:

- Prevention of parent-to-child transmission (PPTCT) of HIV
- Occupational health and safety
- Early understanding of the situation which allows an individual to start to live positively
- Prevention of exposing others during unprotected sexual intercourse

- Can help challenge and reduce stigma and discrimination if those testing positive disclose their status.

10.4.7 Preventing and Managing of HIV/AIDS Status

People who have HIV/AIDS can manage the situation through a combination of factors below:

- Nutritional counselling and support
- Herbal remedies
- Home-based care
- Psychosocial support
- Prevention and treatment of opportunistic infections
- Prevention and management of STIs.

10.4.8 Organizational Roles in Preventing and Managing of HIV/AIDS

Workplaces, whether formal or informal can help reduce the negative impact of HIV. It is possible to help reduce HIV transmission and improve the quality and length of life for people living with HIV. Experience throughout the world shows that employers can develop workplace HIV policies and programmes that successfully:

- Educate workers about HIV transmission and risk behaviours
- Prevent new HIV infections
- Eliminate HIV-related stigma and discrimination
- Allow workers living with HIV to continue to be productive
- Create a positive and supportive work environment
- Contribute to reduced transmission in the surrounding community
- Support workers living with HIV and their families.

10.4.9 Managing Workplace HIV/AIDS Stigma and Discrimination

UNAIDS defines HIV-related stigma and discrimination as: "...a 'process of devaluation' of people either living with or associated with HIV and AIDS...Discrimination follows stigma and is the unfair and unjust treatment of an individual based on his or her real or perceived HIV status." It is important to note that even if a person feels stigma towards another, s/he can decide to not act in a way that is unfair or discriminatory.

Stigma, whether open or hidden is one of the greatest challenges created by HIV, yet it is probably the least expensive area to deal with in terms of workplace HIV programmes. However, stigma often operates ‘underground’.

To stigmatise is to label someone; to see them as inferior or significantly devalued because of an attribute they have.

Types of stigma

- 1. Self-Stigma:** Self-hatred, shame, blame. People feel they are being judged by others, so they isolate themselves. Many PLHIV suffer from isolating themselves from their families and communities.
- 2. Felt Stigma:** Perceptions or feelings towards PLHIV.
- 3. Discrimination:** Enacted stigma, in other words attitudes or thoughts put into action.

Stigma blocks both prevention and treatment of HIV and AIDS:

- Stigma keeps people from learning their HIV status through testing and discourages them from telling their partners and family
- Stigma keeps people who suspect they are positive from taking advantage of testing, counselling and treatment services
- Stigma discourages people from using other services, e.g. PMTCT
- Stigma prevents people from caring for PLHIV.

How do we reduce stigma?

- Know how talk about HIV to avoid stigma. The words we use matter. Keep in mind that: When talking about HIV, certain words and language may have a negative meaning for people at high risk for HIV or those who have HIV.
- We can do our part to stop HIV stigma by being intentional and thoughtful when choosing our words, and choosing to use supportive—rather than stigmatizing—language when talking about HIV. Consider using the preferred terms below to avoid promoting stigma and misinformation around HIV.
- Providing information on HIV, HIV stigma and on key affected populations. Information may be provided to the public or to targeted groups of employees

- Training: skills-building and participatory learning approaches. This goes further than simply providing information. Often characterised by workshop-based activities, skills can be taught to support a person to recognize and challenge stigma.
- Counselling and support for people living with or affected by HIV. Support can help people living with or affected by HIV to recognise and deal with self-stigma and to build resilience to experiences of and perceptions of stigma.
- Contact with affected groups/employees. This involves linking the target group for the intervention with people living with or affected by HIV.
- Structural change e.g. changes in company policy. For example, introducing a policy to protect employees living with HIV from stigma and discrimination as well as the structural processes to ensure that the affected employees can access their rights.

10.5 Drugs and Substance Abuse

Alcohol and Substance Abuse is increasing at an alarming rate, causing serious threats to every nation, by deteriorating health, increasing crimes, hampering productivity, destroying relationships, eroding social and moral values and impeding the overall progress of societies.

Problems relating to alcohol and drugs may arise as a consequence of personal, family, or social factors, or from certain work situations, or from a combination of these elements. Such problems not only have an adverse effect on the health and well-being of workers, but may also cause many work-related problems including a deterioration in job performance. Given that there are multiple causes of alcohol- and drug-related problems, there are consequently multiple approaches to prevention, assistance, treatment, and rehabilitation.

Drug abuse is the use of illegal drugs or the use of prescription or over-the-counter drugs for purposes other than those for which they are meant to be used, or in excessive amounts. Drug abuse may lead to social, physical, emotional, and job-related problems.

A drug is any substance that, when taken into the living organism may modify one or more of its functions. Drug misuse means nonspecific or indiscriminate use of drugs. Drug abuse refers to self-medication or self-administration of a drug in chronically excessive quantities resulting in psychic and/or physical dependence, functional impairment, and deviation from approved social norms.

The most widely used drugs are Alcohol and Tobacco followed by Narcotic Drugs and Psychotropic Substances.

10.5.1 Alcohol

The word 'Alcohol' is derived from the Arabian term, 'al-kuhul' which means 'finely divided spirit'. Alcohol is a clear, thin, highly volatile liquid, with a harsh burning taste. Chemically it is C_2H_5OH or ethyl alcohol. Alcohol is obtained through Fermentation or distillation.

Alcohol is a Drug

Even though many people are not aware, it is an undisputed fact that alcohol is a potent drug. Ethyl alcohol (C_2H_5OH), the intoxicating substance in alcoholic beverages, produces physical and psychological changes. These changes range from a feeling of wellbeing experienced after one or two drinks, to drunkenness, which is the acute effect of having too many drinks.

Alcohol so often is misunderstood as a stimulant because it appears to make people livelier and less inhibited. It is actually a depressant. If taken in small quantities, it depresses that part of the brain, which controls inhibitions, and so the person feels relaxed. When Blood Alcohol Concentration (BAC) is low, the drinker experiences a feeling of relaxation, tranquillity and a sense of well-being. It slightly increases the heart rate, dilates blood vessels, stimulates appetite and moderately lowers blood pressure. When BAC is high, it depresses the other areas of the central nervous system.

10.5.2 Drugs of Abuse

Most drugs of abuse are psychoactive substances, which act either directly or indirectly on mental function. Source wise, it can be a natural product (e.g. cannabis), semi synthetic (e.g. heroin), synthetic (e.g. amphetamines) or designer products (e.g. ecstasy). The drugs of abuse are classified based on the effects they produce on the brain.

These categories include:

- a) **Narcotics:**
These are products derived from the opium plant, *Papaver somniferum*. They are used medicinally to relieve pain and have a high potential for abuse. They can be naturally occurring, semi synthetic or synthetic. Examples are opium, morphine, codeine, heroin, meperidine, and methadone.
- b) **Depressants:**
These are synthetic products used medicinally to relieve anxiety, irritability, and tension and to induce sleep. Examples are barbiturates, benzodiazepines, methaqualone, chloral hydrate and glutethimide.
- c) **Stimulants:**
These are synthetic drugs used to increase alertness, relieve fatigue, feel stronger and more decisive; used for euphoric effects or to counteract the "down" felling of tranquilizers or alcohol. Examples include cocaine, amphetamines, methamphetamine, phenmetrazine and methylphenidate.
- d) **Hallucinogens:**
These are synthetic drugs that produce behavioural changes that are often multiple and dramatic, usually associated with hallucinations. Examples include PCP, LSD, mescaline, psilocybin and ecstasy.
- e) **Cannabis derivatives:**
These are natural products obtained from the hemp plant *Cannabis sativa*. Examples include hashish, ganja, bhang and marijuana.

The mode of administration of drugs includes inhalation (snorting, sniffing, smoking), injection (subcutaneous, intramuscular, intravenous) and ingestion. Of these the intravenous route is the most dangerous route of administration.

10.5.3 Tobacco

Tobacco is obtained from the leaves of the plant *Nicotiana tabacum*. Tobacco mainly contains the nicotine groups of alkaloids and tar, which is a combination of more than 4,000 toxic substances. In addition, the combustion of tobacco produces numerous other poisonous gases like carbon monoxide. Tobacco is used in different forms, which include smoking (cigarette, cigar) chewing (pan masala, ghutka, raw tobacco) and sniffing.

10.5.4 Drug and Substance Use Process

Several factors attribute to the use of alcohol and other drugs. The following will explain the causative factors at the three stages of addiction.

Stage 1 - Experimental and Social Use

- Frequency of use - Occasional, perhaps a few times monthly. Usually on weekends when at parties or with friends.
- Sources - Friends and peers.
- Reasons for use
 - to satisfy curiosity
 - to acquiesce to peer pressure
 - to obtain social acceptance
 - to defy parental limits
 - to take a risk or seek a thrill
 - to appear grown up
 - to relieve boredom
 - to experience pleasurable feelings
 - to be sociable

Stage 2 - Abuse

- Frequency of use - Regular, may use several times per week. May begin using during the day. May be using alone rather than with friends.
- Sources - Friends; May sell drugs to keep a supply for personal use; May begin stealing to have money to buy drugs/alcohol.
- Reasons for use
 - to manipulate emotions; to experience the pleasure the substances produce; to cope with stress and uncomfortable feelings such as pain, guilt, anxiety and sadness; and to overcome feelings of inadequacy.
 - persons who progress to this stage of drug/alcohol involvement often experience depression or other uncomfortable feelings when not using.
- Substances are used to stay high or at least maintain normal feelings

Stage 3 - Dependency/Addiction

- Frequency of use - daily use, continuous.
- Sources - Will adopt any means necessary to obtain and secure needed drugs/alcohol. Will take serious risks; may engage in criminal behaviour.

- Reasons for use
 - drugs/alcohol are needed to avoid restlessness, pain and depression
 - strong feeling to escape the realities of daily living.
 - use is out of control and cannot survive without alcohol/drugs since the person has already developed withdrawal symptoms.

10.5.5 Effects of Alcoholism

The most widely accepted definition of alcoholism is the one offered by Keller and Effron: "Alcoholism is a chronic illness, psychic, somatic or psychosomatic, which manifests itself as a disorder of behaviour. It is characterised by the repeated drinking of alcoholic beverages, to an extent that exceeds customary, dietary use or compliance with the social customs of the community and that interferes with the drinker's health or the social or economic functioning".

Characteristics of Alcoholism

a) It is a Primary Disease

Initially, alcoholism was considered a symptom of some psychological disorder. It has now been understood that alcoholism per se is a disease, which causes mental, emotional and physical problems. These associated problems cannot be effectively dealt with, unless alcoholism is treated first.

b) It is a Progressive Disease

If it is not treated, the disease progresses from bad to worse. Sometimes there may be intermittent periods where one feels there is improvement; but over a period of time, the course of the disease will only be towards deterioration.

c) It may be a Terminal Disease

A person drinking excessively may die due to some medical complication like cirrhosis or pancreatitis. But on close scrutiny, it may be found that the complication itself was induced by alcohol. Thus, alcohol is the real agent behind the person's death.

d) It is a Treatable Disease

The disease cannot be cured; but it can be successfully arrested, with the help of timely, appropriate, and comprehensive treatment. Treatment aims at total abstinence from alcohol.

Ingestion of even a very small amount of alcohol will lead the person to obsessive drinking within a few days and he will lose control. In other words, an alcoholic can never go back to social drinking, even if he has remained sober for quite a number of years.

Consequences of Alcohol Use

Recent evidence from World Bank and WHO studies show that the impact from alcohol-related death and disability is substantial. The harmful effects of alcohol use on health and the possibility of developing dependence have been recognized as issues of great concern for a long time. New evidence underscores the need to recognize alcohol use as one of the risk factors for many communicable and non-communicable diseases as well as for accidents, injuries, domestic and social violence. There is also growing emphasis on different patterns of drinking, influencing the type of outcomes, e.g. long term high quantity drinking causing liver damage, while acute intoxication (binge drinking) is linked to accidents and injuries.

Alcohol use usually starts as a social phenomenon. Some individuals over time develop a pattern of use which can be labelled as harmful use or alcohol abuse, and some go on to develop alcohol dependence. Individuals with alcohol dependence are usually the focus of discussion as the complications of alcohol use are very obvious.

However, the occurrence of alcohol related problems are not necessarily limited to those labelled as 'addicts' or 'drunkards'. In fact, the average person with alcohol-related problems may be neatly dressed, may not show signs of alcohol withdrawal, may have a job and good family support, but may still have significant physical, psychiatric, social, or family complications due to excessive consumption of alcohol.

Health and Safety

Trauma, violence, organ system damage, various cancers, unsafe sexual practices, premature death and poor nutritional status of families are associated with alcohol use. Hazardous drinking is significantly associated with health problems such as injuries and hospitalizations.

Workplace

Alcohol use contributes to absenteeism and accidents at workplace. In a public enterprise, number of workplace accidents was reduced to less than one fourth after alcoholism treatment.

Family

Majority of men who behave violent towards their wives are frequent or daily users of alcohol. More than half of the abusive incidents are under the influence of alcohol. An assessment showed that

domestic violence reduced to one tenth of previous levels after alcoholism treatment. A lot of household expenditure is spent on alcohol. Use of alcohol increases debts and reduces the ability to pay for food and education. Alcohol abuse leads to separations and divorces and causes emotional hardship to the family. The emotional trauma cannot be translated in terms of money but the impact it has on quality of lives is significant.

10.5.6 Effects of Drug Addiction

Just like 'Alcoholism', dependency on any other drug is also a disease - a primary, progressive, yet treatable disease.

Substance Dependence

Substance dependence is a syndrome manifested by a behavioural pattern in which the use of a given psychoactive drug, or class of drugs, is given a much higher priority than other behaviour that once had a higher value.

Overdose

An overdose is an excessive dose of drugs, which results in a narcosis or coma and respiratory failure. Injective mode of administration carries a higher risk. It can cause brain damage and organ failure. The consumption of combinations of drugs at the same time is an important cause.

Mental Health

- Toxic acute effects may result from taking high doses of drugs, or more usually, from the prolonged usage of high doses of drugs. The symptoms are specific to the type of drug used.
- Chronic effects such as anxiety, depression, suicidal tendencies are possibly associated, indirectly from drug use, from the lifestyle associated with being dependent on a drug (i.e. adverse life stresses).

Transmission of Infectious Disease

Blood-borne infectious diseases may be transmitted when two or more injectors share injecting equipment; for example, HIV, hepatitis B & C, and malaria.

Sexual Health

The majority of drug users are sexually active. Sexually transmissible diseases other than the blood-borne viruses associated with drug injection, including syphilis, gonorrhea and herpes are high

among drug users. Also some female and male users may engage in sex work to get money. Pelvic inflammatory disease and unplanned pregnancies are common in female drug users.

Social Effects of Drug Abuse

Impairment of performances at educational and occupational levels, poor interpersonal relationships, absenteeism, economic loss, unemployment, marital tensions, quarrels and divorces, antisocial behaviour and criminal tendencies, traffic violations, violence, child abuse, homicides and suicides are the common social problems associated with drug abuse.

10.5.7 Harmful Effects of Tobacco Use

According to WHO (World Health Organization), Tobacco presently contributes to 5 min. deaths per year globally. The figure is expected to rise to 10 min. by the year 2025. Tobacco use is the single largest preventable cause of death and disease. Tobacco use attribute to several diseases, which include:

Cardiovascular Diseases

Smokers have a 2-3-fold risk of heart diseases. It is synergistic with other CHD risk factors namely diabetes, hypertension, and hypercholesterolemia.

Arterial Diseases

Smokers have 12-15 times greater chance of arterial disease of the limbs. The blood circulation through arteries is compromised leading to pain in the leg muscles. Often the limb has to be amputated.

Lung Cancer

Lung cancer is the most dreadful disease among smokers. More than 80% of the lung cancer victims are smokers. Lung cancer is 10 times more prevalent in men than women. Chronic obstructive pulmonary diseases are high among smokers. Bronchitis, both acute and chronic are common among smokers. Smokers have a higher chance of contracting pneumonia and tuberculosis.

Other Cancers

The risk of other cancers are also significantly increased by smoking: in Cancers Increase in risk Lung cancer 7-15 times; Throat cancer 5-13 times; Mouth cancer 3-10 times; Oesophageal cancer 1-3 times; Cancer of Pancreas 2 times; Cancer of kidney 1 time.

Stroke

Smokers have a 3-fold risk for stroke. Bleeding from the blood vessels and thrombosis in the brain lead to stroke. Risk of stroke is related to the number of cigarettes smoked. The longer the duration of

smoking the greater the risk.

Passive Smoking

Side-stream smoke has more tar, nicotine, carbon monoxide and other toxic chemicals than the smoke that is inhaled from filtered cigarettes by the smoker. A child being held by someone who is smoking, will breathe in more cancer causing chemicals than the smoker him or herself. Children whose parents smoke 10 or more cigarettes a day in their homes have a greater chance of becoming asthmatic. They can get frequent cold, cough and respiratory infection.

Gastrointestinal Diseases

Gastro esophageal reflux disease and Peptic ulcer disease are more common in smokers. The risk increases with number of cigarettes smoked per day. Gall stones, Crohn's Disease and Ulcerative colitis are associated with smoking.

Reproductive Function

Chronic smoking can cause impotence and oligospermia (decreased sperm count).

Chewing of Tobacco products causes oral Cancers, leukoplakia, nicotine stomatitis, dental caries, tooth abrasion, periodontitis (inflammation of the gums) and bad breath.

Sniffing of Tobacco causes chronic rhinitis, chronic sinusitis, and nasal cancers.

10.5.8 Recognizing the warning signs

Following are some of the behavioural characteristics that may occur with substance abuse. Such characteristics do not always indicate a substance abuse problem, but they may warrant further investigation. Supervisors and managers should be trained to spot warning signs such as these:

- Absenteeism, particularly absences without notification, or excessive use of sick days.
- Frequent disappearances from the worksite; long, unexplained absences; improbable excuses.
- Unreliability in keeping appointments and meeting deadlines.
- Work performance that alternates between periods of high and low productivity.
- Increase in accidents on and off the job.
- Mistakes attributable to inattention, poor judgment or bad decisions.
- Confusion or difficulty concentrating or recalling details and instructions.
- Increases in the effort and time required for ordinary tasks.
- Problems with interpersonal relations with co-workers.

- Shirking of responsibility for errors or oversights.
- Progressive deterioration in personal appearance and hygiene.
- Increasing personal and professional isolation.
- Signs of morning-after hangovers.
- Physical signs such as exhaustion, hyperactivity, dilated pupils, slurred speech or an unsteady walk.

10.5.9 Workplace Strategies

• **Educate Employees**

If your business wants to address drug abuse and addiction, it can do so most effectively by implementing some tried and true programs. This includes having a drug-free workplace and policies related to drug testing. When you do this, you will need to inform and educate employees about the new policies as well as the dangers of substance abuse.

Employees at all levels should be prepared for the implementation of the drug-free workplace policy and program. Everyone in the organization needs information about the problems associated with substance misuse. Be sure to provide education and training that reinforces healthy attitudes and behaviours and deepens awareness on how substance misuse can affect employee health and employment.

• **Recognize the Signs of Addiction**

Your company's management team should understand how to recognize the signs of substance abuse in the workplace. Some common signs include frequent absences or tardiness. An employee may also become moody or volatile, or suddenly lose interest in work altogether even when he or she shows up.

• **Document Suspicious Behaviour**

When there is suspicious activity, or you receive a report from another employee, it is important to keep documentation. If you can have more than one employee or manager corroborate the signs, this will be better for your records. You may not need these documents to fire an employee, but

they might be useful when you counsel the employee or ask him or her to get addiction treatment.

• **Address Issues Appropriately**

If you suspect that employees have an alcohol or drug abuse issue, address it as soon as possible. If they are working in an area that deals with customers or that could cause harm to others, move them immediately. Let the employees know that you are concerned and offer them a ride home instead of sending them off in their own vehicle.

• **Develop a Plan for Addiction Treatment**

If your employees have a substance abuse problem, they need professional help to stop. Giving them pats on the back or a week's vacation to "get their head on straight" is not going to produce a lasting change. Many addicts avoid getting the help they want and need because they fear losing their job or career. If you can provide some assurances, they may be more willing to commit to a rehab program.

• **A written policy**

A clearly written policy forms the foundation of your drug-free workplace program. At minimum, your policy should include:

- The rationale for the policy, such as organizational goals and compliance with laws or regulations
- Expectations for compliance, including who, what, when, and where
- Assistance options to support employees in following the policy
- Consequences for violating the policy

• **Supervisor Training**

Customized training for supervisors can help maximize the effectiveness of your drug-free workplace policy and program. Supervisors should be well-informed about the policy and program and be aware of legally sensitive areas. They must also be trained on how to document potential problems in a fair and systematic manner, honor confidentiality, and refer employees to appropriate services. Supervisors may also need training on how to help employees reintegrate into the workplace after receiving services.

- **Employee Assistance Programs (EAPs)**

EAPs are designed to help employees with personal problems that may affect their job performance. Although some EAPs focus on problems related to alcohol and other drugs, most address a range of issues and can provide a variety of services.

- **Drug Testing**

Drug testing is one way to protect your workplace from the negative effects of substance misuse. Conducting drug testing may help your organization comply with federal regulations or insurance carrier requirements. It can improve workplace safety and reduce costs from misuse of alcohol and other drugs in the workplace. A drug-testing program can also deter employees from coming to work unfit for duty.

10.6 Learning Activities

Donna is working as operations manager with one clearing and freight forwarding firm. She was supposed to submit her sections performance report on the coming Wednesday, so she started it last Friday evening after dinner. She decided to work in her bedroom. Her softball gear was on her desk, so she put the files on her bed. She spent a while looking for a pen, but couldn't find one. However, she borrowed the pencil by the phone. When she began to write the report, she discovered that she needed some explanation notes she had left at work. She thought she would therefore begin by reading the files, and would get her explanation notes on Monday. After half an hour of reading, her boyfriend, Jason, rang. He asked whether she wanted to go and visit some friends. Donna decided to continue work on the report on Saturday. Saturday was very busy. Her friend Sharon rang at 10.30 to ask whether Donna would be available to play softball at 2.00 that afternoon. Donna was still in bed, but she agreed to meet the others at 11.00 to do some practice. Her team won their game and they all went to the pub to celebrate. By the time Donna got home, it was too late to do any report writing.

On Sunday she went to church in the morning and visited her aunt and uncle in the afternoon. She didn't remember the performance report until after dinner. She still didn't have her explanation notes, and there were parts of the information in the files

she found difficult to understand. The performance report was proving to be harder than she thought it would be. She really needed some advice. She phoned her immediate supervisor but all she got was a message saying that the supervisor would ring back if she left her name and number. Donna began to think that she wouldn't get the report finished on time. It needed to be in the Directors inbox on Wednesday. She'd have to do some quick work on Monday and Tuesday evenings. It wouldn't be her best work, of course, but that couldn't be helped. On Monday she wakes up after 8.00, having found that she has forgotten to set the alarm clock. Her flatmates have already gone, and there is no time for breakfast. She rushes out of the house and reaches the bus stop just as the bus is disappearing around the corner. She half runs, half walks to the office, but it is already 8.45 when she reaches the office. She is 15 minutes late.

Required;

- Identify and list Donna's time management problems.
- List five strategies and explain how Donna could use these to overcome her time management problems.

10.7 Self-Assessment Questions and Activities

- Discuss the stressors in the freight and logistics sector. What strategies can you use to manage stress in the sector
- What are the critical time wasters in the clearing and forwarding sector? How would you manage time successfully?
- Discuss how HIV/AIDS is transmitted and prevented. Why would the sector manage the scourge?
- Discuss the effects of drug and substance to a sector. What can be done to eliminate the abuse of drugs and substance in the clearing and forwarding sector?

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11.0 OFFICE BEST PRACTICES

11.1 Specific Learning Outcome

- i. Organize an Office
- ii. Explain the functions of an office
- iii. Determine the most appropriate office layout
- iv. Identify effective use of office equipment and resources
- v. Explain office management basics.

11.2 Definitions of Key Terms

Office Management

Office Management is the organization of an office in order to achieve a specified purpose and to make the best case of the personnel by using the most appropriate machines & equipment, the best possible method of work and by providing most suitable environment.

Office organization is the arrangement of work such that the activities of an enterprise are divided among its personnel and duties and responsibilities are allocated. It also comprises the formal inter relationship established among the personnel by virtue of their duties and responsibilities. This division of activities requires the creation of departments and sections. The different departments and sections concern themselves with provision of efficient information, planning, control and financial services. To organize an office is to arrange its parts so that the whole works efficiently as one integrated body in order for the enterprise to achieve its objectives.

Elements of Office Management

- Office Personnel
- Means
- Environment
- Purpose

An Office

If you visit a firm, school, or hospital you will find that a number of activities are being performed, such as letters received, dispatched, typing, photocopying, word processing, filing, handling of office machines etc. The place where all such activities are performed is known as office. Thus, office is a service department of an organization, which relates to the handling of records and provision of various services like typing, duplicating, mailing, filing,

handling office machines, keeping records, drafting, using information, handling money and other miscellaneous activities.

Office is a place where clerical operations are carried out. Office is a unit where relevant records for the purpose of control, planning and efficient management of the organisation are prepared, handled and preserved. It provides facilities for internal and external communication and coordinates activities of different departments of the organisation.

The following primary activities:

- Collecting information
- Organising and processing information
- Retaining and storing information
- Coordinating information
- Distributing information.

Therefore, an office may be defined as a place where all the activities concerned with collecting, processing, storing, and distributing information for efficient and effective management of an organization are carried out. In every modern organization, be it a business concern or a government department, there has to be an office. It is essential for the efficient management of the organization.

Office Practice

This is part of office organization that comprises of the allocation of clerical activities to the office personnel, and the procedures and methods of performing these clerical activities.

11.3 Functions of an Office

Office management is an integral part of general management. Office management is the planning, organizing and controlling of office work and of their performing it so as to achieve the predetermined objectives. The dictionary meaning of the word manage is to conduct, to control or to administer. Office management is that branch of the art and science of management which is concerned with the efficient performance of office work, whenever and however that work is to be done. From the above definition, it would be clear that office managements direct the office personnel and is concerned with the planning, organizing, coordination, motivation and centre of all activities.

The main functions of an office are as follows:

1. **Aid to Management:** The office provides aid to management in performing the following functions:
 - a) **Direction:** Direction and guidance of management to various sections and departments are issued through the office.
 - b) **Communication:** The office serves as a communication channel between different parts of the organization. It handles mail.
 - c) **Planning:** The office helps management in planning for smooth functioning and progress of the organization by providing necessary information and data.
 - d) **Coordination:** The office also facilitates co-ordination by maintaining links among departments.
2. **Preserving Records:** The office maintains necessary books and records of the organization.
3. **Providing Information:** It provides the right kind of information to management at the right time.
4. **Providing Office Services:** It provides clerical and secretarial services to different executives.
5. **Distribution of work:** The office distributes the work among various employees and identifies their duties and functions.
6. **Selection and Appointment:** It also handles selection and appointment of employees. In short, the office is an important and indispensable part of every organization.

11.4 Office Layout

Office layout deals with the design and set up of an office. It takes into account all the accessories and equipment needed in an office. Employees are more productive when the design and layout of an office coincide with their working needs.

Significance

The layout of an office should be constructed so that employees are able to function efficiently and effectively. Their desks and computers should be designed and installed so that they can sit comfortably and not incur any injuries because of bad posture.

Considerations

Each desk should be situated so that employees can effectively communicate with a supervisor and with each other. Effective communication, within a team, helps with morale and the team dynamics.

Effects

The layout of an office should ensure that everyone has easy access to equipment, such as copiers, fax and printers. Any electrical cords should be out of the aisles to prevent employees from falling and tripping.

Benefits

Sometimes an office layout will provide employees with cubicles, which help provide privacy and they muffle or stifle any noise an employee might make. This helps when people are talking on the phone.

11.5 Types of Office Layout

Many things go into planning an office layout, including the lighting, desks, work stations, furniture and the amount of space needed, conference rooms and storage space for supplies. An office layout has to take into consideration expansion and growth needs. We have:

1. Open Plan Office

An open plan office is a large room which is shared by several departments or sections of the department instead of each department or section working in separate rooms. A good example is where a department works in one open room.

Advantages of open plan office

- a) It allows smooth flow of work; unnecessary movement is avoided, and staff time is saved.
- b) Members of staff can locate each other easily.
- c) Supervision is easier as the supervisor gets an instant view of how the staff is occupied in his section.
- d) It saves lighting and space costs.
- e) The placement of movable equipment, especially machines and furniture is easy.
- f) It is easy to landscape an open-plan office; flowers can easily be installed along the walls, or shrubs and plants can be placed to break up work sections.
- g) The sitting arrangements can be organized to have an elastic effect.

Disadvantages of open plan office

- a) Some activities cannot be carried out in an open plan office e.g., confidential matters or operational machines.
- b) Enough space should be provided for future expansion of members of staff so as to avoid overcrowding.
- c) They might be considered unhygienic as infectious diseases can easily be passed on.

2. Closed Office

The closed office is one where only one or very few people share one room. Until recently, many government offices were of this category. The doors leading to the offices bear the titles of officers.

Advantages of Closed Office

This system affords privacy which for some persons is essential for efficient and smart work. It also gives status to the employees because in most offices, cabins are meant for executives only. It gives incentive to individually minded employees as they are not under the physical supervision of anyone.

Disadvantages of Closed Office

It is more expensive as it requires bigger space, extra expense on cabins, made to order furniture, cost of installation of ventilation, electric, acoustic systems with better workmanship. The privacy gained might lead to underhand dealings and unwanted affairs.

3. Landscape Office

A landscaped office is similar to open-plan office but it has special features, not normally found in open plan offices. The features are as follows:

- Indoor plants are installed, usually against the walls.
- The floor is carpeted and the entire office air conditioned.
- Working desks and chairs are arranged in clusters, each facing a different direction.
- There is a rest area where employees can relax and have refreshments.
- Landscaping assists by creating a pleasing work environment thereby improving efficiency levels.

11.6 Factors to Consider When Setting an Office

In considering office plan and layout one has to take into account a number of factors;

- a) The nature of business
- b) Capital required

- c) The site and location
- d) The size of the premises
- e) The appearance of the premise

11.7 Office Equipment and Resources

When you are just setting out to open your own business, there will be plenty of important decisions to make. Where will you locate the business? What kind of financing is available? How can you gain a competitive edge in your industry? Then there are the more pedestrian questions, such as what office equipment do I need? Getting the right office furniture might not make or break your business, but it's still important for your comfort and productivity. Most businesses need the following office equipment in their daily operations:

- **Desks and chairs.** Again, you don't have to shop for the most expensive items, but do be mindful of how comfortable those chairs will be on employees who may be sitting for most of the day.
- **Tables and bookcases.** In the old days, tables and bookcases weighed a ton, but you can now find lightweight items, which makes moving them around the office a breeze.
- **Telephone system.** Carefully consider your specific needs before purchasing a telephone system. If you are confused by the many systems that are available, ask other business associates what they are using, and if they are happy with their purchases.
- **Computer equipment.** PCs, printers, scanners, and monitors are all important parts of your business. Research what is available, and shop wisely.
- **Copiers.** Before spending money on a copier, see if you can get away with a multifunction printer (MFP). These machines can print, fax, and copy, all for about the same price as a cheap photocopier. However, if you will be making thousands of copies per month, then you'll probably need to lease or buy a good-quality copier.
- **Fax machines.** Because so many PCs have fax features these days, many businesses are doing away with fax machines. But it never hurts to have a small, basic model on hand just in case the computer fax doesn't meet all of your needs

Effective use of office equipment

Effective use of office equipment is subject to first and foremost having the right equipment. When setting up an office you must decide on the suitable equipment for the type of business you are engaged in. However, there is basic equipment which every office must have such as furniture, calculator, cabinet etc. When introducing office furniture and equipment, it is also important to consider the following:

- Change over from manual methods to mechanization.
- Cost
- Period of use
- Accommodation.
- Availability of staff and training
- Benefits to be derived, and
- Maintenance costs

Types of office equipment

Equipment used in an office may be categorized as follows

- a) Correspondence Word processor
 - Computers
 - Telecommunication
- b) Records Filing equipment Indexing equipment Microfilming equipment Time recording equipment Shredding machines
- c) Reprographic services such as Photocopying, Spirit and duplicators
- d) Accounting such as accounting machines, Adding machines, Calculators
- e) Data processing Computers
- f) Furnishings such as Executive and general office furniture, Desk accessories

Guidelines for effective use of office equipment

- a) File it so that you can find it- create a file category, within each file category, label folders according to their contents. Then you can file the categories and individual file folders alphabetically or chronologically, depending on what works for you.
- b) Take care of important papers – determine where to store them and for how long.
- c) Have a records management programme - establishing an effective records management programme helps generate savings and supports more efficient operations. Divide your records into three categories;
 - (i) Active- currently in use

- (ii) Semi active- needed for reference or legally required to be retained
- (iii) Destruction outlived its usefulness and ready to be destroyed.

- d) Have an inventory of records – know the records you have, where they are located and in what quantity.
- e) Schedule retention period – know when to transfer files
- f) Store records conveniently – first choose your storage method. Storage boxes and drawers are efficient way to set up and organize paper documents. They are easy to label, easy to stack and they help to conserve storage space.

Benefits of effective use of office equipment

- Better communication: Effective use of office equipment would lead to better communication between managers and staff, as well as with customers and stakeholders. It would also improve the interpersonal relations among staff and the organization and its customers.
- Improved records: The organization will have more up to date records. The records will be more accurate and thus reliable. Invoices, statements, and other documents are prepared and served to customers more promptly.
- Reduced costs of production/service provision: The cost of production is reduced and wastage is eliminated.
- Improved public relations: The image of the organization is enhanced by the kind of the office, office equipment and its effective use.
- Reduced mental strain: Physically, the more a workplace becomes less demanding then the mental strain is reduced. The human brain is assisted by such machines as computers

11.8 Office Management Basics

In order to successfully manage an office, regardless of your company's product or even your customer base, you should adhere to some basic guidelines. Here are some areas that you should keep in mind:

- a) Equipment and furniture requirements.
You don't need every piece of office equipment out there to run a smooth

operation. But you do need certain products that are going to optimize people's performance. What you need and how much it will cost are simple but important considerations. Check out What Office Equipment Do I Need for My Business?. And what about software? Are you trying to achieve a paperless office? If not, do you know how you'll store certain documents? Answering these and other questions about equipment will help you to prepare for the growth of your office.

b) Inter-and intra-office communications.

For many small businesses, the responsibility for communication falls upon the office manager. Knowing how and when to communicate key information is vital to successful office management. E-mail blasts, posted instructions at the copier, and weekly staff meetings are just a few of the types of communication that occur within a busy office. Having a communication plan that everyone can adhere to will increase an office's productivity and ensure that information is disseminated clearly and quickly.

c) The company and its people.

Knowing how to run an office must include understanding the company and its people. Knowing the product line and how it fulfils a need is just as important as ordering more toner for the printer. If you don't understand your company's mission, you won't know how best to support its various functions. The same goes for people — knowing employees' roles, where they fit into the big picture, and how they operate will help you manage the office so that every function supports the people tasked with getting things done. The more you know about how the company works and what people are doing to build business, fulfil customer requests, meet deadlines, and otherwise perform their duties, the more successful you'll be in creating and sustaining an environment that fosters success.

11.9 Office Etiquette

Etiquette is a code of behaviour that delineates expectations for social behaviour according to contemporary conventional norms within a society, social class, or group. Etiquette are rules governing

socially acceptable behaviour. These are practices and forms prescribed by social convention or by authority. It is a good behaviour which distinguishes human beings from animals.

It helps smooth the wheels of daily interaction in the office. Good work outcomes and happy co-existence even when there is mutual dislike or disinterest. Ensures that you don't become office enemy number 1. Modifies distracting behaviours and develops admired conduct. Enables you to be confident in a variety of settings with a variety of people.

Office etiquette" may conjure up images of stiffness and formality, it is in actual fact very simple. Just as living in a society requires us to follow a set of conventions and rules, observing appropriate social behaviour within the work context ensures team respect and an enjoyable day-to-day working

Workplace etiquette means the socially acceptable ways that we interact with one another and behave in our workplace. Acceptable standards of communication and interaction in our workplace may vary from one workplace to another, however, there are some behaviours which are universally acceptable.

Business Etiquette

- Differentiates a business from others in a competitive job market
- Enables you to be confident in a variety of settings with a variety of people
- Honors commitment to excellence and quality
- Modifies distracting behaviours and develops admired conduct
- Exhibit Professionalism and develop a polished image "Be one step ahead, practice the social skills necessary to help you make a great first impression and stand out in a competitive job market"

The why's of Etiquette?

- To avoid negative confrontation
- To avoid politics, i.e., in the office or workplace
- To communicate effectively with an opposing opinion of another person(s).
- To be organized and in a uniformed way.
- Avoid work-place tension / Conflicts
- To avoid employee stress

11.10 Learning Activities

You have been appointed by your organization to open and operate a new office for the organization.

Required:

1. Determine the most appropriate office layout you would choose
2. Discuss the office equipment and resources you would acquire
3. Determine the key office management issues you would focus on

11.11 Self-Assessment Questions and Activities

- i. Discuss the importance of office organization
- ii. Discuss the functions of an office
- iii. What factors are critical for successful office management

11.12 References

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12.0 RECORDS MANAGEMENT

12.1 Specific Learning Outcome

- i. Explain the concept of Records Management
- ii. Identify the types of records to be kept
- iii. Describe the methods for keeping records in C&F offices
- iv. Describe the different records filing systems
- v. Describe an automated record management system
- vi. Discuss the legal requirements in records management

12.2 Concepts of Records Management

12.2.1 Meaning of Records

Records are essential components of every business and organization. Business transactions and processes result to reports, documents, files, and contracts. Invoices, receipts, presentations, memos and letters are all too common in a business setting. Without a doubt, records are a big part of the corporate life and managing these records is one of the building blocks for a transparent and credible organization. Effective records management practice takes it a step further in making a successful, operational business.

12.2.2 What Makes Records Management Effective?

When records of all kinds – hard copy and digital; active, inactive and in between; old, new and semi; and in all degrees of importance or priority – are kept safe, secure, and accessible. It's more than just systematic filing and classifying nor the proper way of labelling to make company tasks more convenient. Records management works when company files and documents, regardless of type or priority are handled well. This includes knowing which records to dispose of and the right time to do so that will only positively affect business.

Companies have all kinds of confidential and private documents. Some to such high degree that only a select few within the organization are allowed access. It is good business practice therefore, to have a records retention policy to ensure that what is supposed to be classified information remains

so. Furthermore, it is advisable to be aware of and implement government rules and policies regulating the records management industry. This will help protect your business, and both your employees and clients.

Records management is also about accessibility. It's important to remember that more than just storing, managing and securing records, there must also be easy access to data. Even if your documents are secure, but not available to your business or not as easily ready for use, then they become less valuable. What would happen if you keep a client's request for his transaction history waiting because you can't get hold of the files immediately? How about the delay in contracts for a supposedly closed deal with new suppliers? These poorly reflect your credibility and efficiency as a business provider. Hence, your records should be easily requested and delivered no matter where they're from, whether from an off-site storage facility, hard drive or the filing cabinet.

Regarding accessibility, effective records management also necessitates the knowledge of who should be allowed access to certain files. This is especially true for confidential files and classified information.

Records management or records storage done the right way can assure a smooth-running business. It will allow you to be more efficient and productive. With less trouble from properly stored and handled records that are also secure and accessible, your business can expend its resources in other areas and focus on more pressing matters.

12.3 Elements of a Records Management System

A record is a document or other electronic or physical entity in an organization that serves as evidence of an activity or transaction performed by the organization and that requires retention for some period of time. Records management is the process by which an organization:

- Determines what kinds of information should be considered records.
- Determines how active documents that will become records should be handled while they are being used, and determines how they should be collected after they are declared to be records.

- Determines in what manner and for how long each record type should be retained to meet legal, business, or regulatory requirements.
- Performs records-related tasks such as disposing of expired records or locating and protecting records that are related to external events such as lawsuits.

Determining which documents and other physical or electronic items in your organization are records is the responsibility of corporate compliance officers, records managers, and lawyers. By carefully categorizing all enterprise content in your organization, these people can help you ensure that documents are retained for the appropriate period of time. A well-designed records management system helps protect an organization legally, helps the organization demonstrate compliance with regulatory obligations, and increases organizational efficiency by promoting the disposition of out-of-date items that are not record.

To understand records management more fully it is necessary to look at the meaning of the word record. In the past, records management was equated with the management of papers located in organizational filing systems. The growth of new technology and information management has led records manager to seek a more rigorous definition of records, in order to explain what distinguishes them from other organizational resources, and to show how managing records differs from managing documents data or information. A record is not defined by its physical format or storage medium, its age, or the fact that it has been set aside for preservation. Nor is it simply a form of recorded information. The essential characteristic of a record is that it provides evidence of some specific activity.

12.3.1 Meaning of an Activity

An activity may be defined as an action or set of actions undertaken by an individual, a group of individuals or a corporate body, or by employees or agents acting on its behalf, and resulting in a definable outcome. An activity has identifiable start and end points, although the end point may not be known when the activity is begun. Some activities such as drafting or note taking, may involve only one person, but in an organizational context most activities involve two or more parties, with some form of transaction or communication taking place

between them. One or more of the parties may be external to the organization (typically a customer or supplier). Other transactions may be purely internal (perhaps between a manager and a staff member or between one department and another). The word transaction is occasionally used to denote an activity in which only one party participates, but it normally refers to a bilateral activity

12.3.2 Connection Between an Activity and the Creation of a Record

Records are a product of organizational activity, created or received during or after completion of the activity itself. Where more than one party is involved in an activity, each party may create its own record; alternatively, the second party may receive and retain the record transmitted by the creator, while the creator retains a copy of it. Records may be created either in the course of an activity, or afterwards in a conscious act of record keeping. In the case of a letter, invoice or purchase order, the transaction is affected in whole or party by the creation or transmission of the record. Some records of this kind are created within the organization, while others are received from outside. The way in which business is done leads naturally to the creation of records, and the parties concerned are likely to be more conscious of the activity being performed than of the fact that they are incidentally creating a record of it.

12.3.3 How Records are Created

Traditionally, organizational staff created records manually, using pen and ink or typewriter. In the modern world most records are created using digital technology, by interaction with a computer program. Records can also originate when communications are received from outside the organization, by letter, fax, e-mail or other messaging system.

12.3.4 Archives

The word archives are popularly used to refer to older papers or computer files that have been consigned to secondary storage. Sometimes archives and records have been used as synonyms. Archives are also perceived as records kept for research purposes. However, in records management terms, archives may be defined as any records that are recognized as having long-term value.

12.3.5 Meaning of Records Management

Records management is the field of management responsible for the efficient and systematic control of creation, receipt, maintenance, use and disposition of records. Records management covers the management of records, regardless of age, to meet the needs of private and public sector organizations and wider society as well as the research community. It earns its place in the life of an organization through its contribution to business aims and organizational goals.

In the past, 'records management' was sometimes used to refer only to the management of records which were no longer in everyday use but still needed to be kept - 'semi-current' or 'inactive' records, often stored in basements or offsite. More modern usage tends to refer to the entire 'lifecycle' of records - from the point of creation right through until their eventual disposal.

- vii. These are likely to be only a small proportion of the total number of records captured in records management system. Most records have a limited lifespan and will eventually be destroyed. Archives may include records that have continuing significance in the conduct of business, for example as evidence of the organization's constitution or its ongoing rights and obligations. They may also include records that are no longer expected to be required for operational use or to support accountability, but are kept indefinitely as part of the corporate memory of the organization or for research or other cultural purposes. The word archives is also used to mean an institution or business unit responsible for managing records of long-term value.

12.4 The Purpose of Records Management

Every organization needs records. Organizations use records in the conduct of current business, to enable decisions to be made and actions taken. Records may be required for business purposes whenever there is a need to recall or prove what was done or decided in the past. Records provide access to precedents or previous work and thus save time and

money by eliminating the need to create resources afresh. Records are also kept to guard against fraud and enable organizations to protect their rights and assets at law.

Organizations also use records to support accountability, when they need to prove that they have met their obligations or complied with best practices. Organizations are accountable in many ways: they must meet legal, regulatory and fiscal requirements, and undergo audits and inspections of various kinds; and they must be able to provide explanations for decisions made or actions taken. The use of records is the primary means by which organizations can defend their actions if they are called to account for their conduct.

Such external accountability is particularly important to public sector bodies, which are responsible for their actions both to governments and to the wider public. Companies are responsible to their shareholders, besides having a level of responsibility to the wider community. Every organization is liable to be called to account by legislators, regulators or auditors. Organizations use their records to respond to challenges made against them, whether in a court of law or elsewhere, and to justify their actions and decisions in response to enquiries or in the public arena. Within the organization, records support internal accountability. Those working at lower levels are responsible to their seniors for the work they perform, and records are used to prove or assess performance.

While records are created in the first instance for the conduct of business and to support accountability, organizations may also use them for cultural purposes, both for research and to promote awareness and understanding of corporate history. In summary reasons for keeping records are: -

- Business use
- Support for external and internal accountability
- Cultural use

Outside the organization, the wider community also has expectations that records should be kept. When records are used for purposes of accountability, they are not merely supporting organizational needs for compliance or self-defence; they also meet the requirements of society for transparency and the protection of rights. Other organizations and individuals may use records for historical,

demographic, sociological, medical or scientific research. Records kept for cultural purposes also serve the values of society and its need for collective memory

12.5 The Importance of Records Management

Many organizations do not yet have a formal programme of records management, but all organizations need to manage the information and evidence that their records provide. In organizations where records are not properly managed:

- Records will often be inadequate for the purposes for which they are needed
- Records will often be lost
- Some records will probably be destroyed prematurely and others retained unnecessarily. Excessive retention of records will give rise to retrieval difficulties as well as wasted resources; but a failure to create adequate records or to maintain them appropriately will probably have more serious consequences such as:
- The organization may be unable to prove that it did what was required of it, or that policies and procedures were correctly followed.
- It may be unable to defend itself if liability claims are made against its products or services or the actions of its employees.
- It may be unable to prove its rights or protect its assets
- Business operations may be compromised if critical information is unavailable when required.
- The rights of customers, citizens and the wider community may also be impaired

12.6 Types of Records Maintained by Clearing Firms

There are many kinds of records kept by Clearing and forwarding firms. These are;

- Historical
- Legal
- Personnel
- Financial
- Company policies and procedures

Increasingly, organizations are recognizing the benefits of well-managed records and are implementing programmes to ensure that the right records are created and retained. An effective

records management programme will also ensure that records are available for use when needed, that privacy and confidentiality are maintained and that redundant records are destroyed.

These kinds of records can be categorized into four major types depending on their usability as follows:

- a) Vital records- are necessary for the continued operations of the business. These records cannot be replaced and never be destroyed. Examples include contracts and deeds.
- b) Important records – These are records that are necessary for operations of the business that could be replaced with considerable cost and effort. These records can be transferred to inactive storage but should not be destroyed. Examples include financial records, operating records and board meeting minutes.
- c) Useful records- These are records that assist in keeping the business operations running smoothly on day-to-day basis. These records are replaceable but at an inconvenience to the company. They can be moved to inactive storage and/ or destroyed after a period of time. Examples include letters and reports
- d) Nonessentials records– These types of records do not provide future value to the company. They may be destroyed after they have served their purpose. Examples include memos, notices and newsletters.

12.7 Records Filing System

Filing means keeping documents in a safe place and being able to find them easily and quickly. Documents that are cared for will not easily tear, get lost or dirty. A filing system is the central record-keeping system for an organization. It helps you to be organized, systematic, efficient and transparent. It also helps all people who should be able to access information to do so easily. It is always a pleasure when someone looks for something and is able to find it without difficulties.

In organizations people work in groups, receive and send out documents on different subjects. Documents need to be kept for future reference. If these documents are not cared for, people cannot account for all the organizational activities. Everyone who needs to use documents should know where to get them

Why filing and record keeping?

- It is the first step of setting up a solid administrative system
- It makes finding organizational documents easy
- It ensures organizational documents are accounted for and not lost
- The information on what is going on in the organization becomes much more accessible
- It makes reporting easy

Types of documents

- Administrative documents:
 - Fixed assets and inventory: All forms that tell what inventory and fixed assets you have and where they are will be kept in this sub file
 - Vehicle: If you have a vehicle, then all of its documents will be kept. If you have a vehicle, then all of its documents will be kept here.
 - Payroll and personnel: All of the documents that are relating to the employees of your organization will be kept in this sub file
- Finance documents
 - Budget
 - Procurement
 - Cash management
 - Cash advance
 - Petty cash
 - Financial reports
 - Bank accounts
 - Financial audits
 - Financial monitoring
- Organizational documents:
 - Establishing decree
 - Governing body
 - Registration certificate
 - Strategic plan
 - Meeting minutes
 - Newspaper articles
 - Project documents
 - Project proposals
 - Completed projects
 - Ongoing projects
 - Future projects

- Correspondence
 - Correspondence with other government agencies
 - Correspondence with funding agencies
 - Correspondence with project partners
 - Correspondence with customers

Important things to know about filing:

- What do we file? -We file documents that are sent to us by other people or organizations. We also file records of all our organizational activities. These can be letters, memos, reports, financial records, policy documents, etc.
- When do we file? -This depends on how busy your office is. In very busy organizations filing is done at least every day and usually first thing in the morning. In a small or less busy office you could file once or twice a week.

Types of records for filling

- Active Records: Active records are records, which are required and referred to constantly for current use, and which need to be retained and maintained in office space and equipment close to users.
- Semi-active Records: Semi-active records are records, which are referred to infrequently and are not required constantly for current use. Semi-active records are removed from office space to lower cost off-site storage until they are no longer needed.
- Inactive records: Inactive records are records for which the active and semi-active retention periods have lapsed and which are no longer required to carry out the functions for which they were created.

In our organisations we work in groups. We receive and send out documents on different subjects. We need to keep these documents for future reference. If these documents are not cared for, we cannot account for all our organisational activities. Everyone who needs to use documents should know where to get them.

Methods of Record Keeping

There are 5 methods of filing:

1. Filing by Subject/Category
2. Filing in Alphabetical order
3. Filing by Numbers/Numerical order
4. Filing by Places/Geographical order
5. Filing by Dates/Chronological order

These ways of filing are called classification and means organizing things that are alike, together. You can, however, combine some of these methods. For example, files that are kept together according to what they are about we say are subject filing but, inside each file the documents could be filed according to date order

Equipment used for filing

- Filing Cabinet: It is used to keep flat files and suspension or hanging files
- Steel Cabinet - It is used to keep big files that need to be locked up
- Date Stamp - It is used to date stamp documents that are received on daily basis so that they are filed in chronological order and so we have a record of when we received the document
- Register - It is used to record files taken out and files returned
- Filing shelves - It is used to file box files
- Box file - This is a big file that is used to keep big documents that cannot go into a filing cabinet. They are kept in shelves

What files are used and how are they used?

- Clip folders - they are used for documents that need to be taken out very often; they hold documents tightly so that they do not fall out
- Folders - paper or cardboard folders are used to keep loose documents together. The folders are placed inside suspension or box files
- Suspension file - the suspension files are used to keep documents in filing cabinets. The files are put into the drawers upright. The suspension files hang down from the cradle. These files always remain in the cabinets but folders inside them can be taken out
- Box files - they are used to keep big documents including magazines and books
- Lever arch files - documents are kept firm

in these files and allow one to look at documents without taking them out of the file.

How to set up a filing system

Filing Categories: To make a filing system more useful, we can group files into categories. A category is a group/ collection of things that belong together. When we file by categories, we try to file in a logical way; we put files together because they belong together; we don't put them together just because they start with the same letter. For example, we could put all our files into categories. Correspondence could be one category that takes up a whole drawer of our filing cabinet. Inside that drawer we could have sub-categories. Sub categories could be things like:

- Correspondence with other organizations
- Correspondence with members
- Correspondence with members of the public
- Correspondence with Board and so on.

Some documents may have to be filed in two places to make it easier to access the information. For example, you may have a category for "importers, exporters" and for "correspondence". In your importer /exporter category you will have a subcategory for each major importer /exporter and you will sometimes have to file a letter from a importer / exporter in that importers/exporters file as well as in your correspondence file.

How to form categories

- Sort all your documents out into piles that you think belong together
- Give each pile a category name
- Make a list of categories
- Look at your list critically: Ask yourself: Can we combine any categories? Should we break up a category into two categories? What sub categories do we need? Do we need to have alphabetical files within a category?

Make sure you don't have too many categories. It should not be difficult for anyone to decide in which category they are likely to find the information they need.

Filing key

Once you have decided on your categories, you will have to draw up a filing index so that everyone

can understand the system you used and find the information they want. This index is called a filing key. Write up a filing key by listing all the categories and sub-categories in the order they are filed in. Make sure it is laid out so that everyone can understand it. Put it on the filing cabinet and also put a key for each drawer on the front of the drawers. Give everyone a copy of the whole filing key. Make sure that everyone who does filing understands the key and uses it for filing.

12.8 Automated Records Management Systems

Automation is a tool that can be used to facilitate records management and archival functions. Automation is the use of machines or systems to perform tasks normally performed by people. *Automating Records Services* outlines the issues involved with using information technologies to manage records and archives services. Automation refers to the use of computers to manage the administrative and information processing tasks in records offices, records centres, and archival institutions.

The automated records management system is the arms that will hold the business in its goal to a paperless office environment. From the acronym itself, the ARMS is that management process that will protect information and data to ensure that all the records and the files in the system database of the business organization is protected and easily accessed by users in the framework. In the shortest definition of the automated records management system, it is simply that process that is employed by the organization in the maintenance of records and files from the very moment that they arrive to the business or were created by the enterprise up to the period when they will be deemed ready for eradication and deletion from the archived or active databases. The records handled by the automated records management system may come in tangible forms that will be translated to digital formats with the use of the latest technologies in the market.

Five Areas for the Automated Records Management System

There are certain areas or processes that the automated records management system will affect in its inception to the business organization. For one thing, the system will work in the active records section. This will mean that it can give you access

and help you manage the most current documents and data that the operations are handling. The second sector would be the data protection and vaulting, which is the area that will ensure all the files are properly filed and archived for record keeping purposes. In time, the next area and sector would be the determination of destruction of the documents in a secured manner that will ensure that all of the data from the files will still be kept secret and confidential. The other sections would be the records management area and the document management and imaging.

Benefit of the Automated Records Management System

Computers assist records personnel in managing records better to ensure their continued value as evidence. Automation can help organisations implement authentic and reliable record-keeping practices, through the improved tracking of records through their life cycle as well as the consistent application of records schedules and descriptive standards. Maintaining evidence through authentic and reliable records is a cornerstone of good business practice and helps ensure a valuable record for society.

The automated records management system will give the business organization streamlined operations that will reduce paper-based transactions to the bare minimum. Simply, the automated records management system is a method that will do all the filing and management of documents for you.

Reasons for Automation

Automation should be viewed as a tool to facilitate daily operations and planning in a records and archives institution. If implemented well, automation can increase staff efficiency, perform routine tasks automatically and analyse data more quickly than could be done manually. Manual information systems may not be fast enough or sophisticated enough to meet growing user demands as well as the higher expectations and standards brought about in society by increased computerisation. If people find that they can access information in one office or agency using computers, they will soon come to expect other offices to provide the same level of service.

Public and private sector organisations increasingly rely upon computers and information technology to deliver their services and programmes more

efficiently. Records and archives institutions are not exceptions to this trend. Almost any records-related activity can be automated in some fashion. For example, word processing can be used for correspondence, inventory development and report generation. Spreadsheets can be used to manage budgets or track project expenditures. Databases can maintain information about staff or about records or archives.

The pressures to automate are great. In this age of 'instant' information, there is an increasing demand for speedy access to information, records and archives. Furthermore, existing manual systems may lead to duplication of effort and repetition of work. Manual systems can be time consuming, costly, inflexible and prone to human error. However, as will be discussed below, computerisation is only effective if the proper analysis and planning is completed prior to the purchase and implementation of new technology. Computers alone are not a solution for poor processes or a lack of standards in the management of records or archives. For example, a computer cannot be a replacement for, or an alternative to, a properly designed classification system. On the other hand, if such a classification system is in place prior to computerisation, the computer can automate it, facilitate access and provide a faster search mechanism for it and permit the assignment of relevant file numbers to paper records quickly and efficiently.

Following are some reasons an organisation might choose to automate its records or archives functions, or indeed any of its functions.

- Accuracy of information and calculations
- Speedy retrieval of information
- Reliability of information once input
- Increased ability to manipulate data once input
- Ability to ensure greater accuracy and consistency in the performance of routine tasks
- Large capacity for storage of information
- Accessibility of information
- Expandability of computer systems
- Flexibility of computer systems
- Cost efficiency of operations
- Better utilisation of personnel
- Savings in space and equipment
- Instantaneous updating
- Multiple simultaneous access to information
- New approaches to work processes.

Automation also assists in eliminating repetitious work, such as typing new file labels and index cards. Computers can print labels automatically, update indexes regularly, produce reports based on data already entered into the computer, and otherwise reduce time and increase efficiency. Personnel can then focus their work on more significant tasks.

The computerisation of some tasks offers much more flexibility. For example, the computer makes it possible to organise and maintain an index with several searchable fields or attributes of information. As a result, the computer provides increased points of access to information. This access can facilitate the location of items for users who may not be aware of the exact terminology for an item.

In addition, the computer permits the maintenance and updating of finding aids, classification manuals, and indexes with relative ease. Changes can be input quickly into the database and can be immediately reflected in a printout. As long as more than one computer is available, it is also possible for records or archives employees to access the database simultaneously. Thus, staff members at remote storage locations can see new and revised information immediately and not have to wait until they are physically at the main records and archives institution office.

Space savings can be achieved through the use of computers. For example, computers can be programmed to remind users of retention and disposal deadlines, ensuring records are transferred or destroyed on schedule. In an archival setting, computers can also be used to make finding aids more consistent and available to users in remote locations as well as on the premises. Computers may also reduce the need for some office supplies and equipment, saving costs in the long run.

Networked computers allow increased connectivity to other governmental agencies, as well as to records professionals throughout the world. Intranets can connect the records and archives institution to governmental agencies so that records-related questions can be answered quickly. Through the Internet, records professionals can locate professional resources and find model policies, procedures and manuals from other similar institutions to assist them in programme development. They can also communicate more easily with their colleagues, encouraging their professional growth.

Automated technologies can be used for a wide range of records functions. However, this does not mean all such operations should necessarily be computerised. The decision about what to automate, what not to automate and how to prioritise functions in an automation process is considered below.

- Potential records-related functions to which technology can be applied include:
- Administrative tasks such as correspondence, personnel management, accounting, or reporting
- Classification and listing of current records
- Printing file labels
- Scheduling of current records
- Location and tracking of current and semi-current records and boxes
- Information about authorised users of current and semi-current records
- Identification of records for disposal to records centres or archives
- Management of physical space and storage for current records, semi-current records or archives
- Management of deposits in records centres
- Acquisition and accessioning of archives
- Donor files in archives
- Preservation assessments
- Reference and retrieval of archives
- Registration of users and researchers
- Provision of finding aids or descriptive information about records or archives
- Production of management information about the records and archives service.

Another way to consider the possible applications of a computer system is to examine 'problems' or difficulties encountered by the organisation and evaluate whether they can be facilitated or improved with automation. Sometimes problems are systemic and simply automating a process will not solve the underlying issue. Before computerisation, the 'difficult' process should be analysed and perhaps re-engineered (as discussed below). However, automation has been used successfully to address such common records and archives management problems as the following:

- The records classification function is slow, inconsistent and out of date.
- Key word lists have become obsolete and are difficult to keep up to date.
- Making up new files takes too long.
- Manually managed tasks such as creating or searching file indexes, card indexes or lists are time consuming.

- The manual system does not facilitate the addition and deletion of file index information.
- Records have been mislaid because they have not been regularly tracked around the ministry or department.
- Records schedules are difficult to keep track of and disposal dates often pass without records personnel realising this fact.
- Classification manuals and users' guides are quickly outdated and personnel may be working with different versions.
- Personal filing systems are kept to compensate for the lack of reliability in the central registry system.
- File monitoring and control are not carried out regularly.
- Preservation assessments are not updated regularly.
- Certain tasks are duplicated, such as preparing file jacket labels, index entries or file classification manuals.
- The large volume of information available makes it difficult to collect, organise and link documents using manual systems.
- Management reports are not available on a regular basis and statistics for these reports are hard to compile.
- Resources in the records and archives institution are not sufficient to meet user demands.
- Overtime costs are increasingly necessary to support the system.
- Tasks are repetitious and monotonous, causing morale difficulties.

If the identification and analysis of systemic problems and an ensuing business process re-engineering is not done prior to automation, this can lead to greater problems in the implementation and management of the new technologies.

What are often perceived as automation problems arise not from the implementation of computer technologies but instead from insufficient analysis and planning prior to their implementation. Problems also arise when the processes being automated are poorly designed in the first place. Major problems in automating records and archives functions include the following.

- People may expect too much of the automation system and be disappointed if it is not 'perfect'.

- Insufficient training of personnel using the system can result in morale problems and in data that is not reliable.
- People may not be willing to adapt to the methods, such as standardisation of terminology (required to use automated systems), making compliance difficult.
- Poorly planned systems may not serve organisational requirements adequately and so be considered poor substitutes for previous manual systems.
- Vague or imprecise systems will not serve needs well and may become obsolete quickly.
- Idiosyncratic processes will lead to a failure in automation if they are not altered, as computers require high levels of accuracy and consistency.
- Continual changes in the organisation's needs and requirements may make automated systems obsolete if poorly planned.

12.9 Relevant Legal Requirements in Records Management

Relevant legal requirements EACCMA and other relevant laws include:

Section 234.

1. Where any document required or authorized for the purposes of this Act contains any words not in the English language, the person producing or using such documents may be required to produce a correct English translation of such (1A) An owner of goods shall keep every document Amended by EACCM(A)A 2011 17th February 2011 required or authorized for the purposes of this Act for a period of five years.
2. Where any person is required to submit any form for the purpose of this Act, the proper officer may require that person to submit deem necessary as many copies as the proper officer may require the Production of documents.
3. Where the proper officer requires any document to be produced for any goods which have been imported, exported, transferred, or declared in transit, the proper officer may require the document to be submitted in original and duplicate and the proper officer may retain the original.
4. Any person who fails to comply with this section commits an offence

Section 235.

1. The proper officer may, within five years of the date of importation, exportation or transfer or manufacture of any goods, require the owner of the goods or any person who is in possession of any documents relating to the goods– [Rev. 2009 East African Community Customs Management 127
 - a) To produce all books, records and documents relating in any way to the goods; and
 - b) To answer any question in relation to the goods; and
 - c) To make declaration with respect to the weight, number, measure, strength, value, cost, selling price, origin, destination or place of transshipment of the goods, as the proper officer may deem fit.
2. Where any owner fails to comply with any requirement made by the proper officer under this section, the proper officer may refuse entry or delivery, or prevent exportation or transfer, of the goods, or may allow the entry, delivery, or exportation or transfer, upon the deposit of such sum, pending the production of the books and documents, as the proper officer may deem fit; and any deposit made shall be forfeited and paid into the Customs revenue if the documents are not produced within three months, or such further time as the proper officer may permit from the date of the deposit.
3. Where any requirement made by the proper officer under this section relates to goods which have already been delivered, exported, or transferred and the owner fails to comply with the requirement, the proper officer may refuse to allow the owner to take delivery, export or transfer any other goods.
4. The proper officer may retain any document produced by any owner under the provisions of this section, but such owner shall be entitled to a copy of the document certified under the hand of the responsible officer; and the certified copy shall be admissible in evidence in all courts and shall have equal validity with the original.
5. A person who fails to comply with any requirement made under this section commits an offence.

Section 236. The Commissioner shall have the powers to— Inspection or audit.

- a) Verify the accuracy of the entry of goods or documents through examination of books, records, computer stored information, business systems and all relevant customs documents, commercial documents and other data related to the goods;
- b) Question any person involved directly or indirectly in the business, or any person in the possession of documents and data relevant to the goods or entry;
- c) Inspect the premises of the owner of the goods or any other place of the person directly or indirectly involved in the operations; and
- d) Examine the goods where possible for the goods to be produced.

12.10 Learning Activities

You have been appointed by your organization to open and operate a new office for the organization.

Required:

1. Determine the most appropriate records management system
2. Discuss the type of filing systems that you would implement.

12.11 Self-Assessment Questions and Activities

1. What do you understand by records management?
2. What are the types of records kept by a clearing and forwarding office?
3. What is an automated record management system? Why should you recommend an automated system for record management?
4. What are the provisions of ECCMA in relations to records management?

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UNIT 6:

OCCUPATIONAL SAFETY, HEALTH AND ENVIRONMENTAL PRACTICES

Table of contents

UNIT 6 : OCCUPATIONAL SAFETY, HEALTH AND ENVIRONMENTAL PRACTICES

417

1.0	UNIT OVERVIEW	417
1.1	Unit Description	417
1.2	Summary of General Learning Outcomes	417
2.0	OVERVIEW OF OCCUPATION SAFETY AND HEALTH	417
2.1	Specific Learning Outcomes	417
2.2	Introduction	417
2.3	Concept of Occupational Health and Safety	417
2.4	Common Health and Safety Issues	418
2.5	Importance of OSH Practice	418
2.6	OSH Practices	418
2.7	Learning Activities	419
2.8	Self-Assessment Questions and Activities	419
3.1	References	420
4.0	ENVIRONMENTAL LEGISLATIONS AND CONVENTIONS IN LOGISTICS	421
4.1	Specific Learning Outcomes	421
4.2	Introduction	421
4.3	Impacts of Logistics on the Environment	421
4.4	Environmental Issues/Concerns	421
4.5	Environmental Legislations Agreements /Conventions	423
4.6	Green Logistics	425
4.7	Learning Activities	428
4.8	Self-Assessment Questions and Activities	428
4.9	References	429
5.0	WORKPLACE HAZARDS AND RISKS	430
5.1	Specific Learning Outcomes	430
5.2	Meaning of a Hazard	430
5.3	Types of Hazards and Risks in the Workplace	430
5.4	Minimizing or Eradicating Workplace Hazards and Risks	431
5.5	Learning Activities	434
5.6	Self-Assessment Questions and Activities	434
5.7	References	435
6.0	HANDLING HAZARDOUS CARGO	436
6.1	Specific Learning Outcomes	436
6.2	Meaning of Hazardous Cargo	436
6.3	Regulations on Hazardous Cargo	436
6.4	Classification of Hazardous Cargo	437
6.5	UN Number, Proper Shipping Name and Packing Group	441
6.6	Handling Requirements of Hazardous Cargo	441
6.7	Learning Activities	444
4.1	Self-Assessment Questions and Activities	444
4.1	References	445
5.0	PERSONAL PROTECTIVE EQUIPMENT (PPE)	446
5.1	Specific Learning Outcomes	446
5.2	Meaning of Personal Protective Equipment (PPE)	446
5.3	Importance of Personal Protective Equipment (PPE)	446
5.4	Using Personal Protective Equipment (PPE) for different work environment	446
5.5	Learning Activities	450
5.6	Self-Assessment Questions and Activities	450
5.7	References	451
6.0	AVOIDING WORKPLACE FIRE ACCIDENTS	452
6.1	Specific Learning Outcomes	452
6.2	Meaning of Fire	452
6.3	Types of fire	452
6.4	Causes of Fire in the Workplace	453
6.5	Sources of Fire	453
6.6	Classes of Fire	453
6.7	Principles of Fire Extinguishing	454
6.8	Types of Fire Extinguishers	455

	5.1 . . Operation of Portable Fire Extinguishers	458
	5.2 . . Importance of Fire Assembly Points	458
	5.3 . . Methods of Fire Prevention.	459
	5.4 . . Learning Activities	460
	5.1 . . Self-Assessment Questions and Activities.	460
	7.1 . . References	461
8.0	ACCIDENTS IN THE WORKPLACE – OCCUPATIONAL ACCIDENTS	462
	8.1 . . Specific Learning Outcomes	462
	8.2 . . Meaning of an Occupational Accident	462
	8.3 . . Causes of Workplace Accidents	462
	8.4 . . Consequences of Accidents.	463
	8.5 . . Accident Prevention Measures	463
	8.6 . . Accident Response Measures	464
	8.7 . . Accident Reporting and Investigation.	465
	8.8 . . Learning Activities	465
	8.9 . . Self-Assessment Questions and Activities.	465
	5.1 . . References	466

LIST OF ABBREVIATIONS AND ACRONYMS

UNIT 6 : OCCUPATIONAL SAFETY, HEALTH AND ENVIRONMENTAL PRACTICES

1.0 UNIT OVERVIEW

1.1 Unit Description

This unit describes the competencies required to manage the workplace environment, safety, and health. The unit addresses occupational health and safety, environmental legislations and conventions, workplace hazards, personal protective equipment, and managing fire and accidents in the workplace.

1.2 Summary of General Learning Outcomes

At the end of the unit, the trainee should be able to:

1. Ensure Occupational Safety and Health
2. Adhere to Environmental legislations/conventions
3. Manage workplace hazards and risks
4. Handle hazardous Cargo
5. Use appropriate Personal Protective Equipment (PPE) in the workplace
6. Manage fire accidents in a workplace
7. Manage accidents in the workplace

2.0 OVERVIEW OF OCCUPATION SAFETY AND HEALTH

2.1 Specific Learning Outcomes

- i. Describe the basic concept of occupational safety and health
- ii. Identify common health and safety issues in the workplaces
- iii. Describe the importance of OSH practice
- iv. Describe common OSH practices.

2.2 Introduction

Every day, people die as a result of occupational accidents or work-related diseases. According to ILO, each year occupational accidents result in more than 4 days of absence of work). Additionally, over one million workers are injured at work every day in formal, registered workplaces.

Health is an important prerequisite for a successful private and social life and participation in work

life. In addition to occupational accidents, a silent epidemic of work-related diseases (WRDs) has been recognized.

The World Health Organization defines the health of people as a basic right: ‘The enjoyment of the highest attainable standard of health is one of the fundamental rights of every human being without distinction of race, religion, political belief, economic or social condition’ and also contains a special objective for health at work. WHO has emphasized the development of health services as a system, aiming at universal service provision and providing occupational health services for all workers of the world. As the cornerstone of work-ability and physical, psychological and psychosocial functionality, health is an important determinant of workers’ participation in work life. It is the most important determinant of work ability and has a strong impact on one’s employability, work experience, workload and performance.

2.3 Concept of Occupational Health and Safety

Occupational Safety

- “Occupational” refers to issues related to working life.
- “Safety” is the condition of being free from hurt, injury or loss.

Occupational Health

- “Health” is defined by the World Health Organization (WHO) as “a state of complete physical, mental and social well-being and not just the absence of disease or infirmity”.
- “Occupational health” is the branch of medicine that deals with the prevention and treatment of work-related injuries and diseases.

“Occupational safety and health (OSH)” is the discipline that deals with the prevention of work related injuries and diseases and the protection and promotion of workers’ safety and health. It seeks to improve working conditions and the environment. Both safety and health issues must be addressed in every workplace.

According to the ILO and WHO, occupational health should aim at:

- The promotion and maintenance of the

highest degree of physical, mental, and social wellbeing of workers in all occupations

- The prevention amongst workers of departures from health caused by their working conditions
- The protection of workers in their employment from risks resulting from factors adverse to health
- The placing and maintenance of the worker in an occupational environment adapted to his physiological and psychological capabilities
- The adaptation of work to the worker and of each worker to his job.

2.4 Common Health and Safety Issues

Safety hazards cause accidents and the injuries that result can be serious. Safety hazards consist of things like sharp equipment, unsteady ladders, scaffolding that can fall down, ditches or trenches that can collapse and bury someone alive, water puddles on walkways where people can slip, poorly insulated or shorted electrical connections, poor lighting where workers cannot clearly see what they are doing, hot things that can burn, and confined spaces where poisonous gases can collect.

Different organizational workplaces will have their unique challenges to overcome, but there are health and safety issues familiar to every business, small or large including:

- Temperature, light, and air conditioning
- Harmful surroundings and hazardous substances, like asbestos
- Workstation health and safety, like computers and other display screen equipment (DSE)
- Manual handling
- Noise and sound exposure
- Slips, trips, and falls
- Handling heavy machinery, tools, and equipment

2.5 Importance of OSH Practice

Research has shown that safety and well-being at the workplace result to good business and profitability. Employers have primary responsibility for the occupational safety and health of workers. OSH performance is key to reputation management, particularly where businesses depend on the relationship with global consumers.

OSH focuses primarily on protecting employees in the workplace from accidents, injuries, and exposure to harmful substances. While accidents can happen at any time, it is still the employer's responsibility to ensure that they take steps to reduce the risk of incidents and maintain a safe working environment. Prioritizing OSH several key benefits, including:

- The reduced risk of accidents or injuries by identifying and mitigating hazards
- Improved efficiency and productivity due to fewer employees missing work from illness or injury
- Improved employee relations and morale (a safer work environment is a less stressful work environment)
- Reduced costs associated with accidents or injuries (healthcare and rehabilitative costs, losses in productivity, impact on employees' well-being)
- Lower insurance premiums resulting from fewer workplace incidents and workers' compensation claims.
- It helps in employee retention

2.6 OSH Practices

The most important aspect of a good Occupational Safety and Health policy is identifying the workplace hazards and ensuring that employees have the training, safety equipment, and other resources needed to work safely. Failure to implement effective policies and precautions can lead to injuries, reduced productivity due to the absence or loss of skilled labor, workers' compensation claims, and possible penalties from governmental agencies.

Safe working places dictates that employers should:

- Provide a safe working environment for all your employees
- Provide and maintain safe machinery and structures
- Provide safe ways of working
- Ensure safe use, handling, and storage of machinery, structures, and substances
- Provide and maintain adequate facilities
- Provide any information, training, instruction, or supervision needed for safety
- Monitor the health of workers and conditions at the workplace.

2.7 Learning Activities

Take a walk through your organization or any organization that has established offices and employees. Observe the way employees go about their work, the environment in which they are operating in and the various workplace equipment and tools available:

Required:

- The visible OSH practices within the organization
- The areas of concern in the organization in relation to OSH
- Recommendations on how the organization can improve the OSH practices in the organization.

2.8 Self-Assessment Questions and Activities

1. Explain what is occupational safety and health
2. What is the importance of OSH in the freight and logistics sector?
3. Discuss the roles and responsibilities of employees and management in the implementation of OSH in the freight and logistics sector

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4.0 ENVIRONMENTAL LEGISLATIONS AND CONVENTIONS IN LOGISTICS

4.1 Specific Learning Outcomes

- i. Evaluate the impacts of logistics on the environment
- ii. Analyse Environmental issues/concerns
- iii. Evaluate the International Environmental Agreements / Conventions
- iv. Discuss the role of Green Logistics in the freight and logistics industry.

4.2 Introduction

Logistics is a fast-growing sector of activity and mobility is essential to our way of life. At the same time, the transportation sector is the main source of environmental pollution. There are numerous environmental impacts in logistics transportation: pollution, noise, transport infrastructure occupying the urban space, and so on. Transport and road traffic in particular, produce fine particles that pollute the outside air. These particles are not only dangerous and carcinogenic to humans, but they are also toxic to ecosystems. The scope of logistics covers both inbound and outbound logistics, which involve the movements involved in sourcing and replenishing the raw materials, components, or finished goods needed for business processes, as well as the movements of goods from an organisation to its customers, back to suppliers or out for disposal and recycling.

4.3 Impacts of Logistics on the Environment

The impacts of logistics on the environment fall within three categories:

- **Direct impacts.** The immediate consequence of transport and logistics activities on the environment where the cause and effect relationship is generally clear and well understood. For instance, noise and carbon monoxide emissions are known to have direct harmful effects.
- **Indirect impacts.** The secondary (or tertiary) effects of transport activities on environmental systems. They are often of a higher consequence than direct impacts, but the involved relationships are often

misunderstood and more challenging to establish. For instance, particulates, which are mostly the outcome of incomplete combustion in an internal combustion engine, are indirectly linked with respiratory and cardiovascular problems since they contribute, among other factors, to such conditions.

- **Cumulative impacts.** The additive, multiplicative or synergetic consequences of transport activities. They consider the varied effects of direct and indirect impacts on an ecosystem, which are often unpredictable. Climate change, with complex causes and consequences, is the cumulative impact of several natural and anthropogenic factors, in which transportation plays a role.

4.4 Environmental Issues/Concerns

There are several concerns emanating from the impacts of logistics on the social, economic, and ecological environments. These include:

• Pollution in the aquatic environment

The environmental impacts in logistics transportation also include oceans and groundwater. Each year, there are ecological catastrophes related to the sinking of oil tankers. This brings consequences in the ecosystem of oceans and sea coasts. In addition to the environments mentioned above, are the groundwater and rivers in rural areas the most damaged areas. As a result, aquatic species are threatened by this form of pollution and it is to be feared that some of them will disappear in the long term.

1. Noise pollution

Transportation is a big noise. Road, sea and air traffic are responsible for this. Road transportation causes noises that could harm people and wildlife. In addition, there exist other kinds of noises caused by the motor unit, tires on the road and also the aerodynamic ones. The sound of vehicles becomes a real nuisance beyond 50 km / h. The noise caused by rail transportation is due to wheel-rail contact, squealing of brakes, or taking curves, from the diesel engine and aerodynamics. Air transportation noise

is very high around the airports and the aircraft passageways. Their intensity varies between 80 and 90 decibels, which affects the different species of birds that live around airports and humans. On the man, it is a discomfort and it can cause problems of communication, insomnia, and stress. These noises are also a nuisance for natural environments and wildlife.

2. Environmental Dimensions

Transportation activities support increasing mobility demands for passengers and freight, notably in urban areas. But transport activities have resulted in growing levels of motorization and congestion. As a result, the transportation sector is becoming increasingly linked to environmental problems.

a. Climate change

The activities of the transport industry release several million tons of greenhouse gases each year into the atmosphere, accounting between 25 and 30% of all greenhouse gas emissions. There is an ongoing debate about to what extent these emissions are linked with climate change, but the debate relates more to the extent of these impacts than their nature. Some gases, particularly nitrogen oxide, also participate in depleting the stratospheric ozone (O₃) layer, which naturally screens the earth's surface from ultraviolet radiation. The rise in air traffic, in addition to its emissions, has increased the number of contrails, which are mainly ice crystals formed from condensation around planes flying at high altitudes. They can contribute to climate change in a paradoxical fashion as, on the one hand, they can trap heat, and on the other, they are also reflecting solar radiation. In addition to being a contributor to climate change, transportation is also impacted by it, particularly over infrastructure (e.g. more floods due to rising sea levels) and operations (harsher operating conditions).

b. Air quality

Highway vehicles, marine engines, locomotives, and aircraft are the sources of pollution in the form of gas and particulate matter emissions. They affect air quality and cause damage to human health. The most common include lead (Pb), carbon monoxide (CO), nitrogen oxides (NO_x), silicon tetrafluoride (SF₆), benzene and volatile components (BTX), heavy metals (zinc, chrome, copper, and cadmium), and particulate matters (ash, dust). Toxic air

pollutants are associated with cancer, cardiovascular, respiratory, and neurological diseases. Carbon monoxide (CO), when inhaled, reduces the availability of oxygen in the circulatory system and can be extremely harmful and even deadly at specific concentrations. Nitrogen dioxide (NO₂) emissions from transportation sources reduce lung function, affect the respiratory immune defense system, and increase the risk of respiratory problems. The emissions of sulfur dioxide (SO₂) and nitrogen oxides (NO_x) in the atmosphere form various acidic compounds that, when mixed in cloud water, creates acid rain. Acid precipitation has detrimental effects on the built environment, reduces agricultural crop yields, and causes forest decline.

c. Noise

Noise represents the general effect of irregular and chaotic sounds on people as well as animal life. Basically, noise is an undesirable sound. The acoustic measure of the intensity of noise is expressed in decibel (dB) with a scale ranging from 1 dB to 120 dB. Long-term exposure to noise levels above 75 decibels severely hampers hearing and affects human physical and psychological well-being. Noise emanating from the movement of transport vehicles and the operations of ports, airports, and railyards affects human health through an increase in the risk of cardiovascular diseases. Ambient noise is a frequent result of road transportation in urban areas, which is the cumulative outcome of all the noise generated by vehicles (ranging from 45 to 65 dB), impairs the quality of life and property values.

d. Water quality

Transport activities have an impact on hydrological conditions and water quality. Fuel, chemicals, and other hazardous particulates discarded from aircraft, cars, trucks, and trains or port and airport terminal operations can contaminate hydrographic systems. Because demand for maritime shipping has increased, marine transport emissions represent the most important segment of water quality impact of the transportation sector. The main effects of marine transport operations on water quality predominantly arise from dredging, waste, ballast waters, and oil spills. Dredging is the process of deepening harbor channels by removing sediments from the bed of a body of water. Dredging is essential to create and maintain sufficient water depth for shipping operations and port accessibility. Dredging activities have a two-fold negative impact on the

marine environment. They modify the hydrology by creating turbidity that can affect marine biological diversity. The contaminated sediments and water raised by dredging require spoil disposal sites and decontamination techniques. Waste generated by the operations of vessels at sea or at ports causes environmental problems since they can contain a very high level of bacteria that can be hazardous for public health as well as marine ecosystems when discharged in waters.

e. Soil quality

The environmental impact of transportation on soil quality particularly concerns soil erosion and soil contamination. Coastal transport facilities such as ports have significant impacts on soil erosion. Shipping activities are modifying the scale and scope of wave actions leading to damage in confined channels such as river banks. Highway construction or lessening surface grades for port and airport developments have led to an important loss of fertile land. Soil contamination can occur through the use of toxic materials by the transport industry. Fuel and oil spills from motor vehicles are washed on roadsides and enter the soil. Chemicals used for the preservation of wooden railroad ties may enter the soil. Hazardous materials and heavy metals have been found in areas contiguous to railroads, ports, and airports.

f. Biodiversity

Transportation also influences biodiversity. The need for construction materials and the development of land-based transportation have led to deforestation. Many transport routes have required draining land, thus reducing wetland areas and driving-out water plant species. The need to maintain road and rail right-of-way or to stabilize slope along transport facilities has resulted in restricting the growth of certain plants or has produced changes in plants with the introduction of new species. Many animal species are becoming endangered as a result of changes in their natural habitats and reduction of ranges due to the fragmentation of their habitat by transportation infrastructures.

g. Land take

Transportation facilities have an impact on the urban landscape. The development of port and airport infrastructure is a significant feature of the urban and peri-urban built environment. Social

and economic cohesion can be severed when new transport facilities such as elevated train and highway structures cut across an existing urban community. Arteries or transport terminals can define urban borders and produce segregation. Major transport facilities can affect the quality of urban life by creating physical barriers, increasing noise levels, generating odors, reducing urban aesthetics, and affecting the built heritage. The expansion of logistics activities has also been an indirect factor of land take in suburban and peri-urban areas.

4.5 Environmental Legislations Agreements /Conventions

In order to ensure the protection and sustenance of the environment, international treaties have been developed and signed. The treaties to be regarded as international must be intergovernmental, either bilateral agreements are between two governments, and multilateral Agreements are between more than two. Most environmental problems have a transboundary nature and often a global scope, and they can only be addressed effectively through international co-operation. Amongst the global environmental issues that environmental agreements are designed to respond to include: loss of biological diversity, adverse impacts of Climate Change, depletion of the ozone layer, hazardous waste, organic pollutants, marine pollution, trade in endangered species, destruction of wetlands, etc.

The International Environmental Agreements (IEAs) are signed treaties that regulate or manage human impact on the environment in an effort to protect it. The IEAs focus on different environmental categories including:

- **Nature:** conservation and protection of resources and systems
- **Species:** interaction with mammals, agriculture, and marine life
- **Pollution and climate:** pollution of the air, land, oceans, and freshwater systems
- **Habitat and oceans:** maintaining ecosystems
- **Freshwater resources:** regulation of lakes and rivers
- **Energy, nuclear issues, and conflict:** energy production, nuclear-weapon-free zones, and environmental weapons (bacteriological, chemical, toxin).

4.5.1 Scope of International Environmental Agreements

According to IEAs database, there are over 1,300 recorded multilateral and bilateral environmental agreements. The IEAs can be categorized based on their focus. An example of some of the areas and agreements are provided below:

Air:

- Geneva Convention on Long-range Transboundary Air Pollution (CLRTAP) (1979) and its protocols

Biotechnology:

- Cartagena Biosafety Protocol (2000) to the Rio Convention on Biological Diversity (1992) and its Supplementary Protocol on Liability and Redress (2010)

Chemicals:

- PIC Rotterdam Convention on Prior Informed Consent (1998)
- POP Stockholm Convention on Persistent Organic Pollutants (2001)
- Minamata Convention on Mercury (2013)

Civil Protection and Environmental Accidents:

- Helsinki Convention on Industrial Accidents (1992)
- Barcelona Convention (1976) as amended and its protocols
- OSPAR Convention (1992)

Climate Change and Ozone Depletion:

- UNFCCC Framework Convention on Climate Change (1992)
- Kyoto Protocol (1997)
- Paris Agreement (2015)
- Vienna Convention for the Protection of the Ozone Layer (1985)
- Montreal Protocol (1987) as amended

Governance:

- Aarhus Convention (1998) on access to information, public participation in decision-making and access to justice in environmental matters and its Protocol on Pollutant Release and Transfer Registers (2009)
- Espoo Convention on Environmental Impact Assessment (1991)

Industry:

- Helsinki Convention on Industrial Accidents (1992)

Land use:

- Alpine Convention (1991) and its protocols

Nature and biodiversity:

- CBD Convention on Biological Diversity (1992)
- Cartagena Protocol on Biosafety (2003)
- Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of the Benefits arising from their Utilization (2010)
- Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES Convention) (1973)
- Bonn CMS Convention on the Conservation of Migratory Species (1979)
- Agreement on the conservation of African-Eurasian Migratory Waterbirds (AEWA-CMS) (1995)
- International Tropical Timber Agreement (ITTA) (1994)
- Ramsar Convention on Wetlands of International Importance (1971)

Soil:

- UNCCD Convention to Combat Desertification in Africa (1994)

Waste:

- Basel Convention on hazardous wastes (1989)

Water:

- Helsinki Convention on Watercourses and International Lakes (1992)
- Barcelona Convention (1976) as amended and its protocols

4.5.2 EAC and International Environmental Agreements

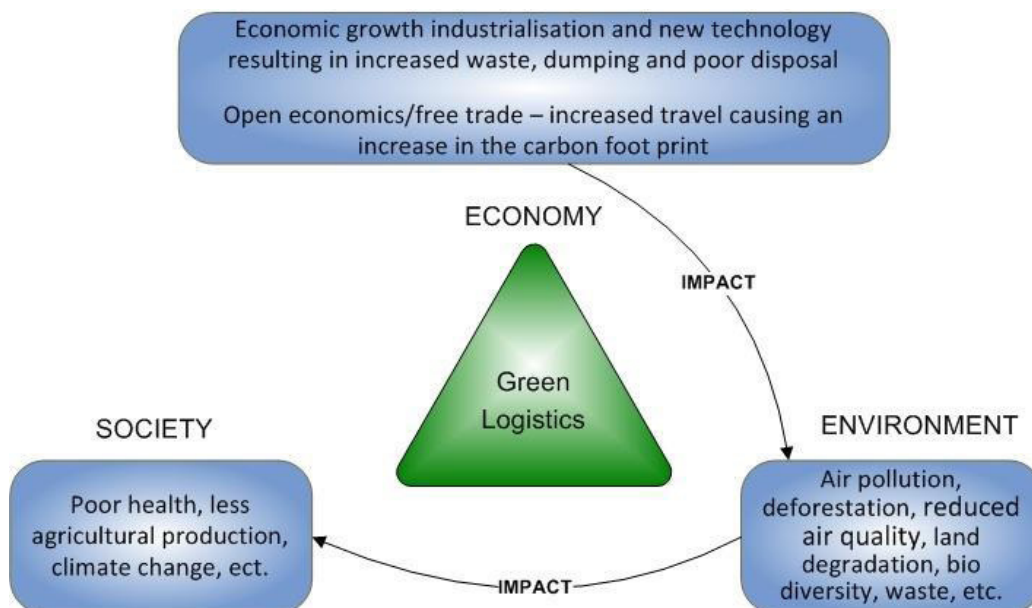
The EAC Partner States have signed and ratified several International Conventions and Treaties including among others:

- United Nations Convention on Biological Diversity (UNCBD);
- United Nations Framework Convention on Climate Change (UNFCCC);
- Cartagena Protocol on Biosafety (CPB);
- Convention on International Trade in Endangered Species of Wild Fauna and Flora
- Ramsar Convention on Wetlands of International Importance
- Stockholm Convention on Persistent Organic Pollutants (POPs).
- United Nations Convention on Combating Desertification (UNCCD).

4.6 Green Logistics

Green Logistics (Eco-logistics) refers to the set of sustainable policies and measures aimed at reducing the environmental impact caused by the activities of this business area. This logistics concept affects the configuration of processes, structures, and systems or equipment in the transport, distribution, and storage of goods.

The traditional approach to logistics often leaves environmental sustainability on the sidelines during decision-making. On the other hand, the aim of green logistics is to find a balance between ecology and economy.



Green logistics seeks to:

- Measure the carbon footprint of logistics operations to establish a starting point for considering sustainability measures and controlling their results.
- Reduce air, soil, water, and noise pollution by analysing the impact of each logistics area, especially those related to transport.
- Use supplies rationally by reusing containers and recycling packaging.
- Spreading sustainability to the supply chain, eco-logistics is also shaped by the design of products and their packaging. Both must be designed to minimize their environmental impact.

Importance of Green Logistics

Logistics are an important function of modern transport systems. While traditional logistics seeks to organize forward distribution, that is the transport, warehousing, packaging, and inventory management from the producer to the consumer, environmental considerations opened up markets for recycling and disposal, and led to an entire new sub-sector: green logistics.

Inserting logistics into recycling and the disposal of waste materials of all kinds, including toxic and hazardous goods, has become a major new market. Reverse distribution is a continuous embedded process in which the organization (manufacturer or distributor) takes responsibility for the delivery of new products as well as their take-back. This would mean environmental considerations through the whole life-cycle of a product (production, distribution, consumption, and disposal).

Green Logistics Approaches and Strategies

1. Include eco-friendly criteria in your procurement policies

Sustainability criteria can be included in a company's purchasing and procurement policy when it comes to assessing suppliers' proposals. These can refer to:

- Product characteristics: e.g., buying eco-friendly packaging and limiting the use of plastic in packaging.
- Manufacturing processes: international regulations guarantee favorable environmental management.
- The supplier's location, prioritizing those closest to its facility.

2. Optimize transport management

Transport is a major carbon footprint area in the logistics chain. Aside from buying cleaner- running vehicles, to limit emissions, it is necessary to use systems that assist delivery route planning and prioritize load pooling. Not only do you achieve higher efficiency in fleet management, but you also cut back the overall emissions produced by the transport. Other transport strategies include:

- Selecting fuel-efficient vehicles and ensuring right sizing of fleets.
- Driver training to reduce accidents and improve fuel consumption.

- Monitoring fuel consumption.
- Monitoring vehicle utilisation in terms of both payload and empty running.
- Conducting preventative maintenance, as poorly serviced vehicles use more fuel.
- Dispose of used tyre casings, batteries, motor oil, and other vehicle waste responsibly.

3. Have a warehouse that follows sustainable construction and management standards

The boom in the logistics sector is driving demand for new warehouses or forcing companies to redesign their infrastructure to meet market requirements. As such, there are different ways in which eco-logistics can be reflected in warehouse design and incorporating energy savings options

4. Enable measures to reduce and recycle the waste produced in your warehouse

One of the measures to help apply environmental logistics in a warehouse is to use sustainable criteria to manage the generated waste. For example:

- Establish a waste sorting process according to materials to be recycled.
- Roll back in-warehouse paper usage by implementing IT solutions such as the use of warehouse management system software.
- Control special waste management so that they comply with appropriate recycling procedures.

5. Improve stock management and reverse logistics processes

Achieving a more efficient storage facility follows one of the eco-logistics core principles: reducing waste through overall process improvement. Some measures to achieve this are:

- Scale down movements within the warehouse through a combination of good storage location management and optimized picking plans.
- Prevent stock damage caused by manual handling of goods. Deploying robots and automated systems in the warehouse can resolve this issue.
- In the case of perishable goods, accurately manage the FIFO criterion to control expirations and prevent goods from spoiling.

- Establish quality control processes for returned products that leverage reverse logistics management.

In warehouse and stock-keeping:

- Utilise proper stock management methods to avoid infestation, spoilage, damage, and expiration, all of which lead to waste and disposal.
- Exercise careful management and monitoring of hazardous chemicals to avoid spillage or leaking.
- Taking steps to better manage the production, collection, and disposal of waste, including packaging wastes.

Reverse Logistics

Reverse logistics is the management of all the activities, involved in the flow of goods, demand information, and money in the opposite direction of the primary logistics flow, including a reduction in the generation of waste, and management of the collection, transport, disposal, and recycling of hazardous, as well as non-hazardous waste, in a way that maximizes the long-term profitability of the business.

Reverse logistics has been traditionally defined as the process of moving a product from its point of consumption to the point of origin to recapture value or ensure proper disposal. It is one of the fastest developing fields of commercial logistics, resulting in continuously changing scope and significance. Reverse logistics includes activities that:

- Avoid return of assets or items.
- Reduces materials in the forward system so that fewer items flow back.
- Ensures the possible reuse and recycling of materials and packaging.

6. Sustainable Energy Production

Organizations should where possible use sustainable energy for example wind and solar energies that do not have adverse environmental impacts. Where there are no sustainable energy sources and generators are used, such can be optimized by setting standard working hours for generators, properly servicing and maintaining generators wherever they are in use.

7. Sustainable Packaging

Packaging represents one of the greatest challenges to environmentally friendly logistics while at the same time is vital in shipping and storage. Packaging has consequences for the transportation, storage methods, and space requirements of a given space. Packaging can increase the unit cost if it hinders optimisation of storage space. Many industries have developed forms of packaging that can withstand the stresses of transport but do not justify the expense of returning them to the point of origin, being used once and then discarded.

Steps to take when planning packaging:

- Plan for biodegradable over-packing such as cardboard cartons.
- Where possible, plan for recovering packing materials, recycling them locally, or even returning them to the vendor for re-use. Suppliers and buyers should seek to recover and recycle or effectively dispose of the packaging.
- Reduce the size of packing, requiring less space to store and less fuel to transport.
- Investigate local companies that may engage in environmentally friendly solid waste disposal and recycling.
- Where packing cannot be made from biodegradable material or material reduced, consider kitting and repackaging into sustainable packing before the last mile of distribution to avoid uncontrolled disbursement of wasteful materials.

8. Green Facility Management

There are many things organizations can do to ensure their facilities, are supportive of green logistics. These might include:

- Avoid wasting water by using water efficient taps, leak prevention, and recycling methods.
- Install energy-efficient light bulbs.
- Using interceptor tanks to avoid run-off pollution from fuel dispensing areas.
- Phase-out of ozone-depleting gases from air conditioning systems in offices, warehouses, and compounds.
- Develop a strategy for managing e-waste (old computers, communications equipment) and batteries.

4.7 Learning Activities

Visit the following websites

1. <https://iea.uoregon.edu/>
2. <https://www.eac.int/environment/multilateral-environmental-agreements>

Required:

1. For each country in EAC, identify the Multilateral Environmental Agreements (MEA) that the country has taken membership of.
2. Identify the agreements which have a direct effect on the freight and logistics sector
3. Make a summary of the roles of the freight and logistics sector in contributing to the intents and objectives of the agreements

4.8 Self-Assessment Questions and Activities

1. What are the impacts of freight and logistics sector to the environment?
2. What are the main Environmental Agreements that have a bearing on the freight and logistics sector?
3. Discuss the role of Green Logistics in the freight and logistics industry. How can firms in the freight and logistics sector adopt Green Logistics?

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- The Occupational Safety and Health Administration (OSHA) Laws and Regulation from different EAC Countries
- United Nations (2011). The Recommendations on the Transport of Dangerous Goods, 11th Edition, Volume I and 11.
- <https://www.eac.int/environment/multilateral-environmental-agreements>

5.0 WORKPLACE HAZARDS AND RISKS

5.1 Specific Learning Outcomes

- i. Identify the classification of hazards in the workplace
- ii. Identify the types of hazards in the workplace
- iii. Evaluate strategies to manage workplace hazards and risk

5.2 Meaning of a Hazard

A “hazard” is anything with the potential to cause injury or damage to a person’s health. The potential for harm is a natural and permanent property of hazards. Hazards can be found in virtually any workplace and come in many forms, such as:

- Chemicals;
- Electricity;
- Noise;
- Heat;
- Work at height;
- Unguarded machines;
- Bacteria;
- Viruses;
- Stressful work;
- Poor organization of work.

To better understand hazards and their potential effects, we can classify them as “safety hazards” or “health hazards”.

- **Safety hazards** (and the resulting risks) are generally more easily identified than health hazards and are therefore easier to address. The high level of risk from an unguarded but dangerous machine, such as a die-cutting press, and the injury that can result are evident to all whereas health hazards and the resulting risks are often less obvious.
- **Health problems** caused by work can develop unnoticed and, in some cases, may not appear until much later in life. Early diagnosis and treatment may prevent the problem from worsening, and even save the worker’s life. The effects of repeated and often low-dose exposure to a hazard over weeks, months, and years must also be taken into consideration. For example:

- Exposure to some chemical pesticides (e.g. insecticides, fungicides, and herbicides) may result not only in poisoning (an immediate or “acute” health effect), but also in cancers that can take many years to appear. Such effects are often associated with repeated low-dose exposure;
- Exposure to a dusty working environment can result in asthma, which may take time to develop. This, too, is often associated with repeated exposure and may result in recurrent long-term illness or asthma attacks;
- Carrying heavy or awkward loads on a regular, or occasional basis may result in permanent pain, physical disability or impairment in later life. Permanent disabilities and illnesses are known as “chronic” health problems, meaning that they cannot be fully cured or reversed.

5.3 Types of Hazards and Risks in the Workplace

The knowledge of the types of hazards and risks in the workplace is important as this will enable an organization and its employees to develop mechanisms of managing the same. Several hazards and risks are discussed below:

- **Physical hazards** are environmental factors that can lead to injuries. These include exposed electrical wiring, falling objects, wet floors, and other conditions that can cause slips, falls, cuts, or other injuries. Some physical hazards don’t necessarily need to make physical contact to cause harm, such as excessive noise levels, heat, and pressure.
- **Biological hazards** can lead to diseases, infections, and other serious health conditions. Mold and fungi, blood and other bodily fluids, bacteria, viruses, sewage, and vermin are all examples of biological hazards. Using Personal Protective Equipment (PPE) is vital to preventing exposure to biological hazards and protecting your health.

- **Chemical hazards** can be inhaled as gases or vapors, or come in contact with skin as a liquid or solid. They can cause skin irritation, burns, respiratory problems, blindness, or other serious health complications. Chemicals such as cleaning products, acids, pesticides, and petroleum products need to be handled responsibly with proper PPE to prevent exposure.
- **Ergonomic hazards** put a strain on muscles, tendons, and other connective tissues of the body. They can result from bad posture, not using dollies other mechanical assistance, and repetitive or awkward lifting/movement. They can lead to musculoskeletal injuries such as muscle sprains, ruptured or herniated discs, and carpal tunnel.
- **Psychological hazards** can lead to depression, concentration problems, inattention, or negligence. This type of hazard includes work-related stress, fatigue, harassment, and violence. These conditions can, in turn, lead to morale issues, reduced productivity and quality of work, and increased risk of injury.

Since most hazardous conditions at work are in principle preventable, efforts should be concentrated on primary prevention at the workplace, as this offers the most cost-effective strategy for their elimination and control. The planning and design of workplaces should be aimed at establishing working environments that are conducive to physical, psychological and social well-being. This means taking all reasonable precautions to avoid occupational diseases and injuries.

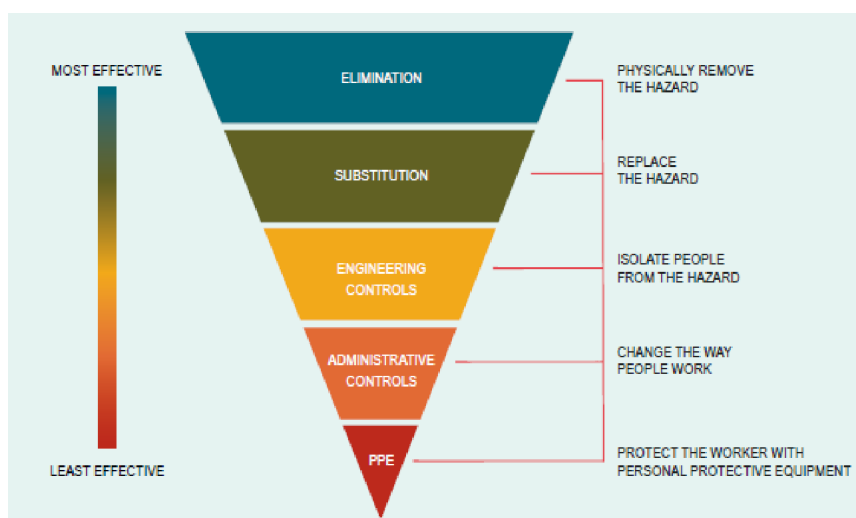
5.4.1 Hierarchy of Controls for Workplace Hazards and Risks

A logical and effective strategy for reducing the level of risk is the Hierarchy of Controls, which provides guidance to both employers and workers. Its principles are illustrated below. Measures at the top of the triangle are more effective than those at the bottom and should thus be preferred wherever possible.

1. Elimination of hazards;
2. Substitution of hazards;
3. Engineering, technology, equipment, tools;
4. Safe work methods, practices, organization, information and training, hygiene and welfare;
5. Personal Protective Equipment (PPE).

5.4 Minimizing or Eradicating Workplace Hazards and Risks

Occupational health problems arise largely from hazardous factors in the working environment.



5.4.2 Elimination or Substitution of Hazards

Eliminating (getting rid of) a hazard is the most effective risk control measure. Eliminating or (when elimination is impossible) substituting the hazard effectively reduces the risk of anyone being exposed, and thus of being seriously harmed, to zero or as near to zero as possible. Examples include:

- Electing a less risky substance or work process, e.g. A water- rather than a solvent-based paint;
- Replacing machine tools with intrinsically safer alternatives, e.g. Using a pneumatic tool instead of an electrical one;
- Substituting asbestos for safer alternatives (of which there are many);
- Replacing a noisy machine with a quieter one;
- On tall buildings, redesigning windows so that they can be cleaned from the inside rather than relying on potentially hazardous external access;
- Farming organically in order to avoid using a toxic pesticide;
- Switching to a less toxic pesticide or substituting a pesticide that would normally be sprayed to one applied in granular form.

If the measures identified can be implemented through elimination, the risk assessment for the hazard in question stops here; the risk has been reduced to zero or as close to zero as possible. Consequently, for this hazard only, there is no need to identify, decide on, and put into place any further control measures. If, however, it is determined during the risk assessment that elimination is not possible, it is time to consider other measures, starting with the next lower level of the Hierarchy of Controls (substitution/engineering controls, etc.).

5.4.3 Engineering Controls

These come in many forms, depending on the hazard, and have the advantage of providing collective protection not only for the individual, but also for all in the work area. For example, in controlling exposure to substances that are hazardous to health, engineering controls may range from small, on-gun solder fume extractors to dust hoods, fume cupboards, glove boxes, spray booths, and finally, large-scale industrial installations. All of these controls have the same requirements:

- Collect or prevent access to the hazard;

- Conduct it away from the worker reliably; and
- Keep exposure below the prescribed limits.
- Further examples of this type of control measure are:
- Guarding of machinery – if adequate protection is not provided by the manufacturer or if the machine is built to an older standard, improved guarding may be needed;
- Fitting noisy machines with a soundproof enclosure in order to reduce noise levels, even if some risk remains;
- Completely isolating and/or enclosing hazardous processes such as x-ray equipment or the solvent-gluing section of a workshop;
- Placing a handrail around a high work platform;
- Using something as simple as a wheelbarrow or handcart to move heavy loads;
- Placing work surfaces or workbenches at the right height for the persons working there and providing suitable seating;
- Using tools, e.g. spades, shovels, and brushes, that are the right length for the users so that they do not have to bend unnecessarily.

5.4.4 Administrative Controls

Administrative controls may also be introduced in order to reduce exposure to hazards. Safe working methods and practices are simple, cost-effective ways of controlling workplace risks. Many work accidents and illnesses occur simply because the employer has not thought through, implemented safe work methods, practices, and organization and because managers, supervisors, and workers are not well informed about or properly trained in correct safety and health procedures. Organizing jobs safely is the responsibility of employers and their managers and supervisors in cooperation with the workforce. Not only are risk control measures often simple and easy to put into operation; they also promote business efficiency.

Some of the administrative procedures are discussed below:

• Organizational practices.

Organizing the work may include:

- Lengthening rest breaks;

- Providing additional relief workers;
- Introducing exercise breaks in order to vary body motions;
- Rotating workers through different jobs;
- Limiting exposure to hazardous operations through scheduling or by reducing employee exposure or implementing other rules;
- Providing effective training programmes.

• **Safe Work Procedures**

Work procedures should meet the requirements of national legislation and, except for the simplest tasks, be written down. This is especially important for maintenance, testing, examination, and repair of plant and equipment, transfer of chemicals – including loading and unloading – and identification of the contents of containers, including potential hazards and corresponding precautions. Work procedures must be developed and followed for all workplace hazards (e.g. operation of machinery, vehicles and work at height) to protect workers against the hazards identified in the risk assessment. Such a procedure should be devised after other appropriate measures for eliminating and minimizing risks (such as use of the appropriate chemicals, technology, and engineering controls for a specific purpose) have been chosen and should incorporate the most effective use of the control measures provided.

• **Maintenance**

The workplace, equipment, machines, tools, and facilities should be maintained, in an efficient state, in efficient working order, and in good repair, at all times. Proper maintenance contributes to work safety. Regular (scheduled) maintenance can prevent unexpected failures (e.g. periodic maintenance of fire extinguishers ensures that they can be operated when needed while failure to do so can allow a small fire to spread, causing serious harm to persons and property). There are two main types of maintenance:

- Planned preventive maintenance involving periodic checks and repairs; and

- Breakdown maintenance (also called corrective or reactive maintenance): making unplanned repairs to workplace facilities or equipment after sudden breakdown or failure. This is usually more hazardous than scheduled maintenance as there may be pressure to complete the repairs quickly so that the work can resume.

During maintenance, particularly where unplanned, hazardous conditions with potentially serious or even fatal consequences may arise. Thus, maintenance activities must also be risk-assessed to ensure that the appropriate control measures are in place. Maintenance can expose workers to all kinds of hazards. Great caution is needed in order to prevent, for example:

- Falls from height (e.g. While performing maintenance on roofs or raised parts of machinery);
- The fall of heavy items (e.g. While lifting heavy loads wrongly owing to time constraints);
- Being trapped or crushed by a moving part or machine (e.g. While entering the action area of a malfunctioning robot);
- Exposure to asbestos (e.g. while removing asbestos panels).

• **First Aid and Medical Assistance**

Accidents can happen even with safety and health measures in place. “First aid” is the immediate care given to victims of accidents or health emergencies (e.g. heart attacks) before healthcare workers arrive. Every workplace should have a well-stocked first aid box and at least one responsible person trained in first aid available during working hours. It is recommended that workers be trained in first aid and basic life support techniques in the event that they are requested to assist healthcare staff, and to prevent well-intentioned actions that can have serious or even deadly consequences if performed by unskilled workers (e.g. moving a worker after a fall from a height may cause or worsen damage to the spine, leading to paralysis and even death).

• Housekeeping

Better housekeeping involves, among other things, keeping workplaces tidy and passages clear and wetting dust before sweeping it up. The workplace is the workers' "home" for at least 8 hours a day and should be kept clean and tidy with the cooperation of everyone concerned.

• Safety Signage

Employers should post safety signs where there is a significant risk that cannot be avoided or controlled through safe systems of work or in any other way. These signs must comply with national regulations and be placed in visible and appropriate places, including on machinery. Because they must be understood by all, their text should be in the official language and translated into local languages if necessary. Visitors and any other external persons with access to the enterprise should be informed of the meaning of safety signage and the need to respect it; perhaps an explanatory leaflet can be distributed. The pictures should be clear and both text and pictures should be readable from a distance since getting too close to machinery in order to read them may present a life threatening risk of being hit or crushed.

Their size, colour, image, and wording (usually: DANGER, WARNING or CAUTION) must comply with existing national regulations in order to ensure that they are reasonably visible from a distance (usually at least 1.5–2 metres for general safety signs) when correctly installed and convey a clear message.

Examples of Safety Signs



5.4.5 Personal Protective Equipment (PPE)

The last level of risk control is PPE: individual equipment that offers protection from workplace hazards and reduces the risk of being harmed by them. It can be designed to protect various parts of the body in the form of, for example, helmets, safety goggles, face masks, respirators, earmuffs, aprons, harnesses, gloves, safety shoes and boots.

As stated above (under the Hierarchy of Controls), PPE should only be provided where other, more effective risk control measures are not sufficient to adequately control the risk. In such cases, employers are responsible for providing workers with individual means of protection against a specific hazard (such as noise, dust or a chemical). PPE must comply with national legislation and meet national or, where relevant, international standards. Workers must receive training in the proper use, maintenance, disposal and storage of PPE. Remember that PPE should be viewed as the last line of defence against hazards.

5.5 Learning Activities

Do a walk-through of your enterprise or any other organization of your choice. Walk through all the offices, stores, warehouses, kitchens, workshops, yards, etc. Note the nature of floors and other surfaces. Observe lighting and aesthetics as well.

Required:

1. Make a list of any visible and observable health, safety, and environmental hazards and risks that workers in the organization face
2. What strategies can you recommend to management to address the hazards and risks you have identified?

5.6 Self-Assessment Questions and Activities

1. Identify the classification of hazards in the workplace
2. Identify the types of hazards in the workplace
3. What strategies can be used to manage workplace hazards and risks.

5.7 References

- Reese, D. C. (2016). Occupational Health and Safety Management: A Practical Approach, 3rd Edition. Routledge Francis Taylor
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6.0 HANDLING HAZARDOUS CARGO

6.1 Specific Learning Outcomes

- i. Explain the meaning of hazardous cargo
- ii. Identify the regulations governing hazardous cargo operations
- iii. Identify the classifications of hazardous cargo
- iv. Handle requirements of hazardous cargo
- v. Identify Storage requirements of hazardous cargo

6.2 Meaning of Hazardous Cargo

A dangerous good (also known as hazardous material or hazmat) is any substance or material that is capable of posing an unreasonable risk to health, safety, and property when transported in commerce. Hazardous cargo is considered to be hazardous because of its flammable, corrosive, poisonous nature or other properties.

Dangerous goods are separated into categories through a classification system is outlined by the UN Model Regulations. Each dangerous substance or article is assigned to a class. There are 9 classes of dangerous goods and the class is determined by the nature of the danger they present:

- Class 1: Explosives
- Class 2: Gases
- Class 3: Flammable liquids
- Class 4: Flammable solids
- Class 5: Oxidising agents & organic peroxides
- Class 6: Toxins and infectious substances
- Class 7: Radioactive material
- Class 8: Corrosives
- Class 9: Miscellaneous dangerous goods

6.3 Regulations on Hazardous Cargo

Carriage of Dangerous Goods by Sea – IMDG Code

The International Maritime Dangerous Goods (IMDG) Code is, by its own definition, “the standard guide to all aspects of handling dangerous goods and marine pollutants in sea transport”. Its key objectives are to a) protect human life, b) prevent marine pollution, and c) facilitate free movement of dangerous goods. Developed by the International Maritime Organisation (IMO), it applies to all cargo-carrying ships and is amended every two

years. It reportedly covers 3,500 dangerous goods transported in packaged form.

Carriage of Dangerous Goods by Air – DGR

The International Air Transport Association (IATA) developed the Dangerous Goods Regulations (DGR) as the global reference for shipping dangerous goods by air and the only standard recognised by airlines. It details shipper/operator responsibilities, transport and storage quantities, and forbidden goods. It also has provisions on training, security and incident reporting.

The second set of regulations, the International Civil Aviation Organisation’s (ICAO) Technical Instructions, seeks to ensure airlines carry dangerous goods without the cargo posing a danger to the aircraft or its occupants.

Carriage of Dangerous Goods by Road – ADR

ADR what stands for Agreement International Carriage of Dangerous Goods by Road is a 1957 United Nations treaty that governs transnational transport of hazardous materials. ADR requires that vehicles transporting dangerous goods must ensure that:

- Vehicles carrying dangerous goods must be equipped with a tachograph (which records driving activity such as speed, distance) and spark arrester (a fire safety device)
- Vehicle must carry legible, conspicuous “emergency information panels” containing the class, UN number and PSN of the cargo
- The Vehicle owner must ensure cargo information provided by the shipper is accurate, and must relate this information in writing to the driver
- Driver must keep the written information in the driver’s cabin at all times
- Driver must keep cargo safe by following rules on prevention of fires and explosions
- Driver must take route pre-determined by the vehicle owner and shipper
- Driver must be trained to handle the dangers of moving hazardous cargo

Carriage of Dangerous Goods by Rail – RID

RID is part of the Intergovernmental Convention for International Carriage by Rail (COTIF). COTIF concerns the movement of passengers and goods by rail across national borders. It controls the

conditions under which that transit is undertaken, and establishes a uniform system of law in order to facilitate the continuing development of international rail traffic.

Carriage of Dangerous Goods by Inland Waterways - ADN

Internationally, the European Agreement concerning the International Carriage of Dangerous Goods by Inland Waterways (ADN) exists to ensure high levels of security in the carriage of hazardous cargo on inland waterways, promote international trade in dangerous goods and prevent pollution during the movement of such goods.

6.4 Classification of Hazardous Cargo








Class 1: Explosives

Class 1 goods are explosives - products that possess the ability to alight or detonate during a chemical reaction. Explosives are dangerous because they have molecules designed to rapidly change their

state, which is usually a solid state into a very hot gas. There are 6 sub-divisions of explosives, which relate to the product's behaviour when initiated.

- 1.1: Substances and articles which have a mass explosion hazard
- 1.2: Substances and articles which have a projection hazard but not a mass explosion hazard
- 1.3: Substances and articles which have a fire hazard and either a minor blast hazard or a minor projection hazard or both
- 1.4: Substances and articles which present no significant hazard; only a small hazard in the event of ignition during transport with any effects largely confined to the package
- 1.5: Very insensitive substances which have a mass explosion hazard
- 1.6: Extremely insensitive articles which do not have a mass explosion hazard

Examples of explosives include fireworks, flares, and ignitors.

Class 1		
	1	Explosive substances and articles used to produce explosions or pyrotechnic effects
Sub-Classes		
	1.1	Explosives with a mass explosion hazard
	1.2	Explosives with a severe projection hazard
	1.3	Explosives with a fire, blast or projection hazard but not a mass explosion hazard
	1.4	Explosives with a minor fire or projection hazard
	1.5	An insensitive substance with a mass explosion hazard
	1.6	Extremely insensitive articles

Class 2: Gases




Class 2 consists of compressed gases, gases in their liquefied form, refrigerated gases, mixtures of gases with other vapours, and products charged with gases or aerosols. These sorts of gases are often flammable and can be toxic or corrosive. They're also hazardous because they can chemically react with oxygen. They are split into three sub-divisions:

Division 2.1: Flammable gases

Division 2.2: Non-flammable, non-toxic gases

Division 2.3: Toxic gases

Examples of gases include aerosols and fire extinguishers.

Class 2		
	2.1	Flammable gas
	2.2	Non-Flammable, compressed gas
	2.3	Toxic or poisonous gas


Class 3: Flammable liquids

A flammable liquid is defined as a liquid, a mixture of liquids, or liquids containing solids that require a much lower temperature than others to ignite. These temperatures are so low that there is a high risk of the liquids igniting during transportation. This makes flammable liquids very dangerous to handle and transport, as they are very volatile and combustible. Flammable liquids are usually used as fuels in internal combustion engines for motor vehicles and aircraft. This means they make up the largest tonnage of dangerous goods moved by surface transport. Many household products also contain flammable liquids, including perfumery products and acetone (which is used in nail polish remover).

Class 4: Flammable solids

Class 4 dangerous goods are classified as products that are easily combustible and likely to contribute to fires during transportation. Some goods are self-reactive and some are liable to spontaneously heat up. There are 3 sub-divisions for Class 4 dangerous goods:

Class 4.1 Flammable solids: These will burn easily than normal combustible materials. The burning of flammable solids is also fierce and rapid; they are also incredibly dangerous because they can decompose




Class 3		
	3	Flammable liquids

explosively, burn vigorously, or produce toxic gases.

Class 4.2 Spontaneously combustible: These can be either solids or liquids. They ignite spontaneously when in contact with oxygen.

Class 4.3 Dangerous when wet: These goods react with water to generate flammable gas that can be ignited by the heat of the reaction.

Examples of flammable solids include metal powders, sodium batteries and seed cake (oil-bearing seeds).

Class 4		
	4.1	Flammable solids
	4.2	Spontaneously combustible solids
	4.3	Combustible solids when in contact with water



Class 5: Oxidising Agents and Organic peroxides

Class 5 dangerous goods are subdivided into 'oxidising agents' and 'organic peroxides'. These are often extremely reactive because of their high oxygen content. They react readily with other flammable or combustible materials, which means fires may break out and continue in confined spaces. These materials are also incredibly difficult to extinguish, which makes them even more dangerous.

Class 5.1 Oxidising Agents: Also known as oxidisers, these substances can cause or contribute to combustion as a product of chemical reactions. Oxidisers aren't necessarily combustible on their own, but the oxygen they produce can cause combustion with other materials.

Class 5.2 Organic peroxides: The molecular structure of these materials makes them extremely liable to ignition. This means they're liable to combust individually. They are designed to be reactive for industrial purposes, so they are unstable and can be explosive.

Examples include hydrogen peroxide and lead nitrate.



Class 5		
	5.1	Oxidizer
	5.2	Organic peroxide (5.2 new ADR 2007)

Class 6: Toxins and Infectious substances

Class 6.1 Toxins: Toxic substances are liable to cause death because they're, as the name suggests, toxic. They can cause serious injury or harm to human health if they enter the body through swallowing, breathing in, or absorption through the skin. Some toxics will kill in minutes, however, some might only injure if the dose isn't excessive.




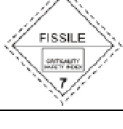
Class 6.2 Infectious substances: These are goods that contain micro-organisms that cause infectious diseases in humans or animals, otherwise known as pathogens.

Examples include medical waste, clinical waste, and acids.

Class 6		
	6.1	Toxic substances
	6.2	Infectious substances

Class 7: Radioactive material

Radioactive materials contain unstable atoms that change their structure spontaneously in a random fashion. They contain 'radionuclides', which are atoms with an unstable nucleus. It's this unstable nucleus that releases radioactive energy. When an atom changes, they emit ionising radiation, which could cause chemical or biological change. This type of radiation can be dangerous to the human body. Examples include smoke detectors and yellowcake.


Class 6		
	I	Category I – White (symbol 7A)
	II	Category II – Yellow (symbol 7B)
	III	Category III – Yellow (symbol 7C)
	Fissile	Criticality safety index label (symbol 7E)

Class 8: Corrosives

Corrosives are highly reactive materials that produce positive chemical effects. Due to their reactivity, corrosive substances cause chemical reactions that degrade other materials when they encounter each other. If these encountered materials happen to be living tissue, they can cause severe injury. Examples include batteries, chlorides, and flux.

I, II and III, Y is for packing groups II and III, and Z is only for packing group III. For example, Class 1 dangerous goods (explosives) are assigned packing group II.

6.6 Handling Requirements of Hazardous Cargo

Class 8		
	-	Corrosive materials


Class 9: Miscellaneous dangerous goods

This category covers substances that present a danger not covered in the other classes. Examples include dry ice, GMO's, motor engines, seat belt pretensioner, marine pollutants, asbestos, airbag modules and magnetised material.

6.6.1 Packaging

Since dangerous goods are a hazard to human life and property, packaging is of utmost importance. Here are some tips on securing a shipment:

- Use correct packaging. Packing material for dangerous goods are tested for sustainability

Class 9		
	-	Miscellaneous dangerous compounds

6.5 UN Number, Proper Shipping Name and Packing Group

Apart from class, dangerous goods are assigned a UN number, a proper shipping name (PSN) and a packing group that serve as identifiers.

- **UN Number:** This is a four-digit code preceded by the letters UN. A UN number can be assigned to a single substance (acetone, UN 1090) or a group of substances (adhesives, UN 1133; alcohols, UN 1987).
- **PSN:** This is the name that most accurately describes the goods and is written in upper case. For example, the PSN for lighters or lighter refills is LIGHTERS or LIGHTER REFILLS.
- **Packing group:** The UN has three packing groups for dangerous goods – I (high danger), II (medium danger) and III (low danger). This identifier helps determine the degree of protective packaging required. Packing groups are indicated by the letters X, Y and Z, where X is for packing groups

and compliance with rules and regulations

- Cargo must be tightly packed, cushioned and secured to prevent damage and leaks
- Any cargo affected by water, moisture and heat must be stuffed in air, wind and watertight containers
- When combined with regular cargo during shipping, hazardous cargo must be placed within easy access – next to the container doors is best – for fast removal in an emergency

6.6.2 Labelling

Labels, markings and placards are a legal requirement for dangerous goods. They are the first indicators of the cargo's hazardous nature and hold valuable information on how it should be handled. They should be legible, accurately placed and not obscured by old labels and markings.

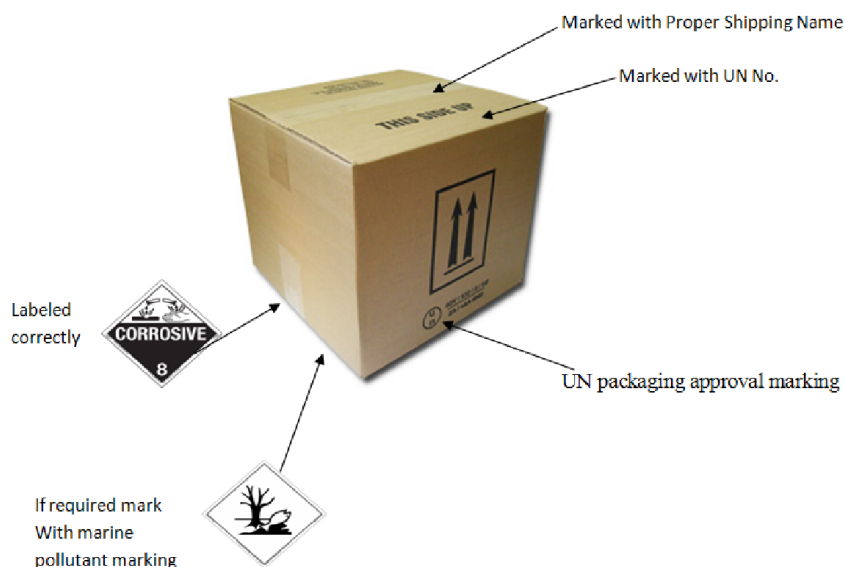
- **Label:** It immediately identifies the cargo and communicates its hazards. A label is

attached on the packaging or overpack (“an enclosure used by a single consignor to contain one or more packages and to form one unit for the convenience of handling and stowage during transport”, according to the UN Model Regulations). It must be placed close to the UN number and PSN, and not on a corner where it might fold.

- **Placard:** Another standard hazmat identifier, it looks a lot like a label but is larger and more durable. It is placed on containers, cylinders, trucks and other transport vehicles.
 - Containers carrying dangerous goods must display at least one placard on each side and one on each end of the unit (this is to say, on its four sides)
 - Rail wagons must be placarded on at least both sides
 - Freight containers, semi-trailers and portable tanks must be placarded on all four sides
 - Road vehicles must display appropriate placards on both sides as well as the rear
- **Marking:** An additional identifier placed on outer packaging, it is a combination of UN number, PSN, weight, specifications,

precautions and emergency response guidelines. It ensures cargo is safely handled. Unlike labels and placards, markings do not have a specific style, colour and size. Some cargo (liquid dangerous goods, radioactive material, poisonous goods) requires specialised markings.

Markings, labels and/or placards on products are all channels of communication to the user. These communication channels will tell the user the characteristics of a consignment or product. The IMDG Code provides clear procedures related to authorization of consignments as well as advance notification, markings, labels, and documentation (by manual, electronic data processing or electronic data interchange techniques and placarding). The code specifies clearly that no person may offer to transport dangerous goods unless the goods are properly marked, labeled, placarded, described and certified on a document. Those who are transporting dangerous goods must indicate the UN Number and proper shipping name clearly on the consignment. In the case of marine pollutants, the word “marine pollutant” must be on the document accompanying the consignment. This requirement is particularly important in the case of an accident involving these goods, in order to determine what emergency procedures are necessary to deal properly with the situation. In the case of marine pollutants, the captain of the vessel needs to comply with the requirements of MARPOL 73/78.



6.6.3 Documentation

Just as important as packaging and labelling is documentation. Incorrect information can lead to the carrier making wrong handling, segregation, and stowage decisions, often with disastrous consequences. Documents for dangerous goods differ across transport modes but most have some basic information in common:

- Hazard class, UN number and PSN
- Name and address of exporter and importer
- Weight and quantity of goods
- Number and type of packaging (cartons, drums, containers)

Additional information that might be required includes identification of:

- Molten/elevated temperature substances
- Temperature-controlled substances
- Radioactive material
- Infectious substances
- Wastes

Some important and common documents used in the shipping of dangerous goods include:

- **Material Safety Data Sheet:** Basic information aside, it contains the physical and chemical properties of the goods (melting/boiling points), reactivity, toxicity, effect on human health, first aid and firefighting guidelines, requirements for protective equipment. It is provided by the manufacturer/supplier of the goods to the shipper, who submits it to the carrier.
- **Dangerous Goods (DG) Request:** When the shipper approaches the carrier with a dangerous goods shipment, they submit a DG request or dangerous cargo request.
- **Dangerous Goods (DG) Declaration:** Also prepared by the shipper, it is similar to a DG request but more detailed. Carriers accept a dangerous goods shipment on the basis of the DG request and DG declaration, both of which must have matching information. A DG declaration is called a shipper's declaration in air transport. In multi-modal shipping, a multimodal declaration form can be used to expedite the movement of goods between transport modes.

- **Dangerous Goods Manifest:**

It is prepared by the ship's master with the objective of having all relevant cargo-related information in a single document. It is kept on the vessel's bridge, with a copy in the cargo control room, for easy access. A DG manifest is also a stowage plan because it pinpoints the location of the cargo on the vessel to ensure swift emergency response.

- **Transport Emergency (TREM) Card:**

A document carried by the driver of a vehicle ferrying hazardous cargo, it contains relevant cargo information and instructions to the driver and emergency responders.

- **Container Packing Certificate:**

When shipping dangerous goods by sea in containers, the loading company must provide a signed and dated certificate to the carrier confirming compliance with the IMDG Code and other relevant rules.

6.6.4 Segregation

Moving hazardous cargo also requires knowledge of which dangerous goods can be stored and transported together and which cannot. The IMDG Code defines the process of separating two or more substances that are considered mutually incompatible as segregation. Some common segregation don'ts includes:

- Don't store different types of explosives together
- Don't store substances that are a fire risk with oxidising agents
- Don't store a strong concentrated acid with a strong alkali

But by following segregation rules, some classes of dangerous goods can be loaded and transported with another class of dangerous goods. For example, an oxidising agent can be loaded with other oxidisers as well as with non-flammable gases and toxic gases. But it cannot be paired with flammables (solids, liquids and gases) and corrosives.

6.6.5 Storage Requirements of Hazardous Cargo

One of the most important aspects of managing the transport of dangerous goods is the stowage, segregation and separation of these goods. Hazardous substances must not be carried with goods which are liable to interact and cause danger. Incompatible hazardous substances must be adequately separated from each other during transport and storage. Improper stowage or segregation of dangerous goods may result in the release of toxic fumes, fire, spill, and degradation of the product's quality. For this reason, the IMDG Code has provided provisions in Volume 1 Part 7 titled "Provisions Concerning Transport Operations", which focuses on stowage and segregation.

The IMDG Code requires dangerous goods to be stored and segregated according to the hazard, class, and compatibility. The code also provides detailed information on these important factors in terms of where dangerous goods should be stowed and how they should be separated or segregated from other cargoes. Although the IMDG Code provides detailed information on ship stowage, the requirements can also be applied to storage ashore and even to container packing. The requirement offers a framework for port authorities when preparing their regulations for the safe transport of handling and storage of dangerous goods in ports. Dangerous goods which have to be segregated from each other shall not be transported in the same cargo transport unit.

In brief, the IMDG Code establishes a system whereby dangerous goods can be stowed in a safe way, considering their compatibility with other types of cargo and therefore preventing further damage in case of accidents.

6.7 Learning Activities

Visit an organization that deals with different types of hazardous cargo, such an organization can be any of the following:

- i. A Port – sea ports, inland ports, border posts
- ii. An inland Container Depot
- iii. Customs bonded warehouse
- iv. A warehouse for a logistics company
- v. A transport and logistics company.

Required

1. Identify different types of hazardous cargo. What classes of hazardous cargo are they?
2. From the packaging identify the requirements in terms of:
 - a. Packing
 - b. Labels
 - c. Markings
 - d. UN Numbering
3. How are the hazardous cargo stored? Are they in line with the IMDG Code for segregation and storage of hazardous cargo?
4. What recommendations would you give the organization in terms of effective management of hazardous cargo?

4.1 Self-Assessment Questions and Activities

1. What do you understand of hazardous cargo?
2. Which are the global regulations governing hazardous cargo operations for the different multimodal transport operations?
3. What are the international classifications of hazardous cargo?
4. What are the handling and storage requirements of hazardous cargo?

4.1 References

- Reese, D. C. (2016). Occupational Health and Safety Management: A Practical Approach, 3rd Edition. Routledge Francis Taylor
- Mansdorf S. Z. (2019). Handbook of Occupational Safety and Health, Third Edition. John Wiley & Sons, Inc.
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5.0 PERSONAL PROTECTIVE EQUIPMENT (PPE)

5.1 Specific Learning Outcomes

- i. Explain the meaning of Personal Protective Equipment (PPE)
- ii. Explain the importance of Personal Protective Equipment (PPE)
- iii. Use Personal Protective Equipment (PPE) for different work environment

5.2 Meaning of Personal Protective Equipment (PPE)

Personal protective equipment, or PPE, protects its user against any physical harm or hazards that the workplace environment may present. It is important because it exists as a preventative measure for industries that are known to be more hazardous, like manufacturing and mining.

PPEs are worn to minimize exposure to hazards that cause serious workplace injuries and illnesses. These injuries and illnesses may result from contact with chemical, radiological, physical, electrical, mechanical, or other workplace hazards. PPE may include items such as gloves, safety glasses and shoes, earplugs or muffs, hard hats, respirators, or coveralls, vests, and full body suits.

5.3 Importance of Personal Protective Equipment (PPE)

PPEs are important as it protects the user from possible injuries and fatalities. PPE provides a barrier to protect the worker from potential exposure to hazards. Key benefits include:

1. Head Protection
2. Eye and Face Protection
3. Respiratory protection
4. Hand & Skin protection
5. Hearing protection

5.4 Using Personal Protective Equipment (PPE) for different work environment

1. Eye and Face Protection

Safety glasses, safety goggles, laser eyewear, face shields and helmets provide a level of protection as designated by the manufacturer. The hazard and the protection standards for each piece of eye and face protection PPE must be considered during selection. The minimum types of PPE necessary for physical and chemical hazards are listed below:

- Safety glasses, as a minimum, are required where there is a potential of eyes being struck by projectile objects. Side shields are required if there is a hazard from flying objects from the side.
- Direct vented goggles (those with perforated holes on the sides) are an acceptable substitute for safety glasses with side shields.
- Chemical splash goggles (those with indirect ventilation on sides) are required where protection is needed against chemical splashes or sprays. These may also be used where impact protection is required.
- Face shields are required where facial skin protection is needed. They can only be used in conjunction with eye protection. The face shield is not a substitute for the safety glasses or goggles.
- Shaded eye/face protection is required for radiant energy sources from arc and gas welding, soldering and brazing, laser, ultraviolet, and infrared.

Face shields	Safety Glasses	Googles
		
Googles	Disposable Medical Shield	Masks
		

2. Hand Protection

Gloves should be selected for each procedure to provide protection from the hazards. In some circumstances there may be several hazards and glove selection may involve different gloves for different steps of the procedure and/or several layers of gloves may be needed to address all hazards. In general, heavy loose gloves should not be worn around moving machinery. Moving parts can pull the glove, hand and arm into the machine. Gloves can protect hands from:

- Knives, sharp edges, splinters
- Chemicals
- Blood and bodily fluids
- Excessive vibration
- Hot objects
- Electricity
- Extreme cold

There are many types of protective gloves:

- Leather gloves protect your hands from rough surfaces
- Special insulated gloves can protect your hands from hot objects
- Cut-resistant gloves prevent or reduce cuts from knives or sharp edges
- Anti-vibration gloves reduce the effects of vibration from hand tools and machinery
- Disposable gloves protect against blood and germs
- Electrically insulated gloves are used to handle live wires or energized electrical equipment

Latex Gloves	Coated Gloves	Leather Gloves	Wire Gloves	Specialty Gloves
				

3. Skin and Body Protection


Laboratory coats, scrubs, uniforms and disposable body coverings provide a level of protection from splash hazards. Special hazards and material qualities such as flame resistance, specific chemical resistance, physical strength (e.g., leather) and visibility should be considered when selecting PPE for skin and body protection.

Personal protective clothing is required where employees may be exposed to such hazards as toxic or corrosive chemicals, biological pathogens, molten metal splashes, thermal extremes, etc. The protective clothing may take the form of aprons, coveralls, coats, pants, hats, hoods, sleeves, gloves, and totally encapsulating chemical protective suits. An example of special clothing is a vest to reflect light for outdoor night workers.

4. Respiratory Protection

In a laboratory, airborne contaminants are kept very low through adequate general room ventilation and by working with open containers of volatile materials inside a chemical fume hood or enclosure designed to effectively capture air contaminants at the source. When airborne contaminants cannot be adequately controlled by engineered exhaust ventilation respiratory protection may be needed. The use of respiratory protection has very stringent regulatory requirements. Although not respirators, different types of face masks are listed because they may be used for protection in various environments under certain conditions.

Disposable gowns	Coveralls	Safety vest	Lab Coats
			

Dust masks	Half face Air Purifying Respirator	Full Face Air Purifying Respirator	Self -Contained Breathing Apparatus (SCBA)-
			
Dust Mask	N95 Mask	Masks	Air Purifier
			

5. Head Protection

Head protection may be as simple as a disposable bouffant surgical cap to protect the head from aerosols during surgical operations, or a hard hat to protect from overhead hazards. Electrical work may require arc flash protection of the head, face, hands and body.

Bump cap and Hard Hats	Bouffant cap
	

6. Foot and Leg Protection

Foot protection may be simple disposable shoe covers to minimize spread of contamination. In food service and vivariums, slip resistant shoes may reduce the risk of slips, trips and falls.





Safety Boots	Foot/shin guards	Knee pads	Shoe Cover
			

7. Hearing Protection

In general, if workplace noise is loud enough that you cannot hold a conversation with a person one arm length away, then a noise assessment must be performed by EH&S prior to PPE selection. All hearing protection comes with a “Noise Reduction Rating” or NRR; the higher the rating, the better the protection.

Exposure to loud noise will inevitably cause hearing loss over time. There are two types of hearing protection: earplugs and ear muffs. All hearing protectors are designed to reduce the intensity (loudness) of noise for the inner ear.

Popular types of hearing protection devices include canal caps, earmuffs and earplugs.

Ear plugs	Ear plugs	Canal caps	Ear muffs
			

8. Fall Protection

A fall protection system is needed where there is a potential for injury due to falling while working at elevated height.

Full body harness	Locking carabiner	Shock absorbing Lanyard	Anchor
			

5.5 Learning Activities

Visit an organization that deals with different types of hazardous cargo, such an organization can be any of the following:

- i. A Port – sea ports, inland ports, border posts
- ii. An inland Container Depot
- iii. Customs bonded warehouse
- iv. A warehouse for a logistics company
- v. A transport and logistics company.

5.6 Self-Assessment Questions and Activities

1. What is the meaning of Personal Protective Equipment (PPE)?
2. What is the importance of Personal Protective Equipment (PPE)?
3. What are the different types of Personal Protective Equipment (PPE) ideal for use in a freight and logistics firm?

Required

1. Identify the different types of Personal Protective Equipment (PPE) in use.
2. How are the PPEs used and for what purpose?
3. What recommendations would you give the organization in terms of effective use of PPEs?

5.7 References

- Reese, D. C. (2016). Occupational Health and Safety Management: A Practical Approach, 3rd Edition. Routledge Francis Taylor
- Mansdorf S. Z. (2019). Handbook of Occupational Safety and Health, Third Edition. John Wiley & Sons, Inc.
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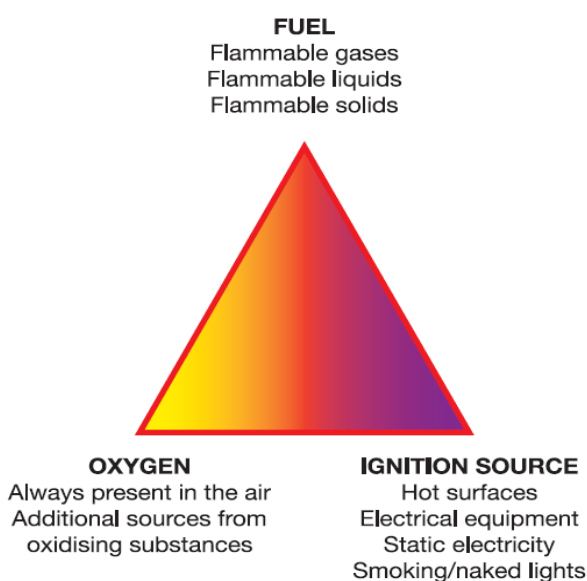
6.0 AVOIDING WORKPLACE FIRE ACCIDENTS

6.1 Specific Learning Outcomes

- i. Explain the meaning of fire
- ii. Identify the sources and causes of fire
- iii. Identify Classes of fire
- iv. Describe the principles of fire extinguishing
- v. Identify types of fire extinguishers
- vi. Explain the operation of portable fire extinguishers
- vii. Explain the importance of fire assembly points
- viii. Describe the methods of fire prevention.

6.2 Meaning of Fire

Fire is a form of a chemical reaction that involves the rapid oxidation of combustible fuel (material) with the subsequent liberation of heat and light. Fire is the rapid oxidation of any combustible material. It is a chemical reaction involving fuel, heat, and oxygen. These three elements, commonly referred to as the fire triangle, in the right proportions, will always produce a fire. Remove any one side of the triangle and the fire will be extinguished. Scholars have also introduced a 4th element in the equation, known as the uninhibited chain reaction, thereby giving the fire chemical reaction an additional side. This is referred to as the fire tetrahedron.



- **Heat** is required to ignite a fire, and will continue to be generated as the fire burns. For intentional fires, this could be as simple

as the striking of a match. For accidental fires however, ignition can occur as a result of obstructing ventilation on machinery that heats up, or flammable materials being too close to heaters.

- **Fuel** can be anything that is combustible, such as wood, petroleum and spirits, and a number of gases. Solid fuels must reach a critical temperature in order to ignite, while many liquids release flammable vapours even when cold. Gases are the most hazardous and temperamental state, and can combust instantaneously.
- The air feeding a fire only needs to be made up of 16% **Oxygen** in order to react with the heat and fuel. Generally, at low/normal altitude, the level is over 20%.

6.3 Types of fire

As far as safety is concerned, there are two types of fire;

a) controlled (safe) fire.

- There is good control on the size, duration, temperature, smoke and fumes of fire.
- This is used in our daily life such as cooking, heating (by gas, coal or kerosene), car, aeroplane and rocket engines.
- It requires the presence of air (oxygen), fuel and heat (ignition source).
- These components are termed the fire-triangle.

b) uncontrolled (dangerous) fire.

- There is no control on the size, duration, temperature (1000 oC or more), smoke and fumes of fire.
- This type of fire occurs due to the accidental (or due to criminal act) spread of fire to catch combustible materials.
- In addition to oxygen, fuel and heat, this type of fire requires an uninhibited chain reaction.
- In an uninhabited chain reaction burning continues and may even accelerate.
- This chain reaction occurs due to the breakdown and recombination of the molecules that will add to the fuel of the fire.

Effects of uncontrolled fire

- a. Human loss: burning from extreme heat; suffocation from smoke and fumes and death
- b. Structural damage: damage to labs, offices and buildings
- c. Material damage: damage to instruments, equipment, furniture and supplies
- d. Disruption of work
- e. Financial losses

6.4 Causes of Fire in the Workplace

The sequence of events that leads from the initiation of a fire through to a major disaster with multiple fatalities is a simple path. There are 3 basic requirements for a fire to be created and sustained:

1. The presence of fuel or flammable materials;
2. The presence of a source of ignition;
3. The presence of oxygen in the air to support the combustion.

The ability to manage and reduce the risks associated with these three elements will reduce the likelihood of a serious fire considerably. The sequence of events that can lead to a major fire may include the following:

- The build-up of flammable materials in the workplace;
- The unintentional provision of a source of ignition;
- The failure to quickly detect the presence of the fire;
- The failure to control the fire and extinguish it.

The inability of the employer or controller of the premises to manage the fire can lead to human fatalities. The most common cause of a major fire becoming a major human disaster is the inability of persons trapped within the building to exit the building in a timely and safe manner.

Many more people are killed in fires by the inhalation of smoke and toxic gases than by the heat of the fire. The toxic gases may also cause loss of consciousness within minutes, so timely evacuation is imperative. The exact time for this to happen depends on many factors, but it is recommended that everyone within a building should reach either a place of safety or a protected zone within 2 to 3 minutes of becoming aware of an uncontrolled fire.

6.5 Sources of Fire

The sources of workplace fire may include:

- Faulty or misused electrical equipment
- Lighting equipment
- Naked flames, eg candles, gas or liquid-fuelled open-flame equipment
- Smoking materials, eg cigarettes, matches and lighters
- Electrical, gas or oil-fired heaters (fixed or portable)
- Cooking equipment and toasters
- Hot surfaces and obstruction of equipment ventilation, eg photocopiers
- Hot processes, eg welding by contractors.
- Possible acts of arson, deliberate ignition, vandalism and similar activities.

6.6 Classes of Fire

The classification of fire depends mainly upon the fuel involved. There are five classes of fire.

CLASS "A"

These fires are fueled by ordinary combustible materials, such as wood, cloth, paper, and many plastics. This type of fire burns with an ember, leaves an ash, and is best extinguished by removing the heat side of the triangle. Extinguishers suitable for Class "A" fires should be identified by a triangle containing the letter "A"; if color-coded, the triangle will be green*.



CLASS "B"

These fires are fueled by flammable liquids, combustible liquids, petroleum greases, tars, oils, oil-based paints, solvents, lacquers, alcohols and flammable gases. This type of fire burns on the surface of the fuels, and is best extinguished by a blanketing or smothering action. A fire of this type is fast-spreading and capable of engulfing a large area in a very short time. Extinguishers suitable for Class "B" fires should be identified by a square containing the letter "B". If color-coded, the square is red*.



CLASS "C"

These fires occur in energized electrical equipment, where the electrical non-conductivity of the extinguishing media is of importance. Blanketing or smothering this type of fire with a non-conducting extinguishing agent is of prime importance. Water, or solutions containing water, is never to be used on a Class "C" fire. Extinguishers suitable for Class "C" fires should be identified by a circle containing the letter "C"; if color-coded, the circle is blue.



NOTE: If possible, shut off the source of electricity as soon as possible.

* Extinguishers suitable for more than one of the three classes of fire defined above may be identified by multiple symbols (ABC).

Generally, the extinguishing agent is referred to as DRY CHEMICAL.

CLASS "D"

These fires involve combustible metals, such as magnesium, titanium, zirconium, sodium, lithium and potassium. Generally, the extinguishing agent is referred to as DRY POWDER. These extinguishers should be identified by a star containing the letter "D", if color-coded, the star is yellow.



2.2.5 CLASS "K"

These are fires in cooking appliances that involve combustible cooking media such as vegetable or animal oils and fats. The extinguishing agent is referred to as WET CHEMICAL. These extinguishers should be identified by the letter "K."



6.7 Principles of Fire Extinguishing

Fire extinguishing works on the principle of cutting off the supply of oxygen to the fire and bringing down the temperature. Any one or a combination of these general principles can be used to extinguish a fire:

- Cool the fire - Cooling
- Cut off the oxygen supply - Starving
- Remove the fuel - Smothering

An example of cooling a fire is spraying water on burning wood. This lowers the temperature of the wood below that at which it will burn. An example of cutting off the oxygen supply is covering a container of burning material until all the oxygen is consumed. An example of removing the fuel is turning off the fuel valve on an oxy-acetylene torch. In any of the three instances, the fire will go out.

Cooling

Removing the heat is one of the most effective methods of fire extinction available, which is why water is a popular extinguishing material. The fire will go out so long as the heat generated by the fire is less than that which is absorbed by the water.

Remember: water is not an appropriate extinguishing material to use on electrical fires, as well as those caused by cooking oils/fats or other flammable liquids.

Starving

While cooling removes the heat/ignition element of the 'fire triangle', starving the blaze of its fuel source approaches extinction from a different angle. A raging fire will burn itself out if it runs out of flammable materials, such as a bonfire out in the open that isn't in contact with any other wood or dry grass. Similarly, a gas fire will immediately extinguish if the gas supply is cut off – you only have to look at a gas stove or Bunsen burner to see that.

Smothering

As the other key component present in the chemical reaction that causes combustion, removing oxygen from the equation is the final way of extinguishing a fire. For example, smothering a frying pan blaze with a fire blanket reduces the oxygen to below the 16% required to react, while covering a candle with a glass will snuff it out in a vacuum.

Smothering is a technique that is mostly applicable to solid fuel fires, although some materials may contain enough oxygen within their own chemical makeup to keep the blaze burning.

6.8 Types of Fire Extinguishers

There are different types of fire extinguishers because there are various types of fires. Each extinguisher is suitable for fighting certain types, and it's important for you to know the differences if it's your job to fight fires at work. Being able to immediately distinguish which extinguisher you need in an emergency could make a lifesaving difference. Fire extinguishers are classified as types A, ABC, BC or K. It is important to use the right type of extinguisher on the specific class of fire to avoid personal injury or damage to property. The wrong type of extinguisher could cause electrical shock, explosion, or spread the fire.

Each type of fire extinguisher contains different materials that make them suitable for fighting certain types of fires, and is designed to safely and effectively discharge its contents. The correct one must be used for the right class of fire, otherwise they may prove ineffective or in fact worsen the situation. For example, using a water extinguisher on an electrical fire or a carbon dioxide one on a burning oil fire is extremely dangerous.

There are five main types of fire extinguishers:

1. Water.
2. Powder.
3. Foam.
4. Carbon Dioxide (CO₂).
5. Wet chemical.

Each type is easily identifiable by their names, colours, and sometimes their hoses. Depending on their size, some may not come with a flexible hose, such as smaller foam or aqua water spray extinguishers.

1. Water Extinguishers

There are two main types water extinguishers: standard water spray and dry water mist.

• Standard water extinguishers

These will be solid red and will have the word 'water' or 'aqua spray' printed across them in a signal red band, often with a white border. They are your classic model: they dispense water at a high pressure

to extinguish flames. Water extinguishers are **only suitable for class A fires**, which means they can fight fires that involve wood, cardboard, paper, plastics, fabric and textiles, and other solid materials.



Warning: do not use water extinguishers on burning fat and oil fires and electrical appliances. Water extinguishers can sometimes contain chemical additives that improve their effectiveness by up to 300%. The chemicals remove the water's natural surface tension so that it soaks into burning materials more effectively when used.

• Dry water mist extinguisher

These types of fire extinguishers will be solid red and will usually have the words 'water mist' printed within a white rectangle.

Dry water mist extinguishers are unique in that many of them can **combat almost all types of fires**, including class F fires that are usually difficult to attack. The extinguisher's nozzle converts water into 'dry' microscopic particles, which are then drawn into the fire and simultaneously cool and suffocate it to extinguish the flames.

They are also effective for fire-fighting because they form a safety barrier between the user and the fire – which repels some of the heat – and do not leave hard-to-clean residue behind.



Warning: Although they are not currently classified as suitable for fighting class B (liquids) and C (gases) fires, dry water mist extinguishers have been identified as effective against them.

Other types will be better suited for fighting electrical fires, but dry mist extinguishers have usually had dielectrical tests carried out on them, which means that if they are accidentally used on electrical fires, they will not pose as significant a hazard as normal water extinguishers.

2. Powder Extinguishers

ABC powder extinguisher are types of extinguishers that will say 'powder' in white text over a blue rectangle, and underneath the rectangle will be written 'ABC powder'. As their name suggests, these are **designed to combat class A, B, and C fires** – those involving solids, liquids, and gases. The powder acts as a thermal blast that cools the flames so burning cannot continue. Due to their non-conductive nature, they are **also suitable for fighting electrical fires**. However, they do not effectively penetrate the spaces in equipment easily, so the fire could still re-ignite.



Warning: do not use on domestic chip or fat pan fires (class F).

The downside to ABC powder extinguishers is that they pose a danger of inhalation when used in confined spaces, so they must not be used in them. They also leave residue behind that is difficult to clean up and causes damage to soft furnishings, carpets, and electrical equipment. This is why it's advised you use a different type of extinguisher for fires involving electronics, such as in an office with computers.

3. Foam Extinguishers

Foam extinguishers are identifiable by the word 'foam' printed within a cream rectangle on their bodies. They are primarily water based but contain a foaming agent, which has rapid flame knock-down and a blanketing effect. It smothers the flames and seals vapours so that re-ignition cannot occur.

They are suitable for fighting class A and B fires. When used against class A fires, the user can simply point and spray. However, when used against class B fires – those with flammable liquids – they should not be sprayed directly into the liquid. This could cause the fire to be pushed and spread to surrounding areas. The best method of application is to spray the foam nearby so that it can build up and flow across it.



Warning: these should not be used on any other fire classes, especially electrical fires or chip or fat pan fires. Many foam extinguishers will have had dielectrical tests performed on them, so foam is less hazardous than water if it is accidentally sprayed on live electrical equipment. However, they should still not be used to fight electric fires as they are not specifically designed for them.

4. Carbon Dioxide (CO₂) Extinguishers

These types of extinguishers can be identified by the text 'carbon dioxide' or 'CO₂' printed in white on a black rectangle. They also have a distinct type of hose. Carbon dioxide extinguishers are **used for combating class B and electrical fires** – they suffocate the fire by displacing oxygen in the air. Because they do not leave any substances behind and so minimise damage done to equipment, unlike other extinguishers, they are particularly useful for offices and workshops where electrical fires may occur.



Warning: they must not be used on hot cooking oil and fat (class F) fires. The strong jet from the extinguisher would push the burning oils or fats and spread the fire to surrounding areas. Also bear in mind that while carbon dioxide is effective at smothering fires, once the gas has floated away, the fire may reignite if the source has not been removed. Furthermore: you must not hold the horn, base, or pipework on a CO₂ extinguisher while operating it. The gas becomes extremely cold during its discharge, and this could damage your hands.

5. Wet Chemical Extinguishers

These types of fire extinguishers are identifiable by the words 'wet chemical' printed across a yellow rectangle. It also has an extended hose that you can hold and point, which is useful when fighting fires on a kitchen top.

Wet chemical extinguishers are **designed for combating fires that involve class F fires**. They are effective because they are capable of stopping fires that are of an extremely high temperature, particularly cooking oils and fats. They also discharge gently, stopping the burning oils and fats from being pushed and splashing to surrounding areas or even the user.



The chemicals contained within the canister dispels the flames, cools the burning oil, and produces a soap-like solution that seals the surface and prevents re-ignition of the fire. The best method of application is to spray in slow circular motions. The user should empty the entire contents onto the oils or fats. Otherwise, the fire may re-ignite

Warning: wet chemical extinguishers are usually not recommended for class B fires – those involving liquids. Also, although they are capable of combating class A fires, they are not as effective as other extinguishers at doing so.

5.1 Operation of Portable Fire Extinguishers

Extinguishers have their limits. A portable fire extinguisher can save lives and property by putting out a small fire or containing it. Portable extinguishers are not designed to fight a large or spreading fire. Even against small fires, they are useful only under the following conditions:

- An extinguisher must be large enough for the fire at hand. It must be available and in working order, fully charged.
- The operator must know how to use the extinguisher quickly, without taking time to read directions in an emergency.
- The operator must be strong enough to lift and operate the extinguisher.
- It's easy to remember how to use a fire extinguisher- simply follow the steps -

PASS

- **P**ull - Pull the pin on the extinguisher
- **A**im - Aim the nozzle at the base of the fire
- **S**queeze - Squeeze the trigger to release the product
- **S**weep - Sweep the nozzle from side to side (slowly)

Pull the Pin: Pull the pin at the top of the extinguisher that keeps the handle from being pressed. Break the plastic seal as the pin is pulled.

Aim: Aim the nozzle or outlet toward the fire. Some hose assemblies are clipped to the extinguisher body. Release the hose and point.

Squeeze: Squeeze the handle to release the extinguishing agent. The handle can be released to stop the discharge at any time. Before approaching the fire, try a very short test burst to ensure proper operation.

Sweep: Sweep from side to side at the **base** of the fire until it is out. After the fire is out, watch for remaining smoldering hot spots or possible reflash of flammable liquids. Make sure the fire is out.

5.2 Importance of Fire Assembly Points

A fire assembly point is a location where workmen/ staff/people and visitors can gather in the event of fire/leak/explosion and other emergency to ensure everyone is in a designated safe area. It ensures that people will know where to gather following an emergency evacuation.



Key considerations for Fire Assembly Points:

- Assembly points should be located outside of buildings
- Assembly points outside of the building should be clearly indicated. These points and the routes to them should be signposted with correct notices. Ensure all signage is unobstructed and easy to see, and that staff are aware on joining the company where their designated fire assembly point is.
- For larger sites, a well-formulated procedure should be in place to handle the evacuation of hundreds of people safely, ensuring they are moved through various exit points to a single assembly point.
- Where assembly points are sited is important. Consideration needs to be given to distance from the main building, and ease of accessibility by disabled people.
- Providing a sheltered, illuminated assembly point can be a good idea depending on the type of people who would be evacuated.
- It is important that employees and other persons visiting the building are advised which assembly area they must use in the event of evacuation. For employees, this should form part of their induction to the company. For visitors, it is good housekeeping to advise where the nearest exit points and assembly point is.

5.3 Methods of Fire Prevention

1. Controlling flammable materials

Flammable materials need to be restricted within the building and suitably stored. The amounts of stored materials should be kept to a minimum. Flammable liquids and gas bottles should be stored in external storage buildings. Flammable materials such as paper, fabrics, wood, plastics, packaging materials etc. should not be stored:

- Beneath staircases or in stair wells;
- Up against heating equipment;
- Close to electrical cabinets or equipment;
- Near to sources of hot work such as welding and grinding;
- Close to heat sources such as cooking or smoking.

2. Reducing the potential for ignition

The positioning of any sources of heat or ignition need to be considered in relation to the location of flammable materials. The following control factors should be considered within the Fire Plan:

- No smoking in the work place;
- Controlled access to minimize the potential for arson;
- Good housekeeping in areas where hot work is carried out;
- Safe procedures for the burning of waste materials;
- Effective electrical maintenance and inspection.

Poor electrical maintenance is one of the main ignition factors, and special precautions should be observed:

- Electrical equipment should be earthed to minimize the potential for static electricity creating a source of ignition;
- Each electrical circuit should have an adequate fuse or circuit breaker located in a well-constructed box in close proximity to the work station;
- Hard wired circuits should be used instead of extension cords to minimize the potential for damage to the wiring; insulation and to remove the practice of ganging multiple plugs and possibly overloading of circuits;
- Isolators should be arranged so that all electrical equipment has the potential to be isolated in an emergency.

3. Rapid identification of the presence of the fire

The provision of detectors connected to alarm and warning systems are important in the rapid identification of the presence of a fire. Fire detection can be achieved using a variety of battery or mains electrically powered equipment that may identify the presence of smoke, heat or flickering light. These equipment and devices need to be routinely inspected and tested. Their locations and distribution are critical. Their presence is vital especially in all areas of the building where flammable materials are being stored.

4. Effective emergency provision and procedures

The ability for all persons to timely evacuate the building is a vital control requirement. There needs to be a fire escape route established. All fire escape routes must be marked out, preferably with yellow floor paint and they must be a minimum of 70cms in width and free of obstruction. Where possible the fire escape route should be well lit with emergency lighting. All escape routes must exit the building to a safe place. All employees should be instructed and trained in the Fire Escape procedure. On a regular basis all employees should take part in a fire escape practice.

5. Control of the fire

Firefighting equipment must be selected and positioned to be as effective as possible. The following factors should be considered in the firefighting plan:

- The correct firefighting equipment is matched to the type of fire;
- The firefighting equipment is positioned at the exits to the building.
- The firefighting equipment is properly mounted in an unobstructed and marked position;
- Employees are selected and trained in the use of the extinguishers;
- The fire extinguishers are inspected as scheduled
- Numbers of emergency contact should be clearly indicated at the workplaces and means for such a contact should be available.

The following are examples of control measures.

- Fire detection devices, eg heat sensors and smoke alarms.
- Fire warning devices, eg fire alarms.
- Emergency fire-fighting equipment, eg extinguishers and fire blankets.
- Fire containment, eg fire doors.
- Safe exits and escape routes.
- Emergency fire procedures, eg arrangements for issuing warnings and calling the fire brigade.
- Fire evacuation plans.
- Special fire evacuation equipment, eg evacuation chairs for helping those with impaired mobility out of the building.
- Fire safety training and drills.

5.4 Learning Activities

Visit any organization of your choice preferably one that is within the transport and logistics sector. Take a walk through and observe the various fire management approaches in place.

Required

1. Identify the different types of fire extinguishers in place.
2. The existence of fire assembly points
3. The existence of fire exits and signage
4. What areas of concern can you identify that expose the organization to fire risk?
5. What recommendations can you provide to manage to effectively reduce any risk from fires?

5.1 Self-Assessment Questions and Activities

1. What are the causes and sources of workplace fires?
2. What are the different types and classes of fires?
3. What are the principles of fire extinguishing?
4. What are the types of fire extinguishers?
5. How would you use fire extinguishers?
 - a. What kinds of burning materials can be extinguished with a Class A fire extinguisher?
 - b. What kinds of burning materials can be extinguished with a Class B fire extinguisher?
 - c. What type of fire can be extinguished with a Class C extinguisher?
 - d. What are the symbols that represent the different types of fire extinguishers?
6. Where should fire extinguishers be located? What is the importance of fire assembly points?
7. What are the different methods of fire prevention?

7.1 References

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8.0 ACCIDENTS IN THE WORKPLACE – OCCUPATIONAL ACCIDENTS

8.1 Specific Learning Outcomes

- i. Explain the meaning of occupational accidents
- ii. Discuss the causes of accidents
- iii. Discuss the consequences of accidents
- iv. Identify accident prevention measures
- v. Identify accident response measures
- vi. Explain the importance of accident reporting and investigation

8.2 Meaning of an Occupational Accident

An accident means:

- A sudden and unforeseen event arising from an external factor
- That causes the employee to be injured or develop an illness.

An external factor may be, for example, slippery surfaces, a pothole, an object falling from above, or a sharp object that impacts with the hand. An external factor may also refer to acid, a virus, or bacteria.

The suddenness of an event means that the incident takes place quickly and without warning, such as slipping, falling or colliding with an object.

An unforeseen event means that the incident occurs independent of the employee's own will. If an employee deliberately injures him/herself, it is not an accident.

An “occupational accident” is an occurrence arising out of or in the course of work which results in a fatal or non-fatal injury. Like other undesired workplace events, occupational accidents are generally caused by various factors, some more evident than others, which form a causation chain leading to the accident.

8.3 Causes of Workplace Accidents

The workplace can be dangerous, even more so in an industrial environment. Numerous factors can cause accidents, ranging from overexertion to mishandling of hazardous materials. There are also a multitude of variables that can contribute to or influence a workplace incident. Following are eight of the most common causes of accidents in the workplace:

1. Lifting

Many employees are prone to sprain, strain or tear a muscle by virtue of lifting an object that is too heavy for them to lift on their own. Keep in mind that there is no harm in asking for help with objects that are difficult to lift.

2. Fatigue

Failing to take a break is another common cause of accidents. In order to recover from gruelling manual labour, it is essential that employees take adequate breaks. Not doing so can lead to a slew of physical issues, including atrophy and general exhaustion. The results of either of these can be far more devastating than taking a 10-minute breather.

3. Dehydration

Not staying hydrated can also bring about disastrous consequences. On exceptionally hot summer days, failing to drink adequate amounts of water can cause heat stroke or cardiac conditions. This can be avoided by simply drinking at least eight glasses of water per day. Management should stress the importance of proper hydration and rest, as it maximizes the efforts of personnel.

4. Poor Lighting

Inadequate lighting is responsible for a number of accidents each year. This is often overlooked when attempting to prevent accidents in the warehouse or workplace.

5. Hazardous Materials

Improper handling of hazardous materials or not wearing personal protective equipment (PPE) is another common cause of accidents in the workplace. By reading material safety data sheets and providing the appropriate protective attire, many workplace incidents can be avoided.

6. Acts of Workplace Violence

Sadly, violence among co-workers has become all too common. It is usually brought about by office politics or other sensitive issues. Integrating conflict resolution and peer mediation can help to reduce the risks of such outbursts.

7. Trips and Falls

Slick floors and high-traffic corridors can cause a trip or fall. Improper footwear may also contribute to these accidents, which not only can result in injuries but also workman's compensation-related cases.

8. Stress

Stress is one of the leading causes of death. It affects the human body in every facet imaginable. Stress can foster negative effects physiologically, emotionally and mentally, as well as debilitate or distract any worker. Therefore, it is essential to encourage a supportive team environment.

8.4 Consequences of Accidents

Accidents have various consequences to the various parties involved either directly or indirectly. The consequences could be minimal to severe such as death of an employee.

Workplace injuries can result in:

- **Physical injuries**, including loss of limbs, burns and trauma. The effects of these injuries can be permanent and life-changing, and could result in temporary or permanent loss of an employee. Losing a trained employee due to a workplace accident can cost the company significantly including being liable to cover sick pay, medical costs and compensation.
- **Fatalities**. Many employees get killed in a workplace accident in line of duty. If an employee dies at work, the organization could face enforcement action and significant fines, as well as a decrease in morale and performance.
- **Psychological repercussions**. A workplace injury can have significant psychological impacts on the affected employee, including anxiety, stress and depression. This might result in an employee having to take time away from work.
- **Loss of morale**. Workplace accidents can result in a significant decrease in morale, both for the injured employee and their co-workers. A loss of morale can, in

turn, decrease work performance which can impact company turnover.

- **Increased costs**. A workplace injury could leave the company with legal fines, compensation, increasing insurance premiums, temporary staff costs, hiring costs and reduced profit from decreased performance. Some of the costs also include:
 - Cost in employee compensation as a result of injury
 - Productive time lost by an injured employee.
 - Productive time lost by employees and supervisors helping the accident victim.
 - Time to hire or train a worker to replace the injured worker until they return to work.
 - Property damage.
 - Time and cost for repair or replacement of damaged equipment, materials or other property.
 - Cost of continuing all or part of the employee's wages, plus compensation.
 - Cost of completing paperwork generated by the accident and compliance.
 - Penalties and sanction by industry and government agencies.
 - Cost of implementing remedial strategies as sanctioned.
 - Dented organization reputation.

8.5 Accident Prevention Measures

Accidents are unplanned occurrences that result in injuries, illness, death, and loss of property and/or production. While there is no way to completely eliminate accidents, there are certain plans, preparations, and actions that can be taken to reduce them.

- Develop and implement a Health and Safety Policy which should include information on:
 - How you manage safety in your workplace.

- Individual responsibilities regarding health and safety.
- How you manage specific workplace activities.
- Know the Hazards
 - Be aware of surroundings. Look around and identify workplace hazards that could cause harm.
 - Look for ways to reduce or eliminate hazards and implement them.
 - Report unsafe areas or practices.
 - Dress for the weather.
- Create a Safe Work Area
 - Keep an orderly workplace. Poor housekeeping can cause serious health and safety hazards. The layout of the workplace should have adequate egress routes and be free of debris.
 - Continually cultivate a safety standard.
 - Take breaks and move around regularly throughout the day. Small breaks (standing up and moving around) can make a big difference in combating the dangers of staying in a static position all day long.
 - Pay attention to workstation ergonomics.
 - Display hazard specific warning signs.
 - Regular inspections and maintenance of work equipment and machinery.
- Use Safe Lifting Techniques
 - Follow the following safe lifting practices:
 - ☐ Lift from a position of power
 - ☐ Keep the load close
 - ☐ Use a staggered stance
 - ☐ Don't twist while lifting
 - Training in body mechanics can reduce strain injuries and keep employees safe during lifting and moving.
- Personal Protective Equipment
 - The proper use of Personal Protective Equipment (PPE) can dramatically reduce the risk of injury.
 - Examples of PPE include gear such

as earplugs, hard hats, safety goggles, gloves, air-purifying respirators and safety shoes.

- Regular Communication

- Notify supervisors about safety hazards.
- Speak up and be involved in safety planning.
- Continually cultivate a safety standard.

Education and Training

- Ensure everyone has the proper safety training relating to the hazards of the job.
- Employees must be appropriately and regularly trained in health and safety measures and receive adequate training for all their duties.
- Appropriately trained employees are less likely to have workplace accidents as they understand how to carry out their duties correctly and safely.

8.6 Accident Response Measures

Assess the situation

Before administering care to an ill or injured person, check the scene and the person. Size up the scene and form an initial impression. Pause and look at the scene and the person before responding. Answer the following questions:

- Is the scene safe to enter?
- What happened?
- How many people are involved? - What is my initial impression about the nature of the person's illness or injury?
- Does the person have any life-threatening conditions, such as severe, life-threatening bleeding?
- Is anyone else available to help?

After initial assessment:

- Respond as quickly as possible
- Apply first aid as called for
- Call or have someone call 9-1-1 for an ambulance if the injury is severe enough.

Take control and secure the situation

Control potential secondary accidents. This includes denying access to people who don't need to be on the scene. If there's been a spill, for example, you don't want other employees wandering through and slipping on something.

Assist the injured

With emergency services on the phone, they can help you keep the victim stable before the ambulance arrives. If the victim is conscious, talk to them and ask them questions to make sure they stay awake, especially if there is a head injury involved.

Report the injury

Should you witness an accident and any type of injury occurs (even non-life threatening), you must report it to the supervisor so that the appropriate actions can be taken. If it is required, a report of the injury must be filed. Also, management should be made aware of the incident as well as any concerns.

8.7 Accident Reporting and Investigation

Collecting information on accidents can be useful in preventing occupational accidents and diseases and should therefore be investigated in order to answer the following questions (the “5Ws and 1H”):

- Who was injured, suffered ill health or was otherwise involved in the event under investigation?
- Where did the accident occur?
- When did the accident occur?
- What happened at the time of the accident?
- How did the accident occur?
- Why did the accident occur?

The accident report should include the essential information on how a person was injured or came to be ill so that the event or condition can be analysed, the circumstances understood, and the necessary steps taken in order to prevent its recurrence.

Employers must ensure that workers understand their obligation to report to their supervisors any hazardous situation or abnormality observed in the workplace. Workers should be aware of any reported cases and the circumstances under which they occurred so that they can help to improve working conditions. This information is valuable for prevention. Having a form on which to record incidents makes it easier to take corrective action.

8.8 Learning Activities

Undertake an institutional walk through. Observe and take note of the different accident related issues.

Required

- Identify the different indicators or situations that can result in accidents in the organization
- Recommend accident prevention strategies to the organization based on your observations.

8.9 Self-Assessment Questions and Activities

1. What is the meaning of occupational accidents?
2. What are the causes of occupational accidents?
3. Discuss the consequences of accidents
4. How would you prevent accidents in the workplace?
5. What strategies would you use to respond to workplace accidents?

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UNIT 7:

ETHICS AND INTEGRITY

Table of contents

UNIT 7: ETHICS AND INTEGRITY	471
1.0 UNIT OVERVIEW	471
1.1 .. Unit Description	471
1.2 .. Summary of General Learning Outcomes	471
2.0 THE ROLE OF ETHICS AND INTEGRITY IN THE LOGISTICS SECTOR	471
2.1 .. Specific Learning Outcomes	471
2.2 .. Introduction	471
2.3 .. Concepts of Ethics, Morality and Integrity	471
2.4 .. Principles of Personal Ethics	474
2.5 .. Principles of Professional Ethics and Professionalism	474
2.6 .. Business Ethics	476
2.7 .. Promoting Ethical Behaviour	477
2.8 .. Importance of Ethics and Integrity in the Customs and Logistics Sector	478
2.9 .. Learning Activities	479
2.10 .. Self-Assessment Questions and Activities	480
2.11 .. References	481
3.0 LAWS AND REGULATION REGARDING ETHICS AND INTEGRITY	482
3.1 .. Specific Learning Outcomes	482
3.2 .. Types of Laws and Regulations Guiding Integrity	482
3.3 .. WCO and Integrity	482
3.4 .. International Conventions	482
3.5 .. Code of Ethics and Code of Conduct	486
3.6 .. WCO Model Code of Ethics and Conduct	488
3.7 .. FIATA Business Integrity and Compliance Statement	489
3.8 .. FEAFFA Code of Conduct	490
3.9 .. Regional and National Laws	490
3.10 .. Learning Activities	491
3.11 .. Self-Assessment Questions and Activities	491
3.12 .. References	492
4.0 IMPLEMENTING A CULTURE OF ETHICS IN THE ORGANIZATION	493
4.1 .. Specific Learning Outcomes	493
4.2 .. Introduction	493
4.3 .. Meaning of Ethical Culture	493
4.4 .. Elements of an Ethical Culture	493
4.5 .. Levels of an Ethical Culture	493
4.6 .. Creating an Ethical Organizational Climate	494
4.7 .. Implementing Professional Ethics	495
4.8 .. Consequences of Unethical Behaviour	496
4.9 .. Handling Ethical Dilemmas	496
4.10 .. Ethical Decision Making Framework	497
4.11 .. Learning Activities	498
4.12 .. Self-Assessment Questions and Activities	498
4.13 .. References	499
5.0 ELIMINATING CORRUPTION PRACTICES	500
5.1 .. Specific Learning Outcomes	500
5.2 .. Introduction	500
5.3 .. Meaning of Corruption	500
5.4 .. Elements of Corruption	500
5.5 .. Bribery	501
5.6 .. Types of Corruption	501
5.7 .. Causes and Sources of Corruption	502
5.8 .. Consequences of Corruption	503
5.9 .. Corruption Prevention Strategies	504
5.10 .. International Anti-Corruption Conventions	505
5.11 .. Different Stakeholders in Reducing Corruption in the Region	508
5.12 .. Corruption Reporting Mechanism	510
5.13 .. Learning Activities	511
5.14 .. Self-Assessment Questions and Activities	511
5.15 .. References	512

6.0	DETECT AND REPORT COMMERCIAL FRAUD AND TAX EVASION	513
6.1	Specific Learning Outcomes	513
6.2	Meaning of Terms in Commercial Fraud	513
6.3	Fraud Drivers (Fraud Triangle Theory)	513
6.4	Types of Fraud in Customs	514
6.5	Consequences of Fraud and Tax Evasion	516
6.6	Learning Activities	517
6.7	Self-Assessment Questions and Activities	517
6.8	References	518

LIST OF ABBREVIATIONS AND ACRONYMS

UNIT 7: ETHICS AND INTEGRITY

1.0 UNIT OVERVIEW

1.1 Unit Description

This unit covers competencies required to manage ethics, integrity and corporate governance in a freight logistics business. It involves complying with laws and regulation regarding ethics and integrity; implementing a culture of ethics in the organization; detecting corruption practices in an organisation; detecting and reporting commercial fraud and tax evasion; and, identifying ethical and integrity issues in the logistics sector.

1.2 Summary of General Learning Outcomes

At the end of the unit, the trainee should be able to:

1. Explain the role of ethics and integrity in the logistics sector
2. Comply with laws and regulation regarding ethics and integrity
3. Implement a Culture of ethics in the organization
4. Detect corruption practices in a n organisation
5. Detect and report commercial fraud and tax evasion

2.0 THE ROLE OF ETHICS AND INTEGRITY IN THE LOGISTICS SECTOR

2.1 Specific Learning Outcomes

- i. Explain the concepts of ethics, morality and integrity
- ii. Identify fundamentals of ethics and integrity
- iii. Identify elements of Integrity
- iv. Identify the relationship between ethics and business
- v. Describe the principles of ethics
- vi. Discuss the benefits of ethics
- vii. Discuss the importance of integrity in the logistics sector.

2.2 Introduction

The role of ethics and integrity in any sector is very important. Ethics and integrity affects the very core of life and as well as economic wellbeing of nations.

Whereas institutions can develop frameworks to implement ethics and integrity in addition to initiatives by regulatory bodies and governments, the sole prerogative lies with the individual. This unit will provide knowledge on ethics, integrity and corruption with both theoretical and practical approaches on enhancement of integrity and elimination of corruption. It will also equip the participants with knowledge, skills and attitudes that will enable them uphold ethical values required in the C&F industry while providing services to customers. As professionals in the C&F sector, it is expected that the students will strengthen their professionalism by adhering to the principles discussed herein.

Six ethical terms form the foundation of trust upon which ethical business practice is built:

- Ethics
- Values
- Morals
- Integrity
- Character
- Laws

These six concepts—ethics, values, morals, integrity, character, and laws—form the foundation of trust upon which ethical business practice is built.

2.3 Concepts of Ethics, Morality and Integrity

2.3.1 Concept of Ethics

Ethics consists of the standards of behavior to which one holds themselves in their personal and professional lives. It establishes the levels of honesty, empathy, and trustworthiness and other virtues which identify one's personal behavior and public reputation. In one's personal sphere, ethics sets norms for the ways in which one interacts with family and friends. In the professional sphere, ethics guides one's interactions with customers, clients, colleagues, employees, and shareholders affected by business practices. Ethical acts are generally considered voluntary and personal—often based on our perception of or stand on right and wrong. In short ethics defines who we are through the way we do what we are expected to do.

Ethics is defined by different scholars as;

- A set of moral values that justify a standard of behavior of individuals, societies, organizations and professions.

- A system of moral principles that deals with values relating to moral conduct, with respect to the rightness and wrongness of certain actions and to the goodness and badness of the motives and ends of such actions. It involves systematizing, defending, and recommending concepts of right and wrong behaviour.
- A set of accepted norms and standards of conduct that establish guiding principles of public and private conduct of those who serve the public. Worth noting is that different societies, professions or institutions may have their own unique values or ethics.
- Ethics focuses on the right or wrong behavior well based standards of wrong and right that prescribe what humans ought to do, usually in terms of rights, obligations, fairness, benefit to society.

Ethics has been defined as a set of morally accepted norms or standards. Ethics is morally acceptable standards. Ethics is understood as set of rules or principles that define right and wrong conduct and is an integral part of societal or organizational culture. Ethics is the code of moral standards by which people judge the actions and behaviors of themselves and others. Business ethics brings those moral standards into the workplace.

2.3.2 Types of Ethics

Individual Ethics

It is a collection of individual ethical values that guides oneself to distinguish between right and wrong, good and bad, should and should not be done, can and cannot be done. The choice between these things always happens on the job, in their daily lives, or when interacting with others.

Organizational Ethics

For those who work within an organization, organizational ethics is a guideline for them on the job, such as the need to hold on to the clean, efficient, trustworthy, honest, truthful, transparent, accountable and fair values. Since the organization deals with the public, ethical organizations also demand that the officials should comply with the Client Charter.

Business Ethics

Business ethics guides the conduct by which companies and their agents abide by the law and respect the rights of their stakeholders, particularly their customers, clients, employees, and the surrounding community and environment. Business ethics expect companies to be compliant.

Compliance in terms of business ethics generally refers to the extent to which a company conducts its business operations in accordance with applicable regulations, statutes, and laws. Yet this represents only a baseline minimum. Behaving ethically requires that we meet the mandatory standards of the law, but that is not enough. For example, an action may be legal that we personally consider unacceptable. Companies today need to be focused not only on complying with the letter of the law but also on going above and beyond that basic mandatory requirement to consider their stakeholders and do what is right.

Companies develop moral standards to address the unique ethical situations. Business ethics is defined as the application of a moral code of conduct to the strategic and operational management of a business. A successful business depends on the trust of various parties—employees, managers, executives, customers, suppliers, and even competitors.

2.3.3 Integrity

Integrity is the practice of being honest and showing a consistent and uncompromising adherence to strong moral and ethical principles and values. In ethics, integrity is regarded as the honesty and truthfulness or accuracy of one's actions. Integrity is a highly valued trait for any professional. It can be viewed as the unity between what we say and what we do. Acting with integrity means we adhere strongly to a code of ethics, so it implies trustworthiness and incorruptibility. Being a professional of integrity means consistently striving to be the best person you can be in all your interactions with others. It means you practice what you preach, walk the talk, and do what you believe is right based upon reason.

Integrity can be described as the behaviour of individuals and an organization to follow the rule of law. The ICC Customs Guidelines define two forms of integrity or the lack thereof. The first deals with misbehaving individuals in an otherwise sound organization. The basis for this type of corruption is more likely to be a character defect, some urgent,

large financial need or, sometimes, fear induced by threats of physical violence. The second form is of a largely misbehaving organization in which sound individuals are the rare exception. This form of corruption is usually a reflection of a certain cultural and social environment. The lack of integrity, however, involves two sides, the one that receives and the one that gives. Fighting corruption therefore requires action on both sides, on the Customs as well as on the private sector side.

The WCO Revised Integrity Development Guide defines ‘integrity’ as ‘A positive set of attitudes which foster honest and ethical behaviour and work practices’ (WCO 2012b, p. 4), and, at the same time, emphasises the fact that integrity challenges remain a major obstacle to effective reforms and have a detrimental effect on the overall pride, esprit de corps and professionalism of an organisation.

2.3.4 Morality

Morality refers to the concept of human action which pertains to matters of right and wrong. It is conformity to the rules of right conduct or virtuous conduct. Morality is the collection of concepts and attitude that can be used by a culture or a group in society to control or change the behaviour of an individual. Different societies or cultures have their different opinions on morality. Morality can be applied to the generality or the part of the fields in which the personal opinions of the individual have some relation or reference to other individuals. Morality can also be defined as the personal ethical behaviour that an individual creates for himself.

The terms ‘morality’ and ‘ethics’ have a strong relationship with each other. Morality is used to analyse the behaviour of the individual and the standards of conduct. Ethics is used to refer to the formal study of these standards. Morality can be considered as ethics in action.

Morals are a set of rules or mode of conduct on which society is based. Certain moral practice are universal, such as the laws forbidding homicide and the basic duties of doing good and furthering the well-being of others. With morals serving as the underpinning of society, there are four points we should remember, says philosopher Robert C. Solomon.

1. *Moral rules are important:* In general, moral rules are rules that help society function in a civilized way.

2. *Morality consists of universal rules:* They apply to everyone, everywhere, and are recognized by everyone as being necessary.
3. *Morals are objective:* They do not consider personal preferences. Right is right and wrong is wrong.
4. *Morality affects other people:* Morality involves considering the well-being of others as reflected by the Golden Rule: Do unto others as you would have them do unto you.

2.3.5 Values

Values are defined as the acts, customs, and institutions that a group of people regard in a favorable way. Statements of value typically contain words of approval, disapproval, and obligation. Some of these words might be good, bad, should, and should not. However, value judgments do not have to contain specific value words. “That is a lie” does not contain a particular word of disapproval, but the implication that a lie is wrong is understood. Values are what really matter to us most—what we care about. For instance, family devotion, respect for the environment, and working hard for a day’s pay are three values that can evoke a response in many people.

2.3.6 Character

Ethics is not just how we think and act. It is also about character. Character drives what we do when no one is looking. Each person has the ability to build, change, or even destroy his or her own character. We can build our character through the way we live—by thinking good thoughts and performing good acts. Similarly, bad thoughts and behavior can destroy our character.

A person with character has high morals and will act morally in all situations by choice, not force. A person with character will honor his or her commitments. Character pertains to organizations, as well. A company with high character is worthy of trust and respect, acts honestly, and stands by its promises.

2.3.7 Laws

The law is a series of rules and regulations designed to express the needs of the people. Laws protect people from the most blatant and despicable affront to morality, such as murder, rape, and theft. Laws frequently provide us with a sense of right and wrong and guide our behavior, but not always. While murder is against the law, the law does not always stop someone from killing another out of hatred, anger, or in defense of a personal philosophy.

Laws are instituted as notions of justice and tend to be specific, yet diverse within different societies. Laws have always had a strong connection to morality, ethics, and values. But, not all laws are ethical. Laws have legalized slavery, segregation, sexism, and apartheid. Although these laws might have reflected society's values at the time they were enacted, they could not nor will they ever justify immoral behavior. Likewise, in business, it is not unlawful to lie to a coworker or on a job application, but both are ethically wrong.

2.3.8 Ethics and the Law

Ethical means the right thing. For a long time, business executives and managers worked under the assumption that their conduct was morally acceptable as long as they stayed within the law. The problem with that assumption is that the law often lags behind community standards, especially when the ethical questions involved aren't necessarily universal. So you can stay within the law and still fail to do the right thing.

Ethical conduct is not about upholding the law. It is about upholding higher standards of conduct than simply adhering to the rules or the law. It may not always be easy to adhere to these higher standards, especially in difficult situations. It takes courage, moral integrity, and a keen sense of commitment to ethical standards to make the right decisions.

In business, the law doesn't always address issues of ethical concern, so a company that merely complies with the law can end up with gaping holes in its obligations to its stockholders, employees, suppliers, and community.

2.4 Principles of Personal Ethics

Personal ethics can also be called morality, since they reflect general expectations of any person in

any society, acting in any capacity. These are the principles we try to instill in our children, and expect of one another without the need to express the expectation or formalize it in any way.

Principles of personal ethics include the following:

- a. Concern for the well-being of others
- b. Respect for the autonomy of others
- c. Trustworthiness & honesty
- d. Willing compliance with the law (with the exception of civil disobedience)
- e. Basic justice; being fair
- f. Refusing to take unfair advantage
- g. Adhering to the golden rule: doing to others as you wish them to do to you; doing good
- h. Preventing harm
- i. Honoring your obligations.

2.5 Principles of Professional Ethics and Professionalism

An individual acting in a professional capacity takes on an additional burden of ethical responsibility. For example, professional associations such as FEAFPA have codes of ethics that prescribe required behavior within the context of the professional practice such as medicine, law, accounting, or engineering. These written codes provide rules of conduct and standards of behavior are based on the expected professional behavior which may include the following but not limited to:

- a. Objectivity, impartiality
- b. Openness, full disclosure and efficient communication
- c. Confidentiality
- d. Due diligence / duty of care / stewardship
- e. Fidelity to professional responsibility
- f. Avoiding potential or apparent conflict of interest

Even when not written into a code, principles of professional ethics are usually expected of people in business, volunteers, elected representatives, etc.

2.5.1 Professional Ethics

Professional ethics encompasses the personal and corporate standards of behaviour of professionals. Due to the personal and confidential nature of many professional services, and thus the necessity to place a great deal of trust in them, most professionals are subject to strict codes of conduct enshrining rigorous ethical and moral obligations.

Professionals are capable of making judgement, applying their skills and reaching informed decisions because they have received relevant training. Professional ethics are also known as ethical business practices among the professions such as medical, judicial, legal, accounting, journalism and teaching. For example, a doctor or a judge is bound by the ethics of his/her occupation. An editor, author or journalist will have to abide by journalism ethics in information dissemination through the media. Similarly, C&F players must also abide by the required ethical standards in the sector.

2.5.2 Becoming an Ethical Professional – Professionalism

Professionalism is the conduct, aims or qualities that characterize or mark a profession or professional person. It implies there is a quality of workmanship or service required of those who practice the profession. But in reality, it's more about ethical behavior in the workplace. Every organization knows that a professional and ethical reputation is the difference between success and failure, and they seek to keep those staff who are the most professional. Ethical professionals work for companies whose values align with their own.

2.5.3 Elements / Principles of Professional Ethics

Various values as expected of professionals have been identified as critical to the implementation of professional ethics as listed below. Organizations and professional associations identify the values that are the most critical and that address the sector specific unique situation.

As a professional the following are expected (not listed in any order):

1. Honesty - be honest in all communications and actions

Ethical professionals are, above all, worthy of trust and honesty is the cornerstone of trust. They are not only truthful, they are candid and forthright.

2. Integrity - maintain personal integrity

Ethical professionals earn the trust of others through personal integrity. Integrity refers to a wholeness

of character demonstrated by consistency between thoughts, words and actions. Maintaining integrity often requires moral courage, the inner strength to do the right thing even when it may cost more than they want to pay.

3. Promise keeping and reliability - keep promises and fulfill commitments

Ethical professionals can be trusted because they make every reasonable effort to fulfill the letter and spirit of their promises and commitments. They can be reliable and adhere to for example the promises in the professional service charter.

4. Loyalty - be loyal within the framework of other ethical principles

Ethical professionals justify trust by being loyal to their professions, organizations and the people they work with. Ethical professionals place a high value on protecting and advancing the lawful and legitimate interests of their companies and their colleagues. They do not, however, put their loyalty above other ethical principles or use loyalty to others as an excuse for unprincipled conduct. They avoid conflicts of interest and they do not use or disclose information learned in confidence for personal advantage.

5. Fairness - strive to be fair and just in all dealings

Ethical professionals are fundamentally committed to fairness. They do not exercise power arbitrarily nor do they use overreaching or indecent means to gain or maintain any advantage nor take undue advantage of another's mistakes or difficulties. Ethical professionals manifest a commitment to justice, the equal treatment of individuals, tolerance for and acceptance of diversity.

6. Caring - demonstrate compassion and a genuine concern for the well-being of others

Ethical professionals are caring, compassionate, benevolent and kind. They understand the concept of stakeholders (those who have a stake in a decision because they are affected by it) and they always consider the business, financial and emotional consequences of their actions on all stakeholders.

7. Respect for others - treat everyone with respect

Ethical professionals demonstrate respect for the human dignity, autonomy, privacy, rights, and interests of all those who have a stake in their decisions; they are courteous and treat all people with equal respect and dignity regardless of sex, race or national origin. Ethical professionals adhere to the Golden Rule, striving to treat others the way they would like to be treated.

8. Law abiding - obey the law

As law abiding citizens, ethical professionals abide by laws, rules and regulations relating to their business activities.

9. Commitment to excellence - pursue excellence all the time in all things

Ethical professionals pursue excellence in performing their duties, are well-informed and prepared, and constantly endeavor to increase their proficiency in all areas of responsibility.

10. Leadership - exemplify honor and ethics

Ethical professionals are conscious of the responsibilities and opportunities of their position of leadership and seek to be positive ethical role models by their own conduct and by helping to create an environment in which principled reasoning and ethical decision making are highly prized.

11. Reputation - build and protect the company's reputation

Ethical professionals understand the importance of their own and their company's reputation as well as the importance of the pride and good morale of employees.

12. Accountability - be accountable

Ethical professionals acknowledge and accept personal accountability for the ethical quality of their decisions and omissions to themselves, their colleagues, their companies, and their communities.

2.6 Business Ethics

Business ethics refers to the standards and principles for morally right and wrong conduct in business operations. These principles govern every aspect of the company's life, including its interaction with government and other businesses, its treatment of its employees, and its relationship with its customers. Whenever any ethical dilemmas or controversies arise, a business will look to these foundational principles to help resolve those situations. Organizations establish business ethics to promote integrity among their employees and gain trust from key stakeholders, such as investors and clients.

2.6.1 Benefits of Business Ethics

Evidence of strong commitment to ethical values shows that ethics pays through improved institutional performance and reputation including the fact that ethics:

1. Enhances business performance.
2. Enhance business reputation: Business ethics helps in enhancing the reputation of the organization in the market. Practicing of ethics ensures the legality of business and provide better service to customers.
3. Enhances positive work environment: It helps in maintaining a positive work environment for business. Ethics clearly defines the code of conduct for business and directs the limits within which it should operate. Employees are trained to work efficiently in a team and develop better relationships with their co-workers. Superiors trust their subordinates and grant them proper autonomy for performing their roles effectively.
4. Improves customer happiness: Ethics leads to improved customer satisfaction with the business. Customers when treated fairly get committed to the business for the long term. They get proper help support and all their complaints are redressed timely. Business via these good ethical principles are able to build a loyal customer base.
5. Helps retain good employees: Adopting of ethical principles enable business in retaining good employees for a longer period. Employees want to work with such

an organization that treats them fairly and recognizes their talent. They need to be compensated for their work and wants appreciation based on their work quality. Companies dealing with their workers fairly and openly are able to easily retain them.

6. Enhances investors / shareholders loyalty: All investors and shareholders want to be associated with the ethical business for earning better return. They look for reputation, ethics, and social responsibility of business before choosing the one to invest their funds. Business working on ethical values are able to attract investors and other funding partners.
7. Helps avoid legal problems: Controlling legal issues is another important advantage provided by business ethics. Implementation of ethical principles ensures that organizations comply with all **and** regulations. Companies maintaining proper ethical standards avoids themselves from any fine and penalties charges by government agencies.

2.6.2 Relationship Between Ethics and Business

There is a strong relationship between ethics and business performance. As organizations desire to achieve positive performance in different spheres, the link between ethics and business should be established and understood. There are two components in a business organization that are affected by ethics including **relationships** and **reputation** of the organization. The driving force behind ethics management in business is its impacts on business performance, which directly impacts on the following:

- Efficient and effective use of resources
- Reputation
- Human potential
- Business performance / excellence in service delivery
- Level of trust
- Stakeholders confidence
- Being a good corporate citizen
- Maintaining peace, law and order.

2.7 Promoting Ethical Behaviour

Ethical behavior is conduct that is beyond reproach and is in accordance to the laid down standards of a society, institution or organization. The standards of conduct may not always be written and adopted formally by the institution or organization. They also change as organizations and institutions evolve, underscoring the need for regular education about acceptable conduct in the profession and the organization.

Fundamentally, ethics is about choices that people make about ordinary (as well as extraordinary) decisions in day-to-day life. The choice to act one way vs. another has an impact on the outcomes and the method adopted to get to those outcomes. Choices are often impacted by personal and professional values. Many leaders use their personal lives as a moral compass for their professional conduct. Values that we learn when young often guide us in our adult, professional lives. While values are non-negotiable, practices may need to be adapted to the situation at hand, or from time to time. Aligning actions with values will ensure that they are being incorporated into the operations of the organization from the highest to the lowest level, ensuring overall success.

2.7.1 Foundation for an Ethical Behaviour

Ethical behavior needs to be promoted from the top and supported with policies and adequate resources that enable employees and peers to make ethical decisions. Organizational leadership needs to be a model of ethical decision making in order to reinforce the importance of ethical behavior throughout the organization. They need to lead by example.

An established code of ethics, education and training, and a defined process for reviewing violations are all tools that help support an ethical culture in an organization. For the firms within the Logistics and Freight Forwarding sector that may not be able to devote the resources for the preparation of a more customized ethics code, they may use the FEAFFA Code of Ethics as a model.

2.7.2 Culture and Ethical Behaviour

The process of promoting an ethical culture needs to start with understanding what causes unethical behavior. Better policies and procedures can then be

designed to prevent unethical decisions and mitigate their adverse impacts on the organization. Unethical behavior can result from the following, singularly or in combination:

- Pressure to perform (unrealistic business/organization goals, deadlines, etc.)
- Pressure from peers
- Lack of understanding of consequences for one's actions
- Uncharted territory
- Personal loyalties
- Lack of long term perspective or failure to see it at the time
- Personal costs for doing the right thing may be too high
- Poor judgment
- Lack of clear understanding of expected organizational/professional code of conduct
- Improper and/or inadequate training
- Conflict of interest

An ethical culture should start from the top and cascade down. Organizations should provide ethics education programs for all employees. These programs should:

- Explain the underlying ethical principles
- Clarify proper ethical behavior
- Difference between ethical behavior and legal/illegal actions
- Present practical ways of carrying out procedural guidelines

2.7.3 Promoting Ethical Decision Making

When faced with ethical dilemmas, individuals and organizations need to carefully consider all options regarding actions, methodologies and outcomes. In order to objectively make ethical decisions, one should ask the following 10 questions during the decision making process:

1. Is it legal?
2. Does it violate the spirit of the law?
3. Does it comply with our rules and regulations?
4. Is it consistent with our organizational values?
5. Does it match our stated commitments?
6. Am I the only or primary beneficiary?
7. Will I feel okay and guilt free if I do this?
8. Is bias or emotion clouding my judgment?
9. Would I do it to my family and friends (or myself)?
10. Would the most ethical person I know do this?

Answers to these questions can be a quick guide to ethical decision making in most situations.

2.7.4 Ethics Training

The purpose of Ethics Training is to enable employees to identify and deal with ethical problems developing their moral intuitions, which are implicit in everyday choices and actions. At the same time, ethics training activities aim to enable all organizational members to understand, share and apply the values stated in the code of ethics.

Training in Ethics helps the members of an organization judge the moral legitimacy of their decisions, enabling them to apply moral principles and values in business decision-making. At the same time, ethics training fosters the employees' agreement and compliance with the organization's ethical vision representing a mutually-acceptable balance between different stakeholders.

Therefore, implementing ethics training does not only mean informing employees about choices made by the management of the company, but also putting each individual corporate member in a position to understand, internalize and contribute to the corporate mission achievement through a conscious orientation of their own choices and everyday behavior.

Organizations and sector associations such as FEACFA and National Associations are encouraged to develop ethics training programs. Ethics training programs refer to the programs which are designed to promote ethical behavior. An ethics training program provides employees with instructions on how to deal with ethical dilemmas when they occur and improve their overall ethical conduct. Such trainings also are designed to help everyone understand where the line is drawn between acceptable and unacceptable workplace behavior.

2.8 Importance of Ethics and Integrity in the Customs and Logistics Sector

Due to the critical role played by logistics in the supply chain, the role of ethics and integrity cannot be underrated. Logistics play an essential role in facilitating global trade. The absence of ethics and integrity in the sector would lead to increased cost

of doing business globally as a result of various attendant issues. Evidence shows that addressing lack of integrity in an organization can create significant benefits for the public and private sectors, as well as society as a whole.

Customs just like logistics also play an essential role in facilitating global trade while reinforcing integrity in cross-border exchanges and collecting public revenue. Integrity in customs can also create significant benefits for the public and private sectors, as well as society as a whole.

Customs Administrations world over play a vitally important role in every international trade transaction, and is often the first window through which the world views a country. The implications of unethical behavior in customs has implications on a nation's capacity to benefit from the expansion of the global economy through international trade and relations. A lack of integrity can affect investors making them to shun countries perceived to have high levels of corruption. The role of Customs in revenue collection, trade facilitation, national security, and the protection of society can be greatly compromised by the presence of corruption in customs leading to an impact on a nation's economic and social prospects and national development ambitions.

2.9 Learning Activities

Activity 1: Identifying Your Values and Mission

The values we choose to honor are the essence of ourselves, and we carry them with us wherever we live, work, and play. How do you keep personal values like integrity, fairness, and respect close at hand? The best way is by writing them down, prioritizing them, and being aware of the challenges towards your values. This can be facilitated by a 3 step process as indicated below.

Required:

Populate the table below based on the 3 step process.

1. Of all the values that matter to you (e.g., honesty, integrity, loyalty, fairness, honor, hope), list the five most important.
2. Write a real or potential challenge you may face in living each value. Be as specific as possible.
3. Commit to an action in support of each value. Again, be specific.

My Values	Potential Challenge in Living my Values	How to Mitigate threats to My Values

Activity 2: Identifying Professional Ethics

Trade and Professional Membership Associations such as those found in the freight and logistics, sector, legal sector, medical sector, engineering and architectural sectors have developed Codes of Professional Conduct for their members.

Required:

1. Visit the websites of three Professional Associations in East Africa and download their Codes of Professional Conduct for the members
2. Review each and provide a summary of the key common integrity and ethical issues prevalent in the Codes of Conduct
3. Compare the Codes of Conduct with the one for the industry (FEAFFA Code of Conduct). What are the differences and common traits?

2.10 Self-Assessment Questions and Activities

1. Explain the differences between ethics, morality, integrity and values
2. Discuss why ethics and integrity are important to the conduct of business especially in the Customs and Freight Logistics sector
3. Discuss the principles of professional ethics

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3.0 LAWS AND REGULATION REGARDING ETHICS AND INTEGRITY

3.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

1. Identify types of laws and regulations guiding integrity
2. Identify international conventions
3. Analyse code of ethics and conduct
4. Identify regional and national laws
5. Identify National laws in relation to ethics and integrity

3.2 Types of Laws and Regulations Guiding Integrity

Customs administrations around the world play a key role in trade facilitation, revenue collection, community protection and national security. As such, the lack of integrity in Customs can distort trade and investment opportunities, undermine public trust in government administration and ultimately jeopardize the well-being of all citizens. Integrity is a prerequisite for the proper functioning of a Customs administration (WCO 2021).

The WCO in support of integrity in customs has engaged in developing a comprehensive strategy and consistent programme to promote integrity in Customs. The WCO developed different instruments to help its Members implement an integrity programme. The four tools are the Revised Arusha Declaration, the Integrity Development Guide, the Model Code of Ethics and Conduct, and the Compendium of Integrity Best Practices. It is important to fully understand the benefits that can be gained from their use.

3.3 WCO and Integrity

The World Customs Organization (WCO) is an independent intergovernmental body which serves as an international forum for Customs administrations, where issues of common concern can be discussed and addressed. Paramount to its agenda is the issue of Customs Integrity and this has for a number of years been a high priority item that highlights the Organization's commitment to combat corruption. So important is this subject, that a comprehensive guide was established via the WCO Compendium of Integrity Best Practices that allows Customs administrations worldwide to be

aligned with these measures. This Compendium is one of the WCO's tools that guides the application of the Revised Arusha Declaration (RAD) that was tabled in 1993 and was later revised in 2003 (The Arusha Declaration and its revision are discussed in 3.4 below).

The RAD is contained in a single page document, and sets out the key principles for a Customs administration to establish a national comprehensive integrity development programme. The RAD also outlines the negative potential impact that corruption can have on national security, revenue and confidence in government institutions. Without integrity a Customs administration would not be able to properly manage its borders, efficiently collect revenue and effectively inspire public trust. Integrity therefore has to be practiced at the national level among Customs administrators worldwide and supported at the international level through ongoing initiatives and programmes designed to maintain a trustworthy system.

Within the framework of its integrity programme, the WCO has produced an Integrity Self-Assessment Guide, a Model Code of Ethics and Conduct, an Integrity Development Guide, a framework of standards to secure and facilitate global trade, and an integrity Action Plan, which are continuously updated.

3.4 International Conventions

In order to ensure that there is integrity in conduct of international trade, various conventions and declarations by WCO have been passed and ratified by different nations. Some of these include:

- The Arusha Declaration
- The Nairobi Declaration
- The Maputo Declaration
- The International Code of Conduct for Public Officials
- The International Chamber of Commerce (ICC) Customs Guidelines

3.4.1 The Arusha Declaration

Integrity in Customs was initially placed on the WCO Agenda in the late 1980s to address the problem of corruption in public service and more specifically in Customs. It culminated in 1993 with the adoption of the WCO Arusha Declaration concerning Integrity in Customs, showing the willingness of the international customs community

to comply with rules governing Integrity in order to reduce and, eventually, eliminate opportunities for corruption.

After 10 years of experiences in its implementation, the Arusha Declaration was revised in 2003 and endorsed by the WCO members.

The Revised Arusha Declaration is the focal tool and central feature of a global and effective approach to preventing corruption and increasing the level of integrity in Customs. The WCO Revised Arusha Declaration provides Customs administrations with a practical approach for anti-corruption policies and practices as stipulated in the United Nations Convention Against Corruption (UNCAC) Article 5. The Revised Arusha Declaration included an Integrity Development Guide that serves as a comprehensive integrity tool set to address the adverse effects of corruption. The Integrity Development Guide consists of a ten-principle agenda that supports the harmonisation and standardisation of the prevention, measurement and reporting of corruption, as well as the strengthening of integrity in customs administrations.

These principles include:

- Leadership and Commitment
- Regulatory Framework
- Transparency
- Automation
- Reform and Modernisation
- Audit and Investigation
- Code of Conduct
- Human Resource Management
- Morale and Organisational Culture
- Relationship with the Private Sector.

The Revised Arusha Declaration of the WCO requires Customs administrations to adopt a national Customs Integrity Programme. Such a programme should include, among others, the use of electronic declaration and payment procedures to abolish cash payments and to reduce direct encounters between Customs officials and traders during the clearance process. Customs should also develop a code of conduct based on the WCO Model and display this code of conduct at all Customs offices.

Revised Arusha Declaration and Corruption in Customs

The WCO Anti-Corruption and Integrity Promotion (A-CIP) Programme, identified different drivers or causes of corruption, opportunities and incentives for corruption. These included five drivers,

labelled as “functional,” “expected,” “opportunistic,” “desperate,” and “coercive” as explained below.

Functional drivers occur when difficult, opaque or burdensome procedures create incentives for people to cut corners. The Revised Arusha Declaration addresses these issues under the “Regulatory Framework” factor, requiring administrations to harmonize and simplify Customs laws and regulations by implementing internationally agreed conventions, other instruments and standards, as well as under the “Transparency” and “Modernization and Reform” factors, which deal with information availability, including the use of modern systems and procedures that specifically target process efficiency and effectiveness. Thus, the Declaration not only makes the fight against corruption a priority for Customs, it also establishes a concrete link between reforms and anti-corruption policies.

Expected drivers relate to the social pressure that can foster corrupt behaviour. This behaviour can be derived from a sense that everyone expects Customs to be corrupt, or that Customs officers are not taking advantage of their position properly if they are not reaping off-the-book benefits. The Revised Arusha Declaration addresses these issues under the “Code of Conduct,” “Relationship with the Private Sector,” “Transparency,” “Human Resource Management,” and “Morale and Organizational Culture” factors.

Opportunistic drivers are found when internal controls are weak or non-existent. Temptations to corruption simply happen because it is easy to do so. The Revised Arusha Declaration addresses these issues under the “Audit and Investigation,” “Automation,” “Leadership and Commitment” and “Transparency” factors.

Desperate drivers are observed when personal circumstances, such as experiencing financial hardship or low morale force officers to supplement their income by other means. The Revised Arusha Declaration addresses these issues under the “Audit and Investigation,” “Human Resource Management,” and “Morale and Organizational Culture” factors.

Coercive drivers happen when officers are forced by threat to engage in corrupt activities. Threats can either be direct (i.e. through violence or blackmail) or indirect (i.e. through political

interference or pressure from managers). The Revised Arusha Declaration addresses these issues under the “Leadership and Commitment,” “Audit and Investigation,” “Transparency,” and “Automation” factors.

3.4.2 Maputo Declaration

The Maputo declaration was made during the international conference on ‘Integrity in Customs: The African Response’ held in Maputo, Mozambique from 20 to 22 March 2002, and organised by the WCO and the Government of Mozambique. During the conference, delegates recommitted themselves to the World Customs Organization’s Arusha Declaration on Integrity in Customs adopted in 1993. They also recognized that corruption exists in all countries, in the public and the private sectors, and that strong political commitment is necessary to combat corruption. Additionally, it was recognized that Customs and revenue administrations performed a wide range of vitally important fiscal, economic and social functions. These have a significant impact on a nation’s capacity to benefit from the expansion and development of world trade and its capacity to meet legitimate social, economic and national development goals;

The delegates noted that integrity in Customs increases public trust and confidence in government institutions; prevents significant revenue leakage; contributes to voluntary compliance with laws, regulations and directions; removes unnecessary barriers to international trade, foreign investment and economic development; and increases the level of national security and community protection. As a result, an invitation was made to the private sector to build integrity amongst businesses and citizens and to work with Governments to create Customs and revenue administrations inspired by integrity and service.

Among the declarations included;

- The need for the Customs and revenue administrations of the African continent to urgently take comprehensive and practical steps to implement all the key elements and provisions of the World Customs Organization’s Arusha Declaration on Integrity in Customs adopted in 1993 and, in particular, to reform and modernise systems and procedures by promoting the application of new technologies to

eliminate opportunities for corruption and to reduce the incentives for officials and members of the business community to act in unethical ways; and to develop and implement appropriate human resource management strategies, including training and motivation, that acknowledge the unique operating environment of Customs and revenue administrations and reinforce the highest standards of professional and ethical behaviour;

- Develop and implement regional mechanisms to enable Customs and revenue administrations to identify and implement policies and pragmatic measures to increase integrity and combat corruption and to share information on integrity strategies and best practice approaches;
- Develop a positive and effective partnership with all sections of the business community to identify areas of high risk and to implement practical steps to address the problem of corruption in Customs and revenue administrations;
- Develop and implement appropriate Codes of Conduct in Customs and revenue administrations, the private sector and other stakeholders which clearly set out in very practical and unambiguous terms the behaviour of all Customs and revenue officials, the private sector and other stakeholders; and
- Establish national integrity development plans that strike an appropriate balance between pre-emptive strategies such as education and corruption prevention and traditional approaches such as corruption detection, investigation and prosecution.

3.4.3 Nairobi Declaration on Integrity

The Nairobi Resolution on Integrity was agreed by the participants of the High Level Workshop on Integrity in East and Southern Africa Region, held in Nairobi, Kenya from 20 to 23 February 2007, and organised by the World Customs Organisation in cooperation with the East and Southern Africa Regional Capacity Building Centre (ESA RCBC) and hosted by the Kenya Revenue Authority under the sponsorship of the Commonwealth Secretariat and the Swedish International Development Cooperation Agency.

The participants recommitted themselves to the World Customs Organization's Revised Arusha Declaration on Integrity in Customs, adopted in 2003, and the Maputo Declaration, adopted in 2002. They acknowledged that building integrity in Customs is a shared responsibility of Customs administrations, the business community and civil society. As a result, they resolved to:

- Commit to demonstrating a strong leadership to combat corruption and promote integrity;
- Enforce a zero-tolerance policy against corruption of any kind;
- Take comprehensive and practical steps to implement the Revised Arusha Declaration on Integrity in Customs by using the WCO Integrity Development Guide and the other relevant tools;
- Modernize systems, promote the application of modern technologies for Customs clearance and control, based on international standards such as the Revised Kyoto Convention, to reduce rent seeking opportunities for Customs officials and members of the business community;
- Develop and implement appropriate human resource management and development strategies, including training and motivation, aimed at strengthening and ensuring the highest standards of professional ethics and conduct;
- Develop a positive and effective partnership with the business community in aggressively addressing corruption;
- Develop, implement and periodically review appropriate Codes of Ethics and Conduct in Customs administrations;
- Cooperate with the World Customs Organization and other bodies to develop case studies on good governance and integrity;
- Participate actively in World Customs Organization integrity fora and other related international / regional activities, including the Global Forum on Fighting Corruption and Safeguarding Integrity;
- Establish regional and national integrity action plans;
- Exchange information on strategies and best practices on integrity;
- Develop and implement peer review mechanisms on integrity; and
- Utilize the ESA RCBC and the regional pool

of experts to support a regional approach on integrity.

3.4.4 The United Nations' International Code of Conduct for Public Officials

The International Code of Conduct for Public Officials was approved by the UN General Assembly Resolution 51/59 in 1996. The United Nations International Code of Conduct for Public Officials is concerned about the serious problems posed by corruption. The two-page code is extremely brief, general and broad, but covers the universally applicable aspects essential to any code for public officials: prioritisation of public interest, impartiality, conflicts of interest, asset disclosure, and policies on gifts and political activity.

General principles outlined in the UN International Code of Conduct for Public Officials:

1. A public office, as defined by national law, is a position of trust, implying a duty to act in public interest. Therefore, the ultimate loyalty of public officials shall be to the public interests of their country as expressed through the democratic institutions of government.
2. Public officials shall ensure that they perform their duties and functions efficiently, effectively and with integrity, in accordance with laws or administrative policies. They shall at all times seek to ensure that public resources for which they are responsible are administered in the most effective and efficient manner
3. Public officials shall be attentive, fair and impartial in the performance of their functions and, in particular, in their relations with the public. They shall at no time afford any undue preferential treatment to any group or individual or improperly discriminate against any group or individual, or otherwise abuse the power and authority vested in them.

3.4.5 ICC Customs Guidelines

The International Chamber of Commerce, also referred to as the World Business Organization, prepared a set of 54 Customs Guidelines back in 2003 addressing critical areas related to Customs

as an institution as well as a border agency. The guidelines were revised in collaboration with the World Customs Organization (WCO) and published again in the 2012 edition. The 2012 edition contains 57 guidelines that present a comprehensive set of practices that ICC considers should characterize all modern customs administrations.

The ICC Customs Guidelines define two forms of integrity or the lack thereof. The first deals with misbehaving individuals in an otherwise sound organization. The basis for this type of corruption is more likely to be a character defect, some urgent, large financial need or, sometimes, fear induced by threats of physical violence. The second form is of a largely misbehaving organization in which sound individuals are the rare exception. This form of corruption is usually a reflection of a certain cultural and social environment. The lack of integrity, however, involves two sides, the one that receives and the one that gives. Fighting corruption therefore requires action on both sides, on the Customs as well as on the private sector side.

3.5 Code of Ethics and Code of Conduct

Code of ethics and code of conduct are two different documents, although many people assume them to be the same. Code of ethics is the document that explains how decisions are made while the code of conduct dictates how employees must act. In fact, the code of conduct is formed directly from the code of ethics and reflects the core values of the company. The main difference between code of ethics and code of conduct is that code of ethics is a standard of morals by which a company makes decisions about what is right or wrong while code of conduct is a set of rules and regulations that explain appropriate behaviour in specific situations.

What they both have in common is that they attempt to encourage specific behavior. A code of ethics accomplishes this by providing guidance about values and choices, while a code of conducts clearly states which actions are appropriate and which are not. Most codes of ethics have a wide scope, covering a broad range of specific and non-specific topics. Codes of conducts tend to be much narrower in their scope, dealing with a small number of particularly relevant areas, such as sexual harassment, racial discrimination, offensive language, and others. Both codes are sometimes combined into a single document.

3.5.1 Code of Ethics

A code of ethics is a guide of principles designed to help professionals conduct business honestly and with integrity. A code of ethics document may outline the mission and values of the business or organization, how professionals are supposed to approach problems, the ethical principles based on the organization's core values, and the standards to which the professional is held.

A code of ethics provides a guide for dealing with ethical situations which arise in the course of the job. Additionally, a code of ethics communicates the ethical viewpoint of the profession to others. Ultimately, a code of ethics serves to promote the values of the profession over the personal, societal, and (sometimes) institutional values. It serves as a guideline for professionalism and quality of service.

A code of ethics is essential to a profession; the code will provide an ethical starting point for the professionals and for others outside the profession. A code of ethics also ensures quality in treatment of members of the profession and those the profession serves.

3.5.2 Benefits of a Code of Ethics

1. Sets the right culture

The most important benefit of a code of ethics is that it can foster an environment of trust, ethical behavior, integrity, and excellence. When everyone, from the top to the people at the very bottom, plays by the same rules and behaves in a certain way toward one another, productivity tends to grow as conflicts and confusions disappear from the workplace. Companies that foster an environment of trust, ethical behavior, integrity, and excellence are also better prepared to deal with unforeseen challenges because they have a very strong foundation to stand on. Trust is a critical ingredient in encouraging team work and institutional cohesiveness and alignment towards the goals and vision.

2. Builds a good reputation

Successful institutions are those with a good corporate reputation. Customers and other stakeholder including employees gravitate toward companies they feel they can trust, and avoid those that don't promote ethical behavior. Companies that pay strong attention to ethics also find it easier

to establish lasting partnerships both within and outside their industry.

3. Helps remain in compliance with laws and regulations

Adopting a code of ethics helps avoid corporate scandals. It also helps avoid government intervention in a company's business through censure, penalties or even closure. Compliance with laws and regulations enables an organization avoid being sued by different parties including its employees, clients, partners, as well as the public.

4. Attracts outstanding employees

An ethical company is likely to attract outstanding talent as employees expect to be treated justly and ethically. Companies with a code of ethics reassure potential employees that they won't be discriminated against, sexually harassed, intimidated, bullied, or subjected to any other type of workplace harassment.

3.5.3 Code of Conduct

A code of conduct is a set of rules around behaviour for the employees to follow within an organisation. The code acts as a standard that staff need to meet so that they can know what is expected of them to produce a generally more efficient business. A code of conduct serves not only as a set of internal guidelines for the employees to follow, but also as an external statement of corporate values and commitments. A code is a tool to encourage discussions of ethics and to improve how employees deal with the ethical dilemmas, prejudices and gray areas that are encountered in everyday work. A code is meant to complement relevant standards, policies and rules, not to substitute for them.

A code of conduct can:

- Define the company culture
- Set standards and expectations for employees to follow when it comes to their behaviour
- Let customers and partners know your values, and from there they can work out if they want to work with you – creating a level of transparency for a healthy business relationship.

A well-written code of conduct clarifies an organisation's values and principles, linking them with standards of professional conduct when it

comes to the behaviour of the employees. As a result, codes of conduct set the benchmarks for companies to live up to. Additionally, a code can support employees in general decision making by giving them a structure to follow when it comes to company behaviour, allowing them to be prepared to handle ethical dilemmas in the workplace.

Having a code of conduct can give employees a structure to follow from the moment they join the company, reducing the chances of problems coming up, but also making the process of dealing with issues a lot easier should the worst occur. There should be no ambiguity when it comes to a code of conduct, because as soon as lines are blurred, rules can be broken.

As well as setting rules to follow, the code of conduct can let employees know what they need to do if they ever need to report a violation of company policy and lets them know the consequences of using false information.

The Code of Conduct is based on a company's core values. Core values define the ways in which the company pursues its mission. The core values, apply to every employee at every level of the company hierarchy, and transcend the sector and other economic pressures.

A company's code of ethics basically describes its *organizational policies*, or "how we do things around here," and should be rooted in the core values the leadership has identified for the company. Some companies start with the laws and regulations that apply to their fields; indeed, laws and regulations are good starting points to develop organizational policies.

A company's code of conduct should go beyond what it *has* to do to stay within the law and spell out what employees *should* do to live up to the company's core values. In the following sections, we offer some suggestions for gathering the information a company needs to develop a code of conduct, ensuring that its managers don't send the wrong message to employees, making the code memorable, and keeping the code up-to-date.

3.5.4 Professional Codes of Conduct

Many professions and corporations have developed codes of conduct to address their unique business

situations. By developing a code of conduct, a profession makes it clear that employees and members cannot claim ignorance as a defense for unethical conduct. A professional code of conduct sets a standard for which each member of the profession is expected to meet. It is a promise to act in a manner that protects the public's well-being. A professional code of conduct informs the public what to expect of one's doctor, clearing and forwarding agent, lawyer, accountant, or property manager. As long as professionals adhere to these standards, the public is willing to have their professional associations create and enforce their ethical codes. The Clearing and Forwarding Associations in the EAC have developed codes of conduct for their members.

Professional codes of conduct draw on the professional ethical principles as the basis for prescribing required standards of behaviour for members of a profession. They also seek to set out the expectations that the profession and society have of its members. The intention of codes of conduct is to provide guidelines for the minimum standard of appropriate behaviour in a professional context. Codes of conduct sit alongside the general law of the land and the personal values of members of the profession.

In cases where these codes are repeatedly and grossly violated, the public's likely response is to demand protective legislation. In such instances, governments and their agencies enact legislation in response to such violations. Most professionals would prefer to police themselves through self-regulation, rather than have an externally imposed set of regulations. That is a major reason why they create codes of conduct in the first place.

Professional codes of conduct provide benefits to:

- The public, as they build confidence in the profession's trustworthiness
- Clients, as they provide greater transparency and certainty about how their affairs will be handled
- Members of the profession, as they provide a supporting framework for resisting pressure to act inappropriately, and for making acceptable decisions in what may be 'grey areas'
- The profession as a whole, as they provide a common understanding of acceptable practice which builds collegiality and allows

for fairer disciplinary procedures

- Governments and their agencies, as they provide a framework for creating a working relationship, allowing for less government intervention and more self-regulation
- Others dealing with the profession, as the profession will be seen as more reliable and easier to deal with.

3.5.5 Successful Implementation of a Code of Ethics

Within an organization, top-down support is critical to successful implementation of codes of ethics and codes of conduct. If senior management does not act ethically and support others who do, an organization's ethical code will have little meaning. It is critical for managers and supervisors to:

- Act consistently with the company's ethical standards
- Apply those standards in dealing with employees.

Acknowledging and rewarding those whose behaviors are consistent with a company's code of ethics proclaims to all that ethical behavior is truly valued. On the other hand, promoting and rewarding employees whose successes are due in part to unethical behavior sends an unwanted message.

Companies need to periodically review their priorities and make necessary adjustments on their codes of ethics. Due to emerging issues and other changes in the operating environment, situations may occur that require development and adoption of new codes of ethics and conduct.

3.6 WCO Model Code of Ethics and Conduct

The WCO Model Code of Ethics and Conduct provides a framework for ethics in Customs Administration. The WCO Code of Ethics and Conduct describes, in very practical and clear terms, the minimum standards of behaviour required of all Customs employees. These standards of behavior are expected to be demonstrated by all Customs employees and are to serve as a guide when making decisions and taking actions. To ensure public confidence in the integrity of Customs, all Customs employees shall respect and adhere to their particular Code of Ethics and Conduct, which generally comprises the following 11 key elements.

1. Personal Responsibility
2. Compliance with the law
3. Relations with the Public
4. Acceptance of Gifts, Rewards, Hospitality and Discounts
5. Avoiding Conflict of Interest
6. Political Activities
7. Conduct in Money Matters
8. Confidentiality and Use of Official information
9. Use of Official Property and services
10. Private Purchases of Government Property and Assets
11. Work Environment

The WCO Model Code of Ethics and Conduct provides for disciplinary action for the most serious offences committed by Customs officials. It states that “all officials of Customs must comply with the law. The special responsibilities of Customs mean that offences relating to legislation administered by customs or has an interest in, are regarded most gravely when committed by Customs officials. Customs officials who commit offences involving, in particular: prohibited drugs; fraud; seeking or accepting bribes; or illegal importation or exportation of goods will be subject to disciplinary action, regardless of any penalties applied as a result of criminal proceedings.” As it is also suggested by the WCO Revised Arusha Declaration, disciplinary measures and penalties in case of illegal or unethical behaviour of officials would have to be proportionate to the violation.

The public is entitled to expect all Customs employees to be honest, impartial and professional. To maintain public confidence, it is therefore vitally important that Customs employees maintain the highest standards of integrity and conduct. To fully comply with the code, Customs employees must:

- Perform duties with care, diligence, professionalism and integrity;
- Strive for the highest ethical standards;
- Behave at all times in a manner that enhances the reputation of customs;
- Behave in a manner consistent with the code of ethics and conduct;
- Support and encourage others to comply with the code of ethics and conduct;
- Report any behaviour that is inconsistent with the code of ethics and conduct.

3.7 FIATA Business Integrity and Compliance Statement

FIATA - International Federation of Freight Forwarders Associations was founded in Vienna, Austria, in 1926. It owes its name to its French acronym (Fédération Internationale des Associations de Transitaires et Assimilés) and is known as ‘the global voice of freight logistics’. FIATA is a nongovernmental, membership-based organization representing freight forwarders in some 150 countries. FIATA works at the international level to represent service providers who operate in trade logistics and supply chain management. FIATA’s membership is composed of Association Members and Individual Members, representing an industry of over 40,000 freight forwarding and logistics firms worldwide.

FIATA is a reference source on international policies and regulations governing the freight forwarding and logistics industry. Through its FIATA documents and forms, congress, training and publications, it promotes trade facilitation and best practices among the freight forwarding community. It is based on its mandates that FIATA developed its Business Integrity and Compliance Statement that documents a code of conduct framework for its membership and the sector in general.

The Business Integrity and Compliance Statement targeting FIATA’s membership comprising of the International Freight Forwarders’ and Logistics Service Providers’ Industry players is aimed at achieving a high standard of service and customer satisfaction. It calls on members and everyone in the sector:

- To show commitment to abide by the applicable rules and regulations and to refrain from any activity that can compromise the public image of the company, create suspicion of wrongdoing or fail to show the necessary respect for colleagues and business interlocutors.
- To comply with all legal, regulatory and internal regulations as stipulated in the applicable law, as well as the observance of common standards and rules of professional conduct. Inter alia, these include the principle of avoiding possible conflict of interest.

□ To conduct business in line with the

principles above and companies operating in compliance with the rules and with integrity. Integrity should be displayed through:

- Delivering services commensurate to the expectation of the client, as well as other stakeholders, without creating intentional disruptions or difficulties.
- Enhancing professional dignity by being honest and of ethical behaviour in working practices.
- Industry leaders to promote business integrity by launching and implementing the integrity and compliance culture within their businesses at all levels, starting from their own. Additionally, the leaders should make their staff members aware of a business standard based on a culture which encourages ethical behaviour and compliance.

FIATA endeavours to achieve its purpose through an exposition of three key areas as covered in the FIATA Business Integrity and Compliance Statement. The three are:

1. Objectives
2. Conduct
3. Sanctions

3.8 FEAFFA Code of Conduct

The Federation of East African Freight Forwarders Associations (FEAFFA) is a regional private sector apex body of the Customs Clearing and Freight Forwarding (CFA) industry in East Africa. The Federation aims at promoting a professional freight logistics industry for trade facilitation and regional economic growth. In order to achieve its objectives and guided by the FIATA Business Integrity and Compliance Statement and WCO Model Code of Conduct, FEAFFA developed a Code of Conduct for the CFA industry in East Africa.

The aims of the FEAFFA Code of Conduct include:

- i. Uphold a high standard of business ethics and professional conduct among Clearing and Forwarding Agents (CFAs) and all other professionals within the freight logistics industry across Eastern Africa;

- ii. Ensure a high level of professional education and experience essential to provision of efficient services;
- iii. Encourage operation of financially sound, stable and accountable Clearing and Forwarding Agents;
- iv. Combat corruption, freight logistics fraud, illicit trade and trafficking of goods and persons, including unsafe or controlled substances; and
- v. Provide a framework through which national associations can monitor and enforce integrity and professionalism in their various jurisdictions.
- vi. Promote healthy competition among operators in the industry.
- vii. Provide the basis for regulating behavior and framework for dealing with errant operators and resolution of disputes.
- viii. Protect and promote the reputation and good public image of the clearing and forwarding industry.

The FEAFFA Code of Conduct is organized in 9 Articles as indicated below:

Article 1 – Definitions

Article 2 – Objectives

Article 3 – Professional Qualifications for Customs Agents

Article 4 – Financial Standing as a Qualified Clearing and Forwarding Agent

Article 5 – Code of Professional Conduct

Article 6 – Procedures for Handling Complaints and Enforcing Discipline

Article 7 – Enforcement

Article 8 – Disciplinary Actions

Article 9 – Harmonization and Compliance.

3.9 Regional and National Laws

In the EAC, different laws and regulations have been developed and enacted towards ensuring that citizens adhere to expected standards of conduct. Within the C&F sector, several laws have been developed and complimented by agencies expected to ensure successful implementation. Some of the laws include:

- EAC Customs Union Protocol
- The EAC Protocol on Preventing and Combatting Corruption (proposed)
- The East African Integrity and Anti-corruption Bill 2019
- The East African Revenue Authorities anti-corruption framework

- EAC Customs and Tax Code of Ethics and Conduct,
- The EAC Integrity Action Plan.
- The East African Community Customs Management Act (EACCMA).
- National bills on self-regulation of the freight forwarding industry in the EAC Partner States (proposed)

Different countries have their own sets of laws and regulations that are meant to ensure ethics and integrity. In support of this, the EAC Member states have created agencies in charge of ethics and integrity. These include:

1. Special Brigade Anti-Corruption Commission of Burundi
2. Kenya Ethics and Anti-Corruption Commission (EACC)
3. Office of the Ombudsman of Rwanda
4. Anti-Corruption Commission of South Sudan
5. Prevention and Combating of Corruption Bureau of United Republic of Tanzania
6. Inspectorate of Government of Uganda.

3.10 Learning Activities

As a C&F agent, you have been approached by a client to clear and forward their goods from China. The client has provided you with the relevant documentation for the goods. However, you realize that some of the documents look falsified. Upon inquiry, the client agrees and indicates that the customs officer who will clear the goods is aware and will approve of the documents and clear the goods.

Required:

1. Identify the responsibilities of the 3 parties in ensuring proper conduct:
 - a. The Customs Officer
 - b. The Client
 - c. The Clearing and Forwarding agent
2. Identify the specific clauses in the FIATA Business Integrity and Compliance Statement, the WCO Model Code of Conduct and the FEAFFA Code of Conduct that can be used to address the behaviours described above.
3. What action would you take based on the situation you are in?

3.11 Self-Assessment Questions and Activities

1. Discuss the purpose and objectives of the Revised Arusha Declaration
2. Discuss the WCO Analyse code of ethics and conduct
3. Discuss why a code of conduct is required in the CFA industry
4. Discuss what professional conduct is and the contents of a Professional Code of Conduct
5. Discuss the roles and obligations of a clearing and forwarding agent in ensuring professional ethical behaviour.

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4.0 IMPLEMENTING A CULTURE OF ETHICS IN THE ORGANIZATION

4.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

1. Explain the meaning of Ethical culture
2. Identify elements of an ethical culture
3. Evaluate the institutionalizing best practices in ethics and integrity
4. Discuss the consequences of unethical behavior
5. Explain how to handle ethical dilemmas

4.2 Introduction

Promoting ethical culture in firms through the adoption of effective ethics and compliance programs has been a key institutional requirement in most organizations. Firms can alleviate the harshest aspect of criminal liability by showing adherence to these guidelines, and thus mitigate the potential range of fines imposed on them in the event of wrongdoing. Elements of the policies and procedures necessary to create an effective compliance program must be developed internally. Ethical culture is not only important to fulfil regulatory mandates but also because studies show various positive effects of ethical culture, including reduced misconduct, increased willingness to report observations of misbehaviour, improved employee wellbeing, and innovation.

4.3 Meaning of Ethical Culture

Ethical culture can be defined as a set of experiences, assumptions, and expectations of managers and employees about how the organization prevents them from behaving unethically and encourages them to behave ethically. Ethical culture is also part of the ethical context that incorporates multiple components, including formal and informal systems. Formal systems are the tangible organizational elements pertaining to ethics that are purposefully designed and implemented (e.g., ethics programs), whereas informal systems are the unwritten policies, practices, and values that are relevant to ethics (e.g., ethical culture or climate). Ethical culture is less visible than the formal

elements of ethics programs (e.g., code of ethics, helpline, training), because it is rooted deeply within the organization and the mind-set of its employees; therefore, it is more difficult to assess.

To define an ethical business culture for a business is to create an environment where doing the right thing is easy and doing the wrong thing will get you disciplined or fired. It also means involving employees in regular discussions about workplace ethics and the procedures that are designed to uphold ethical practices. The business culture can include how employees dress for work, how they interact with management and how they interact with customers and clients. An ethical business culture also places a high value on fairness, employee rights, and equal pay, while also discouraging dishonesty, unpaid wages, discrimination and disloyalty to the company, its employees, and its customers.

4.4 Elements of an Ethical Culture

There are generally three elements of ethical culture including:

1. The existence of a set of *core ethical values* infused throughout the organization in its policies, processes, and practices;
2. The establishment of a *formal ethics program*, including a code of ethics, ethics training, an ethics hotline, and an ethics officer; and
3. The continuous presence of *ethical leadership*—that is, an appropriate ‘tone at the top’ as reflected by the board of directors, senior executives, and managers.

While each of these three elements is distinct, they also overlap, relate to, and reinforce each other.

4.5 Levels of an Ethical Culture

Ethical culture can be seen in 5 levels including:

1. **Individual:** How individual employees are measured and rewarded is a key factor that sustains or undermines ethical culture.
2. **Interpersonal:** Organizations can also focus on how employees interact across the hierarchy. Building an ethical culture from an interpersonal perspective

requires meaningful protections that empower all employees and stakeholders, even the least powerful, to raise concerns and express grievances.

- 3. Group:** Socialization into group memberships and relationships is a core aspect of human culture. At work, the key determinant tends to be an employee's group or team.
- 4. Intergroup:** The quality of relationships among groups is critical to consider in any attempt to build an ethical culture. Celebrating a team whose high performance may stem from questionable conduct gives it power and a mystique that is difficult to challenge, and this can undermine values across the organization.
- 5. Inter-organizational:** Most discussions of organizational culture focus on internal relationships. However, organizations should be conscious of how it treats suppliers, customers, competitors, and civil society stakeholders, so building and maintaining stakeholder trust will improve organizational culture.

4.6 Creating an Ethical Organizational Climate

An Organization's ethical climate is the focus on the ethics of decision making and actions. Ethical climate is a component of organizational climate which is the reactions of organizational members to the values and beliefs that make up organizational culture. Several factors influence the creation of an ethical organization climate as discussed below.

Top Management Leads Ethics by Example

One of the most noticeable ways that companies can demonstrate their commitment to creating an ethical organizational culture is to ensure that top managers and leaders lead by example. Employees look to the behavior of top management as an example of the type of behavior that the company finds acceptable in the workplace. Senior leaders need to be mindful of the fact that they're being watched and be sure to practice what they preach.

Communicate Clear Expectations of Organizational Code of Ethics

Companies that create and disseminate an official code of ethics send a clear message of the expectations for their employees. A code of ethics or code of conduct clearly outlines the organization's primary values and ethical rules that they expect everyone to follow. Cultural norms and expectations are also inferred and are easily detected by observing the environment. While it's good to have a written record of the code of ethics, it means nothing if top management fails to model ethical behaviour as employees are observant and influenced by top management behaviour.

Develop an Ethics Training Program

A formal ethics training program sends a strong message about a company's ethical stance. Seminars, workshops, and other ethical training programs reinforce the organization's standards of conduct and clarify the types of behaviors that the company deems permissible or out of bounds.

Reinforce Behaviour You Want, and Don't Reinforce Behaviour You Don't Want

Corporate culture always begins at the top. Managers should be evaluated on their ethical behavior as part of their annual performance appraisals. Their appraisals should include specific questions about how their decisions measure up against the code of ethics. Top executives should also be evaluated on the means they take to achieve their ethical goals as well as how the means lead to the ends.

Employees who act ethically should be noticeably rewarded for their behavior and those who fail to act and behave ethically should have consequences for unethical behavior. Companies should offer their employees opportunities for rewards, recognition, and social reinforcements. Rewards and recognition should be thoughtfully considered taking care to deliver it with attention to detail to avoid unintended consequences.

Provide Protection for Employees

Most employees will want to do the right thing especially if they work for a company that has high moral and ethical standards. It can be difficult for anyone to report unethical behavior that they witness in other people at the company. Shy or introverted employees may find it particularly challenging to report unethical behavior. Almost anyone would

feel intimidated if they felt the need to report the unethical behavior of one of their superiors or someone in a senior management position.

Eliminate Double Standards

In order to create an ethical business culture, employers should strive to eliminate double standards and cultivate trust among the team by being honest in their communications. This means that there should not be policies that managers and supervisors are permitted to ignore which subordinates are required to follow or are even reprimanded for not following. This allows all employees to put the work ahead of their own interests, regardless of their individual ranks or roles within the company.

Foster A Respectful Environment

Ethical employers should actively work to create a workplace environment that makes it possible for managers and employees to take pride in their work and identify with the values that drive the organization as a whole. In order to do this, the employer must ensure that all employees have the right resources and authority to fulfill their job responsibilities. In addition, the organization should respect the rights and dignity of all employees.

Encourage workers to report illegal or unethical conduct

Employers should encourage workers to report illegal or unethical conduct, such as discrimination or harassment, by making sure that there are specific procedures that employees can follow to inform their employer when these incidents occur.

4.7 Implementing Professional Ethics

Professional ethics are principles that govern the behaviour of a person or group in a business environment. Like values, professional ethics provide rules on how a person should act towards other people and institutions in such an environment. Professional ethics is concerned with the standards and moral conduct that govern the profession and its members. In order to implement professional ethics in an organization or industry, there is need to develop and adhere to a Professional Code of Ethics.

Professional ethics are standards set by professional organizations for the behavior and values of people working within a specific field. Codes of professional ethics are established in order to

provide guidance to professionals, usually to not abuse client relationships and preserve the integrity and reputation of the applicable profession. When a person violates one or more of these promulgated ethics, he or she is subject to disciplinary action by the governing body of the profession. A high level of adherence to a code of professional ethics is needed so that the public will be confident in the moral standards of those working in the field. Codes of professional ethics are commonly applied to professionals in the fields of accounting, law, and medicine.

A professional code of ethics is a set of principles designed to help an industry and its members govern their decision-making and distinguish right from wrong. Often referred to as an ethical code, these principles outline the mission and values of an industry or organization, how the professionals within the industry or organization are supposed to approach problems and the standards to which members and employees are held.

A professional code of ethics is designed to ensure employees are behaving in a manner that is socially acceptable and respectful of one another. It establishes the rules for behavior and sends a message to every employee that universal compliance is expected. It also provides the groundwork for a preemptive warning if employees break the code. A code of ethics can be valuable not just internally as a professional guide but also externally as a statement of a company's values and commitments.

Professional business membership organizations develop professional codes of ethics and conduct to be adhered to by their members. The professional occupations are generally characterized by the following criteria:

- Technical training that implies generalized knowledge, detailed information and practical skills in a specific field;
- An institutionalized mode of validating or certifying mastery of this knowledge and the accompanying skills; and,
- An institutionalized means of ensuring that they will be put to service in the public good.

Associations like FEAFFA and the National Associations in the EAC made up of professionals themselves, set standards to secure the competence and integrity of members engaged in private practice and, in some fields such as medicine and law, structures to monitor their conduct. These same

standards are in many cases reinforced through a process of examinations and licensing.

One of the primary values of a professional code of conduct is not as a checklist for disciplining non-conforming members, although breaches of a code of conduct usually do carry a professional disciplinary consequence. Rather, its primary value is to act as a prompt sheet for the promotion of ethical decision-making by members of that profession.

In instilling professionalism, ethical principles that underpin all professional codes of conduct should be articulated. Ethical principles may differ depending on the profession; for example, professional ethics that relate to medical practitioners will differ from those that relate to CFA, lawyers or teachers. However, there are some universal ethical principles that apply across all professions, including:

- Honesty
- Integrity
- Trustworthiness
- Loyalty
- Respect for others
- Adherence to the law
- Doing good and avoiding harm to others
- Accountability.

Professional codes of conduct provide benefits to:

- The public, as they build confidence in the profession's trustworthiness
- Clients, as they provide greater transparency and certainty about how their affairs will be handled
- Members of the profession, as they provide a supporting framework for resisting pressure to act inappropriately, and for making acceptable decisions in what may be 'grey areas'
- The profession as a whole, as they provide a common understanding of acceptable practice which builds collegiality and allows for fairer disciplinary procedures
- Others dealing with the profession, as the profession will be seen as more reliable and easier to deal with.

4.8 Consequences of Unethical Behaviour

Unethical behaviour has serious consequences for both individuals and organizations. Some of the consequences of unethical behaviour include:

To the individual:

- Losing your job
- Losing your reputation as someone who behaves unethically.
- Losing your professional accreditation.
- Liable for legal action
- Financial consequences
- Losing the respect of your friends and family.
- Social consequences

To the organization:

- Legal liability
- Losing organizational credibility
- Losing an operating licence for an organization
- Losing accreditation status
- Declining employee's general morale and productivity
- Fines and/or financial loss to the organization

4.9 Handling Ethical Dilemmas

An ethical dilemma is a situation of making a choice between two or more alternatives. It is a problem in the decision-making process between two possible options, neither of which is absolutely acceptable from an ethical perspective. Although we face many ethical and moral problems in our lives, most of them come with relatively straightforward solutions. The biggest challenge of an ethical dilemma is that it does not offer an obvious solution that would comply with ethical norms.

Ethical dilemmas are especially significant in professional life, as they frequently occur in the workplace. Some companies and professional organizations (e.g., FEAFPA and National Associations) adhere to their own codes of conduct and ethical standards. Violation of the standards may lead to disciplinary sanctions.

Almost every aspect of business can become a possible ground for ethical dilemmas. It may include relationships with co-workers, management, clients, and business partners. Employee's inability to determine the optimal solution to such dilemmas in a professional setting may result in serious consequences for themselves and their organizations.

In order to solve ethical problems, companies and organizations should develop strict ethical standards for their employees. Every company must demonstrate its concerns regarding the

ethical norms within the organization. In addition, companies may provide ethics training for their employees. As discussed earlier, the creation of an ethical climate will help employees in navigating through ethical dilemmas.

4.10 Ethical Decision Making Framework

In order to make ethical decisions, a stepped rational framework is recommended. The following framework provides a method for exploring ethical dilemmas and identifying ethical courses of action by using steps in the ethical decision-making process.

Step 1: Recognizing that there is an ethical question:

- Requires you to think about how you should act and what you should do in a given situation
- Could relate to a situation and/or a decision that you make, which could be potentially damaging to a client or a stakeholder
- Could involve a choice between a good and a bad outcome – e.g. a situation where the Revenue Authority would decline your customs documentation because of certain information that the client has not disclosed to you.

Step 2: Understanding the facts of the situation:

- Requires you to consider how you can learn more about the situation including making enquiries and finding additional facts to ensure you have the best possible understanding of the situation.

Step 3: Understanding the options available to you:

- Requires you to identify and understand each option available to you
- Requires you to take into account any legislative requirements, professional standards (such as the Code), customs laws and regulations, as these may influence your options.

Step 4: Understanding the consequences of the options:

- Requires you to work out and evaluate the different options and how different parties will be affected by each option - these parties can include the client, stakeholders within the clearing and forwarding system, your employer and other stakeholders

- Requires you to be aware that your overriding duty is always to act in the lawful and legitimate interests of your client
- Requires you to ask yourself some searching questions, for example:
 - If I am going to act in a way that is adverse to my client's interests in any way, am I justified in doing so?
 - Which option will produce the best for my client and or authorities even if it will upset another person or cause me discomfort or loss?
 - Will this require me to act in a way that will harm someone else or go against my personal beliefs or ethics?
 - Is there a way to act that will not damage my client's interests but will reduce or prevent harm to another person or institution?
 - Is there a way to act that will not damage my client's interests and will allow me to act in the way I believe is consistent with the type of advise that I want to be?

Step 5: Testing the option you plan to take:

- Requires you to consider the possible effects of all the different options
- Requires you to reflect on and thoroughly review the option that you plan to take – in doing so, you should ask yourself the following questions:
 - Am I feeling uncomfortable with what I am about to do?
 - If so, why am I feeling uncomfortable about this option?
 - Why am I making this decision?
 - Would I be happy if this was done to me?
 - Would I be happy explaining this to different parties within the customs system and explaining why I did what I am planning to do?

Step 6: Explaining the option you have decided on to those affected and to other interested parties:

- Requires you to act in a way that your client, or another party, may not like or may find difficult to understand
- Requires you to be able to justify your actions in a logical and straightforward manner - if you cannot explain your actions, then it is more likely that you are acting on the basis of your feelings or prejudices
- Will often require you to have kept excellent

records that note the essentials of what the issue was, what you did to resolve it, the options you considered and how you communicated your decision to those affected.

Step 7: Acting on the chosen option:

- Requires you to consider how you will go about implementing your decision
- Requires you to actually carry through with the action you decided to take.

Step 8: Reflecting on the outcome:

- Requires you to assess how your decision turned out and what you learnt from this specific situation - to objectively evaluate what has happened and whether the option you took worked.

4.11 Learning Activities

As a clearing and forwarding officer, your supervisor has asked you to complete an assignment for him involving clearing of a client's goods. As you go through the documentation you notice the following:

- The dutiable value of the goods being imported has been understated
- There has been falsification of the "country-of-origin" of the goods being imported through mislabeling

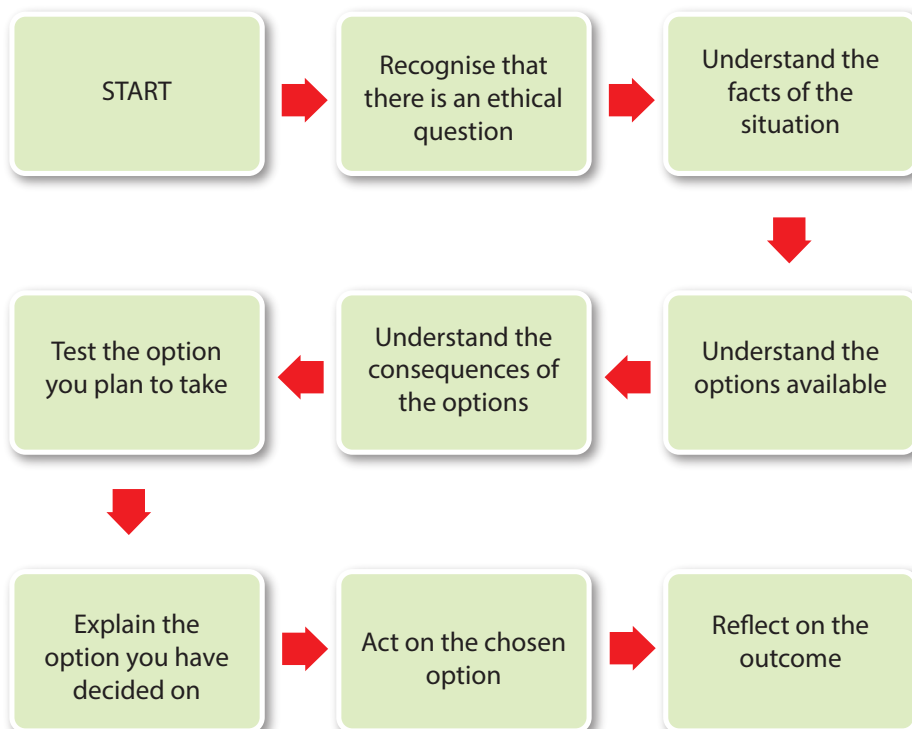
- The goods have been labelled as transshipped through third countries to make it appear as though they came from countries with lower applicable Harmonized Tariff duty rates or no import quotas for the goods in question
- Improper use of Tariff Schedule duty-rate classifications.

Required:

1. Identify the ethical issues arising from the above
2. Using the Ethical Decision Making Framework, discuss how you would resolve the issues.

4.12 Self-Assessment Questions and Activities

1. Discuss the importance and purpose of having an ethical cultural climate
2. Discuss the strategies for ensuring that an organization implements best practices in ethics and integrity
3. Discuss possible unethical situations that a CFA maybe confronted with and how you would address the same.
4. Discuss the consequences of unethical practices by a clearing and forwarding firm and or its employees



4.13 References

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5.0 ELIMINATING CORRUPTION PRACTICES

5.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

1. Explain the meaning of corruption
2. Identify types of corruption
3. Discuss the causes and sources of corruption
4. Discuss the effects of corruption and unethical practices
5. Identify roles of different stakeholders in reducing corruption
6. Identify corruption prevention strategies
7. Explain the corruption reporting mechanism

5.2 Introduction

The harm inflicted by corruption is globally recognised, including by the UN 2030 Agenda for Sustainable Development where the target for Goal 16 calls on states to ‘substantially reduce corruption and bribery in all their forms.’

Corruption is the willingness to act dishonestly or fraudulently in return for personal gain. A person in a position of power who is illegally paid to make a decision that favors the payer has participated in corruption - and so has the payer. In some societies and circumstances such payments happen so often that it can be easy to forget the damage caused by corruption. Corruption increases the cost of doing business, creates unfair competition, damages innovation, and undermines social structures. It delays, distorts and diverts economic growth and deepens poverty.

In 2005, the World Bank published the Customs Modernization Handbook which included a chapter on ‘Integrity in Customs.’ That chapter outlined the scope of the corruption problem and identified a series of very practical strategies that could be employed to deal with it. It drew heavily on the World Customs Organization’s (WCO) Revised Arusha Declaration (2003) – a document developed by customs officials and representatives of the trade community who all understand very well the particular challenges and vulnerabilities that customs administrations face. The content of the chapter remains just as relevant today as it was when it was initially prepared so there is no need to go over the same ground again. Likewise, the Arusha Declaration’s ten key elements still provide a sound framework for tackling the problem in a holistic way.

5.3 Meaning of Corruption

Different definitions of corruption exist. The World Bank defines corruption as the abuse of public power for private benefit. On the other hand, Transparency International defines corruption as “the abuse of entrusted power for private gain”. The World Bank definition emphasizes the relationship between the public sector and private interests. The focus here is on state actors – civil servants, functionaries, bureaucrats and politicians – that is, anyone with the discretion to decide how public resources are being spent. Transparency International, however, takes this definition further. It covers any abuse of entrusted power, and hence it also covers private-sector corruption, for example when a Chief Executive Officer abuses the trust placed in him/her by shareholders. What the Transparency International and World Bank definitions (and other definitions that are not quoted here) have in common is that, for an act to qualify as corrupt, an illegitimate gain must have been made.

5.4 Elements of Corruption

Corruption is seen to have the following core elements:

1. Abuse

Corruption involves a violation of norms of conduct or professional obligations – explicit or implicit – arising from formal or other entrusted duties.

2. Entrusted power

Corruption arises when a person misuses the authority derived from all kinds of formal or professional roles, but also informal or traditional ones. This covers not only public officials, but also individuals working in the private sector, media, civil society actors, religious leaders.

3. Private gain

The gain realised through corruption is private because it does not benefit the entity or the collective that the official is entrusted to represent or serve. *Private gain* expresses the opposite of *public good*. But the gain need not go directly to the official in question: it may also benefit a designated family member, friend, client, associate, or a political party. Also note that anything of value can constitute a benefit: it’s not only money and material goods, but

also power and influence, and other advantages – even sexual favours.

Corruption always involves these three elements. However, it can take very different forms. The roles of different participants and beneficiaries can also vary considerably. For instance, in some cases of bribery, the bribe-giver is a willing, proactive party who seeks undue advantage. But in other settings, particularly those where corruption is systemic, people may have no choice but to pay a bribe to access public services that they are rightfully due, like health or education. And public officials themselves may be coerced into accepting bribes by their superiors or clients.

5.5 Bribery

Bribery is a criminal offence in most jurisdictions. In general terms, bribery is committed where a person (A) offers or gives some benefit to another person (B) as an inducement for that person (B) or another person (C) to act dishonestly in relation to his principal's or employer's business. In such a case, all those persons (A, B and C), as well as other persons who were complicit in the offence, may be guilty of bribery. A bribe may be a cash payment, or it may be a non-cash advantage (such as the promise of a future contract, or a holiday).

Bribery is the payment of an undue advantage, such as a fixed sum, percentage of a contract or other favours in kind to a public official in order that the official acts or refrains from acting in the exercise of his or her official duties. A kickback is a bribe; it is an illegal, secret payment made in return for a favour. The term is used to describe the gain from rendering a special service.

Examples of bribery.

Bribery in relation to customs clearing and forwarding can occur in numerous ways. For example:

1. A CFA may bribe a Customs official in order to accept undervalued declarations for imported goods.
2. A CFA may bribe bonded warehouse officers to remove goods without paying duties
3. A CFA may bribe a customs officer to allow the entry of contraband goods.

5.6 Types of Corruption

Scholars and researchers have attempted to delineate different types of corruption. This debate has been extensively handled from different perspectives because of differences in culture on what constitutes a corrupt act. According to the United Nations Office on Drug and Crime (UNODC) various types of corruption exist including: bribery, fraud, extortion, favoritism, obstruction of justice, embezzlement, misappropriation or other diversions of property by a public official, Illegal political contributions and laundering of proceeds of corruption offences.

Bribery

Bribery involves the promise, offer or giving of any benefit that improperly affects the actions or decisions of a public official. It can also include those who may not be public officials per se, but may also include members of the public who serve on government committees. A bribe may consist of money, company shares, inside information, sexual or other favours, gifts, entertainment, a job, promises, etc.

Embezzlement, Theft and Fraud

These offences involve theft or misappropriation of resources by persons entrusted with authority and control over government property. These can include public officials and private individuals. It can also be outright employee theft of cash.

Extortion

The act of extortion involves coercing a person to pay money or to provide other valuables or personal favours in exchange for acting or failing to act. Coercion can be under the threat of physical harm, violence or restraint.

Exploiting a Conflict of Interest/ Influence Peddling, Insider Trading

Engaging in transactions, “selling” influence, or acquiring a position or commercial interest that is incompatible with one's official role and duties for the purpose of illegal enrichment.

Offering or receiving of an unlawful gratuity, favour or illegal commission

This offence is aimed at public officials who receive anything of value as extra compensation for the performance of official duties. For example, after the issuing of a passport or other document the recipient gives a “tip” or “gratuity money” for the

service received. The officer will be disappointed if in the end he does not get a tip for his assistance.

Favouritism, Nepotism and Clientelism

This is the assignment of appointments, services or resources according to family ties, party affiliation, tribe, religion, sect and other preferential groupings.

Illegal Political Contributions

This occurs when political parties or the government in power receives money in exchange for non-interference and good-will towards the entity or group making the contribution. It is closely related to bribery. Politicians may extend courtesies and protection towards to legitimate or even illegitimate enterprises in exchange for contributions to a political campaign.

Money Laundering

Money laundering as such produces a corruptive effect on national and international financial systems. Due to the close link between corruption and money laundering, various international fora have noted that a comprehensive anti-corruption strategy must also include actions to prevent and control the laundering of corruption proceeds. The corruptive effect of money laundering is not only affecting private enterprises and its employees but also the entire states.

Bureaucratic Corruption

This has to do with the pervasive betrayal of trust on the part of public officers who routinely engage in self-enrichment because of the positions they occupy in Ministries, Departments and Agencies.

Political Corruption

This type of corruption is perpetrated by politicians: lawmakers, governors and political appointees in the course of their duties as legislators, state chief executives, government advisers and party executives.

Systemic Corruption

This is a situation where corruption is widespread and, more or less, institutionalized and allowed to fester, with little or nothing done to check it.

5.7 Causes and Sources of Corruption

There are a number of causes of corruption and understanding the causes will play a critical role in preventing it. The causes include:

Organizational Culture

Corruption can be caused by the culture of an organization or group. Corruption in some organizations is in group behavior rooted in established arrangements. For instance, a newly posted officer with no record of corruption might be socialized into the act by other colleagues. The person might be led to conclude that that is the appropriate way things are done.

Clashing moral values

Corruption is caused by certain values and norms of society that directly influence the values and norms of individuals. These values and norms influence the behavior of individual officials, making them corrupt. In our society, giving of gifts is highly valued. Gifts often referred to as "*something small*" paves way for corrupt practices. It is not uncommon to run into public servants asking for "*something small*" either for services rendered or about to be rendered. These are corrupt practices that should be discouraged.

Opportunistic

One cannot rule out opportunity as one of the major causes of corruption. When a public official is made the centre or given the authority to perform some sensitive roles, the person can use it for personal enrichment. To be able to embezzle or award contracts at will, one must be in position of authority or corridor of power which grants one the opportunity to use the position for personal aggrandizement.

Poverty

In countries with high levels of corruption, the low level of public service salaries will often be quoted as a reason for officials demanding bribes to "complement" their meagre salaries. The argument by public servants is: "If only I received a salary that would allow me to provide a decent life for my family, I wouldn't need to take bribes." This line of argument, then, makes poverty the cause for corruption.

Greed

Greed (or avarice) is an uncontrolled longing for increase in the acquisition or use of material gain (be it food, money, land, or animate/inanimate possessions); or social value, such as status, or power. Greed has been identified as undesirable throughout known human history because it creates behavior-conflict between personal and social goals.

Organised crime

Organised crime is an important phenomenon to mention when discussing corruption: the nexus between the two is strong, and it is impossible to dissect whether corruption is a cause or a consequence of organised crime. What is clear is that, without corruption, there would not be organised crime. For example, for large-scale smuggling of drugs, law-enforcement officers (border and customs guards, police) must either be part of the scheme or be bribed to look away.

5.7.1 Corruption Red Flags

A “red flag” is a fact, event, or set of circumstances, or other information that may indicate a potential legal compliance concern for illegal or unethical business conduct, particularly with regard to corrupt practices and non-compliance with anti-corruption laws. The following are examples of red flags:

- Unusual payment financial arrangements or instructions. For example, you should use extreme caution when being asked to make payments to a bank account in a country where services were not performed and the recipient is not located, sometimes called “off-shore” payments.
- Lack of transparency or documentation in expenses or accounting records. For example, missing invoices or travel expenses for government customers that are excessive or are not supported by documentation warrant further investigation.
- Payment of a government expense is made to an individual.
- Cash payments (as opposed to electronic payments or payments by Company check).
- Payment to an entity that is owned or influenced by a government official. For example, a payment to a company that was founded by a government customer may signal corruption.
- Payments for expenses of spouses of customers or government officials.
- Gifts or other payments to or from parties engaged in a competitive bidding process or contract negotiations.
- Any gift that appears excessive or in breach of company policy.

5.8 Consequences of Corruption

Corruption has serious negative consequences at the international, national and individual level, even though some people may have had the temerity to ask, in the course of arguments, whether the money or resources misappropriated belongs to one’s father as in: “Is the money or resources your father’s/mother’s?” The Lima Declaration states that corruption:

1. Erodes the moral fabric of society
2. Violates the social and economic rights of the poor and vulnerable
3. Undermines democracy,
4. Subverts the rule of law
5. Retards development, and
6. Denies the benefits of free and open competition.

In addition, the impacts of corruption disproportionately affect the most vulnerable people in society. Widespread corruption deters investment, weakens economic growth and undermines the rule of law. The consequences of corruption can also include:

1. Low foreign investment;
2. Reduced economic growth;
3. Shift from productive to less productive activities;
4. Greater inequality and high incidence of poverty;
5. Reduced efficiency of foreign aid; and
6. Currency crises.

Other consequences of corruption include:

1. Unemployment and underemployment
2. Infrastructural decay
3. Poor quality and delivery of public projects
4. Poor public services
5. Production and sale of substandard goods
6. Incompetent political leadership.
7. Image/Reputation Bashing.

The greatest consequence of corruption is perhaps the ones felt by the individual and more specifically, the poor members of the society. This is because the poor are wholly dependent on government for housing, health care, security, welfare, education, etc. When these things are not provided or insufficient, they are the most affected. Some of the consequences

of corruption to the individual are:

1. Infant mortality due to lack of basic vaccines
2. Illiteracy
3. Lack of access to health care
4. Accidents due to bad roads, bad drainage systems, etc.
5. Unemployment
6. Low life expectancy
7. Homelessness
8. Poverty
9. Diseases
10. Hopelessness
11. Death of individuals like pensioners, etc.

Some of the adverse effects of corruption within a customs administration include the following:

- A reduction in public trust and confidence in government institutions significant revenue leakage
- A reduction in the level of trust and cooperation between customs and other government agencies and between customs and relevant counterparts in other countries
- Low staff morale and esprit de corps (although this is both an effect and a cause)
- A reduction in the level of voluntary compliance with customs laws and regulations by the business sector
- A reduction in national security and community protection
- The maintenance of unnecessary barriers to international trade and economic growth
- Increased costs, which are often borne by the poorest sectors of the community.

5.9 Corruption Prevention Strategies

Confronting corruption represents one of the major challenges of a contemporary society. Corruption is prevented by application of preventive and repressive measures. Prevention thwarts occurrence of corrupt phenomena, whereas repressive measures are applied when the corruption has occurred and its consequences are visible. One of the ways to reduce scope of corruption is discovering and elimination of risks of occurrence and development of corruption, and not solely corruption as giving and receiving bribes, but corruption in a sense of existence of ethically and professionally not-acceptable actions that might provoke different manifestations of corruption and other irregularities in the operation of institutions.

5.9.1 Integrity Plan

The Integrity Plan represents a preventive anti-corruption measure. An Integrity Plan represents a document which is developed as a result of the self-assessment of the degree of institution's exposure to risk of occurrence and development of corruption, and exposure to ethically and professionally not-acceptable acts. The objective of the Integrity Plan is to strengthen the integrity of an institution, which implies individual honesty, professionalism, ethics, institutional truthfulness, as well as the way of conduct in line with the moral values.

5.9.2 Develop and Implement Anti-Corruption Ethics and Compliance Programmes

Organizations should develop internal measures that ensure business integrity and ethics which may include the following:

- Business leaders and managers should actively voice support for doing the right thing, and are personally committed and willing to act on the values they espouse. However, the tone should also come from the middle managers, who are the team leaders and backbone of companies. It can be said that ethics is everyone's responsibility, even though it must start at the top.
- The guiding values and commitments must be clearly communicated at every appropriate opportunity, including in a well-balanced code of ethics and guidelines.
- The organizations core values are integrated into day-to-day business, and practical resources and training are provided to guide employees even in difficult situations and grey areas.
- An internal control system is established and there are various channels for reporting, such as whistle-blowing.
- The anti-corruption ethics and compliance programme is understood as a continuous process of learning, and measures are monitored and reviewed on a regular basis.

5.9.3 Develop and Implement Anti-Corruption Policy

An effective policy framework will include policies in respect of fraud and corruption, whistleblowing,

gifts and donations, procurement, and financial policies and procedures, among others. The Policy should focus on ensuring the following:

- **Alignment with Anti-Corruption laws and other regulations**

It is vital for organisations to understand and keep up to date with the anti-bribery and anti-corruption legislation and regulatory environment in their own jurisdictions, to ensure that how they operate always falls within legal boundaries.

- **The tone is set top-down**

Top-level commitment to anti-bribery and anti-corruption compliance drives an ethical culture of integrity within an organisation. Management must adopt a zero-tolerance approach to all forms of corrupt activity and communicate this message effectively throughout the organisation. This must also extend to how the company deals with irregular and unethical behaviour, as it happens, to establish throughout the organisation that this type of conduct will not be tolerated.

- **Effective communication and training**

Even the best anti-bribery and anti-corruption policies will have no effect if staff are neither aware of them, nor receive training on them. This needs to occur from the employee's first day of employment and continue. Training is particularly vital to employees who may be dealing with high-risk business partners, or function in high-risk markets or high-risk business units.

- **Protection of whistleblowers**

Companies need to create safe spaces in which to expose incidents without fear of reprisals. A whistleblowing mechanism should be in place that provides anonymity and protection of the whistleblower.

5.9.4 Roles of Clearing and Forwarding Agents in Combating Corruption

Clearing and forwarding agents should avoid being involved in corrupt practices. Bribes must not be paid to bring in business, keep existing business, obtain licenses or regulatory approval,

prevent negative government actions, avoid duties or customs fees, reduce taxes, block bidding by competitors, or in any way obtain an improper advantage. It is prohibited to offer anything of value to a government official with the intent to obtain an improper or illegal advantage.

The Anti-corruption laws in EAC Partner States prohibit anyone from offering, promising, paying, and giving bribes, as well as approving or instructing another person to take such actions. Even cooperating with someone that you have reason to suspect may be involved in corrupt activities is illegal.

As a clearing and forwarding agent, never ignore "red flags" - signs that may signal corruption.

When asked for a bribe by any government officers, you must refuse. Anti-bribery laws apply to both the giver and the recipient of a payment – it is not a valid excuse that the bribe was requested by the recipient. If you suspect corruption, notify the relevant authorities including the ethics and anti-corruption agencies in the country to determine the appropriate course of action.

5.10 International Anti-Corruption Conventions

5.10.1 UN Convention Against Corruption (UNCAC)

The United Nations Convention Against Corruption (UNCAC) is an international treaty adopted by the UN General Assembly in October 2003. It entered into force in December 2005, representing a remarkable achievement: a global response to a global problem. With 186 States Parties (as of 9th May 2019), the Convention is unique not only for its worldwide coverage but also for the scope of its provisions, recognising the importance of both preventive and punitive measures. It also addresses the cross-border nature of corruption with provisions on international cooperation and on the return of the proceeds of corruption. States Parties - countries that have ratified the Convention - are expected to cooperate in criminal matters and consider assisting each other in investigations of and proceedings in civil and administrative matters relating to corruption. The UNCAC has eight chapters and 71 articles. The Chapters and contents are discussed below:

Chapter I: General provisions

The first Chapter highlights the three main goals of the Convention, namely:

- to promote and strengthen measures to prevent and combat corruption more efficiently and effectively;
- to promote, facilitate and support international cooperation and technical assistance in the prevention of and fight against corruption, including in asset recovery;
- to promote integrity, accountability and proper management of public affairs and public property.

Chapter II: Preventive measures

Chapter II covers of a set of preventive measures aimed at hindering corruption in the public and private sectors. Provisions call on countries to:

- Develop and implement effective, coordinated anti-corruption policies that promote the participation of society (Article 5);
- Establish an independent anti-corruption body (Article 6);
- Enhance transparency, efficiency and use objective criteria in the recruitment, hiring, retention, promotion and retirement of public officials (Article 7.1);
- Enhance transparency in the funding of electoral campaigns and political parties (Article 7.3);
- Apply codes of conduct for the performance of public functions (Article 8.2);
- Establish measures and systems aimed at facilitating the reporting of corruption by public officials to appropriate authorities (Article 8.4);
- Promote the establishment of assets declaration systems for public officials (Article 8.5);
- Establish appropriate procurement as well as public finance management systems based on transparency, competition, and objective criteria (Article 9);
- Promote access to information concerning the work of the public administration (Article 10(a) and (b)) and enhance transparency through public reporting (Article 10(c));
- Promote integrity in the judiciary (Article 11);

- Enhance ethics, integrity, and transparency in the private sector through the adoption of accounting and auditing standards and the establishment of penalties at civil, administrative and criminal levels (Article 12);
- Article 13 mandates states parties to ensure participation of civil society and non-governmental organisations in the prevention of and fight against corruption. It refers to the need for measures ensuring public access to information and participation in educational programmes;
- Establish regulatory and supervisory regimes aimed at preventing money-laundering (Article 14).

Chapter III: Criminalisation and law enforcement

The Convention requires that countries criminalize – or consider criminalising – different corruption-related offences, namely:

- Bribery of national public officials (Article 15);
- Bribery of foreign public officials and officials of international organisations (Article 16);
- Embezzlement, misappropriation or other diversions of property by a public official (Article 17);
- Trading in influence (Article 18);
- Abuse of functions (Article 19);
- Illicit enrichment (Article 20);
- Bribery in the private sector (Article 21);
- Embezzlement of property in the private sector (Article 22)
- Money laundering (Article 23);
- Concealment (Article 24);
- Obstruction of justice (Article 25).

In addition, the Convention calls on States Parties to take appropriate measures aimed at protecting corruption witnesses, experts, victims (Article 32) and reporting persons (whistle blowers, Article 33) from retaliation.

Chapter IV: International cooperation

By addressing the cross-border nature of corruption, Chapter IV lays down standards for mutual legal assistance in investigations, prosecutions, and judicial offences, seeking to enhance legal and technical mutual assistance between states parties and to facilitate extraditions of wanted persons.

Chapter V: Asset recovery

This addresses prevention and detection of transfers of the proceeds of crime and measures for their recovery, with an emphasis on international cooperation. Two further chapters cover agreed steps to enhance the impact of the convention.

Chapter VI: Technical assistance and information exchange

Chapter VI calls on states parties to develop or improve specific training programmes for personnel responsible for preventing and combating corruption. States parties should also consider affording one another the widest measure of technical assistance, especially for developing countries, as well as voluntary mechanisms to provide financial assistance to developing and transition countries.

Chapter VII: Mechanisms for implementation

Article 63 of the Convention establishes the Conference of the States Parties (CoSP). These bi-annual meetings seek to help improve the capacity of and cooperation between States Parties in achieving the objectives set forth in the Convention. The CoSP also seeks to promote the Convention's implementation.

In addition, the Conference of States Parties' mandate includes:

- facilitating the exchange of information among States Parties on patterns and trends in corruption, and on successful practices for preventing and combating it;
- strengthening cooperation with relevant international and regional organisations and mechanisms and non-governmental organisations;
- periodically reviewing the implementation of the Convention by its States parties.

The UNCAC concludes with Chapter VIII: Final provisions

The last section of UNCAC is dedicated to calling upon States to take all the necessary legislative and administrative measures, in accordance with fundamental principles of domestic laws, to ensure the implementation of the obligations deriving from the Convention. The topics covered here include provisions on entry into force, the ratification process and amendments to the text of the convention.

5.10.2 OECD Convention on Combating Bribery of Foreign Public Officials in International Business Transactions

On 21 November 1997, 29 OECD member countries and five non-member countries adopted the Convention on Combating Bribery of Foreign Public Officials in International Business Transactions. The convention was signed in Paris on 17 December 1997, and came into force on 15 February 1999, after the requisite number of signatory countries had ratified it.

The OECD Anti-Bribery Convention establishes legally binding standards to criminalise bribery of foreign public officials in international business transactions and provides for a host of related measures that make this effective. It is the first and only international anti-corruption instrument focused on the 'supply side' of the bribery transaction.

The OECD convention has a very specific scope, covering:

- only the bribery of foreign public officials in international business transactions,
- and only the liability of the bribers (active bribery), but not of the foreign officials who solicit or receive a bribe (passive bribery).

To ensure universal application, it contains a very specific definition of "foreign public official": 'foreign public official' means any person holding a legislative, administrative or judicial office of a foreign country, whether appointed or elected; any person exercising a public function for a foreign country, including for a public agency or public enterprise; and any official or agent of a public international organisation.

The bribery provision of the convention is completed by additional penalties for three offences.

- Money laundering in connection with bribery of a foreign public official (criminal penalty).
- Accounting offences for the purpose of bribing foreign public officials or of hiding such bribery (criminal penalty).
- Liability of legal persons for active bribery of a foreign and international public official (criminal, administrative or civil liability).

5.10.3 The African Union Convention on Preventing and Combating Corruption

The African Union (AU), founded in July 2002, is the successor to the Organisation of African Unity (OAU). Modelled on the European Union, its aims are to help promote democracy, human rights and development across Africa, especially by increasing foreign investment.

The AU Convention on Preventing and Combating Corruption was adopted by the heads of state at the African Union Summit on 11 July 2003, and came into force on 5 August 2006. The AU Convention covers a range of criminal offences including – besides bribery – trading in influence, illicit enrichment, money laundering and concealment of property. It is unique in its mandatory provisions relating to private-to-private corruption, to transparency in party funding, to declaration of assets by public officials and to restrictions on immunity for public officials. As of December 2020, 49 states (out of 55 AU members) have signed the convention, while 44 have ratified and deposited the convention.

The objectives of this Convention are to:

- Promote and strengthen development in Africa by each State Party, of mechanisms required to prevent, detect, punish and eradicate corruption and related offences in the public and private sectors.
- Promote, facilitate and regulate cooperation among the State Parties to ensure the effectiveness of measures and actions to prevent, detect, punish and eradicate corruption and related offences in Africa.
- Coordinate and harmonize the policies and legislation between State Parties for the purposes of prevention, detection, punishment and eradication of corruption on the continent.
- Promote socio-economic development by removing obstacles to the enjoyment of economic, social and cultural rights as well as civil and political rights.
- Establish the necessary conditions to foster transparency and accountability in the management of public affairs.

5.10.4 Other International Conventions, Instruments and Standards

There are also other international agreements on preventing and combating corruption generally. These include:

- Inter-American Convention against Corruption
- Council of Europe Criminal Law Convention on Corruption
- Council of Europe Civil Law Convention on Corruption

5.11 Different Stakeholders in Reducing Corruption in the Region

5.11.1 Anti-Corruption Authorities in Eastern Africa

In order to fight corruption, governments in Eastern Africa have formed agencies that are tasked in coordinating national efforts towards combating corruption especially in the public sector. The different agencies have also cooperated within the region and on 28th September 2007 in Kampala, Uganda, the heads of Kenya's Ethics and Anti-Corruption Commission, Prevention and Combating of Corruption Bureau of United Republic of Tanzania and Inspectorate of Government of Uganda, signed the Kampala Declaration of East African Association of Anti-Corruption Authorities (EAAACA). This saw the birth of the Eastern Africa Association of Anti-Corruption Authorities which was thereafter launched in Nairobi, Kenya on 9th November 2007 when the EAAACA Constitution was signed.

The vision of EAAACA is to promote the spirit of zero tolerance against corruption and encourage regional cooperation in preventing and combating corruption. Its overall objective is to promote and facilitate regional cooperation, mutual legal and technical assistance in the prevention and combating of corruption in the region, to share information, hold trainings and carry out joint research.

The members of the EAAACA include:

1. Special Brigade Anti-Corruption Commission of Burundi
2. Inspection General State of Djibouti
3. Federal Ethics Anti-Corruption Commission of Ethiopia
4. Kenya Ethics and Anti-Corruption

- Commission (EACC)
5. Office of the Ombudsman of Rwanda
 6. South Sudan Anti-Corruption Commission
 7. Prevention and Combating of Corruption Bureau of United Republic of Tanzania
 8. Inspectorate of Government of Uganda.

5.11.2 The East Africa Community (EAC)

The fundamental Principles of the Community articulated in Article 6 of the Treaty and particularly paragraph (d), covers good governance, including adherence to the principles of democracy, the rule of law, accountability, transparency, social justice, equal opportunities, gender equality, as well as the recognition, promotion and protection of human and peoples' rights. The Operational Principles of the Community defined in Article 7, particularly in clause 2, provides that the Partner States undertake to abide by the principles of good governance, including adherence to the principles of democracy, the rule of law, social justice and maintenance of universally accepted standards of human rights.

In supporting efforts towards prevention of corruption, the EAC in line with the African Union Convention on Preventing and Combating Corruption, has developed The EAC Protocol on Preventing and Combating Corruption which is in the draft stage. The objectives of the protocol are to:

- Promote and strengthen the development of mechanisms needed to prevent and combat corruption;
- Promote cooperation among the Partner States to ensure efficiency and effectiveness of the measures for preventing and combating corruption; and
- Promote harmonisation of laws, policies and strategies relating to preventing and combating corruption.

The Protocol is being formulated to establish a framework for cooperation with all the anti-corruption agencies and institutions in the EAC region. This framework of cooperation will undertake and relate to matters such as liaison, reporting on corrupt elements, sensitisation on corruption and harmonisation of anti-corruption laws, among others. The EAC Protocol covers preventive measures, enforcement, asset recovery and forfeiture, regional cooperation, and technical assistance.

In addition to the Protocol, anti-corruption bill has been developed. The East African Integrity and Anti-corruption Bill 2019 was designed to promote integrity and ethical values in the integration process as well as counter and prevent corruption and corruption related culture in the Community. It seeks to promote values in all the Organs and Institutions of the Community, develop a framework for imparting those values, and to establish acceptable standards for ethical dealing in the integration process. The objectives of the Bill are to:

- Promote integrity and ethical values within the Organs and Institutions of the Community;
- Strengthen the legal framework for preventing and combating corruption within the Organs and Institutions of the Community;
- Provide a framework for preventing and combating corruption in the Community;
- Provide for cooperation by the national anti-corruption agencies in preventing and combating corruption; and
- Provide for related matters.

5.11.3 Revenue Authorities in East Africa

Corruption impacts negatively on revenue collection and economic performance in the region. Revenue Authorities in Burundi, Kenya, Rwanda, Tanzania, South Sudan and Uganda are cognizant of this challenge and have continued putting measures to fight the vice.

Revenue officers are exposed to rogue taxpayers with the intention of corrupt dealings. Based on recommendations and support by the WCO's Anti-Corruption and Integrity Promotion (A-CIP) Programme for Customs and the EAC Secretariat, the authorities have developed initiatives to strengthen anti-corruption initiatives. The Authorities are currently implementing the East African Revenue Authorities anti-corruption framework where the public is able to provide information on tax evasion and any other malpractices without fear of reprisal, victimisation or discrimination, among other initiatives.

In addition to the above initiatives, the Revenue Authorities in the region are guided by the EAC Customs and Tax Code of Ethics and Conduct, and the EAC Integrity Action Plan. These are regional

instruments that were adopted in 2014, and applied by Customs administrations in all Partner States. These instruments are premised on international standards, particularly on the WCO Model Code of Ethics and Conduct and the Revised Arusha Declaration.

Other initiatives by Revenue Authorities towards addressing corruption include:

- Automation of core business processes
- Electronic Cargo Tracking Systems
- One Stop Border Posts
- Employee lifestyle audits, background checks, vetting of staff, implementation of the national values and establishment of Corruption Prevention Committees (CPCs)
- Establishment of a reward scheme for informers, which is an incentive to the public to share information that can lead the Authorities to recover tax revenue from the tax evaders.
- Establishment of corruption reporting systems including web based anonymous reporting system
- Commitment to zero tolerance to corruption.

5.12 Corruption Reporting Mechanism

In order to combat corruption, countries and some institutions both public and private have developed reporting mechanisms. Due to the nature of corruption, such mechanisms should ensure the anonymity and confidentiality of anyone reporting corruption. There are different channels through which to report including:

1. Internal reporting;
2. External reporting to a regulator, law enforcement agency or other specific authority, and;
3. External reporting to the media or another public platform.

Some of the mechanisms of reporting that are available for the clearing and forwarding agents include:

Self-Reporting

Self-reporting is a mechanism of detecting corruption that is recommended as appropriate for use by some institutions. In some countries, laws have been enacted that provide incentives that encourage individuals to report on corruption

in which they played a role. This process, known as self-reporting, is often associated with private sector entities, but is applicable to corruption in any organization. Punishment for corruption can be severe, and therefore penalty mitigation is a common incentive to encourage self-reporting. The UNCAC requires States to encourage corruption offenders to self-report, including by offering penalty mitigation and even immunity in certain cases. Article 39 encourages the private sector to report on corruption and to cooperate with the authorities on investigating corruption.

Citizen Reporting

Members of the public are often the first ones to witness or experience corruption, particularly in the area of public services. To help expose corruption, members of the public can be instrumental in reporting on corruption through standard crime-reporting channels at the national or local level, such as the police. To encourage citizen reports on corruption, many governments have developed more direct ways for the public to report corruption. For example, dedicated reporting channels for corruption offences including websites and smartphone applications that enable citizens to report incidents of corruption easily and anonymously.

Whistle-blowing

Whistle-blowing is the disclosure by organisation members (former or current) of illegal, immoral or illegitimate practices under the control of their employers to persons or organisations who may effect action. Given that corruption can benefit the individuals directly involved, and there is a variety of means to cover up corruption within organizations, some corruption cases can only be detected if someone on the inside reports it. This kind of reporting activity is frequently called “whistle-blowing”, because the reporting person sends out an alert about the activity, in the hope that it will be halted by the authorities. Usually, the whistle-blower reports the act to an appropriate internal manager, executive or board member. Some entities have established protocols for reporting. If that proves unsuccessful, whistle-blowers might raise the issue with external regulatory or law enforcement agencies or may choose to expose the matter publicly by contacting the media.

As insiders to an organization, whistle-blowers have specific knowledge, access and expertise which

allow them to detect corruption or other matters of concern that might otherwise remain hidden. However, they are often in a difficult situation owing to their possible loyalty to colleagues and supervisors, contractual confidentiality obligations, and the risk of retaliation.

5.13 Learning Activities

As a clearing and forwarding officer, you have observed the following as you clear a client's goods. From the information provided, you have realized that the information provided is incorrect regarding the nature, quantity, origin or value of the goods, and that the client has colluded with customs officials by offering them bribes to ignore the true details with the objective of lowering the client's true tax obligation. In return, the customs officer will be paid a percentage of the evaded tax.

Required:

Explain the following in relation to the situation above.

1. The type of corruption being propagated
2. The national and regional laws and regulations being violated and the consequences thereof
3. The effects of such an act were it to go through
4. Discuss the actions you would take in relation to the above scenario including the advice you would give to your client.

5.14 Self-Assessment Questions and Activities

1. Discuss with examples the meaning of corruption
2. What are the types of corruption prevalent in the clearing and forwarding sector?
3. What are the causes and sources of corruption in the customs, clearing and forwarding sector?
4. In the event you are subjected to a corruption situation, discuss the action you would take to prevent and report the corruption.

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6.0 DETECT AND REPORT COMMERCIAL FRAUD AND TAX EVASION

6.1 Specific Learning Outcomes

At the end of the topic, the trainee should be able to:

1. Explain the meaning of commercial fraud
2. Identify fraud Drivers (fraud triangle theory)
3. Identify types of Fraud
4. Discuss the consequences of Fraud and Tax Evasion
5. Detect and report fraud

6.2 Meaning of Terms in Commercial Fraud

Fraud

Fraud is intentional deception to secure unfair or unlawful gain, or to deprive a victim of a legal right. Fraud is a criminal offence in most jurisdictions. Fraud usually involves one person (or group of persons) deceiving another person in order to gain some financial or other advantage. Parties may be liable for the offence of fraud where they deliberately undertake the fraudulent action with full knowledge of the circumstances. Alternatively, it is possible for a party to be liable for fraud if it was reckless as to the circumstances. For example, a clearing and forwarding agent may be liable for fraud if they submit declarations which they suspect are falsified or undervalued but fail to take reasonable steps to determine that the declarations are accurate.

Commercial Fraud

According to the WCO, commercial fraud means any offence against statutory or regulatory provisions which Customs are responsible for enforcing, committed in order to:

1. Evade, or attempted to evade, payment of duties/levies/taxes on movements of commercial goods; and/or
2. Evade, or attempt to evade, any prohibition or restrictions applicable to commercial goods; and/or
3. Receive, or attempt to receive, any repayments, subsidies or other disbursements to which there is no proper entitlement; and/or
4. Obtain, or attempt to obtain, illicit commercial advantage injurious to the principle and practice of legitimate business competition.

Customs Fraud

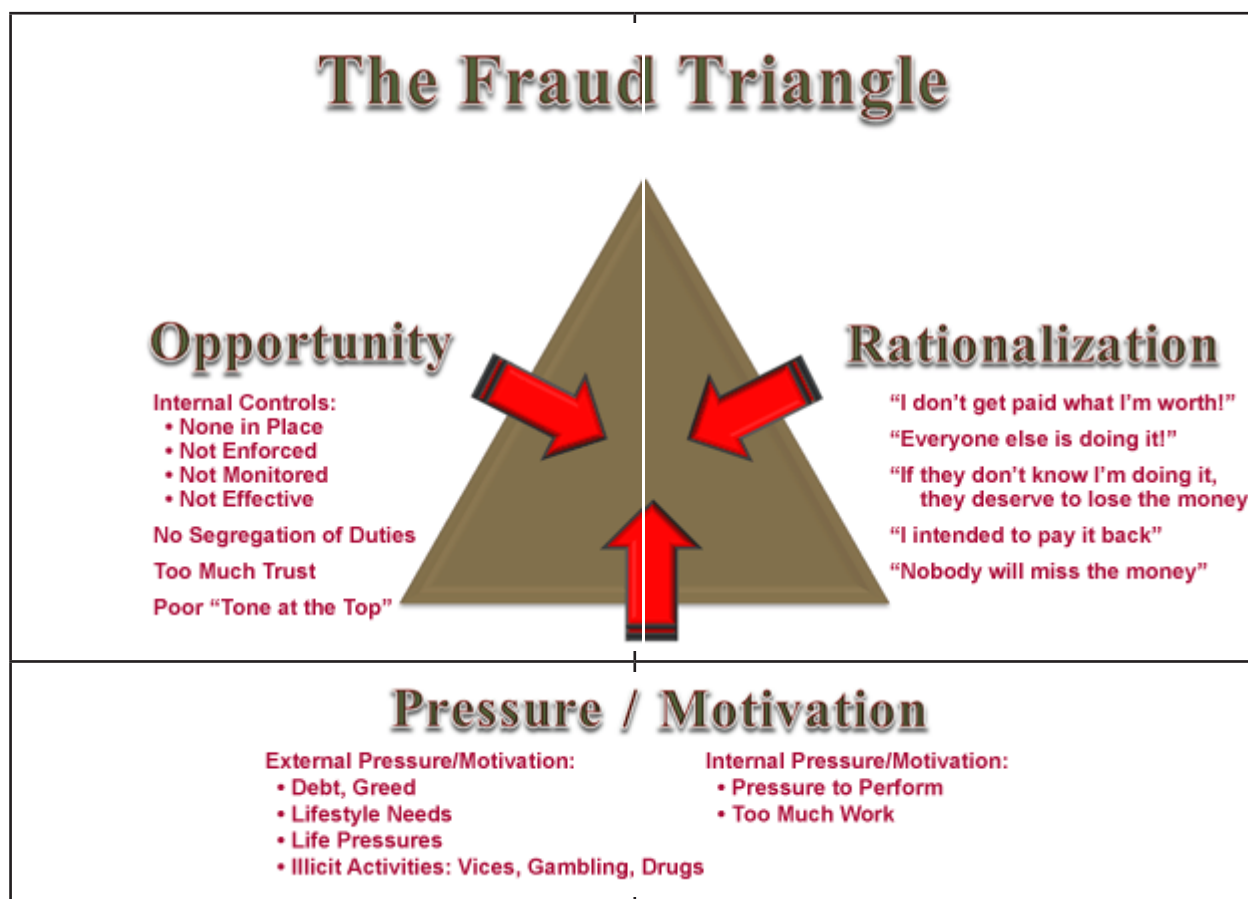
Customs fraud is any fraudulent attempt to reduce or evade the customs duty (or tariff or tax) imposed on goods when they are imported into a country.. Customs duties are based on the origin and value of the goods and their classification (the customs tariff to be applied). Falsifying any of these factors when importing or exporting products is fraud. This includes:

- falsely declaring the origin of the goods
- declaring a lower value on the goods ('undervaluing')
- misclassifying the goods (incorrect HS classification)
- smuggling goods (i.e. import/export without a customs declaration).

In engaging in Customs Fraud, countries are subjected to revenue risks. Revenue risks in the Customs context include leakage through smuggling of highly taxed goods, such as alcohol, tobacco and motor spirits. They also include commercial fraud activities, such as undervaluation, misclassification, misuse of origin and preferential duties, drawback fraud, among others.

6.3 Fraud Drivers (Fraud Triangle Theory)

There are different drivers of fraud identified by different scholars and authorities. One common approach to understanding the drivers is captured by the Fraud Triangle. The fraud triangle is a framework commonly used to explain the reason behind an individual's decision to commit fraud. The fraud triangle outlines three components that contribute to increasing the risk of fraud: (1) opportunity, (2) incentive (pressure, motivation), and (3) rationalization (justification or attitude). For fraud to occur, all three elements must be present.



6.4 Types of Fraud in Customs

6.4.1 Transshipment / Falsification of Country of Origin

Transshipment is when an importer sends goods from the country of origin to an intermediate country before it arrives in the declaration country. Transshipment is legal and commonly used in the ordinary course of business. However, because customs duties are based on the country of origin. Unscrupulous shippers utilize transshipping to obscure the true country of origin, and illegally evade customs duties.

Falsification of Country of Origin

There are several kinds of preference regimes, e.g. EAC Common Tariff, GSP and EC preference. As an example, the GSP rules of origin consist of three main elements, namely, origin criteria, documentary evidence and the direct consignment rules. Origin/preference fraud means any attempt to knowingly violate or abuse rules of origin and/or Customs documentary requirements as laid down by bilateral or multilateral agreements in force in the country concerned.

Example of Transshipment:

Customs Authorities in Lithuania established that the value of vehicles imported into country sometimes differed even several times. The importing companies buy used cars from the exporting companies through some third country offshore companies registered in different islands of the Pacific Ocean. The first invoice between the exporting company and the offshore company indicates the real price of the vehicle. During the shipment of a vehicle to Lithuania, the invoice issued by the offshore company to the Lithuanian enterprise is presented to the Lithuanian Customs with declared value that is much lower than the one initially declared to the Customs in the exporting country. It is assumed that documents are forged in order to hide the real value of imported vehicle.

6.4.2 Undervaluation

Undervaluation occurs when an importer declares too low a value for the imported product than the actual value. Customs duties are set as a percentage of the imported products value. When an importer fraudulently claims too low a value of the import, he illegally reduces the import duty owed.

Example of undervaluation:

A consignment of cosmetics was imported into Uganda. An invoice with a consolidated CIF value was presented to Customs. A scrutiny of the document revealed that the VAT number on invoice purported to have been issued in the exporting country was the same as the one quoted on invoices of similar imports from another country. The consignment was subject to physical examination to ascertain quantities and descriptions. The examination results were as follows:

- There were cosmetics for both men and women with specific labels and different quantities in each bottle;
- The goods were of two distinct item codes and none of them was similar to the one quoted on the invoice.

The supplier was contacted for clarification on their supply and invoicing procedures with their distributors in another country. He was also requested to provide a copy of the invoice that was issued in respect of the goods in question. The copy of invoice with the goods properly itemized, indicated that the invoice presented to Customs was a forgery and an attempt had been made to undervalue the goods by 70%.

6.4.3 Misclassification of Goods

Misclassification occurs when an importer falsely describes an imported product. Duty rates are set based on the specific description of a particular item. By falsely describing or classifying a product, an importer can claim it is one with a lower or no duty rate. This can result to undervaluation of goods on the customs import declaration since it enables to lessen the duties to be paid to the customs authority. A Customs import declaration is a statement showing goods being imported on which duty will have to be paid. This is done by filling in a Customs declaration form. However, some importers/clearing agents make wrong declarations with the objective of evading payment of duties or reducing the duties payable. Making a wrong declaration (i.e. mis-declaration) is a prosecutable offence.

Example of product misclassification

In the involved customs regime, chickpeas and black eye beans in dry form are subject to a duty of 5%, while the same goods in a canned form are subject to a duty of 20%. The above box of canned black eye beans was however declared as dried black eye

beans (paying a 5% duty as opposed to paying a 20% duty). This form of fraud enables an importer to be more competitive on the national market than an importer complying with customs regulations. The misclassification can even go as far as declaring cooking oil subject to a 40% duty as powdered milk subject to a duty of 2%.

6.4.4 Smuggling

This involves importation or export of goods secretly in violation of the law, especially without payment of duties. For example, importation of high end vehicles cleared as mattresses, baby car seats, bed sofas, toys, clothes, beach beds, shoes, belts and handbags. Smuggling is defined as a Customs fraud consisting in the movement of goods across a Customs frontier in any clandestine manner (Nairobi Convention Article 1-(d)). This type of fraud includes unauthorized removal of goods from Customs warehouses, authorized processing plants, free trade zone, internal movement, etc.

Example of smuggling:

Company X was importing wall elements of metal into EAC. A shipment was sent to an X-ray inspection at the Port of Mombasa which revealed that something was hidden inside the elements. A Customs control revealed that 2,885,600 pcs of cigarettes were hidden inside. During an investigation it was found out that there have been seven similar shipments before.

In another incident, suspect companies purchase second-hand cars in Europe and Japan, disassemble the vehicles and conceal the parts in container of used household goods. The declaration to Customs is used household goods.

6.4.5 Manifest Fraud

This occurs when shipping agents illegally alter manifests prior to uploading them to the Customs Manifest Management System (MMS), thereby setting the stage for false declarations.

6.4.6 Use of fake security bonds to clear transit goods

Some importers and clearing agents use fake Customs transit bonds to clear transit goods. This happens by collusion between clearing agents, insurance companies and Customs officers.

6.4.7 Diversion/Dumping of transit goods

Transit goods are goods imported through the East African Community (EAC) region to a country outside the region. Transit goods within the EAC region are not subject to import duty. However, if the consignment fails to exit the region within the prescribed period and no official extension is granted, duty becomes due (this is diversion of transit goods). Customs department secures the duty due on transit cargo through the execution of a security bond. Goods prone to diversion include sugar, petroleum, rice and motor vehicles.

6.4.8 Fraudulent cancellation of export entries

This is use of fake Customs entries as proof of export, which thereafter leading to fraudulent VAT refund claims.

6.4.9 Import/Export of prohibited or restricted goods

Prohibited goods are the goods that cannot be imported/exported into/out of the country. Restricted goods are those which must meet certain conditions before clearance through Customs. Examples ivory, flora and fauna etc.

6.4.10 Fake payments of import taxes

This happens when Customs entries are fraudulently posted in the Customs system and validated with fake bank payment receipts.

6.5 Consequences of Fraud and Tax Evasion

The consequences for fraud will depend on the nature, scope, and severity of the offense, whether the fraud was committed by an individual or group, and the state or government laws that apply to the case. Fraud can result to:

- a) Civil Suit

Civil action can be brought against a person who has committed fraud in order to seek compensation for the damages caused by the fraud.

- b) Punitive fines, probation, and other penalties.

These arise out of the civil suits as compensation for the offence alleged by the complainant.

- c) Loss of reputation

- d) Incarceration (Jail)

Sentencing can range from scenarios where a person does not go to jail, or the way up to sentences that are extremely lengthy in complex frauds

6.5.1 Consequences of Fraud and Tax Evasion in EAC

The East African Community Customs Management Act (EACCMA, 2004), clearly stipulates consequences of any person engaging in customs fraud in the region. It states that:

- A person who conspires with another person or persons to contravene any of the provisions of this Act shall be liable on conviction to imprisonment for a term not exceeding five years.
- A person who by any means procures or induces, or authorizes another person to procure or induce, any other person to commit or assist in the commission of any offence shall be liable on conviction to imprisonment for term not exceeding one year
- A person who in any matter relating to the customs:
 - a) Makes any entry which is false or incorrect in any particular, or
 - b) Makes or causes to be made any declaration, certificate, application, or other document, which is false or incorrect in any particular, or
 - c) When required in accordance with this Act to answer any question put to him or her by an officer, refuses to answer such question or makes any false or incorrect statement in reply thereto, or
 - d) Obtains any drawback, rebate, remission, or refund or duty which to his or her knowledge, he or she is not entitled to obtain, or
 - e) In any way knowingly concerned in any fraudulent evasion of the payment of any duty, or

- f) Except by authority moves, alters or in any way interferes with any goods subject to customs control, or
- g) brings into a partner state, or has in his or her possession, without lawful excuse a blank or incomplete invoice, bill head or other similar document, capable of being filled up and used as an invoice for imported goods, or
- h) Counterfeits or in any way falsifies or knowingly uses when counterfeited or in any way falsified
- i) Any documents required or issued by, or used for the purpose of, the Customs,

commits an offence and shall be liable on conviction to imprisonment for a term not exceeding three years or to a fine not exceeding ten thousand dollars.

- In addition to any other circumstances in which goods are liable to forfeiture under this Act any prohibited goods shall be liable to forfeiture.

6.6 Learning Activities

As a clearing and forwarding officer, your supervisor has asked you to complete an assignment for him involving clearing of a client's goods. As you go through the documentation you notice the following:

- i) The dutiable value of the goods being imported has been understated
- ii) There has been falsification of the "country-of-origin" of the goods being imported through mislabeling
- iii) The goods have been labelled as transshipped through third countries to make it appear as though they came from countries with lower applicable Harmonized Tariff duty rates or no import quotas for the goods in question
- iv) Improper use of Tariff Schedule duty-rate classifications.

Required:

1. Identify the type of fraud in each situation above
2. Discuss the possible consequences of the fraud committed in the above situations
3. Discuss how you would handle each of those situation including reporting the fraud.

6.7 Self-Assessment Questions and Activities

1. As a C&F agent, explain the situations that may expose you to fraud in your operations
2. Discuss the different types of frauds and their implications and consequences to the individual, organization, industry and country
3. Discuss the strategies you would use as a C&F agent to reduce exposure to fraud and fraud situations
4. Discuss the mechanisms that you would use to report fraud.

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**Federation of East African Freight
Forwarders Associations (FEAFFA)**

Hillcrest Court, Waiyaki Way, Slip Road, Westlands
P.O. Box 22694 – 00400 Tom Mboya, Nairobi Kenya
Tel: +254 (0) 738 150 673, +254 (0) 738 165 318
Email: info@feaffa.com | Website: www.feaffa.com



Federation of East African Freight Forwarders Associations (FEAFFA)



@FEAFFA



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