ETHICS, INTEGRITY
&
APTITUDE

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Ethics and Human Interface

1.1. ESSENCE, DETERMINANTS AND CONSEQUENCES OF ETHICS

1.1.1. Introduction

Ethics is a system of moral principles derived from Greek word "**ethos**" which means **habit** or **character**.

1. As a discipline, ethics is a part of moral philosophy which goes into identifying and building principles of right or wrong conduct.

2. As a practice, ethics provides us set of rules and principles that guide our conduct as right or wrong.

From GS Paper IV- Ethics, Integrity and Aptitude, UPSC expects to assess the candidates' attitude and approach to issues relating to integrity, probity, etc. in public life. The Commission also aims to assess the problem-solving approach of students, via case studies pertaining to various issues and conflicts faced by them in dealing with society.

1.1.2. What are ethics?

Ethics are *standards of human conduct that society adopts for itself*. They are a set of **dos and don'ts** that govern human conduct in a social setting. For instance, forgery or stealing from someone shall come under unethical human conduct.

Ethical concepts:

1. **Ethics is an end-in-itself:** Being ethical is not a means to do something but is itself a source of happiness and satisfaction in life. For example, donating blood, charity etc. gives a good feeling to people.

2. **Being ethical has good consequences:** Adherence to ethics has positive consequences for an individual, society and the world at large. For example, when a person is ethical, he/she receives praise and recognition from society. When countries are cooperative towards each other, peace and progress follow.

3. **Ethics is determined by several factors:** Individual conscience, family, education, politics, economy, performance pressure etc. all have a bearing on the ethical standards of people, on whether people behave ethically or not.

4. **Ethics is not the same as morals:** Ethics is different from morals as it is contextual whereas morals are an individual principle. For example, in a society it might not be ethical to be homosexual, but an individual might find it morally right to accept homosexuality.

5. **Ethics can be absolute or relative:** Ethics are standards of human conduct and there are two schools of thought on how these standards develop. **Absolutists** claim that ethical standards are universal and the same rules must apply to everyone everywhere. For example, violence or lying is unethical everywhere. **Relativists** claim that ethics varies across cultures or societies and there can be no universally accepted single

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standard of ethics. For instance, different countries offer different amount of freedom to their people. Restricting free speech is seen as unethical in USA whereas it is readily accepted in China in larger national interest. However, a generally accepted opinion is that certain ethical standards are universal (like justice, mercy etc.) whereas some others change across time and space.

Q. Analyze the quotation- "A system of morality which is based on relative emotional values is a mere illusion. A thoroughly vulgar conception which has nothing sound in it and nothing true."
—Socrates (UPSC Mains 2020)

1.1.3. What are morals?

Morals are *principles of right and wrong held by an individual*. Unlike ethics, morals are standards of behaviour pertaining to an **individual and not social conduct**. Morals arise from **personal experience, character, conscience** and so on.

Concepts related to morals:

1. **Morals are an individual concept:** Morals are products of each individual's **conscience**, upbringing, psyche etc.

2. **Morals lead to formation of moral attitudes:** These are attitudes towards moral issues. People develop a tendency to see an issue favourably or unfavourably in moral terms. For instance, a person who has right-wing morality tends to see all right-wing policies in positive terms.

3. **Morals are subjective:** Morality shows high variation from person to person and society to society (collective morality). For example, **views on capital punishment** vary hugely from abolition to phased abolition to rarest-of-rare doctrine to active retention.

4. **Morals exhibit dynamism:** Although stable, moral standards **can change as people are exposed to new information**, lifestyles, cultures etc. For example, drug abuse used to be seen as a crime but after certain awareness and insight, people have begun to see it as a sickness that needs help and cure.

1.1.4. Ethics and Morals

Morals	Ethics
Individual rules of right and wrong.	Set of moral principles widely **accepted by social groups.**
Morals arise from **within.**	Ethics originate from **outside the self.** When morals accepted by individuals are accepted by larger groups and then society, ethics is born.
It is **difficult to codify** morality as it varies from individual to individual.	Though difficult, it is **some times possible** to codify ethics. Example: **Ethical Code of Conduct** in an organization.
Morality has to do with **character** of a person.	Ethics has to do with **conduct** of a person.
Morality concerns the **private sphere;** Morals can be called as personal ethics.	Ethics concerns **public life;** Ethics may be called as public morality.
Example: For a lawyer, helping a guilty client get away without any charges is immoral.	**Example:** For a lawyer, abandoning the case after knowing that the accused is guilty, goes against professional ethics.

Figure 1.1: *Relation between Ethics and Morals*
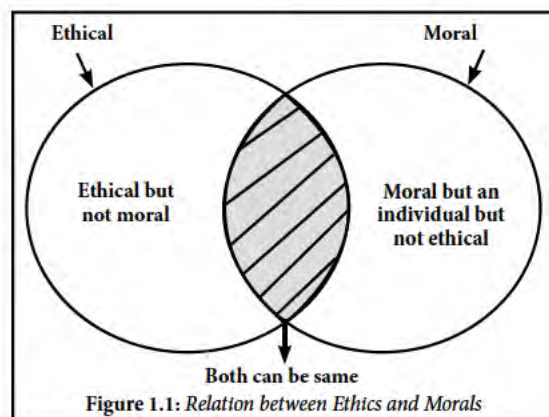
1.1.5. Stages and process of moral development

Figure 1.2: *Kohlberg's 6 stages of moral development*
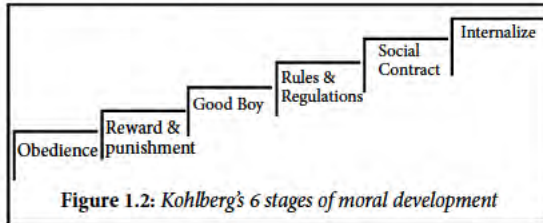
1. **Obedience:** Up to 5 years old. At this stage, a child does what he/she is asked to do. Values are passed on to children through the use of commands.

2. **Reward & Punishment:** From 5 to 10 years old. At this stage, kids do the ethical things in order to escape punishment and fetch reward. Values are adhered to by children for the purpose of loss and gain.

3. **Good Boy:** From 10 to 15 years old. At this stage, adolescents do the right things in order to gain social respect and appreciation. Values are respected by people as it fulfils their social needs. During this stage, values help in conformity and interpersonal accord.

4. **Rules and Regulations:** From 15 to 20 years old. At this stage, people do the ethical things in order to obey the rules and regulations of the society and maintain stability and order. Values are adhered to for the purpose of peace and stability. 90% of people remain at this stage of moral development.

5. **Social Contract:** From 20 to 25 years old. At this stage, people show ethical behaviour because it is in their own interest and in the interest of larger social order. People acknowledge that every member of society has to follow the ethics so as to coexist in a healthy manner.

6. **Internalization:** Beyond 25 years old. At this stage, people develop their own set of values and behave accordingly. They are not governed by external moral code but by their own values and hence, often show unique radical behaviour. For example, **Bhagat Singh** was driven by his own values and not the prevalent socio-political norms.

1.1.6. Essence of ethics

What is meant by essence?

Essence is the intrinsic quality that determines the **character** of a thing. Essence of ethics stands for its features, significance, benefits and so on.

Essence of ethics:

1. **Good life:** It has been said that a good life is a **life of virtues. Bhagavad Gita** says that the purpose of human life is to fulfil its duty and adhere to virtues. In modern times, people are not ultimately satisfied with wealth, pleasures, fame etc. and ethical behaviour is said to provide ultimate satisfaction. Ethical and virtuous behaviour is also seen by some philosophers as the highest good. It need not lead to other benefits. Cicero calls such good 'summum bonum' i.e., highest good.

2. **Aids in self and beneficial for societal preservation:** Ethical behaviour leads to various benefits for an individual as well as the society at large. Ethics leads to **peace**, harmony, respect, justice etc.

3. **Contextual:** Ethics are determined in a social setting. A society's history, culture, values etc. determine ethical standards which may vary from society to society. For instance, issues like **abortion**, **surrogacy** are judged differently in different countries.

4. **Innate goodness:** Ethics are shaped by society, but they are also partly driven by the innate goodness within each human being. For instance, irrespective of surroundings, all persons naturally tend to speak the **truth**, seek **peace** and so on. Philosophers like **Socrates** have founded the fundamental premise that human beings are basically good but are often unable to do the right thing because of lack of right guidance. The study of ethics aims to tell people what is the right thing to do through different ethical philosophies.

5. **Abstract:** Ethics is not a definitive science but an abstract philosophy about what is the right thing to do. It does not have any material value or manifestation but

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has universal significance. Ethics is like electricity. It cannot be seen or sensed but it is all around us having great impact.

However, due to this reason, people are often **unable to understand** their meaning and significance. This deprives them of knowledge about what is the ethical thing to do and lets them drift towards unethical acts.

6. **Subjective**: Ethics is not an objective universal concept. Its understanding varies from time to time, person to person, society to society. For instance, some people emphasize upon following the right means whereas others emphasize upon pursuing the right ends. However, this variation may lead to disagreements and conflicts on what is the right thing to do. For instance, cases of **cow vigilantism, honour killings** etc. take place because of conflicts regarding ethical behaviour.

7. **Voluntary action**: Ethics only deals with voluntary human action. It only deals with actions when the person **acts with free will** without any coercion. For instance, if a person is made to do something unethical at gunpoint, he/she cannot be called ethical/unethical as he/she did not act on his own.

8. **Prescriptive**: Ethics preach a certain kind of behaviour to us. It tells us how people should behave. However, ethics are often prescribed without any reason or explanation. This undermines people's respect and value for ethical behaviour. For instance, traditional values like **family values** are declining among the youth because their significance and rationale are not explained to them.

Besides, ethical prescriptions often become orthodox and oppressive with time. In the medieval times, the **Roman Church** executed people like Galileo, Cicero etc. for their contrary scientific thoughts. In present day **India, women** are made to stay indoors, wear veils etc. because of orthodoxy.

9. **Descriptive**: Ethics can also be descriptive. Some scholars study behaviour of communities and examine what are the standards of ethical behaviour i.e., how do people behave.

Q1. "The good of an individual is contained in the good of all." what do you understand by this statement? How can this principle be implemented in public life?

(UPSC Mains 2013)

Q2. Analyze the quotation- "Where there is righteousness in the heart, there is beauty in the character. When there is beauty in the character, there is harmony in the home. When there is harmony in the home, there is order in the nation. When there is order in the nation, there is peace in the world."

– A.P.J. Abdul Kalam (UPSC Mains 2019)

1.1.7. Determinants of ethics

Determinants of ethics are factors that shape the ethical standards and behaviour of people. These determinants are the basis on which people decide what is right and wrong. For example, some society may decide right and wrong based on economic philosophy whereas some society may decide it based on historical experience. Whereas, in the Indian way of life, ethics depends on *Sthaan, Kaal, Patra* (the place, the time and the agent).

Just like other values, ethical values are also determined by the factors like family, education, media, conscience and so on. Apart from these, there are other social factors that shape the ethical standards of a society, as follows.

1. **Time**: Ethics keep changing with time and hence, time also determines ethical standards. Sati, purdah, untouchability etc. were considered ethical in **18th century India** but not anymore.

2. **Experience**: Life experiences shape our attitude towards ethics and morality. After some experiences, we might adhere to ethical standards strongly. For example, **Ashoka's** experience in Kalinga war changed his ethical standards of kingship. After witnessing road accidents, we tend to drive more carefully and adhere to **traffic rules**.

3. **Cost-benefit analysis**: Comparison of positive and negative consequences of actions is often used to judge their ethicality. Philosophy of **utilitarianism** calls for 'greatest good of the greatest number'.

For example, construction of **big dams** causes displacement of many people, but government justifies it based on the greater number of people benefitted by drinking water, irrigation, electricity etc.

4. **Inspiration**: Examples of personalities or events often shape ethical standards of people as they impact mind and emotions. For example, **student leaders** in India often justify their cause and protests by giving example of **Bhagat Singh** who was also a radical socialist.

5. **Power**: Political, economic or social power often lays down ethical norms for a society. Governments create **public policies and laws** which themselves declare what people should and should not do. Wealthy individuals like **celebrities** and social leaders like **Sadhguru** influence people and affect ethical standards.

6. **Education**: Education policy affects what people know and what people think. Norms that are praised by the education system become values for the people. For instance, dictators like **Hitler** designed the educational curriculum in such a way so as to shape the people's ethical standards in favour of authoritarianism and nationalism.

7. **Constitution and law**: The Indian Constitution has laid down certain values like equality, justice, fraternity, etc. that define the spirit of ethics. The government also frames certain laws and policies through which it incentivizes a particular behaviour and disincentivizes another type of behaviour. Such incentive structure shapes ethical standards of people as well as its adherence. William Gladstone said, "It is the duty of government to make it difficult for people to do wrong, easy to do right." For example, **Swachh Bharat Abhiyan** has affected ethical standards of people in favour of cleanliness and sanitation. Even

8. **Tradition and culture**: Prevailing practices in a society are accepted as the norm by people and shape the ethical standards. This happens due to the mechanism of

social influence and as everyone wishes to be accepted by society. For example, gender inequality is considered ethical in **Saudi Arabia** due to its peculiar culture and tradition.

Note: The list is not exhaustive, but illustrative. Students can come up with more such contextual factors that determine ethical standards of human behaviour.
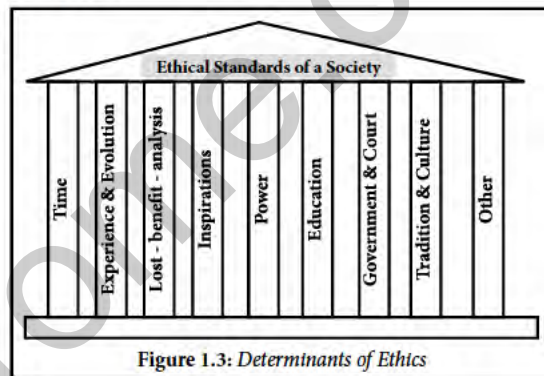
Figure 1.3: *Determinants of Ethics*

1.1.8. Determinants of ethicality

We have studied factors that determine ethical standards. It is also important to understand the factors that determine whether an action is ethical or not i.e., an action's ethicality. Various scholars of Philosophy have given different benchmarks for identifying ethicality of an action.

1. **Nature of the action**: Ethicality depends upon the fundamental nature of action itself. For instance, **murder** is an unethical act in itself and it cannot be justified by any intention or under any circumstances. On the other hand, acts like **polluting the environment** are unethical but it can be justified if its within ecological limits and used for good purpose like rural electrification.

2. **Intention**: Intention behind an action must be ethical and only then, the action can be ethical. If intention is wrong, no action can be ethical even if the action is good in itself. For instance, **charity** done for vested interests by unscrupulous NGOs is unethical even if it is charity. On the other hand, **breaking a traffic rule** can be ethical if a policeman does it to catch a criminal.

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3. **Circumstances**: Ethics is dynamic and hence, sometimes circumstances decide whether an action is ethical or not. This is called as **Situational ethics**. For instance, **democracy** and citizen-centric governance is ethical governance but during times of war, **martial law** can be ethically justified and hence, provided under the Indian Constitution. We consider **breaking of traffic rules** as highly unethical but if we are getting late for some place, we let ourselves break the rules.

However, these determinants are **not mutually exclusive**. Often these determinants either **overlap, for example**, integrity of civil servants in administration depends upon social, economic, political, cultural and other factors, or they are in **conflict** with each other. **For instance**, an individual's thought and experience may make him an atheist whereas society may push him towards a religion.

1.1.9. Consequences of ethics

1.1.9.1. Individuals and society

For individuals	For society
Happiness: Rather than a life of wealth, pleasure, fame etc., an ethical life is said to be the source of ultimate happiness. Such happiness leads to **ultimate satisfaction** and contentment where an individual does not need any more or less. Aristotle says that practising the '**Golden Mean**' (middle path, moderation etc.) leads to happiness which he calls 'Eudaimonia'. For example, **donating blood** makes us feel good within.	**Peace and harmony**: Ethical behaviour leads to reciprocation and therefore, leads to a peaceful and stable society. **Neighbours** have good relations if they mutually respect the norms of **noise pollution, sanitation** etc. Similarly, there is peace in the world if countries adhere to **international law**.
Positive outlook toward society- A person who acts ethically has a positive outlook toward society. This positivity helps in building **trust** and **social capital**.	**Justice and inclusion**: Ethics in social behaviour results in **equality of status and opportunity, fair treatment** etc. for all people, especially the weak and vulnerable. Absence of ethics leads to injustices like untouchability, gender discrimination etc.
Elevated sense of being: Ethical and virtuous behaviour makes a person feel like a **higher order being** who is beyond lower order needs. Such behaviour leads to a higher sense of fulfilment. **Lord Rama** did not care for lower order needs like kingship, power, wealth etc. and rather focused on virtues of courage, responsibility etc.	**Good governance**: Ethics in administration (transparency, accountability, rule of law etc.) ensures greater effectiveness and efficiency in administration and leads to greater public satisfaction. For instance, **Kiran Bedi** turned around the state of Tihar jail with her values of integrity, compassion, dedication etc. which became a success story of good governance.
Acceptability and likeability: When a person shows ethical behaviour, such person gets accepted into a society and is also appreciated for his/her actions. For instance **children who respect their elders** are appreciated by their family and relatives.	**Equitable and inclusive development**: In the sphere of economy, ethics is essential. Ethics ensures **fair opportunity, fair distribution of resources, social mobility** and so on. Unethical behaviour leads to scams, labour exploitation etc.

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Credibility: In the current society plagued with widespread trust-deficit, ethical and virtuous persons are trusted upon by other people and their words and actions carry greater weight than that of ordinary persons. For instance, **leaders with integrity and honesty** have greater influence upon public than leaders with questionable records. **Political parties** urge respected public figures to endorse them.	**Future generations:** Ethics in society sets an example for children and youth. They **observe, learn and develop** values which ensures ethical behaviour on their part. This leads to a sustainable social order. For example, when young boys see **women being respected within the household**, they respect women in their social life as well.
Accomplishment: Ethical behaviour is not only morally prescribed but also practically beneficial. People with ethics and values are likely to achieve greater success in long term. For instance, honest individuals like **Kiran Bedi, TSR Subramaniam** have held high positions in government. **Professional ethics** is a big factor in the career advancement of lawyers, doctors etc.	**Environment:** In present times, environment and climate are crucial concerns. Environmental ethics can ensure a **clean, green and sustainable** human civilization which is crucial for survival and development. For instance, basic behaviour such as **not wasting water, electricity, fuel** etc. can go a long way in saving the environment.
Interpersonal relations: Ethical behaviour leads to mutual kindness, politeness etc. and hence leads to good relations with people. For instance, **greeting people** with a smile or showing courtesies leads to reciprocation and hence, good relations. Recent study by **Harvard on Adult Development 1938-2015** (world's longest study ever) has concluded that 'good relationships keep us happier and healthier.'	**Change:** Ethics of **care, justice reason** etc. motivate societies to reform and bring change. This way ethics leads to a healthier society. For instance, liberal humanistic ethics in **19th century India** reformed the society and curbed social ills like sati, restrictions on widow remarriage, polygamy etc.
Decision making: In modern complex lives, ethics tell us **what is the right thing to do** in times of ethical dilemmas where we are confused between two equally good/bad alternatives. Ethics also provide decision makers the **basis to justify** their course of action. For example, civil servants have **Code of Ethics** to guide their decision making.	**Faith:** Religion and tradition are given high regard across the world. Ethical behaviour is prescribed by all religions and hence, considered important by people. It also **maintains faith** of people in a supreme authority (like God) and hence, sustains the **social order.**
	Healthy society: Ethical behaviour leads to right kind of behaviour by individuals which is reciprocated by others and hence it leads to a well-functioning society, as nobody is hurt by anyone. For instance, obedience to **traffic rules** by all individuals will lead to safe and efficient transportation and hence, benefit the society at large.

Note: The above list of consequences is not exhaustive, but illustrative. Students are encouraged to come up with consequences in across dimensions of life, such as consequences for communities, culture, education etc.

Q1. Explain how ethics contributes to social and human well-being. (UPSC Mains 2016)

Q2. Discuss the role of ethics and values in enhancing the following three major components of Comprehensive National Power (CNP) viz. human capital, soft power (culture and policies) and social harmony. (UPSC Mains 2020)

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1.1.9.2. Ethics and laws

Laws are the *codification of ethical rules necessary to govern the society*. Laws have **legal sanctity** and punishments can be imposed in case of their violation. Principles of ethics that are needed to preserve the society- social institutions such as family, are recognized by law. However, three kinds of relationships exist between laws and ethics:

1. Laws may **reinforce** ethical norms- Primary duty of law is to enforce ethics. This can be seen in the recognition of Democracy, Liberty and Equality of all, Fundamental Rights and Constitutionalism.

2. Laws may **cause to develop** ethical norms- Law also often seeks to bring positive changes. For instance, it is seen in *the* conception of secularism, Uniform Civil Code, abolition of practices such as Sati.

3. Laws maybe **contrary** to ethics- Law may run counter to ethics. For **example:** Apartheid laws, Section 497 of the Indian Penal Code which has been struck down making adultery no longer a crime, and not recognizing Marital Rape as a crime. The British government's salt laws that prohibited Indians from collecting or selling salt were unethical, given that salt formed an essential component of the Indian staple diet. This prompted **Gandhi ji** to act on his conscience and embark on his defiant march in the civil disobedience movement. Also, **whatever is ethical may not always be legal.** For example- euthanasia, Edward Snowden leaking CIA reports of US government snooping on its citizens.

> **Q1.** Differentiate between Laws and Ethics
> **(UPSC Mains 2015)**
> **Q2.** Without commonly shared and widely entrenched moral values and obligations, neither the law, nor democratic government, nor even the market economy will function properly. What do you understand by this statement? Explain with illustration in the contemporary times. **(UPSC Mains 2017)**

> **Q3.** "A mere compliance with law is not enough, the public servants also have to have a well-developed sensibility to ethical issues for effective discharge of duties" Do you agree? Explain with the help of two examples where (i) an act is ethically right, but not legally and (ii) an act is legally right, but not ethically.
> **(UPSC Mains 2015)**

1.1.9.3. Ethics and politics

Politics and ethics are often considered antagonistic to each other. It is a general perception that entering politics implies getting one's hands dirty as running the affairs of the State and contesting elections often requires one to take decisions which maybe **outside the acceptable ethical spectrum** of the society. In today's times, such political behaviour is reinforced by the observation that majority of our elected representatives have serious **criminal cases** registered against them. Politicians who indulge in **corruption**, bribe the voters, play divisive politics, often win elections, while men showcasing credibility and accountability are unable to do so. Contemporary leaders have used any means to stay in power and have amassed huge wealth in the process. For instance, Lalu Prasad Yadav, an Indian politician, was convicted in fodder scam of 950 crores. Even after passing the **anti-defection law**, politicians are often seen running around hotels to evade from being allured by other political parties, right after election results are announced.

However, the above view can be considered a conservative view. As even in ancient times, it was **Ashoka**, who conquered the world, not by war and politics but by his heightened morality and his peace emissaries. Leaders like **Lal Bahadur Shastri** who took up the moral responsibility and resigned as Railway Minister, because of train accidents, went on to become the Prime Minister of India. **Manik Sarkar**, the longest serving Chief Minister of the state of Tripura (20 years), is known, even among his opponents as being impeccably honest and down to earth. He owns minimum balance in his bank account and used to donate his entire salary to his party fund.

Ethics can thus be sustained in politics with the right **electoral reforms, enlightened citizenry,**

tools of **accountability** and attracting better people to politics. Without commonly shared and widely entrenched moral values and obligations, neither the Law, nor the Democratic government will be able to function properly. '**Politics without principle**', one of Gandhi ji's seven sins, needs to shunned for ethical management in politics.

> **Q.** It is often said that 'politics' and 'ethics' do not go together. What is your opinion in this regard? Justify your answer with illustration.   (UPSC Mains 2013)

1.1.9.4. Ethics and professional competency

> "*In looking for people to hire, look for three qualities: Integrity, Intelligence and Energy. And if they don't have the first, the other two will kill you*"
> - Warren Buffett

Organizations always aim for the **best talent** to drive **growth** and improve their efficiency. The effectiveness of this human resource should depend not only on professional excellence but also on values. Infact employees who are low on morality but high on competence are often the biggest threats to the organization as the immoral use of their intelligence can jeopardize the company's credibility. For Example, **R. Raju**, the founder of Satyam Computers, was high on competence. Still, he was involved in falsification of his company's financial records and due to the lack of a consistent value system, it led to him being convicted and the collapse of Satyam. **Rajat Gupta**, the first foreign born CEO of McKinsey, despite the best of his abilities, because of a corrupt moral system, brought disgrace to his organization. **Harshad Mehta**, a highly efficient stockbroker, carried out stock manipulations and defrauded investors of over 1 billion Dollars.

Figure 1.4: *Ethical values and professional competence*
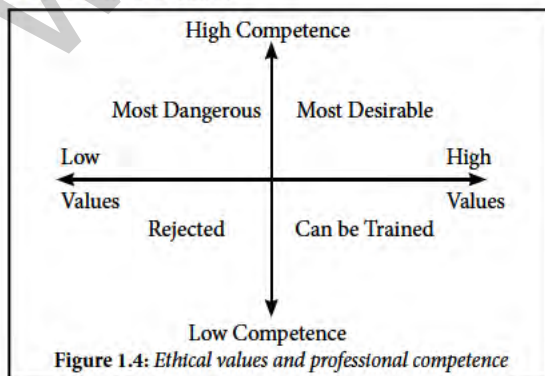
It is therefore expected that the employees possess a moral compass because knowledge can still be imparted by **training**, but values cannot be taught. Values are imbibed and inculcated as a result of our experiences. An employee cannot be tutored to become an ethical individual overnight. Lack of moral competence among employees erodes the **moral fabric** of the entire organization, hampers reputation and negatively impacts the **brand value** and trust. Hence, ethical quotient is as important as intelligence quotient. Rather, the need of the hour is ethico-intellectual quotient.

> **Q1.** What do you understand by 'Values' and 'Ethics'? In what way is it important to be ethical along with being professionally competent?   (UPSC Mains 2013)
> **Q2.** "Integrity without knowledge is weak and useless, but knowledge without integrity is dangerous and dreadful." What do you understand by this statement? Explain your stand with illustrations from modern day context.   (UPSC Mains 2014)
> **Q3.** "In looking for people to hire, you look for three qualities: integrity, intelligence and energy. And if they do not have the first, the other two will kill you." – Warren Buffett. What do you understand by this statement in the present-day scenario? Explain.   (UPSC Mains 2018)

1.1.9.5. Ethics and religion

> "*Whether goodness is good because it is loved by the Gods or whether goodness is loved by the Gods because it is good?* "
> - Socrates

Ethics based on God, or religion-based ethics, teaches that something is good because **God says so**. Religion gives a **supernatural sanction** to certain values and activities and ensures **compliance** by its followers. It provides an answer by introducing beliefs about all-knowing, all-powerful Gods who punish **moral transgressions**. The utility of religion-based ethics is that it helps to provide legitimacy to moral rules and regulations by acting as a **social watch dog**. People may follow the rules because of fear of being punished by God in this life or some after-life. Religion also teaches us the values of unity, peace, brotherhood

and tolerance in society. This is evident from the incorporation of all native and tribal religions into Hinduism and the worship of more than 33 crore deities. Religion lays emphasis on humanity and the importance of non-violence. For instance, Buddhism preaches that one should refrain from killing or causing harm to other living beings and not steal; should avoid sexual misconduct and false speech; and abstain from over-consumption. Religion also promotes collectivism in a way that society can progress only due to interdependence, social cohesion and upholding of moral principles. It adds support to environmentalism by promotion of simple and sustainable living. For example, many Hindus worship mountains, rivers, trees as deities and believe that our treatment of nature will affect our karma. Religion gives solace and hope for hopeless during dire circumstances.

However, philosophers find a number of issues with Religion based ethics. For instance, moral teaching based on **sacred texts** can be unreliable due to they being culturally relative and chances of their **misinterpretation**. This is very relevant in today's context as religious extremism and **fundamentalism** is on a rise. Moreover, in *Mahabharata*, both *Karna* and *Ashwathama* were killed by deceit, that too under the guidance of *Lord Krishna*, the reciter of *Bhagvada Gita*- the *'dharma granth'* of Hindus. Similarly, *Bible* talked of permitting killing gay people, and the Aztec sun god permitted killing young girls in acts of sacrifice. These examples put a question mark on the righteousness of our scriptures. Also, different sources for finding the same God's will, presence of many religions and their respective Gods poses the problem of **authenticity** and still does not answer how some non-religious persons show ethical behaviour.

Secular ethics identifies non-religious sources of ethics. It believes that morality can be independent of religious dictums. It infers that atheist can be ethical and perhaps even more than theists because their moral compass is based on logic, rationality, objectivity and general notions of right and wrong rather than on outdated scriptures. **Stephen Hawking**, the famous physicist, was an atheist and yet he was once called "the scientist who never forgot his morals". Apart from being a brilliant cosmologist, he was an active voice on moral issues like supporting Palestine cause, opposing Vietnam war, calling the invasion of Iraq- a 'war crime', campaigning for action to prevent climate change, etc.

1.2. DIMENSIONS OF ETHICS

1.2.1. Theoretical Dimensions

Philosophers divide ethical theory into three branches based on what they essentially talk about. These theoretical dimensions explain and elaborate upon the idea of ethics. These are theories about what ethics is, what is the right thing to do, what people actually do and so on.

1.2.1.1. Normative/Prescriptive ethics

Normative ethics are theories that prescribe **what is the right thing to do**, especially in times of **moral dilemmas** or confusions. There are broadly three schools of thought in normative ethics - virtue ethics, teleological ethics and deontological ethics.

Virtue ethics state that those actions are ethical which are in line with certain virtues (desirable traits). This school believes in always acting in a particular manner such that we pursue a particular virtue. Such virtuous actions are seen as ethical as well as leading to a good life. For example, **Aristotle** said that following the **Golden Mean** (middle path) is the right thing to do and leads to satisfaction and happiness in life.

Teleological ethics state that those actions are ethical which lead to the right ends i.e., consequences. This school of thought justifies the actions of Robin Hood due to its good results for the poor people. **Utilitarian philosophers** like **Jeremy Bentham** and **John Stuart Mill** claim that the right course of action is one which leads to the 'greatest good of the greatest number' and hence, justifies acts like welfarism, big dams etc.

Deontological ethics state that those actions are ethical where the means used are right i.e., the action itself is ethical. This school of thought believes in non-violence, constitutionalism, respect of rights etc. as the means used are right. **Emmanuel Kant** asks people to do the right thing in itself as it is their duty, also called the **'categorical imperative'**. When the action itself is ethical, the behaviour is ethical regardless of the consequences.

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"Ends justify the Means"   -Niccolò Machiavelli

"The path should be as pious as the destination"
                                    -Mahatma Gandhi

The contrast between the approach of teleologists and deontologists can be seen in the **means v/s ends** debate. For consequentialists, ends are of supreme importance. A consequentialist would argue that stealing is acceptable if it is to feed someone or even an encounter is justified if it can prevent a serial killer from committing further heinous crimes. However, for deontologists, ends do not justify the means. If in order to do good, the rights of someone else need to be violated, then the end is not equivalent to good at all. For instance, **Gandhi ji** suspended the Non-Cooperation movement after the violence at Chauri- Chaura as for him there was no place for violence in a peaceful protest. This increased the credibility of his actions, recognition of his power and influence over masses and culminated in his leadership role in the Indian National Movement.

> **Q.** With regard to the morality of actions, one view is that means is of paramount importance and the other view is that the ends justify the means. Which view do you think is more appropriate? Justify your answer.   **(UPSC Mains 2018)**

1.2.1.2. Descriptive ethics

Theories of descriptive ethics explain **what people actually do** (not what people should do) and what people think is the right thing to do. They describe how people behave and what ethical standards they follow. They also explain how ethical standards develop and what factors shape these ethical standards. For instance, descriptive ethics talks about how a man would not hesitate to purchase a scarcely available lifesaving medicine in black, in order to save his child as nothing matters more to him than the life of his child.

1.2.1.3. Meta ethics

Meta ethics deals with the very basic idea of ethics. These theories talk about **fundamental abstract issues** like **what is meant by ethics, why should we be ethical, is ethics an absolute reality or a social construct** and so on. They become the basis on which descriptive, prescriptive and applied ethics are built upon. Meta ethics covers broadly two domains.

1. **Meta issues:** They deal with core-of-the-core issues like why it is important to be ethical, **what is the key determinant of ethics –** reason or emotion and so on. For example, philosophers like **Ayn Rand** use reason as the basis of ethical principles. She says that rational egoism should be the basis of human choice. On the other hand, philosophers like **Mahatma Gandhi** use human conscience as the basis of ethical norms. He states that our inner voice can be used as an ethical guide in times of dilemmas and such voice holds highest value.

2. **Metaphysical issues:** This branch deals with cosmic issues like whether ethics is an absolute **cosmic reality or a social construct.** For example, Bhagavad Gita proclaims that every entity (be it energy, soul, molecules, planet etc.) has their path laid down which they must follow in order to attain salvation. According to this, ethical standards are for the entire cosmic universe and not just mankind.

Moving a step further, ethics can be studied with respect to specific issues. Ethics is not only seen as a branch of theory but as an applied branch of knowledge that can be used to solve real life problems. Various fields such as administration, medicine, media etc. face ethical issues in their functioning and need ethical guidance.

1.2.2. Applied dimensions

1.2.2.1. Bioethics

This domain studies ethical issues in the field of human biology and biotechnology. While modern science has greatly advanced and has attained the capability to alter human biology, bioethics lay down certain ethical norms on how such scientific knowledge should be used and for what purpose. Following issues are covered by bioethics.

1. **Privacy:** Biomedical studies and gathering of data must respect the privacy of individuals as it deals with private sensitive medical information about them. Medical status

of people should not be revealed as it is an intrusion and also creates a chance of misuse. For instance, a person having a **chronic life-threatening disease** may not want to reveal that to another person.

2. **Bio-piracy:** Advanced countries and their innovators carry out exploration and gathering of biological resources (such as DNA, leaves, tissues etc) from developing countries in the tropical region (having higher biodiversity), for commercial purposes. Such use and exploitation of biological resources by an advanced country from a relatively backward country, profiteering out of it without sharing profits with the source country is called bio-piracy. It is expected that biological resources should not be exploited by developed countries without sharing benefits with developing countries. For example, **Nagoya Protocol under the Convention on Biological Diversity** mandates signatory countries to ensure **access and benefit sharing** for greater good of biotechnology and mankind.

3. **Abortion:** The act of abortion is highly debated with respect to its ethicality. **Pro-life** preachers claim that human life is sacrosanct in nature and parents should have no right to end it. Human life starts as soon as the baby is conceived and thereafter, ending such human life is like murder. On the other hand, **pro-choice** thinkers claim that parents must have the infallible right to choose and plan parenthood, which includes the right to abort an unwanted child. With increasing modernity, India has also relaxed its abortion law. However, the act of abortion in India is still a taboo.

4. **Cloning:** Cloning is a highly advanced science which can be used on humans, animals, plants, microbes etc. Bio-medical ethics has accepted worldwide that cloning is a risky and unethical act, as it is artificially done. It will have serious repercussions on society, personal life and so on. It has however been done on various animals to enhance the technique

5. **Intellectual property rights:** Every innovator should be entitled to the rights over their intellectual property due to the immense time and effort spent in developing the item. However, IPRs should **strike a balance** between the private interest of innovator and public interest of availability and affordability. After that, IPRs should be effectively enforced.

6. **Gene editing:** Gene editing alters the gene of a living being to achieve desired traits. There is an ethical stipulation that gene editing should only be used for **therapeutic purposes** or for human well-being. It is also claimed that human genes are **God-given** and hence, human beings should interfere with it minimally.

7. **Clinical trials:** Clinical trials carry out experiments upon people by offering money. They can possibly harm the health of an individual but are necessary for public health and innovation. To **balance** the two concerns, there are ethical norms regarding informed consent, safety, human healthcare and so on.

1.2.2.2. Medical ethics

1. **End of life care:** Interventions such as life support are required to keep a person alive when he/she is **brain dead** or have zero chance of recovery. Different societies have different ethical norms regarding when to introduce life support and when to withdraw it. Some countries prefer keeping the patient alive whereas others prefer removing it when survival is improbable so that the facility can be used for other promising patients.

2. **Informed Consent:** Patients should be provided complete information about the procedure they are about to undergo and consent should follow based on true and complete information. For instance, **removing kidneys** from patients without their consent is blatantly unethical.

3. **Attachment with patient:** It is prescribed by medical ethics that a doctor is better off by not developing emotional attachment with a patient whom he has to scientifically

treat. It enables a doctor to have **objectivity**, courage etc. On the other hand, one school of thought prescribes that a basic amount of **compassion** and devotion is rather needed towards patients.

4. **Euthanasia:** The moral acceptability of euthanasia varies with place and time. It involves the serious ethical issue of whether it is right to end a human life deliberately in case of serious irreversible suffering. One school of thought claims **sanctity of human life** whereas other school prefers ending human misery and allocating resources to other needy patients. In this light, Supreme Court of India allowed passive euthanasia in Aruna Shanbaug case 2011 and recently in 2018, it also allowed 'advance directive' or 'living will' for terminally ill patients.

5. **Prescription:** Doctors must ensure that they prescribe the most available, accessible, affordable and effective medicines to the patients, basically generic drugs instead of expensive patented drugs. The purpose is to help the needy and ensure public health. For instance, Government of India runs the **Jan Aushadhi Yojana** to increase supply of generic medicines.

6. **Patient identity:** Professional ethics in medicine mandate doctors to treat a patient with honesty and commitment irrespective of patient's identity or background, even if the patient is a criminal. The **Hippocratic oath** taken by doctors establishes this ethical norm.

7. **Clinical trials:** It has been found that people from low-income groups are over-represented in clinical trials. Companies exploit people who are in need of money and those who are ignorant of medical consequences of the trial. Other ethical issues with clinical trials include protection of rights of subjects, safety and well-being of the research participants, maintaining their privacy, and accountability and transparency while conducting trials. Deliberately exposing people to virus for speeding up the process of vaccine development (human challenge trials) presented a new set of ethical dilemmas.

8. **Triage especially during COVID:** Medical professionals face dilemma when they have to decide the priority of providing medical services to needy patients, due to lack of adequate facilities. This became a major concern during successive COVID waves when the medical infrastructure was overwhelmed due to high number of cases and limited resources.

1.2.2.3. Media ethics

1. **Independence:** Media channels (print or electronic or digital) must be independent of the government and not have any political allegiance. The independence of the media not only leads to free speech and expression but also emboldens debate and dissent in democracy. For instance, in USA, certain media outlets showed strength and resolve to question the policies of **Trump** administration despite direct criticism and denigration by the President himself.

2. **Objectivity:** Reports of media personnel should be based on facts and not personal bias or prejudice. Media must report all information from across the spectrum of opinion. It must also give due space to all shades of opinion as well as facts. For example, recently Qatari government-owned news channel **Al-Jazeera** was restricted from operating in Jammu and Kashmir by Government of India for its biased coverage.

3. **Sensationalism:** The media's role in a democracy is to provide the people with information in its purest form using which the people can make informed decisions. The media must avoid sensationalizing and **scandalizing news for the purpose of marketing** as it also leads to tensions, hyped emotions etc.

4. **Editorial independence:** Media outlets are commercial enterprises and need money to sustain themselves. However, the editorial and news reporting segments must be at an arm's length from the commercial segments such as advertisements. For instance, governments might coerce newspapers against publishing criticism of

the government in exchange for **commercial advertisements** from the government. However, independent editorial department can check against that.

5. **Ownership**: Media entities must avoid concentrated ownership, especially in the hands of vested interests like politicians, businessmen and so on. Media ownership should be as **publicly distributed** as possible.

6. **Responsibility and sensitivity**: While reporting news, especially live reporting, media professionals must ensure that their coverage does not harm larger public interest. While covering matters like **terrorist attacks, wars** etc. media should exhibit reasonable responsibility towards national interest. While reporting on matters like **riots, rapes** etc. media must show basic sensitivity and not hurt the emotions or dignity of any individual or community.

7. **Honesty**: It must be ensured that information is completely and accurately shared with the public. No sort of information shall be withheld even if goes against the interest of the media outlet itself. The media houses should also remain honest about their TRPs and not mislead both the advertisers and the public by rigging or manipulating actual viewership data. This can lead to financial frauds and spreading of hate narrative in the society by creating a perception that programmes spreading hate are getting high TRPs while those showcasing real news are not.

8. **Accountability**: Media should also account for its mistakes and take adequate action to remedy the wrongs. For instance, news programs must acknowledge errors in their reports and also bring out the correct information.

9. **Means to obtain information**: Right means should be used to obtain information and the privacy, dignity, trust etc. should be maintained. Methods like **sting operations** should be only used when they are found clearly in larger public interest and there should be clear guidelines for the matter.

With the emergence of social media, the conduct of **social media influencers** has also raised ethical questions. Social media influencers are those people who have a huge online following and can shape the attitude of the general public through tweets, posts, stories, etc. Apart from the ethical concerns already mentioned above, influencers show us a 'filtered reality' which looks perfect on screen but that is seldom the case in real life.

They often promote commercial products without trying them or without letting the public know that it is a paid advertisement, thereby misusing the trust their followers have laid on them. Further, the liability of influencers and celebrities for promoting products (either paid or unpaid) remains undefined and raises many ethical questions. They sometimes share the work of others as their own without giving due credit to the original creators. Some influencers also try to stir up a controversy, in order to gain sympathy and more followers, which increases their earnings.

1.2.2.4. Environmental ethics

1. **Sustainability**: The environment and its resources must be used in such a manner that the future generations and weaker sections have enough to fulfil their genuine needs. We must use natural resources in moderation and avoid modern consumerism. As **Gandhi ji** said, **there is enough for everyone's need but not for anyone's greed.**

2. **Compensation**: Basic economic and domestic activities consume resources or pollute the nature, but they are essential for development. Nevertheless, those who degrade the environment, be it for bona fide reasons, must undertake measures to compensate for the degradation. **Compensatory afforestation** is one example for which the Government of India has recently enacted a law.

3. **Conservation**: Every possible effort shall be taken to eliminate or minimize environmental pollution. This is essential to preserve nature and also to sustain the living

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beings that depend upon natural resources.

4. **Equity:** Mother nature belongs to all living beings equally. Hence, we must ensure that nature is used for the benefit of all in an equitable manner and not just for a privileged few.

5. **Rights:** All living beings have their own rights to life and existence. Other living beings are not meant for humans to consume or exploit. The earth belongs not just to human beings but to all earthly beings. For example, wildlife has to be conserved not for sustained human exploitation but because it has its own life and rights granted by nature. This concept even extends to non-living entities of the environment. For example, recently Uttarakhand High Court granted river **Ganga** the status of a living person and all the accompanying rights and obligations.

6. **Mother nature:** Environmentalists believe that 'nature knows best'. We must treat it with respect otherwise it will respond with fury in order to restore the balance. For example, **floods, cyclones, landslides** are seen as nature's methods to restore the natural order.

Q1. What is meant by 'environmental ethics'? Why is it important to study? Discuss any one environmental issue from the viewpoint of environmental ethics.
(UPSC Mains 2015)

Q2. Suppose the Government of India is thinking of constructing a dam in a mountain valley bond by forests and inhabited by ethnic communities. What rational policy should it resort to in dealing with unforeseen contingencies.
(UPSC Mains 2018)

1.2.2.5. Administrative ethics

1. **Transparency:** Administration must not only adhere to transparency laws but must also voluntarily disclose all information to the public so that corruption and mala fide decisions are prevented and public knows the true picture of the government. **Woodrow Wilson** rightly said, '**corruption thrives in secret places and avoids public places.**'

2. **Integrity:** Integrity is often called the value of values. It demands that administrators must strongly and uncompromisingly uphold the values of civil service. It is said that if integrity is there, nothing else matters…if integrity is not there, nothing else matters. Civil servants like **Ashok Khemka, Sanjiv Chaturvedi** are shining examples of integrity and inspire present and future civil servants.

3. **Objectivity:** Civil servants must take decisions in an objective manner based only on **facts and logic** without the undue influence of bias or prejudice. For example, a civil servant's advice to politicians should not be based on personal beliefs but facts of the matter.

4. **Compassion:** In an underdeveloped country with widespread poverty and hunger, civil servants must show compassion towards the weaker sections in order to fulfil their needs. For instance, if a needy **beneficiary under a scheme does not have valid documents,** an officer should not simply reject the application but make efforts to get him necessary documents and provide him due benefits.

5. **Dedication to public service:** Governance in a democracy involves many challenges and pressures and hence, requires utmost dedication on the part of civil servants so that they can strive to serve the people despite the challenges. Such dedication ensures that civil servants remain motivated throughout their long careers. Recent UN Award for community policing to **Bastar police** shows the dedication of the police department of the district.

6. **Impartiality:** Civil servants should treat everyone equally **regardless of their religion, class, caste** etc. This is essential for rule of law and maintains people's faith in democracy. **Article 14 and 15 of the Indian Constitution** establish the right to equality for all citizens of India.

1.2.2.6. Business ethics

Note: This part will be discussed in section on Corporate Governance.

1.2.2.7. Cyber ethics

1. **Obeying the law:** Users of the internet must abide by the law of the land and not use internet for illegal activities such as **hacking, defrauding, stalking, harassing** etc.

2. **Intellectual property rights:** Content created online is often protected by copyrights which must be respected by other users. This is essential for innovation and authenticity on the web.

3. **Privacy:** Despite availability of modern technology like mass surveillance, spyware etc. users must respect each other's privacy and dignity. **Informed consent** must be taken from users before their private information is obtained by online platforms. For example, today smart watches capture a host of information, including medical information, regarding the wearer. If this data is shared with health insurance providers, then it would amount to a breach of privacy and it might have a negative impact on the user's insurance policies. Similar privacy concerns were raised in Cambridge Analytica case, wherein user data was used to influence voting decisions in US Presidential elections.

4. **Free and open internet:** Governments, service providers and other stakeholders must ensure that internet remains open for all and free from any barriers. The recent demands for **net neutrality** aim to uphold this ethic of cyberspace.

5. **Respect:** Users are expected to show basic respect and courtesy in their behaviour online so as to provide a healthy and stable environment to all. Recent problems of **trolling, abusing, shaming** etc. highlight the importance of this ethic.

6. **Public decency:** Since internet is a public platform, users must ensure that their content is decent and appropriate for all audience including children. Offensive content like **pornography, brutality** must be avoided.

7. **Honesty:** In the age of social media, users apart from platforms can also create content of their own. Both user as well as platforms must create and share only true, complete and accurate information. Violation of this norm leads to the menace of **fake news, rumour mongering** etc. which ultimately goes on to undermine people's faith in internet.

8. **Discrimination:** Facial recognition and Machine learning applications can be used to discriminate against people of colour and other minorities. Discrimination can be a result of biases and **prejudices of programmers.**

1.3. ETHICS IN PUBLIC AND PRIVATE RELATIONSHIPS

1.3.1. Types of relationship

Public relationships	*Private relationships*
Exist openly in public sphere.	**Exist in private** spaces such as household, family, friend circle etc.
Give and take, rules are the basis of such relationships. They are **transactional** in nature.	**Emotions, love, loyalty, kinship** etc. are the basis of such relationships.
Tolerance for deviation (error, misbehaviour) is generally **low.**	**Tolerance** for deviation is generally **large.** They are not easily discontinued in case of problems.
Mostly voluntarily created relationships.	May be **voluntary** like friendship or may be **involuntary** like family.
Regulated by laws, rules and regulations like Code of Conduct, contracts etc.	**Largely unregulated** and is governed by values, emotions, traditions and so on. Broad regulations like Domestic Violence Act, Special Marriage Act etc. have however merged.

Temporary in nature and may get discontinued after mutual needs are fulfilled.	Relatively permanent in nature and not easily discontinued in times of discord. However, there are means to end private relationships such as divorce.
Examples – colleagues, fellow citizens, business clients, government-citizen, community, neighbourhood etc.	Examples – spouse, friend, son/daughter, kinship etc.

1.3.2. Ethics for different types of relationships

Public relationships:

1. **Openness**: Public relationships require transparency in their dealings. All parties are expected to provide complete information on all matters to each other for the sake of **fairness**. Openness also increases **confidence** of parties in each other. For instance, companies are expected to publish their **annual reports** with all their financial details for the shareholders.

2. **Honesty and integrity**: It is expected that true information will be provided in public dealings without any errors or deception. Parties are also expected to remain true to their word and not break promises. For instance, in politics, **promises given by politicians** to people or other politicians must be kept or otherwise, they lose their credibility.

3. **Rule of law**: Parties in a public relationship must mutually abide by the law of the land and conduct their dealings accordingly. Rule of law is necessary to ensure **equality and fairness** among different entities and also to ensure **justice** in case of wrongdoing. For example, relationship between a **consumer and seller** is regulated by the Consumer Protection Act 1986.

4. **Equality and uniformity**: In public relationships, one must treat everyone equally and uniformly. This is necessary to ensure a level playing field, fair competition, quality service etc. For example, **civil servants** must treat all individuals equally irrespective of their caste, class, religion etc.

5. **Accountability**: In public dealings, we must hold ourselves accountable with same standards as we expect from others. Accountability is essential to enforcing the norms of public relationships. People want their **administrators, politicians, industries** to be accountable to them.

6. **Adherence to duties**: Public relationships are often guided by official duties and responsibilities.

Private relationships:

1. **Love and care**: These emotions are the bedrock of private relationships and also sustain them. Such relationships are not driven by rules or quid pro quo but by **human emotions**. For instance, one can always find **family** by their side regardless of the circumstances.

2. **Confidentiality**: Private relations require secrecy and privacy, as opposed to public relationships. It is required to maintain sanctity of the relationship. For example, **politicians in India** shy away from disclosing their personal lives to the public and keep it separate from professional life.

3. **Truthfulness**: Private relations are based upon truth and trust. Since there are no rules and regulations, trust matters the most. Trust also strengthens the bonds in private relationships. For instance, **husband and wife** expect each other to be truthful to each other above all else.

4. **Responsibility**: Our private life often creates responsibility for us towards different people. This is because people have some emotional or practical expectations from each other. For example, **spouses, friends** etc. expect certain kinds of behaviour from each other. In some private relationships, there are **social responsibilities** which must be fulfilled. For instance, parents are responsible for the upbringing of their children.

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5. **Perseverance:** We must ensure stability and harmony in our private relations. This often requires persistent effort by both parties during the times of discord. For instance, **spouses** often get into fights after which they are expected to cooperate to preserve the relationship.

1.3.3. Comparison of Ethics in Public and Private Relationship

Ethics in public relationships	Ethics in private relationships
Concerns **community, society, business** etc.	Concerns immediate **family, friends** etc.
Formal in nature.	**Informal** in nature.
Based on **societal and personal norms.**	Based on **personal values,** morality and family values.
Large role of **rules and regulations.**	Large role of **feelings and emotions.**
Externally imposed and controlled like office rules.	**Voluntary** and self-imposed.
Codified.	**Not codified** generally.
Legal, social, professional and such implications if norms are violated.	Violation generally goes **unpunished** but can have social consequence e.g., Loss of reputation in society.

1.3.4. Separation of public and private relationships

Reasons for separation:

1. Firstly, private and public relationships are conducted in **very different** ways and hence, must be treated separately so that one can behave as per the context.

2. Secondly, both public and private relationships must **remain unaffected** by the problems of the other. Private problems should not affect performance in public sphere. For instance, people expect **public servants** to be at their best regardless of problems in their private lives.

   Ups and downs in public relationships should not affect our behaviour in personal life. For instance, a police officer's work situation must not affect his behaviour at home.

3. Thirdly, **mixing** the two kinds of relationships often leads to certain problems. Entry of private relationships in public sphere leads to nepotism and favouritism. Entry of public relationships in private sphere undermine the sanctity, privacy and intimacy of private life. For instance, **Mahabharata**- conflict took place because King Dhritarashtra mixed his public and private relationships. He let his private relationship with his son affect his public decision making when he wanted his son to be the king despite being unworthy.

4. Fourthly, society tends to **judge people separately** in their public and private sphere, and hence it's better to keep them separate. For instance, **Mahatma Gandhi** is respected as the 'Father of the Nation', but he is not judged for his troubled relationship with his own son.

5. Fifthly, keeping public and private relationships separate helps in **preventing conflicts of interest.** For instance, Ranjit Sinha, **former CBI chief,** met accused in a case at his residence (due to personal relations) and his integrity was questioned. This could have been avoided by separating public and private relationships.

6. Sixthly, sometimes public relationships are so **complicated and intense** in nature that they cannot be mixed with private relationships, so as to maintain sanctity of private life. For example, **politicians** often keep their private lives separate from public as their public life is heavily scrutinised and criticized.

Problems with separation:

1. **Not feasible:** Public and private relationships often naturally overlap and mix with each other and hence, cannot be kept separate. For instance, the **President of USA** and his wife, the First Lady, are also in a crucial public relationship. Family life and married life of politicians is publicly discussed in USA.

2. **May not be always desirable:** In certain situations, rigid separation between public and private relationships may be counter-productive. The two types of relationships can be used to enrich each other. For instance, **support from family** and friends help people to excel professionally. Friends at workplace help people in staying motivated and satisfied.

3. **Not manageable:** Treating public and private relationships differently may create confusion and mental stress for individuals. For instance, **police officers** who behave differently at work and home (toughly and nicely respectively) might face confusion and feel like hypocrites.

4. **Not separable:** Some values and ethics are common to both public and private relationships and hence, both kinds of relations require similar behaviour. For example, **honesty and politeness** is desirable in both family and workplace.

1.3.5. Effect of public relationships on private relationships

1. **Positive**

   a. **Inspiration:** Experiences from our public lives often become a lesson for private lives and inspire us to improve our behaviour. For instance, **workshops on gender equality** at workplace inspire husbands to behave better with their wives at home.

   b. **Value:** Harsh realities of public relationships (such as give and take, insensitivity) make us realize the value of our private relations and the emotional support they provide us. For example, **deceit by colleagues** often make people realize the innocence and greatness of their friends and family.

   b. **Humane:** Values of public relationships like discipline and punctuality can be used to make private relationships more dependable and reliable. For example, a District Collector who is always on schedule in his official role is also likely to be on time for his child's parent teacher meeting at the school.

2. **Negative**

   a. **Spill over:** When people are too preoccupied with the public, they continue the same type of behaviour in their private space. For instance, **criminals or anti-social elements** show violent and harsh behaviour even at home.

   b. **Time management:** Excess involvement in public life often forces people to cut time from their private lives, which adversely affects their private relationships.

1.3.6. Effect of private relationships on public relationships

1. **Positive**

   a. **Interpersonal relations:** Private relationships teach people values such as love, care, empathy etc. which they can replicate in their public relationships for enhancing their quality. For example, studies by psychologists like **Douglas McGregor** have shown that trust, confidence, politeness etc. by managers enhances the motivation of their subordinates.

   b. **Positive mood:** Smooth and happy private relations give satisfaction to people because of which they can behave better in their public relations as well. This is the logic behind the saying 'Happy wife, happy life'.

2. **Negative**

   a. **Stress:** Tension in private relationships with friends, family, spouse etc. leads to stress and adversely affects behaviour in public sphere. Healthy private relationships are a basic need which must be fulfilled in order to have good public relationships. For example, because of this logic, companies provide **holiday packages** for their workers and families so that their family life remains healthy.

   b. **Prejudice:** Experiences in private relations often penetrate into public sphere. For instance, when our friends

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belonging to a particular community behaves in a particular way, we develop a **stereotype** about that entire community.

1.3.7. Common ethics in public and private relationships

1. **Honesty**: Both kinds of relationships expect truthful behaviour without which there is loss of trust and confidence. For example, both **marriage** as well as **superior-subordinate** relationships require loyalty.

2. **Interpersonal factors**: Both relationships are not mechanical but involve interpersonal behaviour. Therefore, both require individuals to have basic sensitivity, empathy, care etc. so that both parties understand each other better. For example, many businesses have started providing **sensitivity training (T-Group training)** to their employees so as to improve interpersonal relations.

3. **Accountability**: We are held responsible for our behaviour in both relationships. We must answer and account for our actions to maintain trust and confidence. For example, people are expected to account for their **financial decisions both in household and workplace**.

4. **Compassion**: Helping others is a good deed which is desirable in both public and private relationships. For instance, people help not only their own **family members** but also **colleagues, neighbours** etc.

1.3.8. Balancing it out

Relationships are very **important** in our lives and hence, we must take care to act in a **proper manner**. There are **different ethics** of behaving in public and private relationships respectively. They ensure that the relationships are **sustained** smoothly.

It is common practice to deal with private and public relationships **separately** as the two require different types of behaviour. However, deeper analysis shows that while the two are different, there are some **common elements**. Some values are commonly needed in both public and private relationships.

Therefore, one must have the wisdom and ingenuity to **strike a balance**. While public and private relationships are to be seen differently, one should **not see them under watertight compartments**. We must understand how they **affect each other** and how one can be used to **enrich the other**. We must also realize that certain **fundamental values** are to be commonly shown both in public as well as private relationships. It will be helpful if we see the ethics of public and private relationships in a **continuum** rather than watertight compartments.
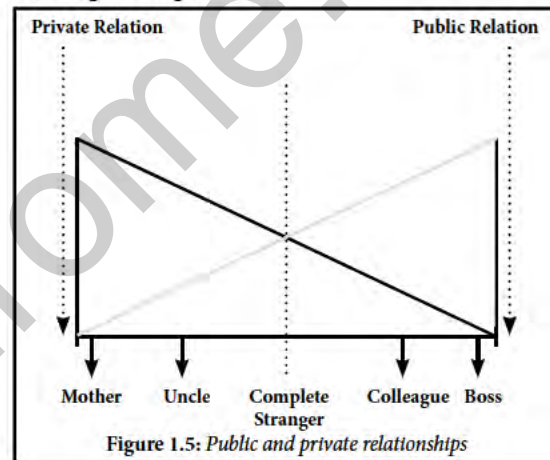
Figure 1.5: *Public and private relationships*

1.4. HUMAN VALUES

1.4.1. What are values?

Values can be defined as *qualities that are important to us*. Values are benchmarks or standards on which the desirability of an action can be measured. Values act as an internal compass which help a person evaluate different choices of conduct and behaviour. Values are developed as a result of substantial time and emotional investment, so, by nature they are relatively stable and difficult to change. Some examples are **honesty, integrity, empathy, courage** etc. People adopt certain values in life and strive to attain them through their decisions and actions.

1.4.2. Concepts related to 'values':

1. **Importance**: Values are given a lot of importance and appreciation by human civilization as presence of certain values is expected to create good human beings which in turn leads to a healthy society.

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2. **Inculcation:** Values are inculcated in us since childhood by educational institutions, family and society through cultural means, diffusion, transmission and socialization. Methods like teaching, preaching, observation are used by institutions to inculcate values in the new generation.

Factors that play a role in inculcation of values:

a. **Family:** Family inculcates values in **children** by their upbringing. Ethics are taught to children by **observation** and also by **child rearing practices (CRPs)**. For instance, experts have urged families to inculcate **respect for women** among children as a way to reduce gender-based violence.

b. **Education:** Schools and higher education shape the behaviour of children and adults. **Curriculum, teaching methods, activity-based learning, moral science** etc. are used to guide children towards ethical behaviour.

c. **Society:** Culture and tradition determine what is considered ethical/unethical behaviour. For example, contemporary Indian society sees **dowry** as ethical even though it is a patently immoral practice.

d. **God and religion:** Religion is the old and ultimate source of values. All religions lay down moral precepts for its followers. Religion has a **uniquely strong impact** upon people's beliefs about what is right and wrong.

e. **Conscience:** Conscience is the inner voice of people that tells us what is right and wrong. In some cases, a person's values might not be influenced externally but only by their conscience. For example, social reformer like **Raja Ram Mohan Roy** was a person whose values were inculcated not by the then social norms but by his inner goodness.

f. **Civil society:** Ethics also arise from collective conscience of the public. Every society has certain shared values and opinion. Society mobilizes in the form of social and civic bodies to promote a particular set of goals and values. Such activity also affects ethics of individuals. For example, people from all communities came forward and raised their voice against **mob lynching** in India due to the culture of tolerance and pluralism.

It has been seen that even when all the external factors remain same, different individual adopt different set of values and assign different priorities to different values because of personal filters, personal experiences and conscience.
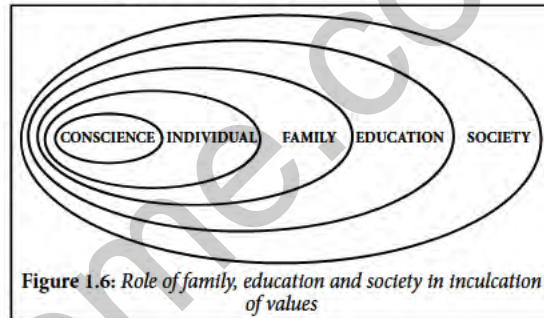
Figure 1.6: *Role of family, education and society in inculcation of values*

Q. "If a country is to be corruption free and become a nation of beautiful minds, I strongly feel there are three key societal members who can make a difference. they are father, the mother and the teacher." – A. P. J. Abdul Kalam. Analyse.

(UPSC Mains 2017)

3. **Conscious effort:** Fostering values requires a lot of effort on the part of individuals or entities holding the values. This is because inculcation requires consistency and sincerity in behaviour as well as thoughts. **Gandhi ji** had said, "Your beliefs become your thoughts, your thoughts become your words, your words become your actions, your actions become your habits, your habits become your values, your values become your destiny."

4. **Variability:** Values vary with the individual, group or organization. Different entities hold different values based on their needs, objectives, surroundings and so on.

5. **Hierarchy:** A person may hold multiple values and these values are arranged in a hierarchy. Values occupying a higher place in the hierarchy are considered more important by individuals than the lower values. Example- for a **civil servant**, constitutional values must occupy the apex levels of hierarchy, followed by organizational values and then personal values at lower levels.

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6. **Various types of values**

   a. **Terminal and Instrumental:** Terminal value are the ones that are **ends-in-themselves**, such as happiness, salvation etc. Instrumental values are the ones that are used to attain terminal values. For example, in Indian tradition, *dharma, artha, kama* are instrumental values and *moksha* is the terminal value.

Figure 1.7: *Types of values*
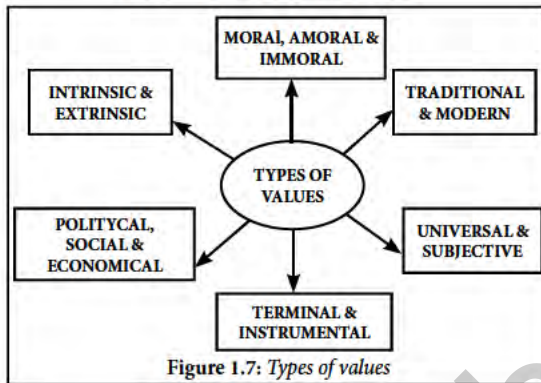
   b. **Intrinsic and Extrinsic values:** Intrinsic values are ones that **hold value on their own** such as peace, love etc. Extrinsic values are those that are valuable only when **used to attain something** with intrinsic value. For example, wealth and wisdom are extrinsic values which are used to realize intrinsic values like prosperity and knowledge.

   The division of values is not mutually exclusive. For example- a religious book may be valued because of its intrinsic value (religious message/doctrine) or it can be an instrumental value as it helps in achieving higher goals like moksha or nirvana.

   c. **Moral, amoral and immoral:** Values can be categorized based on what is right and wrong. Moral values are the ones that **promote right action** such as honesty, empathy etc. Immoral values are ones that **promote wrong action** such as greed, lust etc. Amoral values are ones which are neither moral or immoral and have **nothing to do with morality,** such as beauty, fitness etc.

   d. **Political, Social and Economic values:** Political values are the sum total of **opinions/attitudes of the individuals** on specific and important **political issues.** They include democracy, liberalism, equality, etc. Social values are a set of principles that are **morally acceptable by the society.** They depend upon society dynamics, institutions, traditions and cultural beliefs. These values are implicit guidelines that provide tips to individuals to conduct themselves properly within a social system. Economic values are those that focus on **growth and expansion,** productivity, better return over investment and cost savings. Example: efficiency, value for money, capitalism and sometimes even consumerism, materialism and so on.

   Q. Social values are more important than economic values. Discuss the above statement with examples in the context of inclusive growth of a nation.

   (UPSC Mains 2015)

   e. **Traditional and Modern values:** Values practiced and passed over generations are termed as traditional values. They aim to preserve and protect traditions, **customs** and stress on **stability.** For example- family values, discipline, celebrating festivals, honesty, respecting elders, compassion, *daan* (charity), purchasing only what is needed, etc. Modern values are those that reflect the global principles of today, like freedom of speech, liberalism, secularism, etc. They also recognize other rights like the right of every individual to be seen and heard, where citizens can be authentic and stand up for themselves, where there is innovation, creativity and new thinking, etc. Our Constitution also talks about cultivating modern values like **scientific temper** and a spirit of enquiry as a fundamental duty of the citizens.

   Q. "The current internet expansion has instilled a different set of cultural values which are often in conflict with traditional values.' Discuss. **(UPSC Mains 2020)**

f. **Universal and Subjective values:** Universal values are those moral rules or ideas that **exist irrespective of time** and **space.** The values of peace, freedom, social progress, equal rights and human dignity, enshrined in the Charter of the United Nations and in the Universal Declaration of Human Rights are no less valid today than when they were drafted in the Charter half a century ago. For instance, patriotism is a universal value, even though it can have different manifestations for different people. For a soldier, patriotism means protecting the nation's borders, while for an individual it could mean obeying all laws and paying taxes. For some it could be voting in elections while for others it could mean doing community service. Subjective values are those that are **transient** or have **different meanings in different contexts.** For example, collectivism is a value that is treasured in India, as there is cohesiveness among individuals and rights of the group or community are prioritized over that of individuals. Whereas, in the United States, people prefer individualism rather than collectivism. Sometimes, it may not be possible to classify values as universal or subjective, in watertight compartments as they may overlap with each other.

Q1. Some people feel that values keep changing with time and situation, while others strongly believe that there are certain universal and eternal human values. Give your perception in this regard with due justification.
(UPSC Mains 2013)

Q2. In the context of defense services, 'patriotism' demands readiness to even lay down one's life in protecting the nation. According to you, what does patriotism imply in everyday civil life? Explain with illustrations and justify your answer.
(UPSC Mains 2014)

1.4.3. Values and ethics

Values	Ethics
Ideals shared by groups/individuals, about the **desirability** of something.	Set of principles based on **values.**
Values are inside us. They are **intrinsic** and concern the private sphere. They have to do with **character of a person.**	Ethics originate from **outside the self** and concerns public life. It has to do with **conduct** of a person.
It is **difficult to codify** values as they are often assumed, imbibed and may not apply to all at all times.	It is sometimes possible to **codify ethics.** Example: **Ethical Code of Conduct** for Civil Servants.
Values help in **evaluating** multiple choice of actions and act as a **motivator** in influencing our choice.	Ethics **prescribes** the acceptable choice of action and **compels us** to take up that particular course of action.
Values may **not** always have a **positive** connotation.	Ethics constitute play of **positive** values in the world.
Example: A person having an 'extra-marital affair' is termed to have a 'bad or incoherent' value system.	Example: A person accepting bribes is termed unethical.

Figure 1.8: *Relationship between ethics and values*
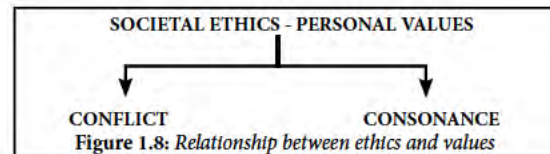
Societal ethics and personal values in conflict

1. **Impact on individual:** Ethics guide social standards while values (morals) guide individual conduct. Hence, there may be situations where values and ethics conflict with one another. When in conflict, it leads to an **identity crisis**, and a sense of **turmoil** within. For instance, abortion may represent values like autonomy, reproductive rights for an individual, but it may be in conflict with

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societal values like rights of an unborn child, abstention from killing, etc.

2. **Impact on society:** Sometimes, when the societal ethics and the individual values **contradict** each other, the **societal reform** process gets initiated. For example, gay conversion therapy is practised in our society as a way to treat the LGBTQ+ community of their 'apparent' disease. However, this unethical social remedy contrasts with the homosexual's values of their right to self-determination. Recently when Madras High Court passed the progressive order of banning gay conversion therapy, it added that the time has come for a change in our social customs and ethics that do not recognize the rights of the homosexual community, boycott them and force them to go through misguided treatments.

Societal ethics and personal values in consonance

1. **Impact on individual:** When societal ethics like *daan* (charity), helping the needy, coincide with personal values like empathy and compassion, it provides a sense of **purpose** and **satisfaction** to the individual. However, sometimes this consonance has negative consequences as well. For instance, the societal ethics and family values, both regard divorce as an immoral act. Therefore, women who are in an unhappy or troubled marriage continue to compromise by staying in the marriage. Unless women themselves start believing that their mental and physical health is more important than the opinions of their family and society, they will not be able to stand up for themselves and will continue to live a life sans dignity.

2. **Impact on society:** Sometimes, when personal values and public ethics remain in **consonance** with each other, the **social progression is stalled** and the society stays stagnant. For example, if both an individual and the society have a conservative bent of mind, then they will never be motivated to adopt liberal and inclusive values. This will result in a society that does not respect modern liberal values, where majority will be the decision maker and rights of the minority will be compromised.

Values and virtues

Virtues inherently are **morally good** traits or habits produced by good work and right conduct. For instance, there are four cardinal virtues according to Plato- wisdom, courage, temperance and justice. Values on the other hand may even have negative connotations. For example, a self-obsessed or selfish person is said to have a bad value system. So, only moral values are virtues.

1.4.4. Lessons from the lives of great Leaders

Courage: *The ability to do something with strength despite fear, hostility, pain etc. Example:*	
Bhagat Singh showed courage when he threw a non-dangerous bomb in Legislative Assembly to make their political point despite risk of being imprisoned. Even Subhash Chandra Bose went across the world, mobilized the Indian National Army to fight the British army and free India.	The famous scientist Nicola Tesla, even after being ridiculed by Thomas Edison, had the intellectual courage to stick to his own judgement by focusing heavily on AC system of electric power transmission rather than the DC system steered by Edison. The modern-day electric cars are based on AC induction motor technology.
Humility: *The quality of not feeling superior and having a modest opinion of oneself due to awareness of limitations. Example:*	
Gandhi ji lived like an ordinary rural Indian. He lived among the poor and marginalized and fought for their issues, right since Champaran.	Nehru once said that he is a servant of the people and people should call him 'Pratham Sevak' instead of Pradhan Mantri.
Justice: *Justice means fair treatment of all and balancing of burdens and benefits. Example:*	

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Gandhi ji argued for due compensation of Pakistan and safety of out-migrants to ensure justice despite uneven power balance and crisis of partition.	Ambedkar sacrificed his bright career to ensure justice for marginalized sections like women, labourers, Dalits through socio-political struggles like the Mahar movement, Hindu Code Bill etc.

Selflessness: *Selflessness is caring about the interests of others over one's own. Example:*

Jai Prakash Narayan led the movement against Emergency for democracy and justice but never aspired for political power or office for himself.	Mandela sacrificed his young life and readily went to prison for 27 years to fight for freedom of his people.

Compassion: *Compassion is when one feels bad for the suffering of others and wishes to alleviate that suffering. Example:*

Raja Ram Mohan Roy came from a privileged family but was motivated to work for socio-religious reform to improve the lives of the vulnerable sections.	Saint Teresa stayed in India despite being a foreigner to do voluntary charitable work for elderly, homeless, AIDS patients etc.

Respect: *Respect means giving due regard to someone/something for their abilities, feelings, rights, achievements etc. Example:*

Nehru included members of other political parties in his cabinet and respectfully listened to all viewpoints in Parliament. Nehru and Vajpayee praised each other despite political differences.	Akbar showed respect to rulers and peoples of all religions and regions and fostered an inclusive peaceful and prosperous India.

Peace: *Peace is a state of affairs that is free from violence, tensions etc. Example:*

Ashoka's life shows that peace is the ultimate way forward for any civilization. It is not only a natural human preference but also makes a person truly great.	Martin Luther King, like Gandhi ji, adopted the peaceful method of struggle and his achievements proved its effectiveness.

Integrity: *Integrity is the quality of being morally upright despite contrary pressures. It also involves coherence of character. Example:*

APJ Abdul Kalam did not accept personal gifts during his Presidency and deposited all gifts in government treasury, so as to prevent any undue influence or suspicion.	Ambedkar showed the uncompromising nature of his principles when he resigned from government after his Hindu Code Bill was rejected by Parliament.

1.4.5. Lessons from the lives of great reformers

Reformer	Stories/incidents/contributions	Lessons
BR Ambedkar	BR Ambedkar was born in Mahar caste which was considered as untouchables. One day young Bhimrao drank water from a public water tank and he was beaten mercilessly for this. As a child he was also not allowed to study Sanskrit because of him belonging to a lower caste. These incidents had a deep impact on his life. BR Ambedkar went on to become one of the most literate Indian of his generation. Ambedkar was the first Indian to pursue an Economics doctorate degree abroad. He was also the first Ph.D. in Economics and the first double doctorate holder in Economics in South Asia. In 1927, Ambedkar launched **Mahad satyagraha** to fight for the right of the untouchable community to draw water from the main water tank of the town.	Perseverance and Dedication, Rationality and Reason, Social equality, Humanism, Dignity for all, Courage.

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	By leading a group of Dalits to drink water from Chavadar lake in Mahad, Ambedkar didn't just assert the right of Dalits to take water from public water sources, he sowed the seeds of **Dalit emancipation**. Ambedkar was an economist, educationist and the chief architect of the Indian Constitution. He dedicated his life to fight discrimination, degradation and deprivation faced by lower caste.	
Raja Ram Mohan Roy	Raja Ram Mohan Roy is known as the **morning star of Indian renaissance**. He argued in favour of **abolishing** evil practice of **sati and supported property rights of women**. He used logic and rationality to argue that sati and property rights are closely related issues. The real reason behind the performance of Sati was the worldly interest of the Brahmins, relatives of the widows and others in the society. The law of inheritance accepted the property rights of widows and their equal share in the property of their deceased husband. Therefore, if the widow, after the death of her husband, remained alive, the share of the father, mother, brothers, sisters and the daughters of the deceased would be destroyed. Raja Ram Mohan Roy used religious text to prove his point against sati. Raja Rammohan Roy showed *Manusmriti*, *Vedas* and also *Gita* has prescribed that widows should live a life of virtue, devoid of sensual gratifications and they should not perform acts for temporary future rewards. *Smriti Shastra* also prohibited all violent deaths. *Mitaksara* preferred the life of virtue to dying on the funeral pyres of dead husbands. Raja Rammohan Roy concluded that the cruel practice of Sati was not supported anywhere in religion. Raja Ram Mohan Roy used *Dayabhaga* to show that the right of widow to hold property is supported by religious texts. He called for reform in inheritance law by appealing to reason as well as emotion related to the religion. **Note-** The *Dayabhaga* and *Mitaksara* were considered one of the main authorities on Hindu Law from the time the British began administering laws in India.	Rationalist, Intellectual, Social equality, Kindness and Compassion, Humanism, Dignity for all, Integrity
Ishwar Chandra Vidyasagar	As principal of Sanskrit college Vidyasagar opened up the admissions to the **college for the students from all castes**. He even cited the *Bhagavata Puran* to argue that there was "no direct prohibition in the Shastras against the shudras studying Sanskrit literature." In 1854, he began campaigning for **widow remarriage**. He used ancient scriptures to justify the cause of widow remarriage. Quoting a shloka from the ancient *Parashara Dharma Samhita*, a code of laws for the *Kali Yuga*, he writes: 'Gate Mrite Pravajite pleevacha patite patau Panchasvapatsu narinam patiranyo bidhiyate.' ("Women are at liberty to marry again, if their husband be not heard of, die, return from the world, prove to be impotent or be an outcast.") He filed petition seeking a legislation to allow widow remarriage. Despite success in passing a law, the real challenge was getting society to accept widow remarriage. Ishwar Chandra took the challenge and performed the first widow remarriage in Kolkata on 7 December 1856 on his own resources. He even married his son to a widow.	Reason and inquiry for seeking truth, perseverance, compassion and kindness, social equality, dignity for all, selflessness, leading by example.

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Swami Vivekanand	Swami Vivekanand founded the '*Ramakrishna Mission*' at Belur Math near Kolkata. The goals of the Ramakrishna Mission were based on the ideals of Karma Yoga and its primary objective was to **serve the poor** and distressed population of the country. The Ramakrishna Mission undertook various forms of social service like establishing and running **school, colleges and hospitals**, propagation of practical tenets of **Vedanta** through conference, seminars and workshops, initiating relief and rehabilitation work across the country. He opposed various evil practices in society and promoted equality, gender empowerment, unity and importance of education in life. He considered it to be the duty of every individual to uplift the downtrodden. He once said, "So long as the millions live in hunger and ignorance, I hold every person a traitor who, having been educated at their expense, pays not the least heed to them!"	Respect for humanity, Reason, rationality and intellect, sense of ethical accountability, courage, dignity for all, compassion, Selflessness
Dayanand Saraswati	Swami Dayanand Saraswati founded '*Arya Samaj*' and taught that "all actions should be performed with the **prime objective of benefiting mankind**", as opposed to following dogmatic rituals or revering idols and symbols. He condemned evil practices in the society and **opposed idol worship**, sacrifices and rituals, priest craft, offerings made in temples, religious dogmas, child marriage, caste discrimination and discrimination against women. He argued that these practices went against the ideals and wisdoms contained in Vedas and gave the slogan **"Go back to Vedas."** He preached '**Universalism**', and not any specific caste. Dayanand spearheaded his crusade against caste system and untouchability. He reinterpreted the system of Varna mentioned in the Veda. It was meant for occupational purpose in the society. Dayanand championed the cause of women. Child marriage and Purdah system was prevalent in the Hindu society. Women education was restricted and widow remarriage was not allowed. Dayanand protested against all these evils. He cited the high position of women during Vedic period. So, he argued in favour of the **equal rights of women** with men.	Humanism, Social equality and respect for social justice, rationality, Kindness, Dignity for all
Rabindra Nath Tagore	Tagore was a prolific writer, poet, painter, musician, great thinker, philosopher and educationist. The sense of **humanism** was deeply embedded in his thinking-religious, social or even cultural. The well-being of man particularly that of down-trodden class was his most concern. He encouraged **unity in all human beings** irrespective of their caste or religion. He started the **Rakhi Utsav** during Swadeshi movement where people from Hindu and Muslim communities tied colourful threads on each other's wrists. The British were also overwhelmed by his genius. He was knighted by the royalty, but Tagore renounced the title as a protest against the brutal genocide by the British military in Jallianwala Bagh massacre 1919.	Humanism, compassion, Benevolence, Integrity, Nationalism, Kindness, Social equality

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Martin Luther King	Martin Luther king was an activist, humanitarian and a key figure in civil rights movement for blacks in USA. King as well as his family was subject to lot of racial discrimination and abuse. This strengthened his will to **fight against racial discrimination**. He employed **non-violent methods** of civil disobedience. He challenged the established order in USA and demanded reforms in society, economy and polity to ensure equality for all. In his famous "I have a dream speech" which ignited the entire world he said "I have a dream that my four little children will one day live in a nation where they will not be judged by the colour of their skin but by the content of their character. I have a dream today." He attracted lot of national attention and also focused on fighting other societal issue like poverty and wars. Challenges posed by him to the interest of the established powerful class was not liked by all. Several assassination attempts were made against him, even his house was bombed. But none of these were able to shake his conviction. He was award **Noble Peace prize** in 1964. King was assassinated in 1968.	Integrity, Humanism, Social justice, Dignity for all, Compassion, Peace loving, Courage, Leadership.
Nelson Mandela	Nelson Mandela was born in Thembu royal family in British South Africa. He was a person of principles and dignity. He refused to accept status quo and left his royal privileges to fight for racial equality in **anti-apartheid movement**. He was arrested in 1962 and sentenced to life imprisonment. He became the symbol of anti-apartheid movement in the world. He spent 27 years of his life in jail and was released only in 1990 under popular public and political pressure. He became president of South Africa in 1994. When he came to power, he forgave his greatest adversary-the Apartheid government which not only caused tremendous suffering to himself and his family but also to entire nation. He could have demanded the heads of those who murdered thousands of innocent indigenous South Africans, but he chose the higher route instead. He always advocated reconciliation between racial groups and by setting up the Truth and Reconciliation Commission, he left a **legacy of forgiveness and reconciliation**, not only for his people but also for the world.	Benevolence, Compassion and Kindness, Integrity, Humanism, Dignity for all, Leadership, Love for justice, Peace loving, Integrity, Courage.
Savitribai Phule	Savitribai Phule fought social evils and discrimination towards women and children, even as she battled isolation, humiliation and abuse because of her work. Savitribai was nine when she wed Jyotirao Phule. Her husband was 12. Jyotirao Phule educated her at home. Once literate, she **started educating the young girls** in her area, which included 'untouchables' and people from the lower strata of society. In 1984, she started **first school for girls** in Pune. Savitribai questioned the notorious caste system which kept underprivileged away from basic resources like drinking water. When the upper caste society refused to budge, she declared that her house was open to all. She not just preached but also **led by example**. She started the Balhatya Pratibandhak Griha to fight against **female infanticide**. She dedicated her entire life in service of others. She even setup a health centre at the outskirts of Pune to treat those affected by plague. Savitribai died form an infection caused by treating plague patient at the centre.	Kindness, Compassion, Empathy, Benevolence, Selflessness, Leading by example, Dignity for all, Humanism, Courage

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Q. What are the main factors responsible for gender inequality in India? Discuss the contribution of Savitribai Phule in this regard.   (UPSC Mains 2020)

1.4.6. Lessons from administrators

Leaders/ Examples	Values
Senior IAS officer **Parameswaran Iyer**, Secretary to the Union Ministry of Drinking Water and Sanitation, got inside a twin toilet pit in a Telangana village and removed faecal matter with his hands. He led by example in showing that scavenging is not a menial job and changed attitude of people toward pit cleaners.	Leadership, dedication, emotional intelligence (motivation)
TN Seshan was the 10th Chief Election Commissioner of India (1990–96), who reformed elections by largely ending its malpractices in the country and redefined the status and visibility of the Election Commission of India. Poll changes ushered in by him would often pit the political class and their crony media against him, the election watchdog getting labelled in turn as - "Al-Seshan (Alsatian)", such that electoral 'battles' would be dubbed by them as- Seshan versus Nation. But he stood his ground and now T.N. Seshan's name has become synonymous with transparency and efficiency. During the West Bengal elections in 2021, Calcutta High Court said that it would step-in and "act like TN Seshan" if the Election Commission failed to enforce COVID safety protocols during electioneering.	Leadership, honesty, integrity, dedication, discipline
Elattuvalapil Sreedharan is an Indian civil engineer and a retired IRSE officer popularly known as the "Metro Man". He is credited for changing the face of public transport in India with his leadership in building the Konkan Railway and the Delhi Metro.	Leadership, honesty, integrity, dedication, discipline
Tukaram Omble- During 26/11 terror attack in Mumbai, Omble stood in front of Ajmal Kasab and held on to the barrel of Kasab's rifle, thus, preventing the bullets from hitting anyone else but him. The rest of the team managed to overpower and apprehend Kasab. Omble took over 40 bullets from an Ak-47 at point blank range and accepted martyrdom.	Selflessness, courage, dedication
Swarochish Somavanshi- An IAS officer posted in Umaria district of Madhya Pradesh got AC removed from his office and had them installed in Nutritional Rehabilitation Centres to save around 100 malnourished children from scorching heat. Moved by the initiative of the young collector people started donating and in three days ₹ 5 lakh has been collected as donation.	Selflessness, dedication, compassion, empathy
Prasanth Nair, a 2007 batch IAS officer of Kerala cadre, earned much public acclaim for kickstarting a slew of popular initiatives as the collector of Kozhikode. His innovative ideas — such as Operation Sulaimani, a decentralized participatory project to address hunger in urban areas; Tere Mere Beach Mein, a project to tackle waste management at Kozhikode Beach; and Yo Appooppa, an attempt to improve the quality of life of the elderly — were huge runaway successes, thanks to large and wholehearted participation of people of the coastal city and beyond. Affectionately called "Collector Bro", Prasanth is also famous for a unique proposal he had put forward to the people in his district. He offered a free plate of Malabar biryani to every individual who pitches in to clean a 14-acre pond in Koyilandy. Unsurprisingly, the idea was a resounding success!	Openness, community participation, Emotional intelligence, leadership, compassion

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M. Visvesvaraya always maintained two sets on candles - one set bought with government money and other from his own money. He used the first set for doing his official work which was extinguished at 7pm and then the other one was lit. He said that for afterhours private reading, he could not use the government provided candle, but the one paid for by himself.	Integrity, honesty
Armstrong Pame popularly known as Miracle Man in Manipur, first claim to fame was when he got a 100-km stretch of road constructed in the state in 2012. He did it without any help from the government. In the remote areas of Manipur, the two villages of Tusem and Tamenglong were inaccessible because there were no roads. Connectivity to the two villages was a huge problem and locals had to either walk for hours, or swim across the river.	Leadership, dedication, Emotional intelligence, compassion, empathy
Satyendra Dubey was an Indian Engineering Service (IES) officer. He was the Project Director in the National Highways Authority of India (NHAI) at Koderma. He was murdered in Gaya, Bihar after fighting corruption in the Golden Quadrilateral highway construction project.	Integrity, honesty, selflessness
Shanmugam Manjunath was a sales officer (grade A officer) for the Indian Oil Corporation who was murdered for sealing a corrupt petrol station in Lakhimpur Kheri, Uttar Pradesh.	Integrity, honesty, selflessness
Parikipandla Narahari, a 2001 batch IAS officer of the Madhya Pradesh cadre, introduced e-health ideas (such as Active Tracker devices) to eradicate female infanticide and transformed Gwalior in to a 'barrier-free' city by building ramps and railings so that persons with disabilities, senior citizens and pregnant women do not face any problem in accessing public places. Another brainchild of his, the Ladli Laxmi Yojana (that aims to lay a firm foundation for girls' future by improving their educational and economic status), has become a source of inspiration for many states, including Andhra's Bangaru Thall and Central government's 'Beti Bachao Beti Padhao' scheme.	Leadership, dedication, social equality
A 2009-batch IAS officer of Chhattisgarh cadre, **Saurabh Kumar's** unique initiative is giving the conflict-ridden district of Dantewada a new lease of life. Understanding how the lack of education and joblessness could push local youth towards a life of violence and extremism, the pro-active collector introduced counselling sessions to help students make the right career choice. Called Lunch with the Collector, these sessions involve Saurabh and other senior officials to directly interact with students — discussing career options, clearing their doubts and bolstering their self-confidence. Unsurprisingly, this thoughtful initiative has endeared him deeply to the locals of Dantewada.	Openness, Emotional intelligence, community engagement, dedication
Astik Kumar Pandey, district collector Akola, Maharashtra, started citizens' movement to clean the Morna river. In the three months, 28,000 locals participated in the weekly clean-up drive. According to district records, 19,300 water hyacinths and 8,440 plastic articles were removed from the 'river-turned-nullah'. He was also in news when he imposed ₹5000 fine on himself after his office served tea in plastic cups at a press conference.	Leadership, community participation, Emotional intelligence
When the hospitals of the entire nation were grappling with oxygen shortage, **Guruprasad Mohapatra**, Secretary in the Department for promotion of industry and internal trade (DPIIT) was coordinating with state officials, industry stakeholders and even foreign manufacturers to increase the medical oxygen production, at a time when he himself was infected with COVID. He was working from home to meet the unprecedented oxygen demand crisis, till he found it difficult to breathe and had to be hospitalized. After an 8-week battle with the virus, he ultimately lost his life.	Leadership, dedication to public service, selflessness

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Other examples:

Sonam Wangchuk, educational reformer from Ladakh, widely regarded as the inspiration for Aamir Khan's character, Phunsuk Wangdu in the film '3 Idiots'. In 1988, Wangchuk founded the Students' Education and Cultural Movement of Ladakh to coach Ladakhi students, 95% of whom used to fail the government exams. In 1994, with him in the lead, Operation New Hope was launched to consolidate the programme.	Dedication, compassion, leadership, humanism
Bharat Vatwani is an Indian psychiatrist, based in Mumbai, India, who was awarded Ramon Magsaysay Award in 2018 for leading the rescue of thousands of mentally ill street peoples to treat and reunite them with their families in India.	Compassion, empathy
Murlidhar Devidas Amte, commonly known as Baba Amte, was an Indian social worker and social activist known particularly for his work for the rehabilitation and empowerment of people suffering from leprosy. He has received numerous awards and prizes including the Padma Vibhushan and the Ramon Magsaysay Award.	Compassion, empathy
Laxmi Agarwal was attacked with acid when she was 15. She then started her career as a campaigner with Stop Acid Attacks campaign. She worked as a campaign coordinator in initial days. Soon, Laxmi became a voice of the survivors of Acid Attacks across world. She received multiple awards in India for her work to curb the sale of acid and to rehabilitate the survivors of acid attacks through her foundation.	Emotional intelligence, compassion, courage, humanism
Dr. KK Aggarwal, Padma Shree, was a cardiologist and former President of the Indian Medical Association. Over the past year, he was often in news as he frequently posted videos on social media platforms to answer COVID related queries and talked about various aspects of the disease and its management. He was able to reach out to over 100 million people through his digital COVID awareness initiatives. He continued his videos even after contracting the virus and in the video just before his death, he showcased the resolve of the medical community and said that 'the show must go on' and that it was his privilege to die while working'.	Dedication to public service, compassion, courage, strength of conviction

1.5. ROLE OF FAMILY, EDUCATION AND SOCIETY IN INCULCATION OF VALUES

1.5.1. Introduction

Values are ideals held by people that guide them towards desirable behaviour. Values are like an **anchor and lighthouse** – they hold us steadfast in the face of temptations and show us the right path in times of confusions. Values are innate as well as adopted.

Innate values can be due to our genes or conscience whereas other values are imparted by social institutions and influences. This happens through a complex and extensive process of **inculcation** of values. The biggest role in value inculcation is however, played by **family, education and society** as these are the most proximate influences around a person. Value inculcation is commonly carried out by **socialization** whereby a person is moulded to fit well in a society. The process of value inculcation is not just **natural** but also a very **important** process.

1.5.2. Importance of value inculcation:

1. Values are **ideals** that guide us towards ethical actions. For example, **patriotism, gender equality** etc. can be achieved with proper value inculcation among people since childhood.

Values ⟶ Outlook ⟶ Attitude ⟶ Actions

2. Values inculcated by the society around us make us **compatible** with that social system and ensure coexistence and stability.

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3. Values enable people to build a certain kind of **personality** which is a defining part of who they are. They enable us to take positions on various socio-economic issues around us.

4. Values remain **stable and effective** at all times and govern human actions irrespective of situations and circumstances. They are reliable and **self-sustaining**. For example, civil servants like **Ashok Khemka and Pradeep Kasni** have endured with integrity despite contrary pressures due to their strong values.

5. Values can be inculcated very **easily in childhood** and they go on to have a lasting impact on the conduct of an individual for their whole life.

6. Values play an important role in inculcating collective moral well-being of the society. If all the people abide by moral norms, then the society will be a better place to live in.

1.5.3. Sources of values

Values are imparted most effectively at an early age as the **child is like clay** and can be moulded as per the requirement. Values are imparted to children by credible institutions that are trusted by the children and are present around the child for the most amount of time. The process of imparting values to young kids for making them good social beings is called socialization.

Our social life is designed in such a way that each individual is properly socialized for their future life in the society. There are three main social institutions that inculcate values within us – **family, education and society**. They all act together to inculcate the desired values within us.

> "There is no such thing as a self-made man. We are made up of thousands of others."
> – George Mathew Adams
>
> "If a country is to be corruption free and become a nation of beautiful minds, I strongly feel there are three key societal members who can make a difference. They are the father, the mother and the teacher." – APJ Abdul Kalam

1.5.4. Role of Family

1.5.4.1. How family imparts values?

1. **Child rearing practices:** The manner and methods of upbringing imparts certain values to the children. Studies like the **contact comfort study** have shown that children who have received personal touch from their parents turn out to be more emotionally stable, compassionate, calm and composed.

2. **Observational learning:** Children observe what happens at home and begin to see such behaviour as normal and morally correct. This is a basic process of attitude formation. For example, **children who witness** domestic violence and gender discrimination at their home themselves develop similar vices and fail to develop values of gender equality.

3. **Role models**: Children see their parents as role models and authority figures. They emulate the behaviour of their parents, grandparents, elder siblings etc as it carries credibility and trust. For example, **daughters** dress like their mothers, **sons** talk and behave like their father.

4. **Teachings:** Families make special efforts to impart certain life lessons to their children through prayers, bedtime stories, real life incidents etc. These teachings have a lasting impact on the children and build some values. For example, narrating **Panchatantra stories** was a common way of imparting values.

5. **Joint family:** The joint family structure stands for certain values like **tolerance, cooperation, sacrifice, care** etc. Living in a joint family and its healthy functioning imparts these values to the children.

6. **Social influence (relatives, meetings):** Apart from immediate family, **relatives** also give many teachings and life lessons to children. **Family meetings** are also an occasion where children are imparted values like respect, courtesy, friendliness etc.

7. **Reward and punishment/Rules and regulations:** In their day-to-day functioning,

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families frame certain rules and regulations which are to be followed by children. They are rewards for adherence and penalized for violation. For instance, when **children clean up** their room or show good behaviour, they are treated with sweets or given permission to go out with friends.

8. **Authority**: Members of the family carry some authority and hence, their directions are obeyed by children. Children also take their advice effectively and imbibe them as values. For example, **grandfather and father** often teach responsibility and toughness to the kids.

9. **Traditions and customs**: Families follow certain practices as a norm which are always adhered to by the children. Traditions themselves become a value for children due to regular and repetitive behaviour. For example, **touching elders' feet** before leaving home makes children develop a respect for elders.

Figure 1.9: Role of Family in shaping values
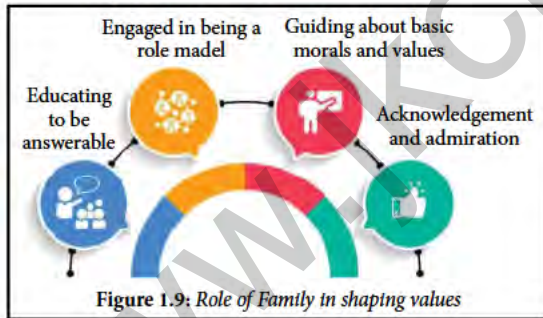
1.5.4.2. Strengths of family for value inculcation

1. Family is the **first place** of socialization for the child and acts as the first school. Thus, it plays a special role in imparting values to children.

2. Family is **forever** and continues to act as a source of values and lessons for a person. Such regular contact increases its impact on value inculcation in a person.

3. Children spend **maximum time** with their families and hence, it has a key role in imparting values to them.

4. Family consists of **diverse kinds of people**. Parents, grandparents, relative and siblings all have different personalities and values and thus, impart different values to a child. Together they impart diverse set of values to a child for holistic development.

5. People **trust** their families and thus give them due attention and respect when it comes to developing values.

6. A child is like a **blank slate** at early age and can be taught whatever values the family desires. Due to this first comer advantage, the role of family becomes very important.

7. Family has the **right** to adopt various means (both hard and soft) to inculcate values and thus, has greater means at its disposal. In Indian society, a family is given lot of rights over its members. A family can use directions, incentives, punishments and so on.

8. Families can also effectively **observe and monitor** the inculcation of values among children and their adherence as they spend most of the time with their families. Remedial action can be taken by families as and when children deviate from the values.

> *"As goes the family, so goes the nation and so goes the whole world in which we live"*
>
> *– Pope John Paul II*
>
> *"We are the average of the five people we spend the most time with"* –
> *Jim Rohn*

1.5.4.3. Critique of the role of family

1. Family values might often be **regressive and unjust**. For instance, some **patriarchal families** may teach gender inequality to children and paint an unfair picture of women.

2. Different members in a family may impart **conflicting values**. For instance, **grandparents** often ask children to come back home before it gets dark while **parents** may be ready to give greater liberty.

3. Families often fail to **practice what they preach** and children might observe the hypocrisy and thus, lose faith in the process.

For example, some parents might teach integrity and honesty to children but might take **bribes** themselves for a luxurious life.

4. Family structure is changing; **nuclear families** are increasing in society. In such families, especially in urban areas, there are lesser number of members who spend time with each other and hence, value inculcation weakens.

5. In modern society, children are **losing touch** with their families. **Boarding schools, tuitions** etc. leave less time for contact between children and families. Besides, use of technology such as **mobiles and social media** also add to the disconnect.

6. In modern **materialistic society**, children are imparted values of competition, success etc. but not the values of love, honesty, compassion etc. Due to the increasing rat race and materialism, families are imparting only a limited set of values to children. For instance, bright successful **students in IITs are committing suicides** because of lack of social values and life skills.

7. **Inadequate autonomy** is granted to children by the families to reflect upon their lives and value system. Due to this, values are only externally accepted but not internalized and thus, adherence is weak.

1.5.5. Role of educational institute

Education is not an injunction; it is an effective and pervasive tool for **all round development** of an individual and **social transformation**.

> *"Education is an ornament in prosperity and a refuge in adversity."*   — *Aristotle*

The importance of value-based education has been recognised as early as the Ramakrishnan committee on education and even by National education policy of 1986. It is also evident from the comprehensive and holistic approach taken by **New Education Policy (NEP), 2020** that focuses on multi-disciplinary development of students from pre-school to graduation.

1.5.5.1. How education imparts values?

1. **Curriculum**: The syllabus and content of education is designed so as to not only teach science and maths but also **moral values**. *Hitopadesh*, Preamble of Constitution, Indian tolerance and pluralism etc. are taught to children for inculcation of values. Recently, Delhi government has formulated the **Happiness Curriculum** to ensure inculcation of right values among students.

2. **Teaching tools**: Teaching uses tools like **technology, case studies, project work** etc. to enhance the effectiveness of learning and ensure lasting impact upon children.

3. **Visits and outings**: Students are taken to places and events which teach certain life lessons to children. For example, students are taken to **Mother Teressa homes, slums** etc. to inculcate compassion and sensitivity among children.

4. **Disciplines**: Specific subjects like **moral science**, home science etc. are designed to make students aware of moral concepts and their importance. When students know about moral issues, they are likely to be more positive and sincere towards them.

5. **Community work**: It is a specific technique of learning and inculcating values like teamwork, empathy, care, unity etc. It is known as **Socially Useful Productive Work (SUPW)** in educational curriculum. Gandhi ji's **Wardha scheme of education** also emphasized upon community work, manual labour etc. for the same purpose.

6. **Observation**: Students observe the behaviour of fellow students, teachers etc. and they emulate good behaviour in order to imbibe good values.

7. **Peers**: Students get feedback from their peers about their behaviour. Social appreciation and sanction both work to inculcate values and peer pressure works effectively among people at young age.

8. **Teachers as role models**: Students emulate the behaviour of teachers who themselves behave as per a certain code of conduct. When teachers direct students to behave in a particular manner, students take it seriously.

9. **Dialectics**: This means using the technique of debate and discussion to make students aware of moral values and their importance.

Socrates devised this technique based on the idea that people lack values due to lack of proper knowledge. Since proper knowledge leads to right behaviour, it is important to engage people in argumentative dialogues to stimulate critical thinking. This idea is most used in higher education and can be used to **create leaders of tomorrow.**

10. **Culture and discipline:** Every school has a particular **philosophy, motto and culture.** These ideas are combinations of certain values and students imbibe those values by adhering to the particular culture.

11. **Reward and punishment:** Value-laden behaviour is rewarded by institutions whereas as bad behaviour is penalized. In order to protect self-esteem, students develop the desired values and behave accordingly.

12. **Aids in socialization:** Educational institutions also play an important role in teaching the students, the concept of socialization, community behaviour and collective living.

"Education without values, as useful as it is, seems rather to make man a more clever devil."
                                                    –C.S. Lewis

"Intelligence plus character, that is the true goal of education."   *– Martin Luther King*

1.5.5.2. Strengths of education for value inculcation

1. School is the **first formal place of socialization** for the child and hence, its importance and impact are high upon the child. For this reason, place of schooling is given importance in job recruitment and admissions in higher education.

2. Schools exercise **authority and control** over children and hence, have high impact upon values and behaviour of children.

3. Teachers and principals act as **role models** and students emulate their behaviour and follow their instructions.

4. People spend **large amount of time** in their schools and colleges and hence, the impact on value system naturally increases.

5. Schools use well-designed **pedagogic teaching methods** and hence, the psychological impact of instruction is high.

6. **Peer pressure, mutual comparison, competition** etc. take place in educational institutions and hence, students imbibe desirable traits more effectively.

7. **Cognitive methods** such as debates and discussions are used in education, particularly in higher education. These have high impact as they appeal to reason and logic.

1.5.5.3. Critique of the role of education

1. **Nature of education** in modern times is focused largely on technical knowledge and less on values and morals. The colonial approach to education is focused on creating skilled labour but not good human beings.

2. **Politicization** of education often leads to conflict over the selection of values that are to be taught. For instance, recently there have been reports of tweaking primary education syllabus with change of State governments.

3. **Rote learning** is emphasized in present scheme of education and learning by experience, observation, activity etc. are avoided. Thus, moral issues are not effectively communicated.

4. **Quality of education** is on the decline due to lack of quality teachers, infrastructure etc.

5. **Access to quality education** is limited in reach and also, there is inequity within society in terms of access to education. Thus, value inculcation also suffers.

6. **Other institutions** such as family and society often have an overriding effect on a person's values. For example, young civil servants are known to ask for dowry despite their high levels of education.

1.5.6. Role of Society

1.5.6.1. How society imparts values?

Society lays down the standards for desirable values and sometimes imposes sanctions on undesirable values. Hence, a framework of pre-

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dominant values is decided by the society in the following ways:

1. **Religion**: Religion is one of the most important social institutions in the world and carries a set of values that are to be imbibed by its followers. Moreover, religion carries **great weight** among people particularly in India and thus, plays key role in value inculcation.

2. **Tradition and customs**: Such social practices are sincerely followed by people from generation to generation and are thus steady ways to pass on values. Traditions and customs are also based on various values such as **loyalty (Raksha Bandhan), courage (tilak)** etc. and thus their practice inculcates the respective values.

3. **Politics**: Politics of the day is based on values i.e., what people want. Political issues and promises shape the thought process and values of people, especially young citizens. For example, the **anti-emergency student** movement of 1975 inculcated among youth the values of liberty, democracy, constitutionalism etc.

4. **Economy**: The nature of economy and market affects the value system of the players involved and decides what is valued by people. For instance, **socialist economy** inculcates values of unity, equity, temperance etc. whereas **market economy** inculcates values of creativity, competition, prosperity etc.

5. **Media**: In the 21st century, media is continuously present around us in various forms – electronic, print, digital etc. Mass media and mass communication affects the values of the people by determining what people think, what people give importance to and so on. For this reason, **governments around the world try to control** the media so as to control the value system of the people.

6. **Civil society**: Social and civic organizations mobilize people based on a common cause and promote their cause using media, demonstrations etc. and thus, influence people's values. This happens through observation and inspiration among the masses. For instance, the **Jan Lokpal movement** in India in 2013 enhanced the values of honesty and integrity among people.

7. **Local community**: Every local community has certain values and norms which are passed on to everyone in the community through the mechanism of social influence. This happens so as to achieve social stability and harmony through common values. For instance, the local **Dongria Kondh** tribal community of Odisha valued their sacred Niyamgiri mountain more than jobs and livelihood and hence, fought against mining projects.

8. **Leadership**: Social, political, economic and other leaders have significant effect on values of people. They mould people's attitudes through **persuasion**. People also tend to **imitate** their leaders. **Max Weber** calls such social authority as 'charismatic authority' through which leaders control societies. For example, celebrities affect people's values in terms of their dressing, eating, behaviour etc.

1.5.6.2. Strengths of society for value inculcation

1. **Stability and harmony**: Society inculcates such values among people which match with those of the society. This ensures that individuals fit in with the society and the **social order** is sustained. For instance, society teaches young persons to respect its old traditions and customs.

2. **Diversity**: The society is a large set of **various actors** that have **different values** to contribute and through **different means**. Diversity ensures inculcation of variety of values and holistic development of individuals. It also gives choice and freedom to individuals to choose their preferred values.

3. **Social influence**: Every individual has a natural and innate need to be **accepted and liked** by the group around them. They also imitate good examples around them. Hence,

influence of the society drives them to adopt similar values.

4. **Enforcement:** Society also has formal as well as informal ways to incentivize adherence to some values whereas it penalizes breach of certain values. For example, some societies use censure or boycott as a way to ensure adherence to its value system.

5. **Credibility:** Many actors in the society enjoy sufficient credibility in people's eyes and therefore have special impact on values held by individuals. For example, **teachers, leaders, celebrities, religious leaders etc.** have influence and their teachings are accepted on face value.

1.5.6.3. Critique of the role of society

1. **Heterogeneity:** Diverse societies (like India) offer preach **diverse set of values that might often be conflicting** and hence, confuse individuals. For example, in present times, Indian society has both spiritual and materialistic values to offer.

2. **Orthodoxy:** Societies often suffer from backwardness and social ills. Wrong values continue to be promoted by societies in the absence of reform. For example, **dowry** is often valued and celebrated in some sections of Indian society.

3. **Corruption:** Social institutions such as **education, religion, politics** etc. are found to suffer from lack of integrity and honesty. Institutions and the leaders **indulge in**

misdeeds and **people lose trust** due to which value inculcation is undermined.

4. **Misdirected:** Sometimes societies head in wrong directions due to larger political, economic and other phenomenon around them and thus, wrong types of values are inculcated. For example, **children in present times** are imparted values of rote-learning, materialism etc. but are not encouraged to be thoughtful, creative and so on.

5. **Introversion:** Some people have limited interaction with society and hence, cannot absorb the values imparted by society.

6. **Boomerang effect:** Sometimes society uses harsh and unreasonable methods to inculcate values which are not understood by individuals. Instead, individuals are repelled by such influence which becomes counter-productive. For example, it is seen that when families exert excessive control over **children**, they tend to become more rebellious and mischievous. When society imposes its will over the youth without due explanation, it often leads to radical revolutionary tendencies among youth.

It can be seen that value inculcation is a complex and prolonged process. It is controlled by many actors which have different values to offer. The institutions of family, education, community etc. have strongest influence upon people and are thus, most important. Each institution has its pros and cons whose interplay can be seen in the form of complex value systems and personalities that people develop.

■■■

Attitude

2.1. CONTENT, STRUCTURE AND FUNCTION

2.1.1. Introduction

"Attitude is readiness of psyche to react or respond in a particular way"   *Carl Jung*

Attitude is defined as a person's **predisposition** to react favourably or unfavourably towards an attitude object such as place, institution, event or person. Some of our attitudes are **shared** with others (most of us like ice-creams, fear snakes, and are disgusted by lizards), whereas other attitudes—such as our preferences for different styles of music, art, food—are more **individualized**. Thus, the attitude of individual towards attitude object expresses the relationship (positive or negative) with the attitude object. Attitude is not directly observable but is inferred from reactions to attitude object. Further, a person can have positive or negative attitude towards an attitude object which can differ from some other person's attitude towards the same object. Attitude, thus, is a tendency to evaluate things in a certain way.

Positive attitudes not just refer to being **cheerful** and smiling, but also having a positive outlook towards life and tendency to **focus on the bright side**. They include the ability to see glass half-full, to be optimistic about finding a solution, being creative if one can't find a conventional way out, not being fearful if unable to handle a crisis, instilling confidence among the team members and inspiring them to do better even if unsure of outcomes, being happy in other's success, not losing hope even when

one's not winning etc. It does not necessarily mean to overlook the bad things, instead, it involves getting back up when one falls down, making the most of a bad situation and **seeing the best in people**.

> **Q.** A positive attitude is considered to be an essential characteristic of a civil servant who is often required to function under extreme stress. What contributes to a positive attitude in a person?
>
> **(UPSC Mains 2020)**

Negative attitudes are exhibited by people who look at things in a **pessimistic** way. They tend to procrastinate and constantly worry as to how they will fail and all things will turn out bad in their lives. They constantly compare themselves with others and label themselves inferior. They find a way out of tough situations by avoiding them altogether. They are often found to be **angry, in doubt** and **frustrated** with the happenings in their life. They try to ridicule and belittle others as well. Civil Servants are always exposed to stressful circumstances, but if they have a positive attitude, they can tide over any difficult situation. Yoga, Meditation, sports, physical or recreational activities, proper work-life balance are some factors that can help in bringing about and maintaining a positive attitude.

Attitudes are **learned** and they are result of socialization. Attitudes are formed as a result of direct and indirect experiences with and exposure to the attitude object. Lately, researchers have found that some of our attitudes are inherited, at least in part, via genetic transmission from our parents- we may like to do hiking in part because our genetic

code has given us an adventure-loving personality. Some attitudes give us our identity of who we really are and what we stand for. Attitudes are also **enduring** and hence difficult to change. This is because, some part of our attitude is inherited while some has been formed over a long period of time through repeated evaluations of attitude object.

In our daily routines, our attitude determines our behaviour towards people, situations, events etc. which in turn shapes the larger social interaction in societies. Thus, understanding attitude, how it is formed and what function it performs is of paramount importance. There are three stages in people's life when most of our attitudes are formed or when we learn how to evaluate things. These stages are early childhood, adolescence and adulthood. However, it's the early childhood and adolescence which are tender stages of attitude formation as the person has no particular attitude toward most of the objects when he is born.

Following are the techniques with which we learn to evaluate attitude objects and hence, a particular type of attitude is formed towards them:

1. **Classical/ Pavlovian Conditioning-** In this, person is exposed to a positive and neutral stimulus repeatedly and after some time the response to neutral stimuli becomes the same as response to positive stimuli. For example, Pavlov's experiment with dogs by sounding a bell every time they were fed. Slowly, dogs learned to associate the sound with food and began to salivate whenever the bell was rung.

Figure 2.1: *Pavlovian Conditioning*
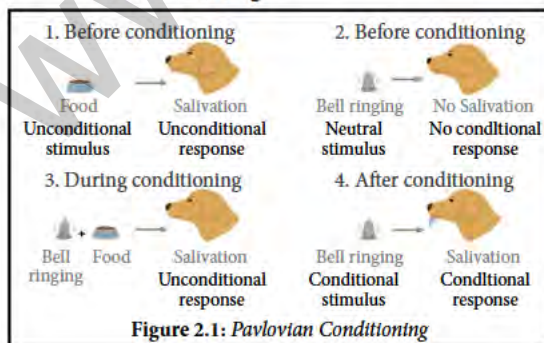
2. **Instrumental Conditioning-** A process in which a positive behaviour when rewarded has more chances of repetition unlike the negative behaviour which if repeated would lead to punishment and thus, less chances of repetition.

Example – Parents celebrating the success of child by praising them among friends will form positive attitude of child towards success. Further, when parents punish the child for their mistakes, it discourages the child to make those mistakes again.

Figure 2.2: *Instrumental Conditioning*
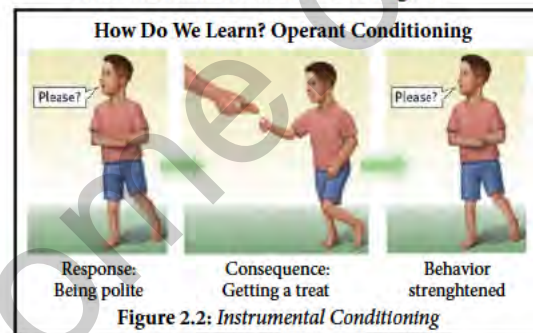
3. **Social Observation-** This involves learning from our social environment such as family, school, media and its expression. For instance - Seeing elders treating members of different caste groups differently make children behave the same way and thus, from one generation, attitude of caste-based discrimination is passed on to another generation.

Although attitudes are enduring, they can be changed if they are not desirable or beneficial for the individual and society, by social influence and persuasion.

Q. Our attitudes towards life, work, other people and society are generally shaped unconsciously by the family and the social surroundings in which we grow up. Some of these unconsciously acquired attitudes and values are often undesirable in the citizens of a modern democratic and egalitarian society.
(a) Discuss such undesirable values prevalent in today's educated Indians.
(b) How can such undesirable attitudes be changed and socio-ethical values considered necessary in public services be cultivated in the aspiring and serving civil servants?   (UPSC Mains 2016)

Attitude

2.1.1.1. Belief and attitude

Belief	Attitude
Belief is a **deep-seated cognitive idea** that is held to be true by a person even though it may or may not be factually correct.	Attitude is an individual's **inclination** to react with a certain degree of favourableness/ unfavourableness towards an attitudinal object.
Beliefs are fairly **stable** and exist, irrespective of contradictory facts.	Attitudes are **more difficult to change** as compared to beliefs.
Beliefs form a cognitive **component of attitude**.	All attitudes incorporate certain beliefs, but all beliefs are not necessarily a part of attitude.
Example: A belief held by some men that women are not equal.	Example: A belief that women are not equal gives rise to patriarchal attitude.

2.1.1.2 Opinion and attitude

Opinion	Attitude
Opinions are **judgement** statements about one's environment. They reflect the biases, beliefs and experiences of a person.	Attitudes are a more **generalised outlook** towards an attitudinal object. They influence opinion. For example, a negative attitude towards animals would lead to an opinion that stray dogs must be culled.
Opinions are restricted to **verbal** expressions and are often spoken or written.	Attitude can be inferred from both **verbal** and **non-verbal** behaviour.
Opinions can be **altered** when countered with new facts and arguments.	Attitude is relatively **difficult to change** compared to an opinion.
Example: An individual's opinion of the actor Aamir Khan, being a perfectionist.	Example: A theatre artist having an inferior attitude towards Bollywood films.

2.1.1.3. Values and attitude

Values	Attitude
Values decide what we think is **right or wrong or worth doing.**	Attitudes determine our **general likes and dislikes.**
Values are acquired after a substantial investment of time and energy; hence they are more or less **permanent** in nature.	Attitudes are difficult to change, but still **change is possible.**
Values are derived from conscience, individual, family, education, religion, society and cultural norms.	Attitudes are built upon beliefs, values, feelings and personal experiences.
Example: Personal hygiene values like cleanliness and maintaining good health.	Example: if an individual recognizes maintaining a fit and healthy body as a core value, then he/she will have a positive attitude towards physical exercises, eating nutritious food, etc.

2.1.2. Attitude content

Attitude Content refers to the ways in which different psychological constructs like beliefs, values and emotions are expressed in attitude.

There are two models of attitude content first is CAB (cognitive, affective and behavioural) and other is expectancy value model.

2.1.2.1. CAB Model

Attitude has three components which determine why and how we have a certain attitude towards attitude object. These are cognitive, affective and behavioural component.

1. **Cognitive Component** – This involves our beliefs, ideas, thoughts which we have towards an attitude object. Thus, it's the knowledge part of our attitude towards the object.

Figure 2.3: *Components of Attitude*
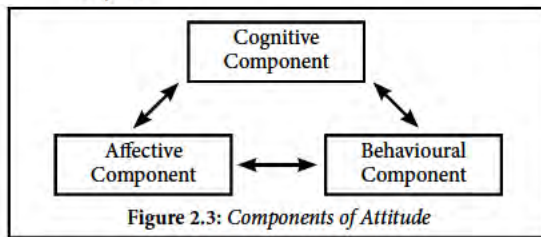
2. **Affective Component** – It refers to the feeling and emotions one has for the attitude object. For certain objects people may have strong emotions and thus, there is strong reaction (attitude) for those objects which also overpowers other factors such as cognition. Such dominance of affective component may also lead to prejudice among individuals.

3. **Behavioural Component** – Behaviour, generally, is the reflection of attitude. But when a certain type of behaviour towards an attitude object, is encouraged or discouraged, it results in a changed attitude towards that same object. In this way behaviour also influences attitude. Example – If an individual likes dancing (affective component) and believes it helps in losing weight and is a good exercise (cognitive element), then the individual is likely to join a dance class (behavioural component). Also, if someone is sacred of snakes (affective), since they are dangerous (cognitive), the person is likely to run away on seeing a snake (behavioural).

Thus, different people can have different beliefs, emotions and behaviour towards same attitude object which in turn explains the likes and dislikes of people. **Different people may hold similar attitudes toward the same attitude object for** different reasons. Some people may have voted for Narendra Modi in the 2019 elections because they liked his policies ("he's working for the middle class"; "he wants to double farmer's income") whereas others may have voted for him because they just liked him.

Although most attitudes are determined by cognition, affect, and behaviour, however, there is variability in this regard across people and across attitudes. Some attitudes are more likely to be based on beliefs and ideas, some more likely to be based on feelings and emotions, and other likely to be based on behaviours- doing yoga and other physical exercises may be based on knowledge of health benefit while eating junk food for the feeling of pleasure.

Further, it is not always necessary that all the components of the attitude denote the same point of view toward the object of an attitude. People's emotions, ideas, and behaviours may imply conflicting evaluations of the attitude object, and this situation is often called as "**inter-component ambivalence**". For example- For an alcoholic, drinking liquor gives pleasure to individual (affective component) despite knowing it is harmful for the health, for self and family in terms of financial loss as well as acts such as domestic violence, are perpetrated (cognitive component). Thus, the relative strength of competing elements decides the course of action and behaviour of the individual.

There may also be "**intra-component ambivalence**" such that people possess both positive and negative feelings or beliefs or behaviours toward attitude object. Example- attitude toward a common form of identification like Aadhaar – needed for unique identification and targeting actual beneficiaries (for public distribution system, for wages in Mahatma Gandhi National Rural Employment Guarantee Act) but may result in loss of privacy and state surveillance- both cognitive components. Intra-component ambivalence in cognitive element leads to cognitive dissonance.

Cognitive Dissonance

Cognitive dissonance is a state of mental discomfort arising because a person holds **two or more logically contradictory beliefs**. Cognitive

dissonance may also arise when one perceives or experiences something that goes against his/her established beliefs. Cognitive dissonance creates inner turmoil, ambivalent or confused attitudes and impacts the psychological well-being of a person. A person may undergo attitude change in order to minimize cognitive dissonance. For instance, people are, in general, vary of COVID vaccines as they fear that they can die because of vaccine side-effects. On the other hand, there are chances of death if they get infected by COVID as well. This cognitive disagreement is resulting in the attitude of vaccine hesitancy among the people.

2.1.2.2. Expectancy Value Model

Attitudes are based on beliefs which can be evaluated, and people combine these beliefs in various permutations and combinations to form an attitude. The expectancy value model proposes that an attitude is the sum of all the evaluative beliefs regarding the attitude object. For instance, if people believe that the new leader is innovative as well as compassionate, they should hold a positive attitude towards her. Based on these beliefs, people will pass a judgement on suitability of electing her for empowerment of weaker section. But beliefs are rarely held with perfect certainty, or one is always not sure of the belief. For example, a voter may be only 60% certain that the leader is compassionate but 100% sure that she is innovative.

According to the expectancy-value model, the effect of each belief is a function of the certainty (surety) with which it is held by the individual. This is expressed using a formula:

$$A = \Sigma B_i E_i,$$

Where A is the total attitude towards the attitude object, B_i is the subjective belief that the object possesses attribute (e.g., the probability that the leader is compassionate) and E_i is the evaluation of attribute (e.g., the positive value attached to electing the leader for empowerment of weaker section).

Thus, according to expectancy value model, attitudes are developed and modified based on assessments about beliefs and values.

2.1.3. Structure

Attitude structure answers the question that how positive and negative evaluations are organized within and between the components- cognitive,

affective and behavioural. It's not the case that the three components of attitude are always positive. For example, a person may have positive cognition (save lives) towards blood donation but when asked to donate blood (behavioural) he may respond negatively because of negative emotion(affective) like fear of needle. Thus, there are two perspectives of attitude structuring:

1. **One-dimensional Perspective–** In one-dimensional perspective, it is assumed that presence of positive belief, emotions and behaviour prevents the occurrence of negative beliefs, emotions and behaviour. Or in other words they are extreme opposites of a scale. This perspective thus implies that there is consistency in a person's attitude towards the attitude object and there will be no attitudinal ambivalence.

Figure 2.4: *Range of beliefs, emotions and behaviour*
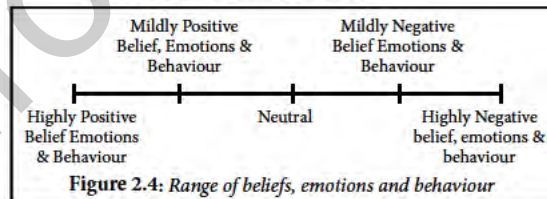
2. **Two - dimensional Perspective –** Two - dimensional view suggest that positive and negative elements are stored along two separate dimensions. One dimension reflects positive belief, emotion and behaviour elements, and the other dimension reflects many negative belief, emotion and behaviour elements. The attitude may lie anywhere on this two-dimensional plane.

Figure 2.5: *Positive and Negative elements of Attitude*
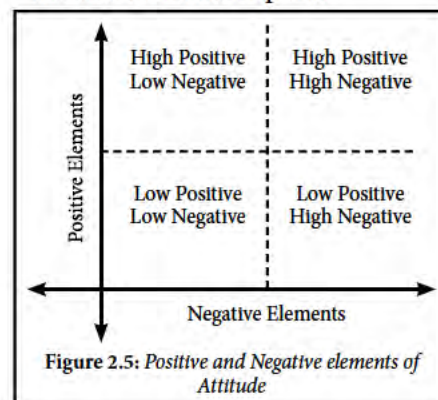
This view proposes that people can possess any combination of positivity or negativity in their

attitudes. Attitudes may subsume little positivity and high negativity, little negativity and high positivity, or no positivity or negativity (i.e., a neutral position). This allows for attitudinal ambivalence to occur in people that is state of conflict which happens when person has both positive and negative evaluation of an attitude object.

Thus, attitude structure represents the attitude content and their combination with respect to attitude object which helps us to predict people's attitude.

2.1.4. Functions

Attitude performs various functions for the individual as well as the society. It is because of these functions performed by attitude that socialization and process of attitude development becomes important in social psychology. Following are the main functions performed by the attitude:

1. **Object-appraisal function-** It is often considered the most basic function of attitudes. It holds that all attitudes serve to simplify reasoning and behaviour by providing guide for how to interact with (i.e., approach or avoid) an attitude object. This function is served by all attitudes which are strong and repetitive in nature and thus, easy to retrieve from memory. For instance, a preference for an ice-cream flavour or a cuisine helps in making the choice easier.

2. **Emotions experience function-** Another basic function of attitudes is that they help people to experience emotions. Emotions themselves fulfil basic psychological needs, and, thus, people go for emotional experiences, even when the experiences are unpleasant (horror movies). One way of experiencing these emotions is through the possession and expression of strong positive or negative attitudes. For example, people can have positive attitude towards pet animals because it helps in fulfilling their emotional need of care, affection, love and loyalty.

3. **Social-adjustive function-** It causes people to like attitude objects (e.g., car, places like restaurants) that are popular among people whom they admire and dislike attitude objects that are unpopular.

4. **Utilitarian function** –It is more about preserving/promoting self-interest, satisfy self needs, get rewards and avoid punishment. When a person holds socially acceptable attitude then it helps the individual to fit well in society as society rewards him with approval and social acceptance. Also, it's because of the utilitarian function that we try to reach out to those who have similar attitude and thus, we can maximize our pleasure.

   Example- positive attitude toward punctuality because of rewards associated with it.

5. **Knowledge function** – It helps us in understanding the world better so that we have consistency in our beliefs. Thus, attitude provides a frame of reference for organizing the world so that it makes some meaning.

   Example- Positive attitude towards women, transgender and other weaker sections help us understand the power dynamics in society.

6. **Value-expression function-** Attitude also helps us express our core values in the world which in turn give us our identity and presents to the world what we stand for.

   Leaders like Mahatma Gandhi had negative attitude towards violence and thus to promote peace he promoted the method of *satyagraha* (truth). Similarly, Mother Teresa's attitude for poor represented to the world her value of serving the humanity.

7. **Ego-defensive function** – In this, attitude help us to protect our self-esteem and self-image in the world or justify actions which make us feel guilty and are not desirable in the world.

   For example- *"Chalta hai"* attitude of government functionaries for absence of diligence and non-delivery of services on their own part, in turn makes the work culture poor.

Thus, attitude as part of ethics determine how we behave, right or wrong, in a given ethical situation.

2.2. ATTITUDE INFLUENCE AND RELATION WITH BEHAVIOUR

Figure 2.6: *Relation between attitude and behaviour*
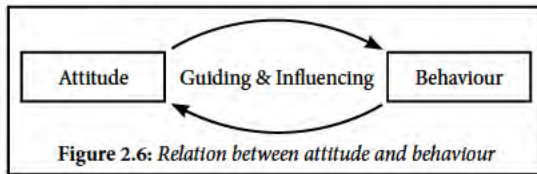
Attitude is not the actual behaviour but a predisposition to behave in a particular way. As such attitude is a **good predictor of behaviour** but prediction cannot be a certainty. For instance, if someone has positive attitude towards cricket matches than the person is likely to behave or act in line with the attitude – either he will himself play the sport or watch the sport live or even support the players. Also, it's possible that the person in the example can do neither or one or two or all activities. Attitude cannot pinpoint the exact behaviour.

As discussed above, relationship between attitude and behaviour is not always so consistent. Research has shown that in many circumstances people do not act as per their attitude. For example – individual can have negative attitude for smoking cigarette, but he can still engage in smoking under peer pressure (act). Thus, this leads to inconsistency between the two. Further, this is not a case of one-way relationship where attitude (through affect and cognitive components) guides the behaviour. But behaviour also influences the attitude towards attitude object. This means that change in behaviour in turn can change the attitude which person held for the attitude object. For instance, under Swachh Bharat increased use of toilets have built a more positive attitude towards cleanliness. The influence and relation of attitude with behaviour thus have **two broad dimensions:**

1. Attitude influencing and guiding behaviour – This can be analysed in terms of variables that determine the degree to which attitude influences behaviour.

2. Behaviour influencing the attitude towards the attitude object is action guiding the beliefs and feelings.

2.2.1. Attitude guiding and influencing behaviour

Not all attitudes are equally likely to be reflected in our behaviour. This point towards presence of certain variables which determine the degree to which attitude influences behaviour:

1. **Attitude Strength** – Attitude strength is how easily and quickly an attitude comes to the mind. This means that they have to be **cognitively accessible.** Strong attitudes are required as they are necessary in our day to day lives and have utility more than other attitudes in terms of evaluating attitude objects. Attitude strength is made stronger by repetitively expressing it through our acts as well as by thinking about it and discussing it with others. This makes strong attitude a potent guide to our behaviour as they are easily cognitively accessible. For example– Individual's attitude towards exams makes him start studying for it seriously. This is so because firstly we strongly believe that studying will makes us do better in exams (cognitive accessibility of this belief is there). Then we think about exams and discuss it with our peers. And last but importantly, we are aware of exams utility (cognitive) and seek a sense of accomplishment which is derived when successful (affective), thus this attitude will be reflected in our behaviour. Further, those attitude towards which we are not sure and don't come to mind quickly and regularly are weak attitudes. These attitude thus can lead us to act differently in different circumstances.

2. **Attitude consistency** – When cognitive and affective component of attitude, both are aligned, then, it is more likely to be reflected in behaviour. As inter and intra component ambivalence is absent, attitude-behaviour link is strong. This also implies that with change in cognition and affect/feeling for the attitude object, attitude and resultant behaviour of the individual is also likely to change. For instance- If today individual has positive attitude towards **petrol vehicle** – cognitive (less polluting than diesel) and affect (fun to drive), then they opt for the same(behave). However, when their belief about petrol is changed by giving facts on e-vehicle (environment friendly) and the emotions/feeling about e-vehicle is still positive, then the behaviour changes towards the petrol vehicle.

Attitude

3. **Self-monitors** – Self-monitors are personality traits which refers to the differences among people in allowing social situations to influence their actions. People with **low self-monitor** are those who attempt to blend in the social situation so that they would be liked by others. Thus, these people have **weak attitude-behaviour** relation and they act against their previously held attitude. In such situation, behaviour is not guided by the attitude. For instance- An individual can criticize loud music in public places, which indicates his negative attitude for this attitude object (loud music). However, in his own party he opts to play loud music to get along with his peers.

Then, there are people with high self-monitors and these people do not allow social situation to influence their behaviour. These people have strong attitude and behaviour relation. Hence, actions of these people are influenced by their attitude towards it. For example, if a person holds negative attitude for smoking cigarette personally then, even under peer pressure he would not behave otherwise because of his high self-monitor. Thus, in such cases the act is well guided by the beliefs and emotions.

4. **Vested interest**- Higher the interest of attitude holder in the held attitude, higher are the chances of its translation into actions and behaviours. Example- if an attitude of flattery helps one to get promotion, then this is likely to be reflected in his behaviour.

5. **Exposure to attitude objects**- Attitudes formed by direct exposure to attitude object are more likely to be reflected in behaviours. Example- Attitude of people towards both apple and blueberry may be positive but they are more likely to buy apples because of repeated direct exposure to it.

6. **Perceived behavioural control**- Individual's perception of the level of control he or she has over a behaviour will also determine attitude-behaviour link. For example, a person could have a favourable attitude toward losing weight, yet not believes he or she is capable of engaging in that behaviour.

Wanting to lose weight but believing that it isn't possible means that attitudes in favour of weight loss would not be reflected in behaviour. Many people are aware of the need for a good night's sleep, yet many fail to achieve it. This failure may be due to perception that because of a busy lifestyle or other factors, individuals have little personal control over getting more sleep.

7. **Socially acceptable standards**- People can hold attitudes that are not socially acceptable, so they tend to behave differently than what their attitude tells them to do. People like to know the beliefs and feelings (attitude) of people around them to make the situation beneficial for all the parties engaged. This also ensures that any undesirable behaviour can be avoided to prevent any harm to individual and the society itself. Example- a person can have negative attitude towards persons of lower caste but still he does not act in that way because it is socially unacceptable.

8. **Attitudes of Others**- Attitudes are more likely to be reflected in behaviour if we are in company of people whose held attitudes are similar to our own. In social interactions, we often want to predict the behaviour of individual to make the social interaction smooth and without any conflicts. This ensures that we too respond in a manner that other individuals are also at ease. Example- drinking in social gathering.

9. **Perceived relevance of attitude**- If an individual has perception that his attitudes are not relevant, then it is unlikely to influence his behaviour. Example- if a person has positive attitude towards a political party but he believes that his opinion does not matter then, he is unlikely to vote for it.

To sum it up, there are certain variables which influence the attitude-behaviour relation in our social interactions. Thus, understanding attitude-behaviour link in governance helps decision makers and policy implementers to predict citizens behaviour and change their behaviour by changing their attitude in a desirable direction. However, the

relation between attitude-behaviour is more dynamic since not only change in attitude brings change in behaviour but change in behaviour of people can also change their attitude.

2.2.2. Behaviour guiding and influencing the attitude

Generally, it is observed that a person's behaviour can be predicted by his belief and feelings he holds towards the attitude object. It has also been observed that a person's attitude can be known by observing his behaviour and his attitude can also be changed by changing his behaviour. For example- **Free samples** are given at supermarkets to consumers for promotion, people can like the taste of the sample and develop a positive attitude towards the new product. People used to have a general negative attitude towards wearing **helmet** while riding a two-wheeler. But the government made wearing helmet mandatory by Motor Vehicles Act. As wearing helmet became mandatory, over years people have developed a positive attitude towards wearing helmet and safety.

Another example can be people's attitude towards government offices. People generally have negative attitude towards government offices, but when they go to Passport Sewa Kendra and get timely service, their attitude towards government offices can change. The motive of campaigns like '**selfie with daughter**' is to change attitude of people towards girl child by changing behaviour of parents towards their daughter.

Thus, attitude and behaviour have a co-relation but not causation relation. A person can hold an attitude but still can choose not to behave accordingly. Changing the attitude can change the behaviour, on the other hand repeated behaviour can also change attitude of a person. So, this is a complex relationship which varies from person to person, from attitude object to attitude object and from context/situation to context/situation.

2.3.   MORAL ATTITUDE

Moral attitudes are attitudes which have a moral foundation. Moral attitudes are deeply rooted in **moral conviction** and they are strong predictor of how a person may act or pass a social judgement.

These attitudes are imbued with an individual's ultimate sense of right and wrong.

Example-

Attitude- 'A' likes 'X' actor, story of the movie 'Y' is good and 'X' stars in the movie then 'A' is more likely to watch the 'Y' movie. This shows attitude of a person towards movie 'Y'. It does not reflect the moral standard of the person.

Moral attitude- 'A' believes that capital punishment is wrong because it violates the basic human right of the convict then 'A' is more likely to participate in any movement opposing capital punishment. This is reflection of moral attitude of A towards capital punishment.

Since morals are personal standards of right and wrong, moral attitude by nature are **personal** and vary from person to person. Moral attitudes are reflection of persons' moral standards. The sense of morality associated with certain attitude object can be different in different persons. For example-For the opponents of nuclear weapons, attitude against nuclear proliferation is a manifestation of their core conception of right and wrong. For others, however, an attitude about nuclear proliferation is firmly rooted in the practical implications of the policy.

Moral attitudes, like other attitudes, are determined more by environmental and socialization factors. Moral attitudes are shaped by family, school, religion, profession and personal experiences.

Moral attitudes are **stronger and more resistant to change** than other attitudes. The reason is moral attitudes have a deep seeded moral basis which forms a part of the character of the person that gives them **greater resiliency**. Moral attitudes are more accessible in memory, are more resistant to changes, and are more physiologically arousing. Moral attitudes are experienced with a greater sense of importance. They encourage quick and intuitive judgments and are associated with **greater emotional arousal when violated**. Some questions which can show the moral attitude of a person -

1. Sex crimes, such as rape and attacks on children, deserve more than mere imprisonment

2. Death penalty is barbaric and should be abolished

3. People suffering from incurable diseases should have the choice of being put painlessly to death

In hierarchy of values, moral values are always placed higher. Values like goodness, purity, truthfulness, humility, compassion, forgiveness etc are always revered more than values, like beauty, wealth or pleasure. Attitudes rooted in these values are moral attitudes.

2.4. POLITICAL ATTITUDE

In our day to day lives we hear different narratives of our family, friends and media about the government, its policies and laws, political philosophies etc. These narratives that presents the thoughts, feelings as well as behaviour tendency refers to the attitude of these sections towards political objects. Thus, simply political attitude defines **how people evaluate the political objects such as state, citizenship, Constitution, laws, government and political parties.** Individual has enduring predisposition to react favourably or unfavourably towards these political objects. For example, attitude of people towards Constitution is generally positive as it provides them rights and limits the authority of state.

Thus, political attitude refers to the outlook of an individual or group with respect to political persons, events, institutions and issues in public domain. Political attitude determines one's interest or lack of interest in political ideologies, persons, parties, likelihood of participating in a political activity like casting votes, contesting elections etc.

2.4.1. Factors determining political attitude

There are many factors which influence the formation of political attitude in people. Foremost is individual's **family**, political attitude of individual depends on what family members believe. Families have enduring influence on young people's developing political opinion through process of socialization. Further, family not only shapes political attitude with respect to parties and policies they favour but also determine how likely a person is willing to join political activity like voting

and politics itself. This is seen in form of dynasty politics where younger generation of a political family tends to join the political party presenting positive attitude towards the same.

Another institution of socialization is **schools and colleges** that shapes the political attitude of individuals. Educational institutions provide individuals the knowledge of the political world and the role younger generation are expected to play in political process of the nation. Schools transmit the values and attitude of the society. They play a crucial role in shaping their attitude about the unwritten rules of the game of politics. Schools reinforce the affection for the political system and provide common symbols for an expressive response to the system such as flag and pledge of allegiance. Colleges act as cradle of politics where individuals have their first experience with student politics.

Attitude of youth towards politics

Youth particularly show a love hate relationship with politics. They have immense energy, passion, creativity and ideas to engage in the political issues of the country. They are **drawn towards political campaigns** as issues like education, skills, employment, health etc. directly impact them. The young people engage in politics by either exercising their right to vote or by joining the political parties or by expressing their discontentment through participation in protests.

Additionally, the attitude of youth towards politics depends upon caste of the candidates, ideological leaning of the political parties, previous report cards of the party in power, etc. However, a substantial section of the Indian youth is also **not interested** in politics. When it comes to polling, trends show that the share of youth that actually votes, is most of the times, lesser than the average turn-out.

The behaviour of the youth is also not homogenous as the urban youth seem less interested in politics than the rural youth and the gap is even much larger amongst urban and rural women. Youth also seem to have a **disillusioned** attitude towards politics and feel that 'is desh ka kuch nahi ho sakta'.

Attitude

They regard politics as an unethical profession where frequent compromises on principles are made. It is because of this reason that women are even more wary of joining politics showing a gender difference in perceiving political objects.

Q. Young people with ethical conduct are not willing to come forward to join active politics. Suggest steps to motivate them to come forward. **(UPSC Mains 2017)**

Then, there are **socio-cultural norms** which involves individual's religion, region, caste and other such ethnic identities. For instance, in India, it is generally said that people don't cast their vote rather they vote their **caste**. This is because people believe (cognition) that their caste, language and such identity-based parties will invariably work for their interest. **Religion** also shapes our political attitude- especially true in case of India as we even have religion-based parties like AIMIM, Akali Dal who mobilize people based on religious emotional appeals (affective component). Since affective component often tends to override the cognitive component, thus people in large numbers support the religious parties.

Among socio-cultural norms, **gender** binaries also play an important role. Generally male support of conservative ideology, military programmes, and punitive policies and more female support of social programmes and equal rights. For women issues like gender wage gap, equality at workplace, gender related violence, issue of dowry and female infanticide, even issues like access to toilet etc. are more relevant. This is reflected especially in grass root level panchayat elections. Another gender related discussion is why very few women are elected in legislature and parliament? It is related to negative political attitude of society towards women candidates. New dimension in gender is now the third gender's attitude towards political objects. This involves their participation in political institutions and policies to ensure inclusive governance.

Another such factor determining the political attitude is **economic considerations**. Since liberal political ideology favours individual and liberty as principle so the capitalists and supporter of free trade have positive attitude towards liberals favouring free enterprise. Whereas the "have nots" of economic structure such as landless labourers, sharecroppers and factory labourers have positive attitude towards socialist and left leaning political parties.

In many instances **history** as well as **geography** also determines the political attitude of people towards the political objects. For example- some areas are known as bastions of particular political parties. Staunch supporters of extreme right wing in India cite the ideological goal of creating '*Akhand Bharat*'. This involves strong emotions and feelings towards a historical and geographical concept and thus people act by supporting the right groups. With respect to geography- there is generally a difference between political attitude of north-east region and mainland India. In north-east India, political issues are different like inner line permit, schedule status, separatist tendencies etc. The hill states have different set of problems; border states have different challenges like infiltration and illegal immigrants and arid regions face environmental issues. Thus, people belonging to different geographies have different issues and thus different political attitudes. Even when the political attitudes are similar the underlying reason can be different.

Political objects themselves also influence the attitude of people. **Institutions and governance structure**- legislature, executive, judiciary and bureaucracy effect our political attitude. For instance, as a kid when we used to see politicians fighting in Parliament, it created a negative attitude in us and thus younger generation is reluctant to join the politics or even participate in it. Similarly, corruption in political institutions, bureaucracy, use of money and muscle power in political parties leads to negative and indifferent attitude among citizens.

In digital era, the **social media and mainstream media** has greater effect on attitude of people towards political objects. The debates, sensationalization of political leaders, events and also the fake news phenomena leads to formation as well as change in political attitude of people. The Cambridge Analytica case highlighted how the personal data of citizens from Facebook can be used for micro-targeting individuals and change attitude towards political parties and leaders. The

charismatic personality of leaders who target not only affective component (feelings) but also use facts and data to hit a larger audience tend to influence larger number of people. They also behave publicly in such a manner that people see them as inspiring leaders. Thus, this leads to attitude formation or change among individuals.

2.4.2. Types of Political Attitude

Theoretically there are four types of political attitude which people generally tend to possess – **Parochial, Subject, Participative and Assertive**. This classification is based on people's role and input they provide in the political processes.

Individual and groups with **parochial** attitude have no or least interest in political objects thus they don't participate in political processes as well. For instance, nomadic tribes across world fall under this category. People with **subject** political attitude have partially active role in the political processes. They engage with government of the day for few purposes like participate in voting and utilization of rights provided to them. However, they are not fully engaged in the political processes like people with participative attitude are. **Participative** attitude provides for fully active role and thus, these people ensure that not only their rights but their duty of holding political object accountable, are also upheld. For instance, in India, government puts every policy draft on public platform and invites public feedback. Those people who have participative attitude tend to participate in these kinds of activities. Another example is RTI activists and social audit of government work. The new trend of **assertive** political attitude is emerging globally where emotions (affective component) override the cognitive component. In the post truth world, facts are distorted to change the attitude of followers by leaders. For example- Vote by people for Brexit in United Kingdom and cow-vigilantism in India.

In most cases, a person's political attitude is also based on the political ideology he tends to follow or support. The spectrum of political ideology, range from extreme left to extreme right. In the centre lies the liberal ideology and individuals and group with liberal political attitude favour principles of equality, democracy and rights of individuals in laws and policies. To the left of liberal ideology lies people with radical political attitude who are

extremely dissatisfied with the society, existing government and its policies and thus, support actions for immediate and fundamental changes. To the right of liberal attitude is conservatism and people with this attitude favour status quo as they doubt that any change will result in something better in existing political structure, laws etc. Thus, people supporting different political ideologies have different attitude towards political objects of society.

Figure 2.7: *The Political Spectrum*
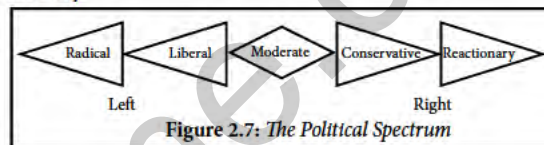
2.5. SOCIAL ATTITUDES

Social attitudes pertain to particular dispositions towards social phenomena and members of society. They are often based on personal experiences, traditional customs or practices, societal expectations, etc. Some of the societal attitudes towards specific sections are discussed below.

2.5.1. Attitude of people towards women

Toxic Masculinity attitude

The **discriminatory** attitude of the society against women can be witnessed right from the moment they are born. Unethical practices like female foeticide, female infanticide are still the norm because of general **preference for male child**. Society follows **unfair segregation** of females by excluding them from education and health services as they often have to sacrifice their own education and nutrition to cater to their younger siblings.

People perceive **women as weak** and therefore assign them gender roles, for example- household work, as it is believed that women cannot perform manual labor. The expectation from women is that that they should heed to the male members of their family- first father, then husband and then son. Women's choices and decisions are suppressed, even while choosing their marriage partners. If they do, then in certain cultures they are subjected to **honor killings**. In many households, men even have **violent attitude** towards women. In society, career driven women are looked down upon as failing to uphold their domestic duties.

At workplace, women suffer from domineering and sexist attitude of their colleagues. They are often the subject of immoral office gossip, exposed to sexual harassment, overlooked for promotions and their accomplishments inhibited by the glass ceiling. Companies, in general, unprofessionally refrain from employing women as they argue that women will not be able to devote the required time due to marriage, family, child, etc.

But the **times are now changing** and the society is beginning to see women as equals. For the first time, female paramilitary soldiers have been deployed in the restive Kashmir region. Indian Army is also planning to induct the first batch of women chopper pilots in 2022. There have been many women leaders who were instrumental in changing the attitude of society towards them. For example, Olympian weightlifter Mirabai Chanu, Paralympian Deepa Malik, Nobel Prize winner Malala Yousafzai, Indira Gandhi, Mother Teresa, Kiran Bedi, Barkha Dutt, Savitribai Phule, etc.

2.5.2. Attitude of people towards caste system

Elite pool hierarchy

The Indian caste system is a complex social institution wherein one's profession became **'hereditary,'** resulting in restricted social mobility. Our society holds the caste system as a legitimate source of social identity. It provides a hierarchy of social roles that inherently remain stable throughout life. **Caste membership** is thus ingrained in the society and it acts as a source of pride and self-esteem. For people, caste identity may sometimes override other social identities like religious, national, etc.

Our elders also believe that general good or bad deeds in one's life are rewarded or reprimanded by being born into a high or low caste in the next life. It is also commonly seen that a person engaging in any sort of caste practices violation is **ostracized** and **boycotted**. For instance, when people violate the rule of marrying within one's own caste by going for inter-caste marriage, the higher caste individual is believed to bring shame to the family and this transgression is considered to be immoral. Marriages between high and low caste persons are especially harshly punished and sometimes lead to

serious violence like lynching, murders or rapes of the victim or their relatives.

Dr B. R. Ambedkar has written extensively on the issues of caste inequality and also fought for the human rights of Dalits, who were formerly called untouchables. He worked for the **'annihilation of caste'** because he believed that anything that is built on caste is going to create inequality within. In 1950, India's Constitution banned caste-based discrimination and in order to compensate for historical injustices, the authorities introduced quotas in government jobs and educational institutions to improve the quality of life of lower castes. Yet, caste inequality, discrimination and exploitation remain ingrained in our society. Suicides by Rohith Vemula, Dalit PhD. Scholar and Payal Tadvi, a resident doctor, owing to caste-based harassment in their colleges show that casteism is still prevalent on Indian campuses.

2.5.3. Attitude of people toward civil servants

Babudom Syndrome

Civil Services in India is a **British legacy** where civil servants are seen as the all-mighty holders of power, with the ability to control the fate of the citizenry. Society sees them as benefactors of the people with a lot of discretionary powers and there is nothing that they cannot do if they put their best foot forward. They are also seen as **role models** as they are at the top-most level of the decisional hierarchy from where they drive the development of the country and its people. People see civil servants conducting elections, enforcing law and order, implementing government policies, travelling in a *'lal-batti'* vehicle with a cavalry of other officers surrounding them, etc. Unlike the political class, civil servants are selected by a merit-based system and so are also seen as **mentors** by the youth. For instance, 3000 volunteers across the country found a guide and a leader in a serving IPS officer, Arun Bothra, to help the needy during the coronavirus pandemic under their organization 'India Cares 2020'. Civil servants are highly regarded, respected and idolized by the common man.

Some segments of the population are also **disillusioned** with the civil services. They hold a

condescending attitude towards the bureaucratic system, owing to past experiences and regard it as inaccessible, corrupt, slow and inefficient. They also feel that civil servants in spite of getting their salary paid from taxpayer's money, work for self-interest and not public interest, thereby acting as the master of the people and not their servant. They expect the civil servants to be unethical and immoral by doing undue favours to their kith and kin. Such people also have a strong negative attitude in cases of misconduct by civil servants. For example, the huge outcry of people against a District Collector in Tripura for stopping a marriage and insulting the bridegroom who were violating COVID night curfew norms, ultimately resulted in the Collector relinquishing his office.

However, the attitude of the people towards civil servants is now changing from the archaic 'mai-baap' of the common man to a more '**people friendly** sarkaari babu'. The increasing proportion of female officers has also helped in the added empathetic and humane touch of the civil servants. With the passing of the Right to Information Act, citizens have become more empowered and aware in holding truth to power and raising questions when cases of mis-governance by civil servants are involved.

2.5.4. Attitude of civil servants towards people

On the occasion of the first Civil Services day on 21st April 1947, the then Home Minister Sardar Patel had told the young IAS officers, "*Your predecessors were brought up in a tradition in which they kept themselves aloof from the common run of the people. It will be your bounden duty to treat the common man in India as your own.*" Yet, the colonial hangover has impacted the perception of civil servants of themselves as well as that of the general public.

They continue to function with wide **discretion and accountability to the rules and hierarchy than to the public.** Clearing the UPSC exam sometimes gives them the self-perception of belonging to the ruling elite, where performance of duty for the public is seen as an achievement rather than a responsibility. At times, civil servants also treat the general public with disdain. For example, Surajpur

collector Ranbir Sharma, slapped a man who didn't follow lockdown guidelines, threw his mobile phone to the ground and encouraged cops to beat him up with sticks. This shows apathy towards the common man. Civil servants are known to not be cordial or cooperative with the public. Officers often make the ordinary people wait endlessly for appointments. Sometimes, caste divide, bias for people belonging to native place, etc. also influence the attitude of civil servants towards the public.

For the ordinary citizen, just being heard is a hugely empowering experience, and bureaucrats must pay heed to this. The government has also planned to organize training programme for the All-India Services, in order to make them more "**people-friendly**" and "**ethical**" while dealing with the public. There are also many conscientious and upright officers who continue boldly to adhere to old values and keep the system afloat. Telangana cadre IAS Smita Sabharwal is popularly known as the "**People's Officer**" for solving citizen issues by involving people. Bureaucrats must therefore be empathetic to people's needs and treat them with the same seriousness and respect that is commanded by their superiors and uphold their oath of the public office.

Bureaucratic Attitude	Democratic Attitude
Bureaucratic attitude is generally exhibited by public servants in government departments. It can also denote slow processes in any large organization.	Democratic attitude is based on the principles of democracy, wherein public service is citizen centric and upholds the interests of the common man.
It follows a **top-down**, one size fits all approach and reflects hierarchical discipline.	It follows a **bottom-up**, participatory and flexible approach to decision making.
Bureaucratic attitude is **rules obsessed** and there is implicit obedience to orders from above.	Democratic attitude is **people oriented** and follows stake-holder approach while finding solutions to citizen's problems.

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It **lacks accountability to the people and** hold itself answerable only to the rules and regulations, hierarchy.	It upholds **accountability to the people** making it responsive to the citizen's needs.
It involves **discretion** in the hands of the **select few** who sit at the top of the organizational structure.	Since citizens are included in the decision-making process, it is more transparent and inclusive.
Adherence to rules, hierarchy makes it agonizingly slow and prone to **Red-Tapism**.	Since it involves consensus building, it is also time consuming.

Q1. Two different kinds of attitudes exhibited by public servants towards their work have been identified as bureaucratic attitude and the democratic attitude.

(a) Distinguish between these two terms and write their merits and demerits.

(b) Is it possible to balance the two to create a better administration for the faster development of our country?

(UPSC Mains 2015)

Q2. What factors affect the formation of a person's attitude towards social problems? In our society, contrasting attitudes are prevalent about many social problems. What contrasting attitudes do you notice about the caste system in our society? How do you explain the existence of these contrasting attitudes?

(UPSC Mains 2014)

2.6. SOCIAL INFLUENCE

Introduction

Attitudes are result of process of socialization. As we grow up, our beliefs, emotions and behaviour are shaped as well as changed with social interaction which happens on day-to-day basis either directly (family, friends) or indirectly (media). This social interaction thus leads to social influence which is defined as the *effect of other people on our attitude* (thoughts or beliefs, feelings, and behaviour). Thus, social influence can be seen as a technique through which attitudes are formed as well as attitudes are changed. The social influence can take place through compliance, obedience and conformity.

Compliance- Compliance is change in individual's behaviour which is result of direct request made to that individual. The compliance is generally change in behaviour only and not in attitude. However, with long term compliance the person's attitude may change towards attitude object. For instance- In a workplace a person sees discrimination against a women employee. He has positive attitude towards women but still he does not oppose this discrimination. There is deep rooted discontent but because of the social setting, this discontent is not expressed. This can be seen as an example of compliance and compliance over extended period can change the attitude of person towards women.

Obedience- Obedience refers to change in behaviour due to the rules and orders given by authoritative figure. This may or may not result in attitude change of the individual obeying the orders and rules. For example– An empathetic civil servant who has been ordered to demolish a slum may feel that doing so is morally incorrect, but he still follows the order. Following such order repeatedly can make him apathetic towards the needs of weaker section. An experiment named Obedience by Stanley Milgram proved that an authoritative figure has influence on individuals which make them obedient and follow their instructions even if the orders are unjust. For example, instances of police excesses in the time of COVID illustrate over-obedience.

MILGRAM'S EXPERIMENT

Milgram's experiment consisted of 40 male participants from a range of occupations and backgrounds. The participants were all **volunteers** who had responded to an advert in a local paper, which offered $4.50 to take part in an experiment on 'punishment and learning'. The 40 participants were all invited to a laboratory at Yale University where they met with the experimenter (Mr. X) and another participant (Mr. Y), who were both confederates.

Mr. X explained that one person would be randomly assigned the role of teacher and the other, a learner. However, the real participant was always assigned the role of teacher. The experimenter explained that the teacher, the real participant, would read the learner a series of word pairs and then test their recall. The learner (Mr. Y), who was positioned in an adjacent room, would indicate his choice using a system of lights. The teacher (real participant) was instructed to administer an electric shock every time the learner made a mistake and to increase the voltage after each mistake.

The teacher watched Mr. Y being strapped to the electric chair and was given a sample electric shock to convince them that the procedure was real. Mr. Y wasn't actually strapped to the chair and gave predetermined answers to the test. As the electric shocks increased Mr. Y's screams, which were recorded, became louder and more dramatic. At 180 volts the learner complained of a weak heart. At 300 volts he banged on the wall and demanded to leave and at 315 volts he became silent, to give the illusions that was unconscious, or even dead.

The experiment continued until the teacher refused to continue, or 450 volts was reached. If the teacher tried to stop the experiment, the experimenter would respond with a series of prods, for example:

'The experiment requires that you continue.' Milgram found that all of the real participants went to at least 300 volts and 65% continued until the full 450 volts. He concluded that under the right circumstances ordinary people will obey even unjust orders.

Q. Discipline generally implies following the order and subordination. However, it may be counter-productive for the organisation. Discuss.

(UPSC Mains 2017)

Conformity- Conformity is defined as *the change in beliefs, opinions, and behaviours as a result*

of our own perceptions about what other people believe or do. The person changes his behaviour because of the "pressure" from the society but this pressure can be real or imagined/self-perceived. For example, when a person moves from village to city, he may change his dressing style to conform with the urban dressing sense.

An individual can change his attitude due to social influence for meeting two goals, first **cognitive goal** which involves forming accurate knowledge about the world around them. For instance, by using the opinions and recommendations of others to help us make better decisions about our careers. Secondly, the **affective goal** as we want to be liked and accepted by others. Thus, attitude change due to social influence increases our adaptability by helping us live and work well together. But it is also possible that social influence may change the behaviour in an undesirable manner. As an example, young people may engage in unhealthy behaviours, like smoking or drinking simply because their friends are doing so.

It may be noted that effective social influence results in attitude change and not just change in behaviour. People internalize the socially accepted norms, make them part of their belief structure and invest in these beliefs emotionally. Thus, for effective social influence a person not only conforms/obeys/complies but he also 'identifies' with the person or social group. There is no element of resistance and the entire attitude structure is realigned because of effective social influence.

The change in attitude can be because of two types of influences:

1. **Informational Influence-** Informational influence is defined as *the change in opinions or behaviour that occurs when we conform to people whom we believe have accurate information.* We base our beliefs on information given by experts such as scientists as well as our own family and friends. Informational conformity leads to real, long-lasting changes in beliefs. The result of informational influence is normally private acceptance which refers to *real change in attitude of people.* For instance, climate change reports by IPCC have lead people and respective governments to

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change attitude towards fossil fuels with rising inclination towards renewable energy resources.

2. **Normative Influence** – It occurs *when we express opinions or behave in ways that help us to be accepted or that keep us from being isolated or rejected by others.* When we engage in normative influence we conform to *social norms* or socially accepted beliefs about what we do or should do in particular social contexts. The outcome of normative influence is *public conformity* rather than private acceptance. Public conformity is a *superficial change in behaviour that is not accompanied by an actual change in one's private opinion or attitude.* Impact of social influence may appear in our public behaviour even though we may believe something completely different in private. For example, a person can treat women at workplace as equal colleagues due to norms at workplace but at home, he may have a different attitude towards his wife or sister where the patriarchal and regressive attitude is reflected in his actions.

Also, informational influence and normative influence are not mutually exclusive to each other. For example, when students obey their teachers, they probably do it both because others are doing it (normative influence) and because they think it is the right thing to do (informational influence). Thus, a person changes his attitude both in order to gain accurate knowledge (informational influence) and to avoid being rejected by others (normative influence).

The change due to social influence may be caused because of either majority influence or minority influence. **Majority influence** *occurs when the beliefs held by the larger number of individuals in the current social group are adopted by everyone.* While **minority influence** occurs when *the beliefs held by the smaller number of individuals in the current social group prevail.* The majority influence can be overpowered by the minority influence when the minority beliefs are consistent and stable over long periods, when the minority have invested in their position by making significant personal and material sacrifices and when they seem to be acting out of principle rather than from inferior motives.

Furthermore, although minority influence is difficult to achieve, if it does occur it leaves a long-lasting impact on majorities. When majorities are influenced by minorities, they really change their beliefs—the outcome is deeper thinking about the message, private acceptance of the message and not only social conformity but in some cases even more creative thinking. All this together leads to change in attitude. For example, it was minority influence of few leaders during freedom struggle that mass movements were rather peaceful and witnessed participation of major social groups including women.

There are certain **characteristics of social situation** which determine the effectiveness of social influence. These characteristics include-

1. **The size of the majority**- In terms of informational influence, if more people express an opinion, their opinions seem more valid. Larger majorities will also produce more normative influence because being different will be harder when the majority is larger. As the majority gets larger, the individual giving the different opinion becomes more aware of being different, and this produces a greater need to conform to the prevailing norms. For instance, during elections, political parties recruit local workers in order to influence more people to join their parties. Although increasing the size of the majority does increase effectiveness of social influence, this is only true up to a point. *The social impact that is produced by adding new members to the majority group* is greater for initial majority members than it is for later member (diminishing marginal utility).

2. **The unanimity of the majority**- Effectiveness of social influence is reduced when there is any inconsistency among the members of the majority group. Even when inconsistency is based on wrong information or beliefs of small number of people, presence of inconsistency itself is enough to reduce the credibility of the group. When everyone in group is holding the exact same opinion, it gives a sense that they must be correctly responding to the external realities. This increases the chances of social influence.

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3. **The importance of the task-** The more important the task or decision to be made, greater are the chances of the decision being influenced by the social perception of the individual. People tend to seek opinion of family and friends before making important decisions and their opinions are taken seriously.

4. **Social power-** Social power can be defined as *the ability of a person/group to change the attitude of an individual through influence, even when the people being influenced may attempt to resist those changes. For example, parents' power over the children, power of celebrities over their followers.*

   There **are five types of power** based on the type of influences they create – either private acceptance or public conformity:

   a. **Reward power** occurs *when one person is able to influence others by providing them with positive rewards and incentives.* For example – Policies giving monetary or non-monetary rewards to poor people, supporting education of *their girl child.* Power is greater when the person being influenced has a strong desire to obtain the reward, and power is weaker when the individual does not need the reward. *Since, it is based on external stimuli it causes public conformity rather than actual change in opinions and emotions.*

   b. **Coercive power** is *power that is based on the ability to create negative outcomes for others, for instance by bullying, intimidating, or punishing.* For example– Learned helplessness in some women and acceptance of male superiority in absence of education can be seen as a result of coercive power that men enjoy over women due to traditions. Coercion is usually more difficult to use, since it often requires energy to prevent the person from leaving the social situation altogether for avoiding the punishment. Coercive power is less desirable for both the power holder and the person being influenced because it creates an environment of negative feelings and

distrust. It is likely to make interactions difficult, undermine satisfaction, and lead to retaliation against the power holder (reactance). Like reward power, it also causes public conformity only and people may not actually change their attitude. For example- sometimes children behave exactly opposite to what their parents tell them to do because of reactance.

   c. **Legitimate power-** *Power vested in those who are appointed or elected to the positions of authority,* such as teachers, politicians, policemen, and judges, and their power is effective because members of the group accept them as appropriate. Legitimate power creates private acceptance. Those with legitimate power may not only create changes in the behaviour of others but also have the power to create and change the social norms of the group. For example – The judgement of Supreme Court on ban on use of crackers (2018) witnessed a significant fall in the sale of such crackers in 2019.

   d. **Referent power-** People with referent power have *an ability to influence others because they can make others to identify with them.* The person who provides the influence can be a member of an important reference group—someone we personally admire and attempt to emulate or a charismatic, dynamic, and persuasive leader. For example – For Swachh Bharat Abhiyan advertisement campaign by Amitabh Bachchan.

   e. **Expert power-** Expert power is *a type of informational influence based on the fundamental desire to obtain valid and accurate information. The outcome in this case is likely to be private acceptance.* Conformity to the beliefs or instructions of doctors, teachers, lawyers, and computer experts is an example of expert influence; we assume that these individuals have valid information about their areas of expertise, and we accept their opinions based on this perception.

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5. **Personality differences-** Individuals who have lower self-esteem are more likely to conform in comparison with those who have higher self-esteem. This makes sense because self-esteem rises when the person know that they are being accepted by others. People with lower self-esteem have a greater need of social validation. For instance– Person with low self-esteem may change his political attitude based on social influence to be accepted by others.

6. **Gender differences-** Generally, men are more concerned about social appearances and autonomy and they may be able to demonstrate this by acting independently from the opinions of others. Thus, they do not conform to social influence. On the other hand, women are generally more concerned with connecting with others and maintaining group harmony. Thus, women are more likely to conform because they are socialized to be more caring about the desires of others.

However, it is not the case that social influence always leads to conformity. There are some variables like **psychological reactance** which prevents the social influence. Psychological reactance is a state when individuals feel that their freedom is being threatened by influence attempts, leading to selective avoidance. For instance, when coercive method for birth control (forced sterilization) was used, it created negative attitude in Indian population related to birth control techniques. Later when government promoted voluntary non-invasive birth control methods, it was met with negative attitude due to psychological reactance and people tended to avoid these methods also.

2.7. PERSUASION

2.7.1. Introduction

Persuasion is a technique of attitude change which deliberately targets the people to ensure either compliance or conformity so that they exhibit an attitude as derided by the persuader. Persuasion is a process of inducing change in ideas, beliefs and attitude of other persons or group about some issue in a predetermined direction. Persuasion is done using **logic, reasoning and emotional appeal** through information passed on to the target group by a credible source through different communication channels. Persuasion, however, is not always used for changing attitude but also to prevent attitudes from changing.

There are two main **routes** through which a persuasive message is processed: **central and peripheral**. The messages that are delivered for persuasion may be processed either *spontaneously (peripherally or heuristically) or it can be processed thoughtfully (central route). This model is called Heuristic-Systematic Model of Persuasion.*

Spontaneous processing is direct, quick, and often involves emotional responses to the message. Spontaneous messages are either pleasant or fearful in nature as both tends to persuade the audience effectively. When the persuader expects that listeners would process the message spontaneously—for instance, if they don't care too much about the message or if they are busy doing other things then, the content of the message itself becomes less important; even a weak (but interesting) message which is capable of inciting emotional response can be effective in this case. But persuasion through spontaneous or peripheral route is not long lasting as the underlying belief is not changed.

For example- **Advertisement** containing baby products often invoke positive emotional response in parents, thereby resulting in persuasion and buying of the products. Similarly, the pictorial warning on cigarette packet invokes fear to persuade smokers to quit smoking. Results from a large randomized clinical trial from the US, demonstrated that adult smokers who carried cigarette packs with graphic health warning labels had more quit attempts and were more likely to quit during a 1-month follow-up period than those who carried typical non-warning label packets.

Figure 2.8: *Elaboration Likelihood Model of persuasion*

Thoughtful processing, on the other hand, is more controlled and involves a more careful cognitive elaboration of the meaning of the message. When communicator can motivate people to process the message carefully and thoughtfully, then the communicator is be able to present strong and persuasive arguments with the expectation that the audience will attend to them. When message is passed through central route then the audience deliberate upon the message, apply mind and analyse it. For a message to be processed through central route the audience should have enough motivation as well as ability to process information. If communicator can get the listener to process these strong arguments thoughtfully, then the attitude change will likely be strong and long lasting. The reason for this is after due deliberation the underlying cognitive/belief structure itself undergoes transformation.

Messages that involve both cognitive as well as emotional appeal are more influential in persuading people to change their attitude in the required direction. For example- Persuasion against drunk driving- Between 2008 and 2017, 76,446 people died in 211,405 road accidents nationwide due to consumption of alcohol or drugs (cognitive message). Another message can be- Drive slowly, someone is waiting for you in your home (emotional appeal).

Another similar model of persuasion is Elaboration likelihood model. The more likely people are to elaborate on a message (to relate it to other things they know, which means thinking about it) the less likely they are to show an unthinking, automatic positive emotional response to it. Thus, the likelihood of elaboration predicts the amount of attitude change.
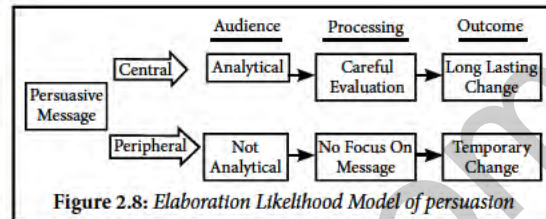
For successful persuasion, it is necessary that the information being passed to audience is received in a form as intended by the communicator. The information is deciphered and processed by the audience, and further, the information is internalized by the audience. The result of successful persuasion is change in belief, emotions and behaviour of the target group.

Components of Effective Persuasion:

Figure 2.9: *Components of Effective Persuasion*
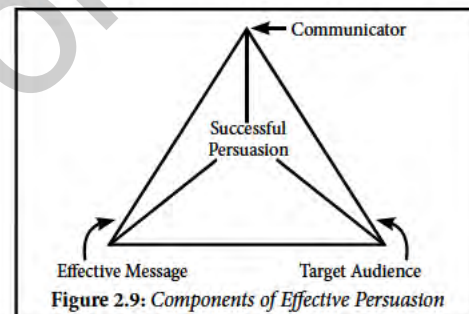
The effectiveness of persuasion depends on different variables and factors. The crux of the persuasion process can be summarized in "Who says what to whom with what effect?". "Who" refers to the source of the persuasive communication, "what" refers to the message that is presented, "to whom" refers to characteristics of the message recipient and "to what effect" refers to the degree of attitude change brought in by the process of persuasion in the target group/ person.

Source of persuading message- Communicator

An effective communicator is one who gets people's attention, then sends an effective message to them, and ensures that people process the message in the way the communicator would like them to. **Credibility** of the source has an effect on persuasion, such that credible source is more persuasive than non-credible source. There are three characteristics of a credible source-

Expertise - Expert communicator having information about the attitude object is more

reliable and thus, has ability to persuade larger number of people. Example- a noble prize winner economist is a more credible source than local level politicians.

Trustworthiness - A trustworthy source is more credible than non-trustworthy source. The trustworthiness not only comes from expertise but also from proven track record of values like integrity, honesty, justice etc. For example- Gandhi ji was a lawyer by profession. His expertise was law, but he was able to persuade millions of Indians because of his trustworthiness emanating from his uncompromising stand on nonviolence, self-sacrifice and satyagraha.

Intention - When the target of persuasion knows that someone is trying to persuade him i.e., persuasive intent of the source is known, then the credibility of the source decreases. Example- an advertisement of a product is less effective in persuading a person than the opinion of a friend on the same product.

People are more persuaded by communicators who are similar to them in terms of opinions and values or share similar field of experience than by those whom they perceive as being different. For example- women persuaders are more effective in persuading new mothers for breast feeding their infant child.

Sleeper Effect

The **sleeper effect** is a psychological phenomenon related to the tendency of a message from an unscrupulous and untrustworthy source to become more persuasive over time. The sleeper effect occurs because people generally forget the source of the message after some time but remember the information delivered through that message. An example can be seen during elections, when acrimonious and unfounded allegations are levelled by politicians against each other. People tend to forget who made those allegations in long run but remember the allegation itself.

A source may be seen as **biased** if they present only one side of an issue while completely ignoring the potential problems or counterarguments to the message. In these cases, people who are informed about both sides of the topic may see the source as attempting to unfairly influence them. A source who is seen as biased has no credibility and his efforts of persuasion become less effective. Powerful sources (i.e., communicators who can administer punishments or rewards to the message recipients) tend to be more persuasive than powerless communicators. Similarly, attractive sources are known to produce much long-lasting influence thus greater likelihood of attitude change. Furthermore, communicators are more effective when they help their recipients feel good about themselves—that is, by appealing to self-concern of the recipient.

Characteristics of effective messages

The comprehensibility and clarity of the message is an important determinant of persuasion, if people cannot understand the message, it is unlikely that they will be persuaded by it. The number of arguments in a persuasive message also matters; generally, more number of arguments are better in persuasion than fewer arguments. But there is a limit of number of arguments that a persuader can present before the target becomes annoyed and loses interest. Messages containing strong arguments (persuasive data and statistics) are more persuasive than weak arguments (relying only on individual quotations and personal opinions). Presenting few strong convincing arguments is better than presenting dozens of weak arguments.

Messages that can arouse fear in the target are also effective in persuasion provided that certain conditions are met. For example- persuading parents to get their child vaccinated to avoid fatal diseases. An effective fear appeal must-

1. convince the recipients that dire consequences are possible.

2. convince the recipients that the dire consequences will occur if instructions are not followed.

3. provide strong assurance that the recommended course of action will prevent the dire consequences.

However, if the fear appeal is too strong it can lead to selective avoidance of the message by the target person/ group. The effectiveness of

persuading message also depends on the number of channels used to deliver the message. The message can be delivered in written form, through posters and pictures, through audio or video channels or through impersonal interaction or through a combination of all these. While persuading the target, messages passed through nonverbal cues are also important. Greater the number of channels of communication involved, greater is the effectiveness of persuasive message.

One and two-sided messages are differentially persuasive for different kind of audiences. Two-sided messages are generally more effective among critical and knowledgeable audiences, whereas one-sided messages are more effective among less knowledgeable audiences. Two sided messages are generally more powerful in persuasion given that the arguments against the desired position are countered effectively, so as the arguments in support of the desired positions are stronger.

Target Audience

The characteristics of the people or group of people to whom message is delivered is an important determinant of effectiveness of persuasion. Targeted audience have people of different personality traits. For instance, some are extroverts while many can be introverts. Not only individual personality traits but the social group to which an individual belongs to also determines how likely the person will be persuaded.

Targets tend to give more attention to the messages that are personally relevant to them, that means self-interest of the target group also determines the effectiveness of persuasion effort. For instance, online educational and coaching platforms are hiring celebrities and social media influencers, instead of teachers for promoting their courses. This is because their target group i.e., the prospective students will connect more to famous personalities and give them the required trust, to purchase those courses. An audience that is highly motivated and able to process the information is more likely to be persuaded provided that the strong arguments are presented in favour of desired position than an audience that is distracted and apathetic.

People who are of lower intelligence (both intellectual and emotional) are generally easier to persuade than highly intelligent persons. People with low intelligence are more susceptible to persuasive communications that have image-based appeal and which can arouse emotions. Similarly, people with lower self-esteem are easily persuaded because of their desire to conform to the general norms. They are more sensitive to situational cues and adjust their behaviour accordingly. Further, effectiveness of different channels of communication also depends upon nature of audience. For example- The rural population have more affinity towards nukkad-natak for persuasion while for educated section logical reasoning, facts, figures, research are more important than emotional appeal.

For highly critical audience if conclusions are drawn, it may give a sense that certain opinions are being pushed onto them. It is more important that arguments are given to change the belief system of the critical persons, but evaluation and conclusion should be left to their own discretion.

Further, the younger the target audience more is the likelihood of their persuasion. Not only age group but the gender is also an important factor as women are easy to be persuaded than man.

This understanding is important for a civil servant as he has to deal with people from different socio-economic backgrounds in varied circumstances. Understanding of how to persuade different people is needed to ensure that mutually acceptable solutions are reached for complex problems like for diffusing a potential riot situation.

2.7.2. Methods of persuasion

The study of attitude and 'how' and 'why' people behave in certain ways has been an area of discussion since ancient times, and consequently attitude change has also instigated many thoughts.

Aristotelian model of persuasion

Aristotle was the first ethical philosopher who had given the model of attitude change. **Aristotelian model** of persuasion is based on the triad of *'ethos'*, *'pathos'* and *'logos*. Logos refers to appealing the logic of audience. In this, persuasion is done by giving facts and logical arguments. Ethos refers to

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ethical appeal of the communicator himself which involves his character, morality, values etc. Pathos is emotional persuasion in which emotions of the audience are targeted. Most effective persuasion technique involves convergence of all three element of ethos, pathos and logos.

For Example- Kailash Satyarthi is able to lead a mass movement against child labour through logical appeal (logos-facts and figures related to child labour), emotional appeal (pathos-compassion, empathy and love for children) and his own personal struggle and sacrifice in order to secure rights of children (ethos).

Cialdini's model of persuasion

According to Robert Cialdini, there are six methods of persuading people- Consistency, authority, liking, social proof, scarcity and reciprocity.

1. Consistency and Commitment:

"It is easier to resist at the beginning than at the end."　　　　　　　—Leonardo Da Vinci

It involves voluntary, active, and public commitments. Active means something that is written or spoken to others i.e., making it public. When others witness this commitment, it adds a level of accountability to the statement. Finally, it has to be voluntary. If someone is forced to make an active, public commitment that they didn't decide on themselves, then there is no persuasion involved. When a commitment is made voluntarily and publicly, it becomes very difficult to withdraw from that position. For example- If an individual is thought of as someone who is an environmentalist, he/ she is more likely to participate in a public protest cutting forests. Even if they have no real interests but simply to remain consistent with the public perception of their character.

2. Authority:

"Believe one who has proved it. Believe an expert."　　　　　　　　　　　-Virgil

People tend to follow the lead of credible, knowledgeable experts. Thus, those with such type of authority are in a better position to persuade than others. For instance, advertisements of toothpaste feature dentists as they are experts in their field.

3. Liking:

"We most prefer to say yes to people we know and like"　　　　　　　　　　- Cialdini

Generally, people are easily persuaded by those they like. This liking is for those who are similar to us, who pay us compliments, and who cooperate with us towards mutual goals. For instance, family and friends can persuade us more easily as we may be working towards a mutual goal or we may be similar to each other.

4. Social proof:

"Where all think alike, no one thinks very much."　　　　　　　　　　—Walter Lippmann

When people are uncertain, they look at the actions and behaviours of others to determine their own decisions or course of action. Social proof offers us validity and feasibility for our decisions. If others have done something before us, it must be okay. Social proof is also effective when people who are similar to us and they have gained socially recognized success or some achievement, then we are more likely to listen and be persuaded by them.

5. Scarcity:

"The way to love anything is to realize that it might be lost."　　　　　　　—G. K. Chesterton

People in general, want more of those things that they can have less of. This involves telling people about the insufficiency of the opportunities or items, so that they are aware of its scarcity. For instance, online shopping portals use this option to persuade larger number of shoppers.

6. Reciprocity:

"Pay every debt, as if God wrote the bill."　　　　　　　　　　—Ralph Waldo Emerson

Reciprocity involves giving out something which is meaningful, unexpected, and customized. People receiving such gifts from persuader are more likely to be influenced than others. For instance, gifts are given at the launch of a new product to persuade the   audience to buy it.

Psychologists have identified certain techniques which are often used by people to persuade others to agree with them. Some of the techniques are-

Attitude

S.No.	Technique	
1.	Foot in the door technique	It involves making smaller requests first, which are more likely to be accepted, then progressively moving on to larger requests (original intention). When a person says "yes" to first request, it becomes difficult to say "no" to the next request.
2.	Door in the face technique	It involves making an initial unreasonable request that the target is likely to refuse outrightly, then making the original intended request. When first request is denied, the person feels a sense of guilt for not helping them out and then, the next request is accepted because of this.
3.	Low Balling	This technique involves making a request and reaching an agreement, then the terms of the agreement are changed at the last minute. As the person has made the initial commitment, there is more likelihood that he will comply with the new terms.
4.	Norm of reciprocity	In this technique some initial gift is given and once the target has accepted the gift, he comes under moral obligation to reciprocate with similar generosity.
5.	Ingratiation	The persuader presents himself/herself as a likable person and in a positive light. This increases his persuasion power over the target as his credibility is increased.
6.	That's not all	In this technique some initial deal is offered to the target person, and then additional discounts or concessions are provided, and finally person is asked to comply. Addition of additional agreement makes the deal more attractive and more persuasive.

Other method of persuasion is **subliminal persuasion** in which the message is presented to the audience without them being aware that a message has been presented—for instance, by flashing messages quickly in a TV show, an advertisement, or a movie.

2.7.3. Challenges in Persuasion

Sometimes even the most potent persuasion attempt may not change the attitude of the target in the desired direction. There are certain factors that can reduce the possibility of persuasion-

1. **Attitude strength:** If a person has developed high attitude strength which can't be changed easily then the effectiveness of the persuasion attempt will be less.

2. **Psychological reactance:** It refers to a state when individuals feel that their freedom is being threatened by persuasion attempts and yet, they also have the ability to resist that influence. Reactance may even lead the target to behave in the exact opposite way as

desired by the source of persuasive message.

3. **Inoculation/Immunization:** It involves building up the cognitive component of the attitude by presenting a weak attack on the existing attitude. With the goal of helping the person, it can create counter-arguments about a persuasion attempt that is expected to come in the future.

4. **Derogation of the source:** When the credibility of the source of the persuasive message is attacked then the effectiveness of the persuasive message is reduced.

5. **Forewarning:** If the target is warned that he will be subjected to persuasion attempt, then he can be prepared with the counter argument so as to defend his own position.

2.7.4. Self-Persuasion

There can be divergence between what a person believes, feels and how he behaves. Further, a person can hold two exactly opposite believes or

Attitude

cognitions regarding the same attitude object. This creates a situation of psychological confusion and mental discomfort known as cognitive dissonance. For example, an alcohol addict may know the harmful effects of alcohol but still consume alcohol and may suffer from cognitive dissonance. Every human being tends to constantly strive for mental consistency. Thus, this tendency creates a drive and desire in a person to reduce this cognitive dissonance and resultant discomfort. There are 3 possible ways to reduce or eliminate dissonance-

1. Adding information to support either cognition or to support one's behaviour.
2. Trivialize one of the two diverging cognitions.
3. Change attitude- self persuasion.

Self-persuasion is a technique of attitude change where a person himself analyses his beliefs, emotions and behaviours and then, readjusts his attitude structure to reduce the cognitive dissonance. Self-perception is the first step towards self-persuasion. In self-perception, a person examines his behaviour in a particular situation to know why he acted in a particular way. With this a person becomes aware of conflicting attitude where there is inconsistency. Example- one might be engaged in campaigning against dowry system but in his own family he accepted it as a cultural norm.

If the person questions his own attitude, then there are possibilities of changes in his attitude towards the attitude object. The person blames himself for the unusual behaviour and its outcomes, making persuasion last long. However, if he holds the external conditions and circumstances responsible for his behaviour, then his attitude may change temporarily as a response to external stimuli, but the change will not last for long.

Unlike direct persuasion, self-persuasion entails placing people in situations where they are motivated to persuade themselves to change. When people are convinced that the motivation to change their action has come from within themselves then there is very low resistance to the change. The influence of other person becomes irrelevant in self-persuasion. This makes self-persuasion, a more powerful tool in bringing the change in attitude than any other tool of persuasion and influence.

Although, in self-persuasion a person persuades himself, there are certain conditions required to ensure that self-persuasion happens. Ample opportunity and space should be provided to the person facing cognitive dissonance for self-deliberation and contemplation, so that he can really evaluate his beliefs and feelings. He should be provided with a nurturing environment and he should feel accepted in the group. He should also be provided with relevant information and encouraged to undergo favourable change. In conducive environment, people will listen to themselves and will automatically generate arguments that have personal relevance for them, thus self-persuading themselves.

Self-perception and cognitive dissonance results in two situations – **insufficient justification** and **over-justification**. There may be situations where people act under influence of persuasion, but they are not even aware that persuasion is making them to behave in a certain way. This phenomenon is called insufficient justification. A person believes that the locus of control of his action lies within himself and not on external conditions. It generally occurs when the reward or punishment to make a person act particularly is sufficient but not sufficient enough to allow the person to conclude, that, it was the persuasion which made him behave so. On the other hand, over-justification is the perception in which individual is aware that his behaviour was result of the external social situations or the persuasion. This can make him dislike the behaviour as he did not engage in it voluntarily. Hence, using harsh punishment (or reward) to prevent (or promote) a behaviour may not change the person's attitude as he sees that the punishment is controlling his behaviour. For example, using harsh punishment to control actions of teenagers can send them in 'rebel mode'.

Understanding the mechanism of self-persuasion is very important for a civil servant because by creating conditions conducive to self-persuasion, the attitude of the subordinate employee in government organizations can be changed in a favourable manner, thus improving the overall work culture. When a government servant self-persuades himself to work for public welfare then he will display public oriented values like dedication and commitment, honesty, integrity and compassion.

Attitude

2.7.5. Persuasion and Propaganda

Persuasion	Propaganda
Persuasion is a sort of an **open communication** done with a view that the audience **voluntarily** accepts the position as if it were its own.	Propaganda is an **organized attempt** to influence and mould one's ideology to meet the goals of the propagandist. It is often based on false information.
It is done with an intent to **establish** the **truth** value thereby having a neutral or positive connotation.	It is done to spread the adoption of an idea **regardless of its truth value** and hence used in a pejorative sense.
It is **ethically neutral.**	It is **unethical** as often immoral means are utilized for mass influence.
In persuasion, a person makes a well-informed choice exercising his/her own **free will.**	In propaganda, often **emotional**, dramatic and exaggerated **appeals** are used as means of influence so as to cut off rational debate and **force** the recipients to think in a particular way that suits the purpose of the proponent.
Example: Public awareness campaigns that urge people to wear masks, quit smoking, etc.	Example: using films as a platform to drive home certain ideologies or that certain groups in the country are in danger when they are not.

2.7.6. Persuasion and Manipulation

Persuasion	Manipulation
In persuasion, the recipient feels that he has choices that are transparent and truthful, and that he/she must **exercise the right choice.**	In manipulation, it is the **intent** that makes all the difference. It is often done with an **ulterior motive** or to conceal the lack of benefit to the audience.
There is **no element of coercion** involved.	It is a **persistent targeted selective misinformation campaign** to compel the audience to influence their opinion making process.
It is **ethically neutral.**	It is **unethical** as both the intent and the process involved are immoral.
Example: Persuading the people to exercise their right to vote in the upcoming elections, etc.	Example: Media channels with a vested interest deliberately showing half-truths to negatively bias the mind of its viewers against a particular section of people.

Q. How could social influence and persuasion contribute to the success of Swachh Bharat Abhiyan?

(UPSC Mains 2016)

■■■

Aptitude and Foundational Values for Civil Service

3.1. APTITUDE

3.1.1. Scholars on Aptitude

According to Warren's Dictionary of Psychology "*Aptitude is a condition or a set of characteristics regarded as symptomatic of an individual's ability, to acquire with training some (usually specified) knowledge skill, or set of response as such the ability to speak a language, to produce music etc.*"

Harriman in his dictionary of Psychology defines aptitude as "*a capacity in any given skill or field of knowledge, on the basis of which a predication may be made regarding the amount of improvement which further training might effect.*"

Super defines aptitude as "*psychological factors, each relatively stable, unitary, and independent, which contribute in varying degrees to success in varying occupations.*"

Seashore and Van Dusen defines aptitude as "*An aptitude is a measure of the probable rate of learning, which results in interest and satisfaction, and is relatively specific and narrow.*"

According to Michael "*Aptitude is a person's capacity, or hypothetical potential, for acquisition of a certain specific and more or less well-defined pattern of behaviour involved in performance of a task with respect to which the individual has had little or no previous training.*"

3.1.2. Understanding Aptitude

Aptitude is combination of characteristics indicative of individual's potential to acquire some specific knowledge, skills and proficiency with training. Aptitude is a natural ability to do something or learn something quickly. It is indicative of potential of a person to excel in any field. It is an element of competence and talent.

Aptitude is a special tendency or aptness due to a special neural or muscular organization possessed by an individual. Aptitude cannot be directly measured but there are various tests to infer the aptitude of a person in any field. For example, GATE (Graduate Aptitude Test in Engineering), SAT (originally called the Scholastic Aptitude Test) etc.

Some important characteristics of aptitude are as following:

1. The endowment of aptitude varies from person to person. Example- Not everyone has the same aptitude for sports, music and mathematics.

2. Aptitude is mostly an inborn potential (innate). It can be mature or immature, but it cannot be absent. However, for its manifestation, it is important that it is honed or practiced otherwise it may never turn into a relevant skill.

Figure 3.1: *Aptitude and skills*
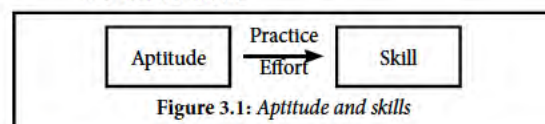
3. Aptitude can be seen in terms of three components- intellectual, physical and motivational.

4. Aptitude is a dimensional concept and not a categorical one. Aptitude varies from task to task; a person may have good aptitude towards a particular skill whereas he may lack for others. Example- Sachin Tendulkar has excellent aptitude for cricket but his aptitude for mathematics may not be that good.

5. There are different types of aptitudes, viz., mechanical, musical, clerical, art, scholastic, law, teaching, medicine, engineering, scientific, numerical, word fluency, special relations aptitudes, etc.

6. Since, aptitude is innate, it is very difficult to nurture and develop it. Example- Pilot Aptitude Battery Test (PABT) is a test used by Air Force to test the aptitude of potential pilots. A candidate can take this exam only once in a lifetime.

7. Aptitude is different from ability in the sense that ability indicates the current performance of an individual in any task while aptitude is future potential to achieve maximum level of performance in the same task.

People differ from one another in their abilities to perform certain activities. Even the same individual cannot perform all the activities in the same manner. It is the aptitude which decides the natural inclination and tendency to learn and be proficient in any activity. The GS 4 paper (Ethics, integrity and aptitude) is designed in such a way so as to evaluate the aptitude of the candidates toward solving various administrative problems without compromising the constitutional values of liberty, equality and freedom.

3.1.3. Aptitude and Attitude

Aptitude	Attitude
Aptitude is the **innate ability** to acquire certain skills or solve problems.	Attitudes are **learned, enduring predisposition** to act in a particular way towards an object, person or idea (called an attitude object).

It is associated with **competence and capability**. It is usually a natural talent or ability possessed from birth.	Attitude is associated with **trait and character**. It is not innate but acquired and developed over a period of time.
It helps us solve problems of **Maths, Science, logic**, etc. Some people also have good social aptitude. For example- extroverts.	It helps in managing **emotions, failures, success** and our social relationships. It also helps us in fighting adversities of life.
Aptitude predicts the career prospect or areas in which a person has natural inclination to excel. People having high aptitude are geniuses in their fields and are specialists.	People with right attitude occupy leadership positions such as Managers or CEOs and even politicians.

High aptitude may provide certain success in life, but it is not sufficient to lead an overall successful life. Attitude, on the other hand, teaches us how to handle successes and failures. It helps in personal growth and development. Aptitude can only take us so far, but it is the attitude that helps us retain our position in life and handle crisis. In one of his books, author Daniel Goleman says that, more than our aptitude, it is our attitude that determines our altitude. Regardless of our innate ability, to a large extent, we control whether or not we will be a winner in our lives.

Attitude + Aptitude = Altitude

Bharat Sudarshan writes in the biography of MS Dhoni-India's celebrated cricket captain, who won us the World Cup-that his positive attitude was crucial for his success over his competitors. He highlights that Dhoni believed in controlling the controllables, which means he did not bother himself with things that he could not control. This helped him achieve many unachievable things in life.

Similarly, intelligence is the capacity for learning, reasoning, understanding, and similar forms of

mental activity. It is the ability to learn and apply skills. While aptitude is the specific ability of a person to master a skill. However, aptitude requires some intelligence as well to get the job done properly. Additionally, with the advent of the new public administration, an administrator needs to possess both general mental ability (basic thinking capacity and learning ability to perform any intellectual task) as well as a desired value system to perform his duty, not only efficiently, but also effectively. The different kinds of aptitude desired in a civil servant include good communication/ interpersonal skills, leadership, management and organizational skills, critical thinking and listening ability, high level of professionalism, ability to think on their feet and develop innovative solutions and the ability to negotiate with difficult people.

3.2. FOUNDATIONAL VALUES FOR CIVIL SERVICE

Foundational values for a civil servant are a set of important and indispensable values like non-partisanship, integrity, objectivity, tolerance, etc. They are necessary to prevent the abuse of the power by civil servants, given the large discretion that they possess. They can be divided as:

1. **Democratic** values: These are the values that cherish the basic principles of democracy and uphold them. For example- neutrality, openness, legality, responsiveness, representativeness, rule of law, etc.

2. **Professional** values: Values that are crucial for making important decisions, allocating resources, achieving required outcomes, etc. are termed as professional values. For example-efficiency, effectiveness, leadership, service attitude, high calibre, etc.

3. **Ethical** values: Values like honesty, integrity, probity, fairness and loyalty are essential to maintain the moral fabric of the civil servants.

4. **People** values: People values are those that take into account the human element, like the way civil servants treat people and interact with them. Compassion, humanity, tolerance and benevolence are some important people values.

3.2.1. Integrity

"One of the truest tests of integrity is its blunt refusal to be compromised." -Chinua Achebe

"You are in integrity when the life you are living on the outside matches who you are on the inside"

"Integrity is making sure that the things you say and the things you do are in alignment"

3.2.1.1. Understanding integrity

The word integrity evolved from the Latin adjective *'integer'*, meaning whole or complete. In this context, integrity is the inner sense of 'wholeness' deriving from qualities such as honesty and consistency of character. As such, one may judge that others 'have integrity' to the extent that they act according to the values, beliefs and principles they claim to hold. To define it we can say **"Integrity is the practice of being honest and showing a consistent and uncompromising adherence to strong moral and ethical principles and values."**

An individual is said to possess the virtue of integrity if the individual's actions are based upon an internally consistent framework of principles. These principles should uniformly adhere to sound logical axioms or postulates. One can describe a person as having ethical integrity to the extent that the individual's actions, beliefs, methods, measures and principles all derive from a single core group of values. Further, an individual's value system provides a framework within which the individual acts in ways which are consistent and expected. Integrity can be seen as the state or condition of having such a framework and acting congruently within the given framework.

Figure 3.2: *Understanding integrity*
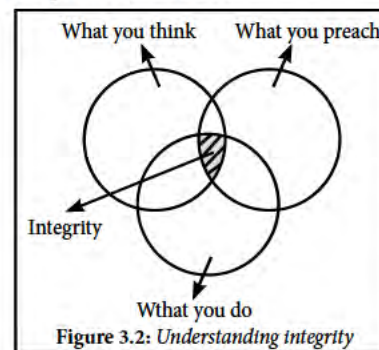
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Some philosophers and academicians tend to divide integrity in following **types**-

1. **Intellectual integrity**- Intellectual integrity implies that a person is willing to stand up for his best judgement of truth. Intellectual integrity requires caring for truth for its own sake. People with personal integrity don't just go along with popular opinion or what is fashionable at that time. Intellectual integrity is characterised by openness to views of others, impartiality, honest, courage, and fairness. It requires that one is able to overcome self-deceptions and temptations. The opposite of intellectual integrity is intellectual hypocrisy, a state of mind unconcerned with genuine integrity. Example- Socrates was convicted of corrupting the youth of Athens and for introducing strange gods, and was sentenced to die by drinking poison hemlock. Socrates used his death as a final lesson for his pupils rather than fleeing when the opportunity arose, and faced death calmly. This shows that Socrates stood by his best judgement even in face of death.

2. **Personal integrity**- It consists of organizing one's desire, commitments, value, believes and actions in such a way that there is no conflict between them. When a person possess personal integrity various aspects of his self are fully integrated. A person with personal integrity upholds and acts in accordance with principles that he personally accepts to be true and correct. A person with personal integrity may do things which others might consider unacceptable, for example- it is possible for a Nazi, bent on genocide of the entire Jewish people, to be a person of personal integrity.

3. **Moral integrity**- A person with moral integrity has unconditional and unwavering commitment to morally upright principles and values like honesty, kindness, trust, compassion, empathy, generosity, love, courage, justice etc. We cannot have moral integrity without personal integrity, but reverse is possible.

3.2.1.2. Integrity in public life

Integrity indicates soundness of moral principles, the character of uncorrupted virtues, uprightness, honesty and sincerity, according to **Ministry of Personnel,** a person with integrity "Consistently behaves in an open, fair and transparent manner, honours one's commitments and works to uphold the Public service values."

> **NOLAN Committee** – In 1994 Committee on Standards in Public Life was appointed by United Kingdom government to advice PM on ethical standards of public life under the chairmanship of Lord Nolan. It promoted certain code of conduct called Seven Principles of Public Life which are Integrity, Accountability, Selflessness, Honesty, Openness, Leadership and Objectivity.

According to **Nolan committee** on principles of standards in public life, integrity in public life implies "holders of public office should not place themselves under any financial or other obligation to outside individuals or organizations that might influence them in the performance of their official duties."

Integrity is much more than financial honesty. Public office should be treated as an office of trust. Building trust and confidence requires an environment where there is a premium on transparency, openness, boldness, fairness and justice. Public leaders who possess integrity create interpersonal trust. Integrity which refers to actions resulting from a set of well-ordered commitments and beliefs promotes trust. Trust implies the capacity to depend on and place confidence in the actions of others. All social interaction depends on integrity and trust. Integrity is especially relevant in public administration in which cooperative, corroborative and collective efforts are needed to solve interconnected problems. Hence, character, particularly integrity, is essential in public leaders.

Ethics of compliance

In ethics of compliance, public servants are trained or given detailed instructions on the various laws, rules, regulations and procedures which govern their working in an organization. After learning about these matters, public servants

Aptitude and Foundational Values for Civil Service

are expected to scrupulously follow them. In this process, public servants learn to follow a set of externally imposed commands. However, they may not do any moral thinking on their own.

Ethics of integrity

Ethics of integrity in contrast tries to impart to civil servants the necessary skills to analyse moral problems on their own. They are trained in areas like public service ethos, ethical standards and values and in the processes of ethical reasoning. By using such skills public servants will follow ethical norms in their conduct. Ethics of integrity lead to development of moral character with self-responsibility and moral autonomy. It relies on internal, positive, proactive and voluntary efforts of public servants rather than on external commands and penalties.

3.2.1.3. Case studies

High standards of integrity in public life- PS Pappu

As the Director of LBSNAA, Lal Bahadur Shastri National Academy of Administration, PS Pappu recommended dismissal of a probationer for severe indiscipline. When the recommendation was rejected, allegedly because of the closeness of the probationer with a State Home Minister, PS Pappu resigned as Director of LBSNAA in protest.

Personal integrity without moral integrity- the business of corruption

The business of corruption is managed with utmost integrity in India. Take an example of bribery. Each level and hierarchy have their "cut" fixed. Nobody takes more than their cut and money is passed up the hierarchy without any issue. Another example can be of transfers and postings where bribe is returned if desired transfer posting is not given.

3.2.1.4. Significance of integrity in public life

The **First Five-Year Plan** rightly emphasised, "Integrity in public affairs and administration is essential and there must, therefore, be an insistence

on it in every branch by public activity. The influence of corruption is insidious. It undermines the structure of administration and the confidence of the public in the administration. There must, therefore, be a continuous war against every species of corruption within the administration."

Integrity ensures earning and sustaining public trust by:

1. Serving the public interest, always act in a way that is professional, and not misusing one's official position.

2. Using powers responsibly for the purpose and in the manner for which they were intended.

3. Acting with honesty and transparency, making reasoned decisions without biasness by following fair objective processes.

4. Preventing and addressing improper conduct, disclosing facts without hiding or distorting them.

5. Not allowing decisions or actions to be influenced by personal or private interests.

6. Faith, determination towards pursuit of excellence of service in their professional activities.

7. Improve relations between citizens and personnel to create favourable opinion towards public services.

8. Impartiality and Political Neutrality.

9. Not accepting gifts or receiving other kind of benefits from anyone which might reasonably be seen to compromise performance of duty.

3.2.1.5. Reasons for decline/ poor standard of integrity in civil services in India

Note: This section shall be discussed in detail in Chapter 7: Probity in Governance-Corruption

Current institutional mechanism / regulatory/ legal framework to check lack of integrity

1. Prevention of Corruption Act

2. Civil Services Conduct Rules

3. Central Vigilance Commission (C.V.C.) AND State Vigilance Commission

4. Central Bureau of Investigation

5. Institutions of Lok Pal and Lok Ayukta

Ensuring integrity in actions of a civil servant

A fundamental rule for maintaining civil servants' integrity is to avoid situations which may give rise to a conflict of interest. The following guidelines are relevant-

1. Never use official position to benefit yourself or your family, relatives or friends, or any other group of people with whom you have personal or social ties.

2. Avoid being placed in a position of obligation to anyone by accepting excessive entertainment or favours such as free service or indulging in games of chance with subordinates or other people with whom you have official dealings.

3. Avoid putting yourself in a position that may arouse any suspicion of dishonesty, or of using your official position to benefit yourself, your family, relations or friends.

4. Treat people impartially, regardless of political, social, demographic, geographic, circumstances or bias.

5. Enforce law, public service values and rules of conduct even in difficult situations.

6. Have the courage and conviction to make and stand by the right decisions, even at significant personal cost.

7. Provide honest and frank advice to uphold public interest.

8. Ensure full disclosure, by sharing the political implications of the decisions being made.

9. Challenge powerful and influential people and hold them accountable to make the right decisions.

10. Stand firm when dealing with unreasonable requests and demands.

11. Take accountability for own actions and create a culture for others also to take accountability for their own actions.

Second Administrative Reforms Commission also mentions that there should be profiling of officers. The capabilities, professional competence, integrity and reputation of every government servant must be charted out and brought on record.

Before proceeding against any government servant, a reference should be made to the profile of the government servant concerned.

Should there be a cooling off period for civil servants?

To maintain integrity of the civil service, it is important that civil servants after leaving the service, should continue to conduct themselves in an appropriate manner. Currently, bureaucrats serve a cooling off period of **one year** before they can join a private firm (earlier it was for two years till 2015). Government's permission is to be sought for post-retirement commercial appointment. This criterion was relaxed for current Foreign Affairs Minister, S. Jaishankar, when he had joined the Tata Group immediately after retirement in 2018. Former Bihar DGP, Gupteshwar Pandey also quit the IPS and joined a political party just 5 days after his retirement and only a couple of weeks before the assembly elections.

Cooling off period is necessary as bureaucrats are high-level decision-making officers in the government and hence the cooling off period is a way to reduce any possible conflict of interest. There are chances of officers reacting in a partial way, while performing their duties so as to get better post-retirement opportunity. The relaxation of this criterion on a case-by-case basis shows discretion by the government and casts aspersion on their real intentions.

In 2012, the Election Commission had recommended that recently retired or resigned IAS, IPS and All India Service officers be kept away from electoral politics for two years. The proposal was, however, rejected by the government, which argued that disallowing former civil servants from immediately joining politics could **violate their right to equality, right to a profession of their choice,** enshrined in the Constitution.

3.2.1.6. Some suggestions for improvement of integrity in civil services

1. **Maintain attractive conditions of service** -Government officials, particularly at lower levels are forced by poverty to regard office

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holding as a source of income which they would seek to maximise. Public services are rendered in exchange for extra money, services, which tend to be bad and slow if no bribe is given. Raising of pay consequently is a basic means to wipe out the widespread bribery in the civil services.

2. **Government processes reengineering for simplification-** The root cause behind proliferation of corruption seems to be the complicated procedures of Government offices. These procedures need to be evaluated and simplified. Delays must be prevented and officials made fully responsive to the needs of all the people.

3. **Creation of a healthy public opinion against the effects of corruption-** Corruption will flourish till the general mass of people resist it with determination and strength. Most of all, the elimination of corruption requires a widespread and steadfast opposition to it, coupled with the courage to act against it.

4. **Ensuring high standards of conduct among top personnel-** High Officials having considerable discretionary powers must be thoroughly disciplined to refuse gifts, invitations and other favours.

The establishment and maintenance of integrity in public life and public service requires a number of elements, including legislations, regulations and codes of conduct. It also requires a society whose religious, political and social values expect honesty from politicians and officials; professionalism among officials; and a political leadership with the moral and political courage and a will to take its responsibility seriously. The observance of integrity is not a simple thing, if it is practiced properly and conscientiously, it will protect the society from many of its venomous ills. As **Sardar Patel** said, *"You will not have a united India if you do not have a good All India Service, which has the independence to speak out its mind and which has a sense of security. I need hardly emphasize that an efficient, disciplined and contented service assured of its prospects as a result of diligent and honest work is the sine qua non of sound administration under a democratic regime, even more than under authoritarian rule."*

Thus, integrity needs to be given much importance especially in the public life so as to have a harmony in the society.

> **Q.** One of the tests of integrity is complete refusal to be compromised. Explain with reference to a real life example.
> **(UPSC Mains 2017)**

3.2.2. Objectivity

3.2.2.1. Understanding Objectivity

Objectivity is a quality of basing one's decisions and actions on observable facts, figures, evidence and data after their rigorous analysis. It entails that a person is not swayed by personal emotions, opinions and prejudices. Objectivity involves value free judgement based solely on merit and that, decisions and actions are based on empirically verifiable facts.

The **Nolan Committee** has mentioned objectivity as one of the seven foundational values in public life. According to Nolan committee, objectivity must be there "in carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit."

Objectivity is an important administrative principle in decision making and helps in reducing discretionary powers of civil servants. According to the **principle of objectivity**, the substantive contents of an administrative measure taken and decision made in an administrative matter should be objectively justified. No inappropriate secondary motives, endangering objective consideration should influence the handling of the matter. The principle is implemented through the provisions on disciplinary actions on the civil servants.

Example-

The decisions taken by RBI are based on various numbers and figures like GDP growth rate, inflation rate, consumption data, industrial outputs etc. Dashboard based monitoring of Poshan scheme by NITI Aayog to fight malnutrition in poorest districts of India.

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3.2.1.2. Necessity of objectivity for civil servant

An objective approach in civil services is necessary because the policy decisions and actions taken by them impact large number of people and can have intergenerational consequences. Objectivity is a foundational value for civil servant as-

1. Objectivity ensures that the judgements are not clouded by emotions.

2. Objectivity ensures non-partisanship and impartiality in decisions and actions. An objective civil servant takes into account advice from experts and professionals. He also ensures that his aids and advice to the minister are not impacted by his own personal opinions and accurately present the options and facts.

3. Objectivity ensures that everybody is treated equally and fairly without any bias on the basis of race, religion, gender, wealth or power. Objectivity eliminates the danger of undue favour to any one at the cost of the other persons.

4. Civil servants enjoy many discretionary power and objectivity ensures that these discretions are not misused.

5. Objectivity helps in resolving ethical dilemmas by choosing the best alternative after rigorous analysis of facts.

6. Objectivity ensures that actions are taken on basis of merit and these decisions are not taken due to threats or temptations.

7. Objectivity improves the efficiency of resource utilization and ensures that public money gives best "return on investment" to the public.

8. Objectivity helps in cultivating other civil services values like integrity, honesty, justice, truthfulness etc. in personnel.

9. When decisions are taken on an objective criterion, they result in better prediction of the future impact of policies and course correction and revisions, if any, can be made

10. Objectivity ensures that unfavourable and inconvenient information is not supressed or ignored while taking decisions.

3.2.1.3. A Critical View at Objectivity

While objectivity is a desirable value, some academicians argue that too much objectivity is a remnant of Weberian model of administration and may lead to apathy. Further, availability of sufficient data for decision making is also a problem in a developing country like India.

Objectivity discourages innovations and creativity. The decision making at higher level involves making subjective decision and creative solutions to existing problem. Although, objectivity has been criticized as more suited for at lower level, where work is mostly repetitive like clerical work. Objectivity also seeks to completely eliminate the role of emotions in decision making. But our current understanding about emotions is that it can be used to facilitate decision making (emotional intelligence).

Example- Construction of a dam can create cheap electricity for lakhs of people but few hundred families are to be displaced for its construction. An objective decision will be to go ahead but for a democratic welfare state which has commitment for the welfare of all the citizens, will create an ethical dilemma for policy makers. Objectivity cannot be the sole criteria of all the decisions. Other public-spirited values must also find reflection in the decisions. It has to be noted that objectivity is a desired value in civil servants, but it needs to be blended with other civil services values like compassion, empathy, care for the weaker section of society, emotional intelligence etc. for public welfare. For instance, when starvation deaths started re-emerging in Jharkhand, an objective decision would have implied that ration would still be denied if not linked with Aadhaar (as per the policy). However, it would have led to further hunger deaths. A compassionate decision was then given by the Supreme Court that any welfare scheme of the government, especially subsidized food grains, should not be denied for lack of Aadhaar.

3.2.3. Non-partisanship and Impartiality

3.2.3.1. Understanding non-partisanship and impartiality

Non-partisanship is a quality of being politically neutral. Non-partisanship entails that the civil

servant will serve the government of the day faithfully irrespective of his own political views, preferences and beliefs. Non-partisanship ensures that the bureaucracy remains apolitical. Non-partisanship means that the civil servant will give his aid and advice to the lawfully elected government impartially and without any personal political consideration. It also means that the civil servant will implement the decision taken by the government in power irrespective of whether his advice was in consonance or divergence with the decision.

Impartiality means acting solely on merit while dealing with the general public without any fear or favour and ensuring no discrimination on the basis of race, religion, caste, class or any other consideration. Impartiality ensures that personal biases and prejudices are not reflected in the attitude of the civil servant towards the public. Impartiality in public dealing is the translation of constitutional Right to Equality into the ethical values of civil servants. Impartiality requires civil servant to refrain from opinions, actions and conducts that demonstrate a bias toward any group or person.

Case Study 1: TN Seshan was the 10th Chief Election Commissioner of India (1990–96), who reformed elections by largely ending its malpractices in the country and redefined the status and visibility of the Election Commission of India. Poll changes ushered in by him would often pit the political class and their crony media against him, the election watchdog, getting labelled, in turn as - "Al-Seshan (Alsatian)" so much so, that electoral 'battles' would be dubbed by them as- Seshan versus Nation. But he stood his ground and now T.N. Seshan's name has become synonymous with transparency and efficiency.

Non-partisanship and impartiality both are logical corollary of objectivity. They are the values that guide the making of fair decisions that affect the public. They ensure best evidence-based actions are taken. Lack of non-partisanship in civil servants leads to a politically committed bureaucracy getting political patronage in exchange of political support. Most common form of political privilege is reflected in hiring and promotions.

Case Study 2: The Chief Election Commissioner N. Gopalaswami, in 2009, had recommended the removal of the other Election Commissioner Navin Chawla on account of his ties to the Congress party. The court mandated committee of enquiry had even concluded that Navin Chawla was "unfit to hold any public office which demands an attitude of fair play and consideration for others." Despite this, Chawla was appointed as the Election Commissioner.

3.2.3.2. Non-partisanship in India

After independence civil servants turned from the instrument of suppressive colonial power to "public servants", a merit-based non-partisan apolitical model of civil servant was favoured (opposed to the model in USA). In the Constituent Assembly, Sardar Patel defended this model, saying, "The service must be above party and we should ensure that political considerations, either in its recruitment or in its discipline and control, are reduced to the minimum if not eliminated altogether."

But utter impartiality may have never existed in India. "There is a neutrality that comes from following procedure, which is guaranteed through the system. But whenever there is discretion in decision-making, in building a road, or running schools, ideological orientation plays a role," says Satyananda Mishra, former Chief Information Commissioner and DoPT Secretary. For the first few decades after independence, there was one party dominance i.e., Congress and the social background of political leaders and civil servants was similar. Even then there used to be alignment with one politician i.e., affiliations were intra-party rather than inter-party. After the 1970s, it became more complicated. The idea of "a committed bureaucracy" was floated by Indira Gandhi, striking at the very rationale for neutrality. Political parties like CPM, BJP started nurturing loyal state civil servants at all levels.

As democracy deepened, IAS and IPS officers had to work with rival parties in the states, or between state and Centre, causing greater friction. The social affinities between ministers and bureaucrats started to matter more. The careers

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of civil servants began being controlled by the politicians, causing politicization of bureaucracy. In India, it is an established trend now that when a new government comes to power, they not only appoint the civil servants who are loyal to them, in important positions but also go on vindictive streak against those who held key positions under previous regime.

> **Political neutrality:** Political neutrality means that civil servants render fair and frank advice to their political masters without any political considerations. Politics and policy are kept separate from administration. There should be no public expression of personal views by civil servants on government policies.
>
> In return, political executives must protect the anonymity of public servants by shielding them from public scrutiny and accepting responsibility for departmental failures. For example, Sardar Patel had famously said that, "My secretary can write a note opposed to my views." He told the civil servants that if they could not give an honest opinion for fear of displeasing their Minister, they better leave.
>
> **Programme neutrality:** Programme neutrality means that once a programme has been approved by the elected government, it is the duty of the civil servant to enthusiastically see its implementation irrespective of the personal philosophy and opinion.

3.2.3.3. Significance of non-partisanship and impartiality

1. Public offices are offices of trust. Politically neutral and impartial civil servants are necessary for maintaining the trust of the public in the state.

2. Non-partisanship ensures that ministers are sure that the aid and advice they will receive from the civil servants will be trustworthy and they will serve them faithfully.

3. Non-partisanship also act as guarantee for civil servants that they will be rewarded (promotions and career path) for their performance and not for their political affiliation or ideologies. It inspires confidence in administrator against political influence.

4. Non-partisanship promotes objectivity and evidence-based policies which are unbiased and aimed at larger public good.

5. It ensures smooth legal and constitutional transition when a new government comes into power.

6. Non-partisanship ensures that public resources are used in most efficient and effective manner.

7. Impartiality ensures that everybody is treated equally and fairly without any bias on the basis of race, religion, gender, wealth or power. Objectivity eliminates the danger of undue favour to any one at the cost of the other persons.

Impartiality and non-partisanship are basic administrative ethics. In public service, unlike in private enterprises, civil servants help all sections of community. Even handed treatment of all citizens is enshrined in the principle of equality. Impartiality implies that all people who are similarly placed are treated similarly. No one is treated better or worse. Non-partisanship means that officials are neutral between contending groups. If civil servant is committed, the commitment should be toward the Constitution, rule of law and public welfare. Even in the case of lateral entry, the private professionals willing to do public service under the aegis of the government, should steer away from their prior allegiances to corporate houses, political affiliations, their personal businesses, profitability etc. and stay non-partisan in their approach.

> **Q.** Why should impartiality and non-partisanship be considered as foundational values in public services, especially in the present day socio-political context? Illustrate your answer with examples.
>
> **(UPSC Mains 2016)**

3.2.4. Dedication to public service

3.2.4.1. Understanding Dedication to Public Service

Dedication to public service is the quality to fully apply one's time, energy and self for the cause of public welfare and public service. For a civil servant dedication is a foundational value as it ensures that a

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civil servant remain motivated in case of hardships, threat or temptation. A dedicated civil servant is driven by spirit of service and derives satisfaction from the successful completion of job itself rather than any expectation of reward or honour.

According to Gandhi ji, dedication is a state of devotedness where duty itself becomes the source of joy. The source of dedication lies inside a person and a dedicated person is driven by his own free will. It is unwavering commitment to the cause of public welfare. Commitment is similar to dedication, but the locus of commitment lies outside the person. Commitment suggests that one is bound or obligated or perhaps one has made a pledge. Dedication suggests that one is devoted and there is no need of formal commitment. A dedicated civil servant shows perseverance. Perseverance is the constant and persistent effort towards a goal even if achieving the goal is difficult. For a civil servant perseverance is a virtue. Perseverance helps him remain motivated and dedicated towards a cause even in the face of adversity.

Dedication= commitment + perseverance

Examples- U. Sagayam, Tamil Nadu cadre IAS, has been transferred around 20 times in the 20 years of his service. He is famous for fighting against corruption wherever he goes. He was also the first IAS officer to make his assets public. His extensive research on illegal granite-mining in Madurai led to charges against many known politicians and businessmen.

S.R. Sankaran, former IAS officer, played a crucial role in creating pro-poor policies and was the man behind the abolition of bonded labour, the creation of the special component plan for SCs & STs and the assigning of resources for marginalised communities in the rural development programmes. He remained unmarried so that he could serve the society and also contributed to the education of over 500 poor students.

3.2.4.2. Significance for civil servant

Dedication to civil services is a virtue because it ensures-

1. Civil servant is able to find creative solution to complex problems under various social, political and economic constraints.

2. Dedication in civil servant enhances his credibility within administration and increases the trust of the people in government.

3. A dedicated civil servant increases the effectiveness and efficiency of public resource.

4. Dedication to public service also ensures that other public-spirited values like integrity, compassion, non-partisanship etc are also reflected in his action.

5. A dedicated civil servant acts as a role model for other and motivates his subordinate to act in public spirit.

6. He is able to resist political pressure and act solely for the public welfare.

7. A dedicated civil servant is courageous and brave.

8. Dedication ensures that civil servant has a mission and a vision for which he is willing to even sacrifice himself.

Dedication to public service is necessary as without it other foundational values will become meaningless. Dedication to public service acts as a guide that ensures that all the actions of public servants are directed towards public welfare.

3.2.5. Tolerance

"Think for yourself and let others enjoy the privilege of doing so too."   *– Voltaire*

3.2.5.1. Understanding Tolerance

Tolerance comes from the Latin word "tole rare" which means "to bear". Based on its Latin origin, tolerance, is most commonly viewed negatively as "putting up with" something we dislike or even hate. Tolerance, as such, implies to have conditional acceptance to beliefs, practices and acceptance of others even when one considers them to be wrong.

Keeping the origin of word in mind we can have following characteristic of tolerance-

1. The agent holds a negative judgment about the tolerated thing. The tolerated beliefs or practices are considered to be objectionable and, in a sense, wrong or bad. If this *objection* is missing, we do not speak of "toleration" but of "indifference".

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2. The agent has power to negate the thing which is basis of difference but deliberately refrains from negation. Objection needs to be balanced by an *acceptance*, which does not remove the negative judgment but gives certain positive reasons that trump the negative ones in the relevant context. In light of these reasons, it would be wrong not to tolerate what is wrong.

3. The limits of toleration need to be specified. They lie at the point where there are reasons for rejection that are stronger than the reasons for acceptance.

4. Tolerance is practiced *voluntarily* and is not compelled, otherwise it would be a case of simply "suffering" or "enduring" certain things that one rejects but against which, one is powerless.

Figure 3.3: *Types of Tolerance*
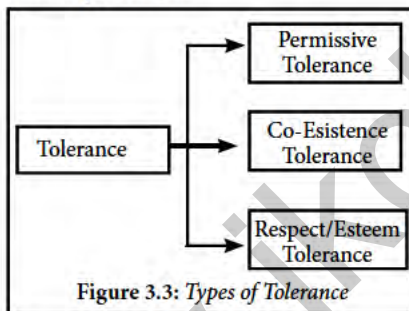
Tolerance can be conceptualized in three forms-

1. **Permissive** tolerance which defines the relationship that exist between a majority/ authority and a different/ dissenting minority. The majority has given permission to minority to exist according to their believe provided that they accept the authority and dominant position of the majority. **Example-** During Mughal rule, this conception of tolerance was in practice.

2. **Coexistence** tolerance *exists in situation where two groups who are similar in power and position but different in their believe and practice coexist. This conception of tolerance is seen as the best way to avoid conflict.*

3. **Respect** or **esteem** tolerance *is where there exist a respect, acceptance and appreciation of the views that are different from our own*

view. This conception of tolerance is central idea to modern liberal theory and practice.

3.2.5.2. Significance of tolerance in civil servant

The core of tolerance is self-control. When an activity is tolerated, we restrict our urge to forcefully curb it. Tolerance is grounded upon the fundamental importance of the autonomy of individuals. It is a permissive attitude towards others who have contradictory or opposite views to the views held by us. It becomes more important in a country like India which has large diversity of religious and ideological opinions. Tolerance ensures harmony and unity in diversity.

Example– India is a country where Hinduism, Buddhism and Jainism originated and Islam flourished in India and is practised by millions. This shows that tolerance has been part of Indian culture for thousands of years.

Tolerance can be understood as a practice aiming at neutrality and objectivity on the part of the civil servant. Tolerance in civil servant is a virtue as it ensures that a civil servant is fair, objective and just in treating all the opinions, practices and believes. Tolerance is a foundational value in civil servants -

1. Tolerance in civil servant ensures that civil servants do not abuse their power and discretion to harm those who have opposing ideas against those helped by him.

2. Tolerance ensures that the civil servant is open to ideas and opinions of others. This help in improving the efficiency as well as work culture of the organization.

3. Spirit of tolerance is necessary to uphold human rights of every citizen. Tolerance to other ideas ensure that it's the rule of law that will prevail instead of rule of authority or majority.

4. Tolerance ensures that the views of powerful are not imposed on the weaker section of the society and gives everyone liberty of thought, belief and conscience.

5. Tolerance ensures rejection of dogmas and continuous inculcation of progressive values in civil servants.

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6. Tolerance is the acceptance of the natural truth that every person is unique and have a unique way of thinking.

7. Tolerance increases trust and confidence of people in government and deepens democracy.

8. Tolerance reduces conflict in society and can help in addressing issue like religious polarization, riots, xenophobia etc.

9. Tolerance makes a civil servant more empathetic and compassionate towards others.

It has to be noted that tolerance does not means acceptance of social injustice. In such cases tolerance becomes a vice.

> *"Tolerance becomes a crime when applied to evil"*
> *- Thomas Mann*

3.2.6. Empathy and compassion

Compassion is that which makes the heart of the good move at the pain of others. It crushes and destroys the pain of others; thus, it is called compassion. It is called compassion because it shelters and embraces the distressed." —Buddha

3.2.6.1. Understanding empathy and compassion

Empathy- The word empathy is of Greek origin derived by combining words- em (in) + pathos (feeling). Empathy is ability to accurately hear out and understand the thoughts, feelings and concerns of others, even when these are not made explicit. There is no feeling of pity. In empathy the agent understands the point of view of another person so that he shares the other person's feelings, perceptions, and thoughts.

Self-awareness opens the gate of empathy. If one cannot understand his own emotions, he will hardly be able to decipher the emotions of others. Deep attentive interest in fellow humans is a sign of empathy.

Empathy is defined by certain behaviour traits like-

1. Giving full attention to someone and effective listening

2. Identifying and interpreting nonverbal cues and ability to use nonverbal cues in one's own behaviour

3. Acknowledging perspective of others

4. Imagining and understanding emotions felt by others

Empathy has following types-

1. **Affective empathy-** It is also called emotional empathy. It refers to the capacity to respond with an appropriate emotion to another's mental state or suffering.

2. **Cognitive empathy-** It refers to the ability to understand another's perspective or mental state.

Compassion- The word compassion is derived from Latin "compati" meaning "suffer with". Compassion is a virtue through which a person is able to understand the suffering of others and this further initiates a drive in him to alleviate their suffering.

Compassion = Empathy + Inclination to eliminate the suffering of others.

A compassionate person is emotionally intelligent and he uses his emotions to encourage himself to work for others and remain dedicated to the cause of serving others. An act of compassion is defined by its helpfulness. Qualities of compassion are patience and wisdom, kindness and perseverance, warmth and resolve. A compassionate person helps other because he wants to and not because of some externally enforced rule. The act of compassion is performed without expecting anything in return. Compassion forms the basis of altruistic actions.

> **Compassion requires that the person has following character traits-**
>
> 1. Be attentive to the need of others.
> 2. Be willing to exert self-control.
> 3. Self-awareness.
> 4. Ability to skilfully help others.
> 5. Being calm and composed.
> 6. Ability to use reason

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Compassion has following components-

1. Sensitivity- ability to be attentive enough to notice when others need help.
2. Empathy- ability to be in the shoes of others and see things from their perspective.
3. Motivation-desire and commitment to be caring, supportive and helpful to the needs of others.
4. Non-judgemental approach- not judging a person's pain and distress but simply accepting and validating their experiences.
5. Distress tolerance- ability to bear difficult emotions within ourselves and others.

Apathy ('Nithurai')	Sympathy ('Daya')	Empathy ('Karuna')	Compassion ('Anukampa')
Apathy is complete lack of interest in issues faced by others.	In sympathy, a person feels sorry or pity for someone's condition or suffering.	Empathy implies feeling of other's pain as if it were one's own pain.	Compassion involves a reaction to the plight of others. Action is taken to help the victim.
There is an indifference to the state of affairs.	Sympathy lacks real understanding of the victim's problems.	There is a definite understanding of the victim's plight.	A compassionate person inherently has a desire to alleviate the suffering of others.
No emotions are involved.	Emotions involved are temporary in nature.	Empathy is a more sustained feeling than sympathy.	Compassion is a more engaging and a lasting reaction.
Apathy is not the same as **hatred**, where emotions are involved.	Sometimes, there is a sense of relief that one is not the victim.	There is a sense of remorse/regret/feeling of guilt, for not helping the victim.	There is a sense of satisfaction after being able to help the victim.
Example: a child travelling in a car feeling no emotion for another child begging at the streetlight.	Example: a child travelling in a car feeling bad for another child at the streetlight who has to beg for food.	Example: a child travelling in a car remembering how hungry he was when he had to fast while seeing another child beg for food.	Example: a child offering his tiffin to another child who is begging at the streetlights for food.

Compassion has positive impact on optimism, wisdom, curiosity, wellbeing and sociability.

Examples-

1. **Bharat Vatwani** is an Indian psychiatrist, based in Mumbai, India, who was awarded Ramon Magsaysay Award in 2018 for leading the rescue of thousands of mentally ill street peoples to treat and reunite them with their families in India.

2. **Mahesh Muralidhar Bhagwat** (IPS) was moved by the suffering of trafficked person devoted his life to the fight against human trafficking. As Rachakonda Police Commissioner, he was selected for the 2017 Trafficking in Persons (TIP) Report Heroes Award by the US state department. He was lauded for his efforts to prevent human trafficking, particularly women trafficking. Bhagwat is the third IPS officer to get the honour.

3. After a video of a teary-eyed couple talking about how they had no customers at their *dhaba* due to the lockdown in Delhi, went viral, netizens came forward and made a compassionate call to donate Rs 2 lakh for the couple. He later started his own restaurant by the name- '*Baba ka Dhaba*'.

4. Known as the 'Oxygen Man' in his locality of Malad in Mumbai, **Shahnawaz Sheikh** has been working tirelessly to help make the supply of oxygen available to patients

through just a phone call. He has also set up a 'control room' to streamline his effort so that his work could make a difference.

Other common examples include Mahatma Gandhi, Mother Teressa, Gautam Buddha etc.

3.2.6.2. Significance in civil services

Empathy and compassion towards the weaker section of society is a foundational value in civil services because

1. An empathetic/ compassionate civil servant is able to understand unspoken content. He demonstrates active listening skills (such as asking probing questions, not interrupting). He recognises body language, facial expressions, and tone of voice to understand the unspoken message and unexpressed or poorly expressed thoughts, concerns, and feelings. He is able to pick up signals when others are not feeling comfortable and displays consideration. This ensures that the work culture of organization is conducive for everyone and enhances productivity.

2. An empathetic civil servant has concern for others. He displays openness to diversity of opinion and adapts behaviour to be helpful and considerate.

3. A compassionate/ empathetic civil servant identifies a unique characteristic or the strengths of the other person. Builds trust by demonstrating respect for other's point of view.

4. Creates and promotes an environment of respect and a culture of mutual trust.

5. Compassion in civil servant ensures that he/she is motivated to serve the people even in difficult situations without expecting anything in return.

Q1. What do you understand by the following terms in the context of public service? (250 words) (3×5= 15 marks)
(a) Integrity;
(b) Perseverance
(c) Spirit of Service
(d) Commitment
(e) Courage of Conviction
Indicate two more attributes which you consider important for public service. Justify your answer. **(UPSC Mains 2013)**

Q2. How do the virtues of trustworthiness and fortitude get manifested in public service? Explain with examples.
(UPSC Mains 2015)

Q3. Examine the relevance of the following in the context of civil service:
(a) Transparency
(b) Accountability
(c) Fairness and justice
(d) Courage of conviction
(e) Spirit of service   **(UPSC Mains 2017)**

Q4. State the three basic values, universal in nature, in the context of civil services and bring out their importance.
(UPSC Mains 2018)

Q5. What are the basic principles of public life? Illustrate any three with suitable examples.   **(UPSC Mains 2019)**

Constitutional Morality

Moral principles mandated by the Constitution represent Constitutional Morality. For example, adherence to liberalism, parliamentary democracy, etc., represent the core values of the Constitution and so is termed as Constitutional Morality. It is of utmost significance to the civil servants who take an oath to bear true allegiance to the Constitution of India. Constitutional morality guides the civil servants in effective implementation of laws while upholding the values of non-discrimination, equality, maintaining human dignity, social justice, democracy, secularism, equity, etc. It allows them to impartially respond to the needs of the citizens and encourage the public to participate in the democratic processes. It helps in fostering transparency and instilling a sense of accountability in the civil servants. The civil servants, amongst others, are mandated by the Constitution to promote the Constitutional values and principles governing public administration.

Q. What is meant by the term 'constitutional morality'? How does one uphold constitutional morality?
(UPSC Mains 2019)

Emotional Intelligence

4.1. INTRODUCTION

Generally, every act we perform are due to some underlying emotions. Attitudes are formed and can be changed through changing emotions related to attitude object. Emotional appeal forms a very important part of persuasion. For instance, some people like to help others as they feel happy and contended after doing so.

The emotions experienced can be positive or negative. Positive emotions are those which have utility for individual as well as society. For instance, Kailash Satyarthi has empathy for the children deprived of their basic rights because of menace of child labour, so he actively takes step to help such children. Thus, as Hellen Kellar said, *"the best and most beautiful things in the world cannot be seen or even touched, they must be felt with the heart"*, emotions give us the doorway to feel so.

On the other side, negative emotions are those which are perilous for the individual and as well as the society as we don't act consciously then. For example, decisions taken in anger, fear or hatred can lead to many undesirable outcomes for the person as well as the society as a whole. Aristotle said, *"anybody can become angry — that is easy, but to be angry with the right person and to the right degree and at the right time and for the right purpose, and in the right way — that is not within everybody's power and is not easy"*. So, negative emotions when harnessed properly can be fruitful for everyone. For example, in national freedom struggle the feelings of Indian towards British rule was utilized in various movements launched for swaraj.

4.2. EMOTIONS

Emotions are a complex experience of consciousness, bodily sensation, and behaviour that reflects the personal significance of a thing or an event. They are the most basic, quickest, but temporary and come automatically in response to a stimulus. Emotions are a conscious mental reaction (such as anger or fear) subjectively experienced as a strong feeling, usually directed toward a specific object and typically accompanied by physiological and behavioural changes in the body.

Understanding some related terms:

Feeling- Feeling requires cognitive awareness. They require someone to be aware of emotions and have a thought process connected to that. Simply, emotions that are processed by thinking are feelings. They are longer lasting and occur when emotions are assigned meaning.

Mood- Moods are long lasting emotional state. Moods are less specific, less intense and sometimes it is not even possible to identify the stimulus that caused a particular mood.

Affect- Affect is a broader term, generally used to describe experience of feeling or emotion.

Emotions are further defined as psychological state which have **three distinct components** – subjective experience, physiological response and behavioural response.

1. **Subjective experience** - According to social psychologists there are some basic universal emotions that are experienced by all humans across the world. Some common emotions are – happiness, sadness, fear,

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anger. But these experiences can highly vary as they are subjective in nature. Different person feels same emotions differently and generally people experience mixed emotions regarding the certain situation. For instance – Person X can experience happiness in a new job but at the same time can be fearful of the unknown circumstances at workplace.

2. **Physiological response-** Physiological response is how the body reacts in a particular state of emotion. In fear one can have sweating forehead while other can have racing heart or both.

3. **Behavioural response-** It is the actual expression of emotions. For instance, in happiness people laugh or smile while in sadness they seem dull and many even cry. However, expression of emotions is also subjective. When a mother sees her new-born, she may express her happiness with teary eyes. And when a player loses a match, the person can respond with anger or sadness.

All of us are born with capacity to experience emotions. These are associated with different level of hormones in human body. For example, anxiety is associated with low level of dopamine while love is associated with high level of dopamine, serotonin and oxytocin. Emotions always emerge as a result to some stimulant. The stimulant can be a physical object like fear on seeing a tiger or it can be a mental construct like though about uncertain future causing anxiety.

Emotions are one of the components of attitude, other being cognition and behaviour. Emotions influence our attitude towards the attitude objects and even overpower cognition sometimes. Such dominance of affective component may also lead to prejudice among individuals. As in acts of violence such as communalism, people have prejudiced notions about other community members. The ethical behaviour in daily events can witness decline when negative emotions such as rage, anger, greed etc. overpower reason. Thus, understanding emotions and concept of emotional intelligence becomes an imperative. We can identify six main emotions happiness, sadness, anger, fear, surprise and disgust. Other emotions can also emerge from

mixing these emotions. Some important emotions are:

Love: Love encompasses strong interpersonal affection, attraction and emotional attachment with respect to another person or an object. It has many forms, for instance, the love of a father is different from that of a spouse to that of the love for food. Love serves as a foundation for facilitating interpersonal relationships. For a civil servant, love for animals can transfer into motivation for creating animal friendly policies, love for the people is reflected in their compassionate behaviour towards the citizens, etc.

Anger: Anger is a hostile response to an event that a person detests. Anger can cloud our sense of judgement and decisions taken in impulse may often have undesirable outcomes. Rational thought and reasoning should ideally prevent a civil servant from acting rapidly in anger. In *Mahabharata*, after their victory, when the Pandavas go to meet their uncle, *Dhritarashtra*, he calls upon *Bheema* to come closer to be embraced. But *Krishna* holds *Bheem* back and places before the blind King, a solid metal statue of *Bheema*. The vigorous hug of *Dhritarashtra* reduces the statue to rubble and shows the anger that burns inside him for *Bheema* for killing his son, *Duryodhana*.

> **Q1.** Anger is a harmful negative emotion. It is injurious to both personal life and work life.
> (a) Discuss how it leads to negative emotions and undesirable behaviours.
> (b) How can it be managed and controlled?
> **(UPSC Mains 2016)**
>
> **Q2.** "Anger and intolerance are the enemies of correct understanding."- Mahatma Gandhi **(UPSC Mains 2018)**

Fear: Fear is an emotion that is induced by a perception of threat from an agent. It may be due to an imagination of the mind or it can also be based upon past experiences. Fear often makes us act in offence or try to flee from the situation. Civil servants must be able to perform their duties in a legal and people centric manner without fear of retribution from the politicians.

Hatred: Hatred is a strong emotion for disliking someone or an idea or any object. It is often associated with anger and disgust. Sometimes it is also accompanied by a feeling of revenge. As a

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civil servant, the officer should ensure that his/her personal dislikes and hatred for someone is not acting as a bias in the decision-making process.

> **Q.** 'Hatred is destructive of a person's wisdom and conscience that can poison a nation's spirit.' Do you agree with this view? Justify your answer. **(UPSC Mains 2020)**

Greed: Greed is the desire to accumulate more material wealth beyond one's actually needs. The greed for money and power has resulted in a corrupt society and a culture of taking bribes by the public servants. It was the greed of *Ravana* for power and for another woman, that led to his destruction at the hands of *Rama*.

Envy: Envy is an emotion that arises when a person lacks a quality found in others and wishes that either he/she too possessed it or the other person did not have it. Aristotle had said that 'Envy is pain at the good fortunes of others'. Civil servants must always take motivation from others and learn from the successful initiatives introduced by their colleagues, rather than putting them down and deliberately finding faults in their work. In *Ramayana*, it was Queen *Kaikeyi's* envy that was the root cause of Lord *Rama's* exile.

Envy	*Jealousy*
Envy occurs when a person lacks a desired attribute enjoyed by another. It is the propensity to view the well-being of others with distress. Here, there are only two parties- the subject and the rival, who is also the locus of concern. Envy is a reaction to lacking something. Example: a child can be envious of his friend's new racing toy car.	Jealousy occurs when something a person already possess (usually a special relationship) is threatened by a third person. Jealousy involves three parties- the subject, the rival, and the beloved. Jealousy is a reaction to the threat of losing something (usually someone). The locus of concern in jealousy is not the rival but the beloved. Example: A child being jealous of his/her younger sibling as he gets all the attention of their parents.

Functions of emotions

1. Emotions serve an **adaptive** function for human being. Emotion motivates people to respond quickly to stimuli in the environment, which helps improve the chances of success and survival for example fight or flight response. Our decision-making ability also depends upon emotions. Emotions help us at arriving at good judgement and enhance reasoning. It is emotions that make us creative. Emotions motivate us to take action as we have seen in previous example of Kailash Satyarthi.

2. Emotions perform a very important **social** function as it helps others understand us as well as help us to understand others and building trust. When emotions are expressed, we get a sense of what other peoples are feeling about certain object, issue or situation. It helps in adjusting one's own attitude to fit better in a group. But it has to be noted that not everyone expresses same emotions in same way. Extroverted people are more likely to be social and express their emotions, while introverted people are more likely to conceal their emotions.

4.3. EMOTIONAL INTELLIGENCE

Emotional intelligence has been defined differently by various scholars. According to Peter Salovey and John Mayer it is defined as *"the ability to monitor one's own and other people's emotions, to discriminate between different emotions and label them appropriately, and to use emotional information to guide thinking and behaviour"*. This definition was adopted by Goleman and further categorized the emotional intelligence into self-awareness, managing emotions, motivating oneself, empathy, and handling relationships.

For centuries, emotion and cognition were understood as separate concepts. Whilst emotion was traditionally regarded as a primitive mechanism, cognition, on the other hand, was viewed as the more complex aspect of the human psyche. Emotional intelligence seems to be a contradictory term as generally it was considered that emotions are signs of weakness and cloud our intelligence or reasoning. Since renaissance

and the start of industrial revolution, intellect and reasoning were considered the signs of modernity and emotions were not given any weightage in personal and public lives. This was highlighted by Karl Marx with his concept of alienation where workers (have nots) were not even aware of their existence and were replaceable like machines. Under the scientific management techniques of Fredrick Taylor, emotions were never considered a factor for efficiency and better productivity in workplaces.

The introduction of the term emotional intelligence (EI) dated back to the 1990s. Salovey and Mayer were the pioneers to introduce the name "emotional intelligence" to describe the peoples' control of their emotions. Later Daniel Goleman published his work -*Emotional Intelligence – Why it can matter more than IQ* in which he highlighted importance of emotional intelligence for solving workplace issues such as inability to lead, lack of teamwork, unwillingness to take initiative and inability to deal with change. Further in our daily lives we may have witnessed many examples of how a person with high intelligent quotient fails to adjust well socially or how a person with good emotional understanding of self and people around manages to do well career wise and socially. Thus, in contemporary societies, emotional intelligence is considered an important tool along with intelligence quotient.

4.4. MODELS OF EMOTIONAL INTELLIGENCE

Currently, there are three main models of EI:

1. Ability model
2. Mixed model
3. Trait model

Ability Model

Mayer and Salovey presented emotional intelligence as an ability. Ability model defines emotional intelligence as the *abilities to accurately perceive emotions, to access and generate emotions so as to assist thought, to understand emotions and emotional knowledge, and to reflectively regulate emotions so as to promote emotional and intellectual growth*. Thus, according to this model emotional intelligence is function of one's ability.

The ability-based model views emotional intelligence as important sources of information that help individual to make sense of and navigate the social environment. As per this model every individual has different ability to process information of an emotional nature and also to relate emotional processing to a wider cognition. This ability is seen to manifest itself in certain adaptive behaviours. The model claims that EI includes four types of abilities:

1. **Perceiving emotions** – People generally are not able to perceive their emotions towards attitude object which can be because of various reasons such as lack of ability to differentiate between emotions like rage versus anger, more focus on cognition etc. Perceiving emotions is the ability to detect and understand one's own emotions and also emotions of others in various social interactions. Perceiving emotions represents the most basic aspect of emotional intelligence, as it makes processing of all other emotional information possible which can be utilized for goal attainment.

2. **Using emotions** – Usually our emotions vary during the course of day from moment to moment, according to ability model, a person with emotional intelligence uses these emotions to solve the task at hand accordingly and thus have goal orientation. Emotions thus can be used along with cognition to timely attain the targets and this involves better conflict management, problem solving and such complex tasks.

3. **Understanding emotions** – This involves the ability to comprehend emotion of self and others. Only perception of emotions is of no utility unless their understanding is there as understanding translates into their better management.

4. **Managing emotions** – Managing emotions is the ability to regulate emotions in both ourselves as well as in others. Management of emotions is necessary for personal as well as public relations. Uncontrolled emotions make situations go out of hand and often leads to conflict and other challenges such as feeling of remorse, guilt afterwards.

Therefore, the emotionally intelligent person can harness emotions, even negative ones, and manage them to achieve intended targets.

Mixed Model

Daniel Goleman's model of emotional intelligence is referred to as mixed model. It's called mixed model as emotional intelligence is considered function of both abilities as well as personality traits of individual.

Figure 4.1: *Components of Emotional Intelligence*
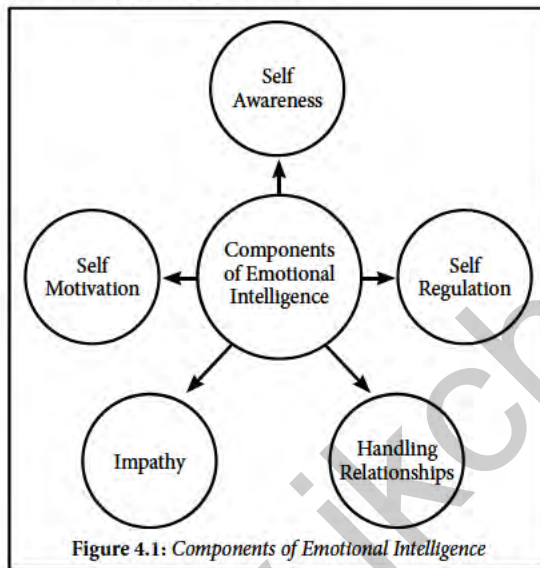
According to mixed model there are five components of Emotional intelligence:

1. **Self-awareness** – It is knowledge about what we are which involves knowing and analysing strengths and weaknesses. Self-awareness leads to clarity on our own behaviour which in turn induces self-confidence.

2. **Self-regulation** - Self-awareness promotes self-regulation which involves controlling the emotions and thus self-control is strengthened. Self-regulation leads to patience and tolerance in extreme situations which in turn prevents conflicts. In the era of competition, public scrutiny with digital and legal tools like right to information, self-regulation induces high stress tolerance. Self-regulation serves the function of adaptability in the organization and larger society as individual tends to act as per the norms of society. For instance, it enables avoidance of gratification involved in issues such as corruption. It also presents persona as trustworthy.

3. **Self-motivation** - When a person is aware of his emotions and is able to regulate them well, he develops high self-motivation to be successful in all spheres of life leading to achievement orientation. Self-motivation improves self-esteem and optimistic outlook for his work as well as personal relations. Self-motivation thus leads diligence and goal commitment in life. Self-motivated people are initiative takers and change makers.

4. **Empathy** - The ego-centric behaviour of individuals which leads to exclusionary behaviour with others can be overcome by developing empathy. Empathy is emotionally understanding the situation of others, taking perspective of others and having non-judgmental behaviour towards the attitude object. Thus, empathy leads to better understanding of people and situations and promote cooperation for peaceful society.

5. **Handling relationships**- According to Goleman, emotionally intelligent person is more enabled in handling relationships both in personal as well as public life. One of the necessary steps for better handling of relationships is ability to remember names, faces, dates and other such association which is termed as social memory. Social memory also empowers a person to be aware of emotions of others in the social event. Handling relationships involves knowing strength and weakness of others and at the same time cultivating respect for the same. This promotes collaborative approach for better results in teamwork whether at home or workplace.

Q. What are the main components of emotional intelligence (EI)? Can they be learned? Discuss.   **(UPSC Mains 2020)**

Trait model

This model was developed by Konstantin Vasily Petrides and published in 2009. He defined emotional intelligence under trait model as "*a*

constellation of emotional self-perceptions located at the lower levels of personality." Accordingly, in this model emotional intelligence is seen as self-perceived emotional abilities and behavioural dispositions as opposed to ability-based model, which refers to actual abilities. It sees emotional intelligence as part of one's personality.

Figure 4.2: *Emotional Intelligence as part of personality*
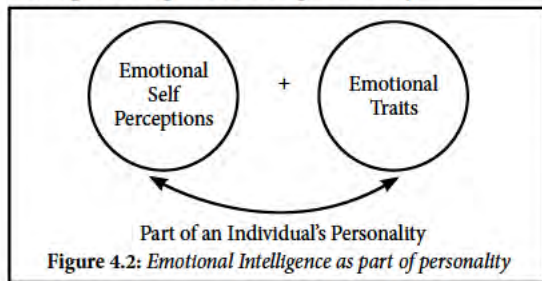
Thus, in general **Emotional intelligence is defined** as *the ability to perceive emotions of self, express and regulate them as per circumstance demands while at the same time perceiving and responding to emotions of other people as well.* Emotional intelligence enables a person to navigate the personal experiences well.

> *"I don't want to be at the mercy of my emotions. I want to use them, to enjoy them and to dominate them."*   *-Oscar Wilde*

People with high level of EI are emotionally stable, have consistency in behaviour, are optimistic, compassionate and deal with others with patience. However, people with low level of emotional intelligence are not emotionally stable, have inconsistency in behaviour, are pessimistic and are indifferent towards attitude of others. This makes emotional intelligence perform various function in different spheres at different stages of life.

> **Q.** "Emotional Intelligence is the ability to make your emotions work for you instead of against you." Do you agree with this view? Discuss.   **(UPSC Mains 2019)**

4.5. UTILITIES & APPLICATION IN ADMINISTRATION & GOVERNANCE

4.5.1. Utility of emotional intelligence

Personal health - It plays an important role in maintaining our mental health as well as physical health in age of competition and constant changes we witness around us. Thus, issues such as anxiety, depression, stress can be handled if we are aware of our own emotions and help can be offered to others who suffer from the same. For instance, a person with low emotional intelligence will hurt himself with the anger or frustration by taking adverse decisions like suicide. This happens especially with those who do not perceive their emotions well on any failure (academic, relation, career-based failure) and don't channelize them for their own welfare. People with low emotional intelligence let their health succumb due to external factors.

Relationships - Emotional intelligence has many functions in our private lives as well as public life. In private life, it makes us understand why we act in certain way towards ourselves, different people, situations etc. For instance –Many people feel happy on their own success but are jealous of others success. Thus, emotional intelligence helps us understand such inconsistencies. In public life, it makes us behave ethically with people we interact and hence, makes the public relations good. Emotional intelligence thus makes our social interactions go smoothly which also helps in maintain peace and harmony in society, thereby building social capital. For example – A person with high emotional intelligence will not stereotype people based their gender, religion, ethnicity and this ensures better relationships of people with each other.

Performance at workplace - Emotional intelligence is an effective technique to motivate ourselves as well as others around us. It makes a person develop better soft skills and thus contributes to leadership qualities. For instance, in workplace leaders with good emotional intelligence instead of giving out harsh punishments and criticism, give constructive criticism which reflects their emotional intelligence and it motivates the workers to perform well. Further it does not also cause guilt in the leader as he perceived his emotions well and managed them for better productivity in the organization.

This in turn promotes team building at workplace and minimizes the negative aspect which can be caused by the conflict, if emotions are not comprehended and not used for healthy competition.

Emotional Intelligence

Q. What is 'emotional intelligence' and how can it be developed in people? How does it help an individual in taking ethical decisions? **(UPSC Mains 2013)**

4.5.2. Application in administration and governance

Administration and governance play active role in fulfilling the social contract. This involves delivery of goods and services to people for society's well-being. The translation of policy into actions demands certain qualities among the administrators. Traditionally, **Max Weber gave the concept of "ideal bureaucracy"** which involved features such as hierarchy, rules, division of labour as well as neutrality. Neutrality and objectivity demand that the civil servant remain devoid of any emotion in decision making and its implementation. Thus, policy and its execution, according to Weber, has to be based on legal-rational mechanism only where feelings have no place. In sum, bureaucracy was seen as iron cage of rationality from which bureaucrats would not have any escape. The ideal bureaucracy in long run proved to be fatal as it created its own set of challenges. For instance – the issue of discrimination with women, poor, disabled people and other such disempowered sections of society. Such notion of bureaucracy may lead towards 'alienated bureaucracy' and red-tape syndrome.

Q. "Max Weber said that it is not wise to apply to public administration the sort of moral and ethical norms we apply to matters of personal conscience. It is important to realize that the state bureaucracy might possess its own independent bureaucratic morality." Critically analyse this statement. **(UPSC Mains 2016)**

On the other hand, it was also seen that those administrators who act under the influence of only emotions without using intelligence of how to regulate them can create many challenges. For instance- under pressure from political leadership or other sources, bureaucrats resigning from job or even taking extreme steps such as suicide. Also, as discussed in the first chapter, instances of District Magistrates from Tripura and Chhattisgarh, misbehaving with citizens over lockdowns during COVID-19, shows lack of emotional intelligence in an 'overzealous bureaucracy'.

Thus, it was observed by many scholars and leaders that without emotional intelligence not only the administrator can't work effectively but also the citizens are not being governed in best possible ways. This ultimately leads to violation of social contract and development goals in long run are not accomplished.

An administrator generally interacts at three levels:

1. **Intra-organizational and inter-organizational interaction**– Emotional intelligence helps the administrators maintain healthy relationship within their organization which improves the work culture. This involves respect for seniors and effective care of juniors so that the productivity is at peak. Also, since organizations may have challenges such as frequent transfers, casteism, gender injustice, and sensationalisation of events by media, emotional intelligence plays an important role to take right decisions without any influence.

Emotional intelligence in workplace gives boost to creativity and innovation for team building, better performance and solving conflicts. Emotional intelligence helps in making best use of available financial resources. Emotionally intelligent officer is able to accurately understand the situation and allocates funds according to the priority of the matter. Emotionally intelligent civil servant keeps his staff motivated by acting as role model. Such officers are able to reduce ambiguity, bridge differences and avoiding conflicts. He uses group dynamics to achieve collaboration to build bonds and improve productivity. Emotionally intelligent administrators can become change catalyst and motivate others to change as well.

Emotionally intelligent administrators are able to make better sense of contradictory messages, recognize underlying meanings of messages. This helps in identifying and reforming systemic deficit in the work culture of the government offices. Also,

Emotional Intelligence

emotional intelligence helps administrators to bring best out of their subordinates thereby, improve performance.

2. **Administration-citizen interface–** Civil servants have to be compassionate, innovative and responsive to deliver quality services and goods to the citizens. Without emotional intelligence citizen, friendly services as offered in citizen charters cannot be delivered. Further lack of emotional intelligence leads to issues of exclusionary policies, corruption and diversion of scarce resources. This leads to deprivation and also poverty continues unabated. An emotionally intelligent civil servant is able to adapt to changing environment. He derives satisfaction from successful competition of task and resists temptations of money and power.

The rules of accountability and transparency requires civil servants to work under public scrutiny which includes criticism on even minor errors. Emotional intelligence, thus, enables the civil servants to handle the criticism positively and avoid frustration at workplace.

An administrator with good emotional intelligence doesn't possess the *"mai-baap"* attitude towards the citizen. Rather the administrator has sense of inclusiveness and the consciousness, also doesn't allow him/her to discriminate or exclude the citizens from the services. Thus, emotional intelligence on part of administrator creates sense of belonging and collective ownership of resources in administrator as well as in citizens too.

Emotionally intelligent officer appears and is accepted by the public as non-partisan and neutral. This helps in building trust. Such trustworthy officers are able to navigate through difficult circumstances like communal tension as all the communities involved have trust in him/her. Also, such officers are credible and powerful source of persuasion who can change the attitude of the public for better. For example, towards open defecation, child marriage, dowry etc.

Case Study 1: In a unique way to convince protesters, objecting the Citizenship Amendment Act, to leave the place and end their protest before it turned violent, DCP of Bengaluru, **Sh. Chetan Singh Rathore** first gave a short speech to make the people understand that the police respected their right to protest but there was a threat of anti-social elements who could use the protest to incite trouble. He later also sang the national anthem over the public address system, making all protesters rise up from their places, who then later agreed to culminate their agitation and leave from the site.

Case Study 2: Athar Aamir Khan, then SDO of Badnore Panchayat, understood early on that there would be less opposition and resistance to his programme for eradicating child marriages, if the local people were on his side. Community engagement was the key in his unique initiatives like both students and their parents taking oath that they would not engage in the practice of child marriages. Distributing a handbook on child marriages, holding quiz on the Child Marriage Act and personally interacting with parents in the villages helped Khan gain their trust and Badnore reported zero cases of child marriages in the next wedding season.

3. **Personal life** – In Indian society, civil servants are the role models for many. This makes their personal as well as public life prone to constant public scrutiny. Emotional intelligence thus helps to manage them the undue criticism for their personal live failures.

The nature of job is also such which involves transfer and postings in remote areas which in turn negatively impacts their family life causing disruption in children's education, marital conflict and loss of social circle. Emotional intelligence enables them to maintain balance in personal life and avoid these situations.

The expectation of family and friends regarding various undue benefits like government jobs or contracts are also high.

Emotional Intelligence

If not met, then it creates discords and if met then the expectations increases for next favours. Emotional intelligence helps in this case to navigate social relations well while avoiding such expectations.

> **Q.** How will you apply emotional intelligence in administrative practices?
> **(UPSC Mains 2017)**

4.6. IMPROVING EMOTIONAL INTELLIGENCE

Although emotional intelligence can be built in individuals from their childhood through process of socialization. Since emotions are innate, every person has certain amount of emotional intelligence. But ability to use emotions for decision making can be improved through techniques like-

1. **Sensitivity training** - It helps person to understand his own limitation, how his emotions affect others and importance of being sensitive to the needs of others is realised. This helps in improving the sense of inclusiveness and thus, positive outlook is cultivated for people with different backgrounds.

2. **Role playing-** It helps in understanding challenges associated with tasks and lives of others, it further helps in setting realistic goals and keeping realistic expectations from others. This in turn minimises the conflicts and leads to more harmony and better cooperation in governance.

3. **Assertiveness training** - This involves controlling aggression while exercising authority which can be learned from sports and speaking out issues that matters to subordinates as well as superiors. The colonial hangover of power which leads to issues like corruption can be translated into emotional intelligence with assertiveness training.

4. **Relaxation training** - Regular sessions of yoga, meditation to calm down mind, helps in introspection and understanding underlying causes of one's attitude which involve the emotions and behaviour. This makes a person conscious of his acts and he tends to act with compassion.

5. **Communication training-** Comprehending both verbal communications and non-verbal cues, understanding unsaid words and self-management when overpowered with emotions while communicating, in personal as well as public sphere improves the ability to engage with emotional intelligence. It is a necessity while communicating with media and when civil servant is under public scrutiny.

6. **Learning from the lives of great leaders, reformers and public figures** who braved extreme situations with emotional intelligence to achieve greatness motivates the civil servants to lead an exemplary life for larger audience.

In administrators, it can be inculcated at following stages:

1. **Recruitment** – The introduction of ethics paper in the civil services examination is one of the creative steps to monitor the emotional intelligence of candidates.

2. **Training–** Niti Aayog has suggested introduction of mid-career training modules for all services and preparation of handbooks for skill orientation to improve competency which in turn can have focus on acquisition of soft skills as well as which includes the emotional intelligence of the civil servants.

3. **Evaluation–** According to Niti Aayog consideration of replacing annual confidential reports (ACRs) with multi stake holder feedback (MSF) is a necessary reform for better accountability. The multi-stake holder feedback in turn will regulate the biased emotions in civil servants and in turn it can make civil servants more responsive and sensitive to the needs of others.

Emotional intelligence has been accepted as a very important quality for a civil servant and administrator which not only helps him in his official work but also helps in maintaining work-personal life balance.

> **Q.** "I count him braver who overcomes his desires than him who overcomes his enemies." – Aristotle **(UPSC Mains 2013)**

4.7. SOCIAL INTELLIGENCE AND EMOTIONAL INTELLIGENCE

Social Intelligence	*Emotional Intelligence*
Social intelligence is the ability to build successful relationships and navigate social environments. It develops with experiences and learnings from successes and failures in their interaction with people.	Emotional intelligence is the ability to understand one's own emotions as well as that of others to channelize them to build better interpersonal relations or to get work done.
People with social intelligence have good social skills, verbal and non-verbal communication skills and are also good at playing different social roles.	People with emotional intelligence often have high empathy and they are able to inspire people for a common cause. Emotional intelligence is in fact a subset of social intelligence.
Social intelligence is more about the future where people build such relationships for future survivability and benefits.	Emotional intelligence has to do with the present, i.e., understanding and managing emotions of self and others in real time.

4.8. EMOTIONAL WELL-BEING DURING THE PANDEMIC

The Coronavirus pandemic has brought drastic changes in the lives of the people. People suffered intense **emotional turmoil** as they were either infected from the virus, or lost a near or dear one to the virus. If not these, then just the fact that everyone had to stay at home during the lockdowns which led to loss of jobs, livelihoods, etc. also resulted in **mental stress**. The very nature of precaution from this virus involves **social distancing** and limiting interaction with people, which caused **loneliness**, a feeling of isolation and increased levels of **anxiety**. The primary care givers and the other frontline workers suffered the major brunt by seeing death and destruction so close up-front, almost on a daily basis. The pandemic also caused an increase in the incidences of domestic violence against women. Even the all-round development of children was impacted as education was confined to their homes on mobile phones or laptops taking away their outside playing time. The lockdowns also reduced the 'away' time/ vacation time of the families, which used to act as a stress-buster.

Emotional intelligence could be used as a tool to cope with stress. It is important to understand the toll that the pandemic took on all our lives and hence take steps to focus on our mental health. One of the ways is to take frequent breaks from watching the news, scrolling the social media feeds or listening to COVID stories. Taking care of our mind and body by doing yoga, meditation, physical exercises, eating healthy food, maintaining a proper sleep cycle, etc. is also important. One can pick up a hobby and pursue it in order to unwind. Help of **mental health experts** needs to be taken if one is struggling to cope with whatever is happening around. It is difficult to stay sane when there is so much misery and despair. But emotional intelligence can help us to realize that we can't help others if we are unable to take care of ourselves. We also need to be kind and empathetic towards people and communities that feel mistrusted and are stigmatized. We need to learn that the virus doesn't discriminate and we shouldn't too.

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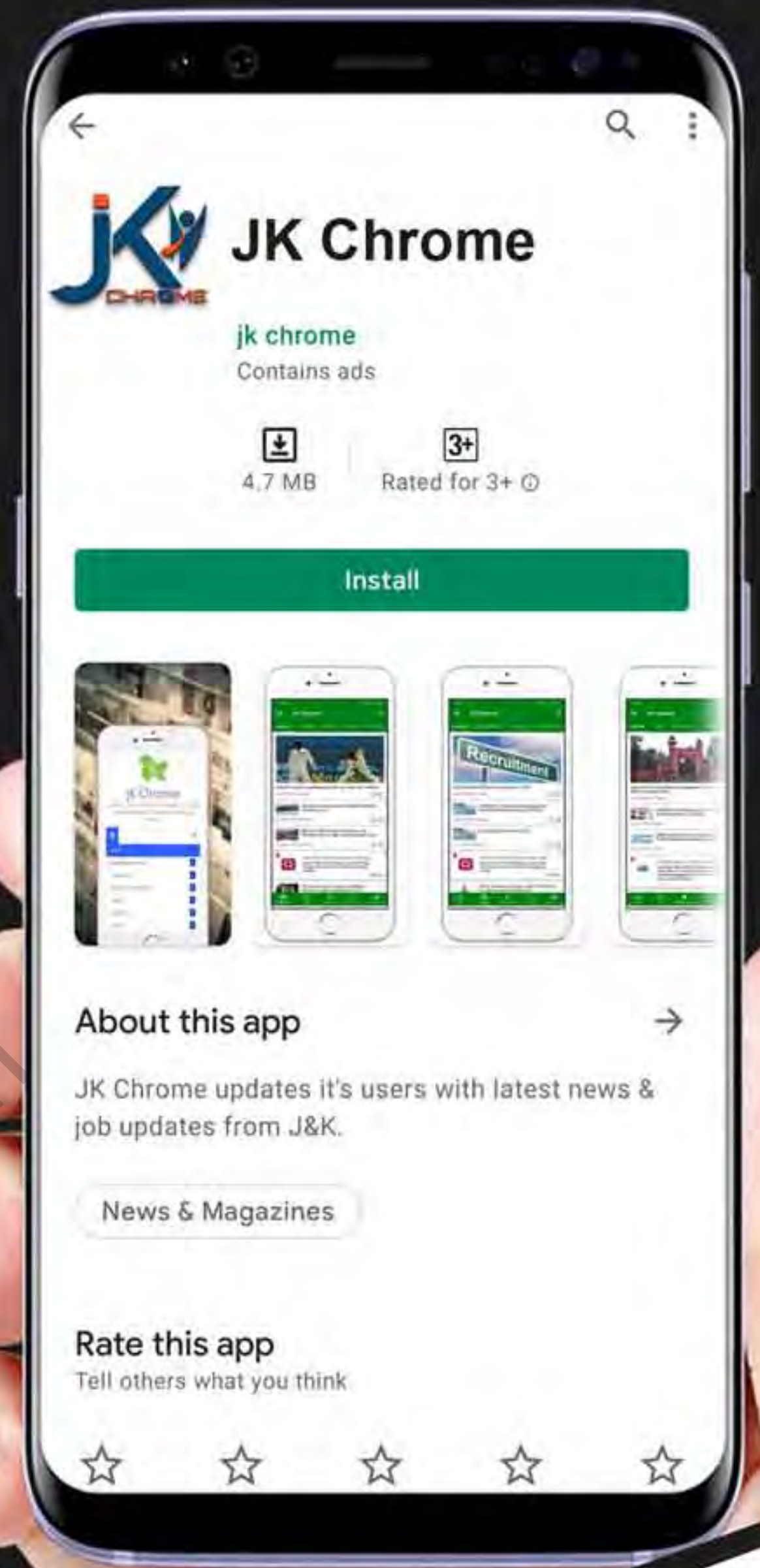
Contributions of Moral Thinkers and Philosophers from India and World

Ethics as a subject is a branch of philosophy. Ethics seeks to determine why and how one should behave in a way that is the most virtuous. On a more basic level, ethics is about doing the right thing. The philosophy behind it, is about determining what those right things are. In other words, ethics is about right versus wrong—both in terms of defining those extremes and how to act on the side of "right."

5.1. WESTERN MORAL THINKERS & PHILOSOPHERS

Ethics in western world sprung up around 6th century BC in Greece. The Greek school of thought dominated the ethical and philosophical landscape till the first century AD. Many philosophers wrote and taught in ancient Greece. But the golden era of Greek philosophy was dominated by the three famous and most influential philosophers – Socrates, Plato and Aristotle.

Socrates (470–399 B.C.) laid down the framework and methodology of approaching ethics and philosophy. Socrates' most important contribution was dialectical method of questioning for exploring the truth (Socratic method). The tradition of Socrates was carried forward by his disciple Plato (384-322 B.C.). In Athens, Plato established first institute of higher learning in the west, the Academy. One of his major contributions was to explore the question "How can a man live happily in an ever-changing world?". The third pillar of Greek philosophy was Aristotle (384-322 B.C.). Aristotle was a student of Plato. While Socrates and Aristotle delved in the question of right or wrong, they didn't give it a separate name

or treat it as a standalone separate disciple. It was Aristotle who came up with word 'ethos' (which later became ethics, the science of morals) and defined it as an attempt to present a rational and orderly explanation to ongoing question of how humans ought to act.

5.1.1. Socrates

Socratic Method- Socrates introduced dialectical method of inquiry which he applied to examine key moral questions like What is good or what is justice. Socrates called it *elenchus* which translates into "cross examination." In Socratic method a number of questions are posed to help a person understand their underlying beliefs and depth of their knowledge. It is a scientific method of negative hypothesis elimination.

Knowledge- "*I know that I know nothing*" – For Socrates wisdom was awareness of one's own ignorance.

Virtue and Morality- "*No one desires evil... No one errs or does wrong willingly or knowingly.*" According to Socrates actions and behaviours that are not virtuous resulted from ignorance, and those who did wrong knew no better. For Socrates "*Virtue- all virtue- is knowledge*"

Good life- "*An unexamined life is not worth living...ethical virtue is the only thing that matters.*" Socrates believed best away to live was to focus on pursuit of virtue rather than pursuit of pleasure or wealth.

Politics-In Plato's Republic, Socrates has objected to the democracy. According to him in a democracy where every person has a desire to

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act in his own self-interest, power can be usurped by tyrants or unworthy ruler may be elected by ignorant masses. Socrates favoured a "philosopher king" to rule the city.

Death of Socrates- Socrates was sentenced to die by drinking poison hemlock for polluting mind of youth of Athens. Socrates used his death as a final lesson for his pupils rather than fleeing when the opportunity arose and faced it calmly.

> **Q.** Analyze the quotation- "An unexamined life is not worth living." – Socrates
>
> **(UPSC Mains 2019)**

5.1.2. Plato

Many of Plato's views have clear imprints of Socrates. Plato in more mature years started building upon Socrates ideas and gave many original ideas.

Knowledge- Socrates asserted that no one does wrong knowingly. Plato accepted this ethical notion in *Meno*, but went on to expand it by introducing the anamnesis, or "the *doctrine of recollection*." Plato asserted that humans are actually born in possession of all knowledge, and that we simply discover it along the way. It is through this that Plato explores the notion of whether or not virtue can be taught.

Good life- According to Socrates a good life is an examined life. Plato took it further and explained that just examining the life is not enough. For a good life, an individual should become master of himself and use reason to reign in his passion as well as what he can to promote stability and wellbeing of his community.

Virtues- Plato's *quartet of cardinal virtues* forms the base upon which all other virtues rest and, as such, represents the foundation of natural morality. The quartet include wisdom/prudence, justice, courage/ fortitude, temperance/ moderation.

Justice- "*Wisdom is the leader: next follows moderation; and from the union of these two with courage springs justice*". According to Plato human soul is tripartite- 3 elements are passion(appetitive), courage (spirited) and wisdom (rational). Moral life is proper integration of three parts. Justice is a virtue of whole self. When wisdom, courage and temperance function harmoniously and are ruled by reason, justice emerge as a resultant virtue.

Kallipolis-A Just City- "*There are three classes of men; lovers of wisdom, lovers of honour, and lovers of gain.*" Plato extended his conception of tripartite soul to demonstrate the notion of a just city. In this model city, there are 3 classes of people-

1. Guardians- Rulers must be someone whose chief concern is justice and truth. Rational element of soul is dominant in them. Plato meant that only philosophers are truly qualified to rule.

2. Auxiliaries- The military or warrior class have courage as dominant element.

3. Civilians- The largest class of society dominated by passionate element.

Justice in the city emerges from ideal balance of all three classes living together under the rule of guardians. Plato was one of the earliest believers of **ethical absolutism**. He thought that the moral attributes of **goodness** and **justice** really existed at all times, in all places and in all situations.

5.1.3. Aristotle

Because Aristotle was a student of Plato and Plato was a disciple of Socrates, naturally their influence is visible on Aristotle's work.

Virtues- Plato asserted that virtues are naturally inside humans and they discover them, Aristotle thought that humans have capacity to be virtuous, but virtues are acquired through practice of daily life. Among the virtues he considered bravery and temperance as most desirable and admirable. (Plato recognized quartet of cardinal values)

Knowledge and Intellectual virtue- "*The ultimate value of life depends upon awareness and the power of contemplation rather than upon mere survival.*" Intellectual virtues are result of contemplation and learning. In modern times we may identify it with scientific knowledge. There are two types of knowledge- knowledge of fundamental principles of nature and knowledge that emerge from inferences and demonstrations through application of fundamental principles.

Character virtues- "*Moral excellence comes about as a result of habit. We become just by doing just acts, temperate by doing temperate acts, brave by doing brave acts*". Character virtues like courage and temperance make an excellent character (*arete*)

Contributions of Moral Thinkers and Philosophers from India and World

leading to excellent conduct (*energeia*). Character virtues can be developed through practice and habits. It is through habit and practice that humans learn to avoid extremes of conduct (vices) and develop virtues, known as called Aristotle's **Doctrine of Golden Mean**. Example- Courage, a virtue, is a golden mean between two vices, cowardice and rashness.

Good life- Plato and Aristotle largely agreed that the aim of human life was happiness, and the way to get there was by living a life of reason. According to Aristotle, when intellectual virtue come together with virtues of character and a person acts on those virtues, then highest good (eudaimonia - happiness) can be achieved. Mere possession of virtues is not enough.

Soul- Aristotle separated human soul into two parts: rational part and irrational part. The rational part deals with reasoning while irrational part is concerned with emotions and desires. All living creatures have irrational part but only human possess rational part.

Politics- *"Man is by nature a political animal."* According to Aristotle, politics and ethics are two separates but closely related discipline as politics is concerned with how governments should govern and ruler should rule while ethics is related to how an individual ought to act and pursue good. According to Aristotle state exist for purpose of allowing people to live well. Legislators must possess *phronesis* (a type of wisdom relevant to practical action- implying both good judgement and excellence of character) so that they can make laws to improve character of an individual by habituating people to do good.

5.1.4. Deontology - Immanuel Kant

Deontology –Deontology is a normative theory which states that morality of an action depends on the means adopted rather than the consequences. Further, an act should be done not because it maximizes outcomes but to fulfil the duties. Thus, commitment to duty is must even if it leads to bad outcomes. This brings certainty in decision making as it is rule based.

Kant argued that standards of morality are based on reasons and rationality. There is no need to look

at the divine or to the consequences for determining morality of an action. It is through **reason** that humans develop moral laws and determine which principles of actions are consistent with it. The strength to set aside our natural desire and act on these principles also comes from within. One necessary condition for moral actions is that they should be performed freely, i.e. a person should have **moral autonomy**. An individual's action is free if his own reason generated the principles which formed the basis of actions, rather than merely heading to the injunction of others via religion, laws or Constitution.

Categorical Imperative- Kant is famous for his "Categorical Imperative" which simply means unambiguous duties. **For Kant, CI is the fundamental principle of morality**. Duty is a commitment to perform certain actions by virtue of being part of civilized society. Accordingly, there are two types of duties or imperatives:

1. Hypothetical imperative – which are obligation only if one desires something, and

2. Categorical imperative- duty which are absolute in nature and must apply in all circumstances. Categorial imperatives are objective and unconditional principles that originate out of rationality and free will. Any action to be morally upright must conform to CI. It is obeyed purely out of sense of duty and not due to emotions, feeling or desire.

According to Kant, Categorical Imperative is based on four principles:

1. Principle of **universality** – Acting in such a way that it can be made into universal law. This means acting emotionally and focusing on consequences is irrelevant as they vary from situation to situation and thus universal law can't be made.

2. Principle of **Equality**- These universal laws should be applicable to all including self. If there are exception and anyone is excluded than the law is not based on categorical imperative.

3. **Humanism** Principle- People should never be treated as means but they are end in themselves. Hence duty is done for welfare of people rather than using them in process for fulfilling duty.

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4. **Duty** Principle- Acting right because it's the right thing to do, not because of some fear or reward attached to it. When an act is done based on reward and punishment, it's not a moral act as rationality has not been followed. (Duty for duty's sake- the core theme of deontology)

Kantian goodwill - Kant explains that the only thing good in itself is the "Good will". Good-will is free-will accompanied by reason. Good-will lays down CI and follows it. Thus, what makes a "good person" good is his possession of a will that is determined by moral laws and guides his conduct.

Good Life- Complete good is virtue with happiness. Virtues do not make us happy but make us worthy of happiness. Virtues must be perused for their own sake and not for the sake of happiness. Happiness depends on external conditions. God unites virtue and happiness for complete good of humans.

Decision-making- A person should act in accordance with his duty. The end consequences and role of emotions like compassion, kindness or love should not affect his decisions. Performance of duty out of consciousness of duty forms the core philosophy of moral decision making for Kant.

Polity and Governance- Famous for his doctrine of "Rechtsstaat" – which means rule of law or where power of state is limited by written Constitution to prevent arbitrary exercise of powers and promote civil liberties.

Knowledge- It is combination of thoughts (content) and intuition (concept) and absence of any of the two represents lack of knowledge.

> **Q.** "Human beings should always be treated as 'ends' in themselves and never as 'means'." Explain the meaning and significance of this statement, giving its implications in the modern techno-economic society.
> (UPSC Mains 2014)

5.1.5. Utilitarianism - Jeremy Bentham and JS Mill

It is one of the various forms of consequentialism school of ethics. As discussed in the first chapter, consequentialism is the ethical framework which focuses on consequence of action to determine morality of action unlike deontology which focuses

on means adopted in the action. According to Utilitarianism, an act is moral if it maximizes happiness for greater number of people. Thus, utilitarianism focuses on collective pleasure rather than individual pleasure.

Jeremy Bentham- Quantitative Utilitarianism

According to Jeremy Bentham, founder of modern utilitarianism, *"Nature has placed mankind under the governance of two sovereign masters, pain and pleasure."* Pleasure/happiness is the only desirable and all actions directed toward maximization of happiness are moral. Thus, according to him, in every act we perform, we should weigh the pleasure and pain which is resulted from the act and decide accordingly.

Bentham said, *"The said truth is that- It is the Greatest happiness of the greatest number that is the measure of right and wrong."* An action is moral or has utility if it maximizes pleasure and minimizes pain. For this, he gave his **Hedonic calculus** to measure pleasure as well as pain on the following parameters-

1. Intensity- It provides for the intensity or level or pleasure and/or pain that results from the action

2. Duration - For how long (time) the pleasure or the pain lasts.

3. Certainty- Is there a notable amount of certainty or uncertainty of pleasure or pain resulting from the action?

4. Propinquity-Once the act is done, how much time it takes to experience the pleasure or pain. Is it just after the act or it takes certain amount of time to set in?

5. Fecundity- Will the action lead to more pleasure or not.

6. Purity – Will the pleasure resulting from action would be followed by pain or vice versa.

7. Extent- What is the extent of the effect of the action or how many people are affected by the same. (basis of actions for collective happiness)

Jeremy Bentham is widely known for his quantitative utilitarianism, in which, according to him, pleasure and pain can be quantified (can be more or less) based on this calculus. According to him, there is no qualitative difference between

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different kinds of pleasure i.e. bodily pleasures are as desirable as mental pleasure.

Further according to Bentham, our action is regulated by four sanctions, namely, natural (fear of death), political (fear of punishment), social (fear of boycott) and religious (fear of God). It is because of these sanction, individual looks beyond his personal pleasures and act for happiness of all.

John Stuart Mill- Refined or Qualitative Utilitarianism

According to JS Mill, pleasure and pain can't be quantified as they are subjective and vary from person to person. Further, there are certain pleasures which are superior to others. These higher pleasures are something like virtues. If the pleasures are associated with reason or other emotions like passion that lead to benefit for larger number of people, then they are superior to other pleasures. These are intellectual and spiritual pleasures. Thus, Mill gave qualitative utilitarianism.

On the question of 'how to test the quality of pleasure and pain', Mill argued that it is for the "competent judges" to decide that. A competent judge is one who has experienced both bodily pleasures as well as intellectual ones and he prefer intellectual pleasure over other. Also, a man has his natural sense of dignity to test the quality of the pleasure resulting from the action he performed. Thus, he said "It's better to be a human being dissatisfied than a pig satisfied; better to be Socrates dissatisfied than a fool satisfied."

According to Mill, a person act for happiness of maximum number of people in order to reduce his own pain. Thus, like Bentham, Mill also supported collective happiness rather than pleasure of an individual. Further, he added one more sanction to the four quoted by Bentham and that is conscience. He said – "*I have learned to seek my happiness by limiting my desires, rather than attempting to satisfy them.*" According to Mill, Bentham's sanction acts externally while conscience is an internal sanction which controls man's personal desires (egoism) for pleasure of larger number of people(altruism) and to reduce their pain.

5.1.6. Social Contract

Definition – Social contract is an agreement between a legitimate authority and citizens in which citizens wilfully surrender some of their freedom and liberties for establishing a society with peace and which has security for its members. Thus, various social contract theories, aims to prove legitimacy of authority of the state over individuals. They explain two fundamental ideas- First that humans wilfully form the government and its not forced on them. Second is that it's the right which is basis of all political societies rather than might.

Thomas Hobbes and John Locke, both gave their social contract theory based on their conception of original 'state of nature'- which is representation of human existence prior to the contemporary societies with laws and rules (social contract). Also, both focused on importance of reasoning which leads man to create state for survival and peace. However, both had different meanings for the state of nature, how humans acted in it and thus, how social contract emerged.

SOCIAL CONTRACT		
Concepts	***Thomas Hobbes -Leviathan (1651)***	***John Locke- Second Treatise of Government (1689)***
State of nature	He had negative conception of state of nature where human is nasty, brutish, selfish and lived in fear of death. Resources are scarce and man acts in self-interest so as to satisfy his own needs. This leads to competition for the limited resources and thus state of nature is termed by him as state of permanent war of all against all. In such state of war – there is absence of any concept of law, justice and property.	He had positive conception of state of nature when compared to Hobbes. Although man was insecure, but he honoured obligations, was peaceful and pleasant. It was pre-political but not pre-moral. This state of nature was peaceful as Locke's "law of nature"—the obligation that created beings have to obey their creator (God)—constitutes the foundation of the "state of nature."

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Transition to civilized state	The transition from "state of nature" to civilized society is by a "social contract," to be agreed upon by the people to be governed by the government. Thus, people submit their rights to state to get protection in return.	People voluntarily give state their rights through a "social contract" in order to protect their "natural rights" of life, liberty, and property.
Supremacy of state or people	State is absolute and whatever it does is just even if it's not right. State is having maximum power as this only will prevent man of state of nature from becoming brutish and selfish again and thus create a just society in process.	Individuals right are more important than state. If state is not able to ensure their rights and hence fails to uphold the social contract than people can change their government.

5.1.7. John Rawls – Justice as Fairness

Rawls conception of justice is fairness or impartiality. In his theory of justice, he answers the question- **How to create a just society?** This particularly focuses on finding the principles required to create **just political, economic and social institutions** as these institutions distribute the rewards and punishments which have profound impact on people's lives.

Rawls theory is based on **'veil of ignorance'**. A person is put behind this veil to determine the principles of just society. According to Rawls, a person behind this veil is ignorant of his/her own race, religion, class, caste, gender and nationality, in sum the identities which he/she will have in future society.

Thus, such a person would think **rationally** to ensure that if in future society he/she is in worst section or is disadvantaged than he/she must benefit from principles of justice. Also, if he/she is in privileged section than his/her position doesn't get weaker. The only safe option to create just political, economic and social institutions will be to guarantee maximum standards of minimum liberties for all. This veil of ignorance thus provides for principles required to create just institutions for a just society. Hence, Rawls gave two **basic principles** to create a fair society:

1. **Liberty** principle- All citizens have basic rights and liberties which are accorded to them equally. As unequal rights will not benefit those who have lesser share of the same.

2. **Social and economic inequality has to satisfy two conditions** –

a. Principle of equality of opportunity- It means that person with same talent and willingness to use the talent have the same educational and economic opportunities regardless of whether they are poor or rich. Further, inequalities are attached to the offices and positions which are open to all under condition of fair equality of opportunity.

b. Difference principle- According to Rawls, inequalities are accepted as long as they benefit the most disadvantaged section.

Thus, Rawls had **institution focused view of just society** where rationality behind the veil of ignorance determines how to create just society rather than morality. This was criticized by Nobel Laureate, **Amartya Sen** who promoted **realization-based understanding of justice**. According to Sen, focus should not only be on how to create just institutions in society but also on how to deliver/distribute justice in society. Thus, merely creating **just institution/policy (niti)** does not ensure fairness but **outcome (nyaya) also needs to be realized**.

Further distributive justice or fair distribution of goods and opportunities is not enough but how people utilize these resources and opportunities is also important and thus he gave the framework of **capability approach**. In this approach, a person's capability to live a good life is defined in terms of the set of valuable 'beings and doings' like being in good health or having social capital with others to which they have real access. This criticism reflects the classical debate of ethics- whether to focus on **duties** (deontology school of ethics) or to give

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priority to **outcomes** (Consequentialism school of ethics) while determining an act is moral or not.

> **Q.** Analyse John Rawls's concept of social justice in the Indian Context.
> **(UPSC Mains 2016)**

5.2. INDIAN THINKERS AND PHILOSOPHERS

5.2.1. Mahatma Gandhi

Mahatma Gandhi is called the father of the nation not just because of his contributions in the Indian national movement but because of the **ethical foundation** he established for India both during the freedom struggle and after it. Moreover, he acted as a **moral lighthouse and anchor** in testing times such as the partition of 1947.

Main contributions

1. **Means over ends**: Gandhi ji pioneered the idea that means are as important as the ends when **determining the ethicality** of an action. Wrong means can never lead to lasting noble end. He withdrew the **Non-cooperation movement** and did not support revolutionaries like **Bhagat Singh** because of violent means.

2. **Human values (Truth & Non-violence)**: *Satya and ahimsa* must always be upheld as they are of intrinsic value to human beings. They are not only respectful but also the key to a good life.

3. **Tolerance, pluralism and fraternity**: Gandhi ji advocated for **universal brotherhood, monotheism** and **equality** of all beings. His prayer *"Ishwar allah tere naam, sab ko sanmati de bhagwan..."* gives the same message.

4. **Education**: Education leads to **all-round development** of a person's 'mind, body and spirit' and turns us into a better human being, citizen and member of society and so on. He emphasized upon value-based education in his Wardha scheme of education.

5. **Humanitarianism**: Gandhi ji believed that every human being has the **right to dignity and a good life**. Betterment of human life must be the prime goal of social and political action. With this idea, Gandhi ji worked for the upliftment of *harijans*, women and so on.

6. **Inner strength**: Gandhi ji preached that a person should have such high moral strength that no amount of pressure can shake his moral standing. The technique of **satyagraha** was based on the inner strength of satyagrahis who could go on fasting unto death, take beating etc. Inner strength can be developed through courage of conviction, confidence and even spirituality. He said, **"Strength does not come from physical capacity. It comes from an indomitable will."** Gandhi ji even assured people of success if they believed in their strength and acted for the right cause. He triumphantly said, **"First they ignore you, then they laugh at you, then they fight you, then you win."**

   Satyagraha meant the use of truth, non-violence and sacrifice to agitate, assert one's position and bring a change of heart in the opponent, so as to get justice. The recent peaceful as well as successful long march of farmers in Maharashtra can be seen as an example.

7. **Conscience**: Gandhi ji believed that God resides in every person and speaks from within. Such **divine voice** is the voice of conscience which people must obey in times of dilemma. Gandhi ji remarked that '**there is a court above all courts, and that is the court of conscience**'.

8. **Gender**: Gandhi ji had a nuanced view on gender equality. He stated that though women are different from men and have different strengths and weaknesses, they are equal in status. Women are actually superior to men in matters like moral strength. He said, "To call woman the weaker sex is a libel; it is man's injustice to woman…...If by strength is meant moral power, then woman is immeasurably man's superior."

View on good life

1. **Austerity**: Gandhi ji preached a simple life with bare minimum material privileges. He

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believed in the fulfilment of **higher order needs** such as knowledge, morality, faith etc. Moreover, Gandhi ji said it was against his **conscience** to have material luxury when the **masses of India** lived in poverty and hunger.

2. **Altruism:** Altruism was advocated by Gandhi ji not only as a **voluntary** good deed but also as a **duty** for the well-off, to create a just and sustainable social order. Gandhi ji's follower Vinobha Bhave took it forward in the form of **Bhoodan movement.**

3. **Social service:** For Gandhi ji, selfless social service was a way of **spiritual upliftment** and a higher **sense of fulfilment.** Gandhi ji said, **"The best way to find yourself is to lose yourself in the service of others."**

4. **Cleanliness:** Gandhi ji said that 'cleanliness **is next to godliness'.** Cleanliness and hygiene lead to mental peace and generation of good thoughts. Moreover, through this idea, Gandhi ji tried to address the menace of sanitation and therefore, manual scavenging and **untouchability.**

5. **Intoxication:** Gandhi ji advocated **prohibition of liquor** and condemned intoxication. It pollutes our soul, mind and heart and gives way to immoral acts.

Views on decision making: what is the right thing to do?

1. **Talisman:** Gandhi ji favoured choosing the course of action based on **compassion.** He taught that whenever we are in doubt over our course of action, we should think how our actions will affect the poorest and weakest, whether it will help to alleviate their suffering, whether it will benefit them. This talisman is particularly relevant for **decision making by public servants.**

2. **Bhagavad Gita:** Gandhi ji termed the Gita as his **'spiritual dictionary'** and gave it the status of his **'mother'.** One should do one's duty i.e., *dharma* and not care about the result, which is the way to **salvation.** Gandhi ji gave the idea that fulfilling one's duty in **family, society, nation** etc. should be the core principle of human life.

> **Q.** "A man is but the product of his thoughts. What he thinks, he becomes."
> – M. K. Gandhi (UPSC Mains 2019)

View on polity and governance

1. **Self-governed self-sufficient village republics:** Gandhi ji argued that as opposed to big, centralized governments, **local self-governance** (Panchayats) and self-sufficiency are the key to good governance and it also provides social control to ensure ethical behaviour. True *Swaraj* will come only when people govern themselves as per their own values.

2. **Secularism:** Gandhi ji envisaged a state that was impartial to all religions and derived inspiration from all religions as a way of value-driven politics, as was the case during the rule of Ashoka and Akbar. He believed in the traditional Indian idea of Sarva Dharma Sama Bhava.

3. **Just law:** Laws should be just and reasonable. People must abide by the law in all circumstances, but they have the right to disobey and resist when the law is unfair and unreasonable. For instance, the salt law broken by Gandhi ji with his **Dandi March.**

View on economy

1. **Private enterprise:** Gandhi ji favoured minimal economic regulation and **free enterprise,** but for larger social well-being and not individual greed or luxury.

2. **Trusteeship model:** Gandhi ji propounded the idea that owners of wealth should see themselves as custodians of public resources which people have entrusted with them to do larger social good. Wealth should not lead to greed but should be used for well-being of all, such as innovation, job creation, philanthropy etc.

> **Q.** "There is enough on this earth for every one's need but for no one's greed."
> -Mahatma Gandhi (UPSC Mains 2013)

3. **Small industries and manual labour:** Gandhi ji promoted small industries as they can be set up by persons with limited

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means using their traditional skills and they also lead to **employment generation and inclusive growth.** Skill development and manual labour is the means to ensure **livelihoods for all.**

4. **Gandhi on mechanized production-** Gandhi called machines "evil" and held it responsible for impoverishment of India. Gandhi supported machineries which reduces human suffering but was against to those machines which replace human in production. He said, "the spinning wheel itself is a machine; a little toothpick is a machine, what I object to is the craze for labour saving machinery. Men go on saving labour, till thousands are without work and thrown on the open streets to die of starvation"

5. **Rural development:** Gandhi ji once said that 'India lives in villages' and favoured rural development on its own terms over urbanization because he saw villages representing true Indian ethos and culture.

6. **Antyodaya:** Antyodaya, that is upliftment of the bottom strata, was the key to development of all (**Sarvodaya**) and was also India's moral responsibility as a civilized society. Inclusive and equitable development is necessary for a sustainable social order. Otherwise, stagnation and unrest will follow, as it did in feudal times.

Other Views

1. **Bringing change:** Gandhi ji believed in human potential and appreciated individual initiative. He urged, "**Be the change you wish to see in the world**", as change was responsibility of people as well as state.

2. **Honesty and integrity-** For Gandhi "Happiness is when what you think, what you say, and what you do are in harmony." He did not shy away from criticizing even the Indian National Congress for its wrong policies and slow functioning.

3. **Generosity:** Gandhi ji urged people to be kind and righteous regardless of the behaviour of others. He said, "**The weak can never forgive. Forgiveness is the attribute of the strong**", as portrayed in the movie **Munna Bhai.**

4. **Attitude:** He stated that attitude is a consequence of our actions and a determinant of our destiny. Hence, we should ensure cultivation of the right attitude. He said, "**A man is but the product of his thoughts, what he thinks, he becomes.**"

5. **Seven sins:** Gandhi pioneered the idea that every pleasure must be commensurate with due **responsibility.** Otherwise, it would not only corrupt the individual but also deteriorate the society at large. The following were seven deadly sins according to Gandhi ji: '**Wealth without Work, Pleasure without Conscience, Knowledge without Character, Commerce without Morality, Science without Humanity, Religion without Sacrifice, Politics without Principle'**

> **Q.** Discuss Mahatma Gandhi's concept of seven sins.   (UPSC Mains 2016)

Comparing Gandhi ji with Subhash Chandra Bose and Rabindranath Tagore

Parameter	Views of Gandhi	Views of Bose	Views of Tagore
Means vs. ends	Means were as important as ends e.g., non-violence	Ends over means especially in times of oppression e.g., invasion of India by INA	Means were most important and should uphold humanism
Culture	India's tradition and culture were the bedrock of its civilization and should be preserved	Indian culture had deteriorated due to vested interests and ignorance and needed to be modernized	Human choice and reason should determine culture. It must keep evolving. Humans are ends in themselves and not means

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Education	Education should incorporate values, skills, culture, social awareness. Its aim should be to create better members of society.	Education should include modern sciences, both natural and human. Its aim should be development of society and upliftment of the marginalized	Education should not be top-down and prescriptive but student-centric. It should aim at character building and bringing students closer to nature
World	The world is one family but sees power-politics and exploitation. India should limit contact with outside world unless its strong enough to deal with it	The world is governed by relationship of power between countries. India should gain the power to protect its interest and regain its old glory	The world is one and humanity is a family, artificially divided by borders. We need universal brotherhood to ensure peace and justice.
Rights	Rights of individuals should be balanced by rights of the society, so that both can sustain.	Rights of the society outweigh the rights of individuals, as the former is required for the latter	Rights of individuals are sacrosanct and inviolable and should be the basis of any social order.
Nation	Nation is a civilization which is sustained by an ethics and culture	Nation is a political unit which needs strength to sustain	Nation is an artificial concept that divides humanity. The world is one.

5.2.2. Jawaharlal Nehru

Main contributions

1. **Liberty and freedom:** Nehru believed that a nation cannot progress until its individuals are free to progress. He was a key proponent of fundamental rights and drafted the **Karachi Resolution** on fundamental rights 1931.

2. **Peace:** He opposed colonialism and cold war as it threatened peace along with prosperity. Nehru propounded the ideas of **Non-alignment and Panchsheel** as the moral foundations of Indian foreign policy.

3. **Internationalism and cosmopolitanism:** Nehru believed in 'Vasudheva Kutumbakam' i.e., whole world is one family and favoured international cooperation and multilateralism. He convened the **Asian Relations Conference** and showed his compassion by welcoming refugees from Pakistan, China etc. soon after independence.

4. **Tolerance and respect:** He gave due space to the entire social and political spectrum. India's first cabinet under PM Nehru included **non-Congress leaders** such as Ambedkar, Shayam Prasad Mookherjee etc.

5. **Culture:** Nehru said, **"Culture is the widening of the mind and of the spirit."** He believed that culture should be directed at developing individuals and society in mind as well as heart. For instance, he was a follower of **Yoga** but rejected many orthodoxies of the then Indian society.

6. **Scientific temper:** He advocated cultivation of scientific temper among students and people for a new, progressive, stronger India. Nehru called dams, universities etc. **'temples of modern India'**.

View on decision making: what is the right thing to do?

1. **Right means:** Being a follower of Gandhi ji, Nehru also believed that only right means can lead to right ends. Nehru decided to take the issue of Jammu and Kashmir to the United Nations as he wanted to use the right means for national integration rather than use of military force.

2. **Democratic decision making:** Nehru was a highly matured leader who took the path

of participative leadership. He preferred plebiscite during integration of princely states to ascertain public will. Nehru also included Ambedkar in his cabinet for inclusive decision making.

View on governance and economy

1. **Socialism and welfarism:** It is the responsibility as well as authority of the State to eliminate inequality, backwardness and injustice from society through planned economy, public sector etc.

2. **Democracy:** Nehru was a proponent of **universal adult suffrage** despite scepticism of others. He also supported grassroots democracy and inaugurated the **first ever Panchayat** in independent India in Nagpur in 1959.

3. **Secularism:** Nehruvian model of secularism was based on complete separation of state from religion (European model), impartiality of state and a liberal rational approach to socio-religious matters. Its aim was to create a liberal progressive society.

4. **Distributive justice:** Nehru was against concentration of wealth and resources and under his leadership, India passed various such laws like **Factories Act, Minimum Wages Act, Land Ceiling Acts** (by States).

Other Ideas

1. **Administration:** Nehru was strongly against the structure as well as spirit of the **Indian Civil Service** (ICS) and called for completely doing away with it. He sought the creation of a new form of administration that did not have the authoritarian colonial mindset but was suited for a new order of democracy and development. His view was different from that of Sardar Patel who wanted to retain the steel frame of All-India Services. Nehru said, "It seems to me to be quite essential that the ICS and similar services must disappear completely, as such, before we can start work on a new order."

2. **Public Service:** Nehru saw public service as not an authority but an honour and duty. He famously urged people to call him '**Pratham Sevak**' rather than '**Pradhan Mantri**'.

5.2.3. Raja Ram Mohan Roy: Morning Star of Indian Renaissance

Main Contributions

1. **Monotheism:** Roy preached unity of God and that all religions are different paths to the same ultimate truth and salvation.

2. **Cosmopolitanism:** Roy considered people of different nationalities as sub-units of one big family that are co-dependent and have to cooperate to achieve common good. Roy supported the **French nationalists** and became the first person to break the tradition of not crossing the sea and went to England.

3. **Rationalism and modernity:** Like Rousseau, Roy regarded reason and rationality as prime criteria for deciding the right course of action rather than tradition and superstition. Roy is called the '**Father of Modern India**' as emphasized upon modern education as a means to carry out social reform and upliftment.

   However, Roy did not blindly promote modernity but was also mindful of the value of traditional Indian culture. Roy stood for a blend of tradition and modernity, a blend of East and West. Roy sought reform of Indian society but also acknowledged the significance of **Yoga, vernacular language** etc. Roy critiqued even the West for religious orthodoxy and distortions of Christianity. He wrote the book '**Precepts of Jesus**' for Christians to deliver the true message of Christianity, without any distortions.

4. **Reformist:** Roy saw social reform as a way to achieve social progress and national development. He pushed social reform by mobilization of people, petitioning the government, setting up educational institutions, creating voluntary organizations etc. Roy fought for women's causes like widow remarriage, age of consent, sat etc. This resulted in passing of reformative legislations like **banning of Sati, banning polygamy, Widow Remarriage Act** etc.

5. **Vedantic philosophy:** He tried to take Hinduism away from orthodoxy and

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superstition and sought to revive Vedantic philosophy. He promoted knowledge, **enlightenment and spirituality** as chief tenets of religion.

6. **Humanism and human values:** Roy was a strong proponent of **human values** like peace, dignity, care, justice etc. He worked for the upliftment of the poor, weak and marginalized as he believed that a good life is the right of every human being.

7. **Education:** Roy was an educationist and even encouraged incorporation of western technical education into traditional Indian curriculum. He set up the **Vedanta college** in Bengal in 1825 and assisted David Hare in setting up of Hindu college.

View on polity and governance

1. **Freedom of press:** Roy published journals himself and advocated for **freedom of the press**, especially vernacular press, through petitions, meetings etc.

2. **Representative government and bureaucracy:** Representation in government was considered by him to be the right of the governed. He was among the first to raise the demand for **Indianization of civil services.** He also pushed for a responsible government in India through the creation of a representative legislature in a **parliamentary democracy.**

3. **Separation of judiciary from executive:** He called for separation of judicial powers from **Collectors** so as to ensure fairness in revenue administration.

4. **Liberty and freedom:** He believed in the sanctity of **natural rights** of life, liberty, pursuit of property and so on. He also advocated state legislation for social reform and reconstruction.

View on economy

1. **Indigenous industrialization:** Roy extended support for industrialization using modern tools and technology, as the key to national development. He supported the native domestic industry and urged the government to provide **tariff protection** to Indian industries.

2. **Colonial destruction:** The idea of 'drain of wealth' can be traced back to Roy who exposed **colonial economic destruction** of India due to British policies.

5.2.4. Ishwar Chand Vidyasagar

Main contributions

1. **Gender justice:** Vidyasagar was a compassionate and conscientious social being. He was a pioneering proponent of social reforms for gender equality. He fought for **widow remarriage, girl education** and against **polygamy** and **child marriage.**

2. **Scholar and educationist-** Due to his diverse and in-depth academic knowledge, he was given the title of 'Vidyasagar' (Ocean of learning). He also authored famous works like Borno Porichoy. Vidyasagar was the principal of Sanskrit college and carried out many reforms in education and administration. He also supported J.E.D. Bethune in establishing the Bethune school, the first ever girls' school, in 1849.

3. **Importance of education-** Vidyasagar regarded education as the key to development of a person as well as society. Vidyasagar believed that learning and broadening of horizons was the way to inculcate a sense of dignity and liberty among people, which drives them towards freedom and progress. For this purpose, Vidyasagar **opened the doors of Sanskrit college** for the lower castes and poor.

4. **Reformist:** He described social reform as a prerequisite for social and national progress. He considered, it is the responsibility of the educated and capable to **provide leadership** and **push for reform.**

5. **Humanism and potential:** He preached that the ethical action is one which respects **human dignity** and allows each individual to **fulfil their potential.** Each human being had certain basic needs and rights which must be fulfilled. Humans can't be seen as mere objects of tradition but as **masters of their own destiny.**

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Views on polity and economy

1. **Leadership:** He believed that the state should provide leadership to the society in pushing for social reform when the society is trapped in orthodoxy and rigidity. For instance, Vidyasagar struggled for the enactment of the **Widow Remarriage Act in 1856.**

2. **Skill development and enterprise:** He believed in vocational learning and empowerment of women and marginalized through skill development and remunerative work, as a way to inclusive growth. He started **homes for marginalized women** which provided shelter and skills like weaving nursing etc.

5.2.5. Swami Vivekananda

Main contributions

1. **Humanism:** In the new age, Vivekananda considered human rights and human progress as the core basis of civilization. He considered removal of human misery as the goal of civilization and society. For this, Vivekananda established the **Ramakrishna Mission** for social service and help of the downtrodden.

2. **Divinity of soul:** He believed that *Atman* (soul) is as divine as *Parmatma* (divine soul). God resides in every being and hence, every human being must be treated with respect and each individual must have self-respect as well. Due to the divine character, every person must strive to do good things and also abide by their conscience.

3. **Tolerance and pluralism:** He believed in the unity of man as well as unity of God. He preached universal brotherhood as a way to eliminate violence and conflict. In his memorable speech at the **World Parliament of Religions** Chicago in 1893, he appreciated the oneness of various religions and urged for mutual respect among all. He said, "All differences in this world are of degree, and not of kind, because oneness is the secret of everything."

4. **Synthesis of materialism and spirituality:** According to Vivekananda, there is merit in both **Eastern and Western** civilization and both are mutually complementary. He considered spirituality as a way to ultimate salvation. He urged the West to appreciate the merits of Eastern and Indian civilization and adopt its good elements.

5. **World peace and brotherhood:** In the times of colonialism and imperialism, Vivekananda was a visionary who stated that a sustainable world order can only be achieved with **peace and cooperation** and not by domination. He believed in the greatness of all civilizations and their ability to contribute to the world.

Views on good life

1. **Vedantic philosophy:** Vivekananda rejected the orthodoxies and superstition of the post-medieval society as well as the materialism and individualism of the West. He worked to highlight the value of the India's ancient Vedantic philosophy. He underlined the merits of **knowledge, values, enlightenment, noble conduct** and so on as the means to salvation.

2. **Austerity and detachment:** Vivekananda rejected materialism and luxury especially when the masses were in a poor condition. Material luxuries were seen as a vicious cycle. He saw detachment from material pleasures as liberation and instead focused on higher ends like **spirituality, selfless service** and so on.

3. **Yoga:** Vivekananda was a pioneer in the field of Yoga and described it as a **union of mind, body and spirit.** He saw Yoga not as a mysticism but as a rational practice to maximize human potential.

4. **Will power:** Vivekananda believed in hard work and dedication. He believed in power of human beings to shape their destiny. He famously said, "Arise, awake and stop not until the goal is reached."

View on decision making: what is the right thing to do?

1. **Reason and rationality:** Vivekananda relied upon reason to shape the culture and civilization of India. He vehemently opposed

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gender discrimination and casteism because it was irrational and was also hurting the progress of the nation.

2. **Selflessness:** He tried to teach people to not be selfish but selfless in their deeds. He urged people to be selfless so that they are not weakened by desires and can experience one of the higher pleasures of selfless service. He stated that selflessness was a way to not only benefit the world but also enrich ourselves. He said, "**Ask nothing; want nothing in return. Give what you have to give; it will come back to you, but do not think of that now.**"

Views on polity and governance

1. **Nationalism:** While being a philosopher, Vivekananda was a nationalist who opposed imperialism and exploitation. He moved the people towards emancipation, self-respect and aroused self confidence among people about their past as well as present capabilities. He highlighted **India's glorious past** as well as oneness of its people so as to bind them in one nation.

2. **Public service:** Vivekananda remarked that 'service of *jiva* (**man**) **is service of god** (*shiva*)'. He urged people to respect their fellow human beings. He also motivated public leaders to devote themselves for serving their people as it is the most noble deed.

Views on society and culture

1. **Emancipation and empowerment:** Vivekananda worked for a society and culture which provided maximum opportunity to people and directed them towards ethical behaviour. He opposed inequality and exploitation of man by man.

2. **Welfare:** He considered it to be the duty of the state and society to uplift the downtrodden. He once said, "**So long as the millions live in hunger and ignorance, I hold every person a traitor who, having been educated at their expense, pays not the least heed to them!**"

3. **Youth:** He focused on the power of youth to change the world. Vivekananda went

around the country recruiting young volunteers for the selfless social work of the Ramakrishna Mission. Government of India celebrates **National Youth Day** on the birth anniversary of Swami Vivekananda.

4. **Education:** Vivekananda supported a model of education that synthesized western sciences, Indian tradition, Indian values, spirituality and so on. He saw education not as welfare program but the key to unleash human potential. He said, "**Education is the manifestation of the perfection already in man**".

5. **Religion:** Vivekananda opposed dogmatism, superstition etc. He sought reform of religion in such a way that it becomes **rational and humanistic**. Vivekananda gave **equal status and respect** to all religions. For him, different religions were different paths to the same ultimate truth. He also sought to reshape religion on **spiritual lines**, so that it can direct individuals towards salvation.

Views on economy

1. **Innovation and modernization:** Along with philosophy, Vivekananda also promoted innovation in **agriculture** as a means of augmenting livelihoods and incomes of people. **Basic livelihood** and amenities were a prerequisite for spirituality and national empowerment.

2. **Indigenous enterprise:** Vivekananda encouraged people to use their **native skills and creativity** to produce quality products for local markets as a way to resist colonial economic destruction. He believed in the quality and uniqueness of Indian enterprise.

> **Q.** "Condemn none: if you can stretch out a helping hand, do so. If not, fold your hands, bless your brothers, and let them go their own way."
> – Swami Vivekananda (UPSC Mains 2020)

5.2.6. Amartya Sen

Main Contribution

1. **Human development:** Sen changed the focus of developmental economic from **GDP centric** to **people centric** approach by

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presenting idea of **Human Development Index** to include health and education along with income for measuring development.

2. **Development as freedom**: Sen gave the new idea that development means providing people all possible **freedom and opportunity to 'lead the kind of lives they value'**. It includes removing 'unfreedoms' which refers to various barriers that hinder people from leading their preferred lives such as illiteracy, corruption, lack of connectivity etc.

3. **Capability approach**: Drawing from 'Development as Freedom', Sen also adds that only freedom is not enough. Human beings must also have the 'capability' to achieve their desired skills or competencies, that is, they must have the **education, health, nutrition etc.** to gain a good job, respect, social standing and so on.

4. **Beyond utilitarianism (Right course of action)**: Sen believes utilitarian merely suggests that course of action which benefits greatest number of people to the greatest extent. But it fails to consider some essential **rights and principles** that are part of human conscience and should not be violated. In a nutshell, Sen highlights that policies should not only ensure maximum benefit but also uphold some basic rights and freedoms. For instance, Sen criticizes Indian government's policy and actions in **Kashmir** on similar grounds.

5. **'Views on human rights - entitlement and deprivation'**: Sen analyses poverty and famine from the lens of entitlement and deprivation. Sen makes the point under welfare economics that citizens should be entitled to bare minimum necessities such as **food, water, clean air** etc. as part of their **social contract** with the state. He argues that famines occur not because people are poor and incapable but because they are deprived of their entitlements which the state fails to provide. Similarly, poverty is not scarcity of money or resources but a **deprivation** from basic rights and lack of fair opportunity (lack of education, skills, health, connectivity, equality, liberty).

Views on economy and governance

1. **Democracy**: Sen sees democracy as a natural human instinct and a basic prerequisite for human development. Sen also points out in his 'The Argumentative Indian' that democracy is an age-old Indian tradition and it is the reason for India's glorious civilization. He appreciates India for being the first post-colonial non-Western country to adopt democracy.

2. **Inequality**: Sen sees inequality as not disparity in capability, effort etc. but as a **systemic malfunction**. He describes that hierarchical social structures created around an existing socio-political system inhibit social mobility due to vested interests of the privileged class. For instance, income inequality is due to failure of wage balance, weak welfare provision, corruption, social abuse and so on. Sen makes these arguments in his book 'An Uncertain Glory' by arguing that even though India has achieved economic growth but has failed on inclusion and equity.

Sen vs Bhagwati debate:

Noted economist **Jagdish Bhagwati** in his book "Why growth matters?" argues that it is only with **economic growth** that social inequality and indicators can improve and that there can be no redistribution without an increase in the income levels. By freeing the markets, there would be a surplus that would automatically trickle down the masses.

While, according to **Amartya Sen**, an investment in improving the **social infrastructure**, health and education sectors would automatically enhance the productivity of the people and transform into economic growth of the country.

5.2.7. Saint Teresa

Moral Contribution

1. **Social service**: Saint Teresa **dedicated her entire life** to working for the needy and it became her way to salvation, as she saw it as **God's work**.

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2. **Will power:** She taught the world that an individual's will power can lead him/her to do great things and contribute to the world, despite opposing pressures from the world. She said, "**I alone cannot change the world, but I can cast a stone across the waters to create many ripples.**"

3. **Selflessness:** She was an epitome of selflessness as she gave away all worldly pleasures for her social cause. She even gave to charity the **cash prize** she received with the **Nobel Peace Prize** in 1979.

4. **Compassion:** This moral value drove Mother Teresa in her life. She showed care for the most marginalized people such as abandoned **elderly, HIV/AIDS patients, leprosy patients** etc. She emphasized upon humane and sincere treatment for such people.

5. **Charity:** Saint Teresa sustained all her work and initiative with charity and not private income or profits. Organizations set up by her always worked as **non-profit** organizations.

6. **Serenity:** She showed the world how nobility can be achieved even with serenity. She was simple in her dressing, habits, behaviour and so on.

7. **Voluntarism:** Saint Teresa worked independently and did not ask much from governments. She believed in the merit and ability of **voluntary initiative** by people. With the help of civil society, she served innumerable people and created many facilities for the weak and marginalized.

Life lessons

1. **Women empowerment:** She took the life of a **nun** and brought great **change and happiness** with her leadership skills. She still inspires the new generation.

2. **Recognition:** Her life proves that noble work is duly recognized by the world and can stand out despite simplicity and selflessness. She was recently **canonized** (declared Saint) by the Vatican Church.

3. **Human values:** Her life and work were based on upholding human values like **love,**

justice, care etc. She emphasized upon **humanity and universal brotherhood**.

4. **Determination:** She was not discouraged even after lot of criticism from various corners and continued to purse her cause due to her **courage of conviction**, sense of detachment and strong **conscience**.

5. **Organization:** Mother Teresa was not only a social worker but also a great organizer and manager. Under her leadership, many **shelter homes, schools, hospitals** have been set up. She also set up the famous **Missionaries of Charity** in Kolkata.

6. **Honesty:** Despite being a Christian missionary, she openly declared that she has not witnessed the existence of God and was **not a strong believer** in God.

7. **Cosmopolitanism:** Despite being born in Albania, Saint Teresa dedicated her life to work in India and even took **Indian citizenship**. She travelled across the world as a compassionate motivated **global citizen**. She also appealed for peace and cooperation among nations for betterment of the world.

Other views

1. **Freedom of religion and faith:** She always maintained that each person should have absolute **freedom of religion and belief**. She was against conversions by coercion, lure or deceit. She believed in the oneness of all religions.

2. **Governance:** For Saint Teresa, government's first and **foremost duty** is to end the suffering of the weaker sections, provide them their due entitlements, uphold their human rights etc.

Q1. Analyze the quotation-"Nearly all men can withstand adversity, but if you want to test a man's character, give him power." – Abraham Lincoln. **(UPSC Mains 2013)**

Q2. Which eminent personality has inspired you the most in the context of ethical conduct in life? Give the gist of his/her teachings. Giving specific examples describe how you have been able to apply these teachings for your own ethical development.   **(UPSC Mains 2014)**

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Q3. Analyze the quotation- "The weak can never forgive; forgiveness is the attribute of strong." **(UPSC Mains 2015)**

Q4. Analyze the quotation- "We can easily forgive a child who is afraid of the dark; the real tragedy of life is when men are afraid of the light" **(UPSC Mains 2015)**

Q5. "Great ambition is the passion of a great character. Those endowed with it may perform very good or very bad acts. All depends on the principles which direct them." – Napoleon Bonaparte. Stating examples mention the rulers (i) who have harmed society and country, (ii) who worked for the development of society and country. **(UPSC Mains 2017)**

Q6. Analyze the quotation-"Falsehood takes the place of truth when it results in unblemished common good." - Tirukkural. **(UPSC Mains 2018)**

Q7. Analyze the quotation- "The true rule, in determining to embrace, or reject anything, is not whether it has any evil in it; but whether it has more evil than good. There are few things wholly evil or wholly good. Almost everything, especially of governmental policy, is an inseparable compound of the two; so that our best judgement of the preponderance between them is continually demanded."
- Abraham Lincoln. **(UPSC Mains 2018)**

5.3. INDIAN ETHICS

5.3.1. Indian philosophy

Indian ethics is the oldest moral philosophy in the history of civilization. Indian ethical thinkers preached respect, love, compassion and non-violence for all living beings. Central to the Indian philosophy are the concepts of '*Vasudhaiva Kutumbakam*' and '*Atithi devo bhavah*'.

The central concepts of Indian ethics are represented in *Rigveda*, wherein we come across the idea of *rta* which governs the order of the universe. It stands for harmony and balance in nature and in human society. *Rta* is described as the basic truth/a system of universe that cannot be violated. It is an eternal law of the forces of nature and of moral values in human society. In human society, when this harmony and balance are disturbed, there is disorder and suffering.

The concept of *rta* gave rise to the idea of *Dharma*. *Dharma* here does not mean religion, but it stands for duty, obligation and righteousness and upholding of the natural law. It is a way of life in which ethical values are considered supreme and everyone is expected to perform his or her duty according to their position in life as they lead to prosperity and spiritual well-being. The guidelines and rules regarding what is considered as appropriate behaviour of human beings are prescribed in the *Dharma Shastras*.

In the Hindu way of life, every individual is expected to perform his or her duty appropriate to his or her caste (*varna*) and stage of life (*ashrama*). This division of one's life into the four *ashrama* and their respective *dharmas*, was designed, to provide fulfilment to the person in his social, moral and spiritual aspects in order to lead to harmony and balance in the society. The four *ashrama* are: *brahmacarya*, stage of studentship; *grihastha*, stage of the householder; *vanaprastha*, life in the forest; and *sanyasa*, renunciation.

The concept of four ends of life (*Purushartha*) is also very important as they are needed for fulfilment of human aspirations. These are righteousness (*dharma*), worldly gain (*artha*), fulfilment of desire (*kama*) and liberation (*moksha*). The fulfilment of *dharma* and *moksha* are most valuable from an ethical point of view as they give right direction and purpose to human life. For instance, without *dharma*, *kama* can transform into lust and acquiring wealth (*artha*) though a desirable objective, without *dharma*, that is, the welfare of the society, it will transform into greed.

Indian philosophy also classifies moral principles into *Swadharma* and *Sadharan Dharma*. *Swadharma* talks about the moral principles that need to be followed by a person by way of his duty or his place in society. Example: *Varnashrama Dharma*- the discharge of one's duties according to one's occupation or order in society. Whereas, *Sadharan Dharma* talks about the common moral principles applicable to all. Example: *Purushartha*.

In the *Bhagavad-Gita*, selfless action (*Nishkama karma*) is advocated. It is a desireless action which

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is required to be performed without consideration of personal consequences i.e., duty needs to be performed without expectation of fruits. This is very much applicable to civil servants so that after getting into service they don't work for promotions, rewards, salary hike etc.

Ethics in *Artha Shastra*

Kautilya's *Artha Shastra* is one of the most widely known treatise on political administration by a King including subjects like foreign relations, taxation, labour, etc. It is the first literary source on political economy where governance concepts have been explained in a detailed manner. According to Kautilya:

1. In the welfare and happiness of his subjects, lies the welfare and happiness of the King.

2. The King should be accessible to the public and should not own any assets of the public.

3. It is inevitable that public officials would indulge in unethical means while handling public money. However, he mentioned several steps to prevent corruption like having a code of ethics and code of conduct for public officials, incentivizing hard and honest work, fixing accountability and reprimanding dishonesty, using spies to find out who is taking bribe, etc.

Many thinkers also undermine the ethical importance of *Artha Shastra* as it mentions a number of immoral and unethical practices such as conspiracies, black magic, violence, torture, etc. against enemies and traitors of the State.

5.3.2. Buddhist philosophy

Teachings of Gautam Buddha were to develop mind and character and tread on the path to enlightenment. He advocated the **4 Noble Truths**:

1. **Dukkha**: the truth of suffering.
2. **Samudaya**: the truth of origin of suffering
3. **Nirodha**: the truth of cessation of suffering
4. **Marga**: the truth of the path to cessation of suffering.

The core ethical code of Buddhism is known as the **five precepts**, and these are the nucleus of its ethical principles. These 5 virtues are- not killing or causing harm to other living beings, not taking the not given, i.e., stealing, avoiding sexual misconduct, avoiding false speech and abstaining from drinks and drugs that cloud the mind. Following these five precepts is said to lead to rebirth as a human and prevent rebirth in one of the lower realms of suffering.

The fourth noble truth talks about the *Marg* to reach a state free from misery, i.e., *Nirvana*. *This* noble path is the eight-fold path or *Ashtanga Marg*: Right views (correct knowledge); Right Resolve (correct intentions); Right Speech (using the right words and   refraining from frivolous talk); Right Conduct (doing the right thing, correct behaviour); Right Livelihood (having the right goals); Right Effort (Doing things the right way); Right mindfulness (free from attachment and therefore free from misery); Right concentration (meditation-single mindedness). The path of right concentration can be facilitated by love (*Maitri*), compassion (*karuna*), cheerfulness (*Mudita*) and impartiality (*upeksha*).

> **Q.** What teachings of Buddha are most relevant today and why? Discuss.
> **(UPSC Mains 2020)**

5.3.3. Jaina philosophy

Jaina philosophy endeavors for absolute liberation (*moksha* or *nirvana*) from the factors that bind human existence. **Attachment to worldly things**, the **emotions**- such as anger, greed, fear, pride, etc., **sensual enjoyment**, and **ignorance**, or false belief are the root causes of this bondage. The path to liberation lies in the *triratna* i.e. Right faith, right knowledge and right conduct.

Jain philosophers hold that harmful actions (*hinsa*) cause the soul to be tainted and impaired with karmas. Those who seek to stop the influx of bad karmas (in order to reach liberation) should practice right conduct by observing certain ethical rules. Jainism teaches five ethical duties, which it calls **five vows**. They are- the *anuvratas* (small vows) for Jain laymans, and *mahavratas* (great vows) for Jain monks.

The *vratas* involve: nonviolence towards all forms of life as they regard that every object has a certain degree of consciousness (*Ahimsa*), abstinence from lying (*Satya*), not taking what is not yours (*Asteya*),

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celibacy (*Brahmacharya*) and renunciation of property (*Aparigraha*). Nonviolence is strongly emphasized, since violence produces the greatest amount of karma. Hence great care has to be exercised at all times, especially because injury of life forms should be avoided also in plants, water, fire, etc.

There is also a vow called *Sallekhana*, a "religious death" ritual observed at the end of life, historically by Jain monks and nuns. This vow is a voluntary and gradual reduction of food and liquid resulting in the dispassionate ending of life. This is believed to reduce negative karma that affects a soul's future rebirths.

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Public/Civil Service Values and Ethics in Public Administration

6.1. ADMINISTRATIVE ETHICS

6.1.1. Understanding Administrative Ethics

Administrative Ethics are the professional code of morality in civil services. Administrative ethics regulate the conduct, behaviour and actions of administrators. Since civil services occupy position of trust, it is not enough for them to act merely within the bounds of rule. Civil servants are expected to reflect highest standards of morality while conducting the affairs of the state. Further, civil servants are expected to set highest moral standards not only for themselves but also for community at large. This has become even more important in changing times characterized by media vigilance, rising public awareness and culture of transparency in governance.

Administrative ethics are codified in the form of code of conduct and code of ethics. These provide the "rules for the game of administration." The code consists of traditions, precedence and standards which must be upheld by the civil servants. Germany (Prussia) was the first modern state to professionalize its civil service and developed a professional code for the civil servants. But it was set in a different temporal and situational background characterized by authoritarian, bureaucratic and other non-democratic elements. Britain was the first modern state which framed a democratic type of professional code for the civil servants. The British civil service is known for its administrative ethics. The Indian administration is modelled on British administration and corollary to that is reflection of British administrative ethics in Indian administrative standards.

6.1.2. Scholars On Administrative Ethics

Chester Barnard described the ethical conduct in administration as *"governance by beliefs or feelings of what is right or wrong regardless of self-interest or immediate consequences of a decision to do or not to do specific things under particular conditions."*

Glen Stahl (in his book Public Personnel Administration) writes *"the problem of ethical conduct of public official arises by virtue of the power and influence that he commands and the commitment that he undertakes of loyal and disinterested service to the public."*

Paul H. Appleby (in his book Morality and Administration in Democratic Government) argues that morality and administration cannot be separated. He remarked: *"it is not merely bigger government that ultimately matters: what is significant is that morality in administration alone could ensure better government. One would not doubt that the morality in administration is sustained by patience, honesty, loyalty, cheerfulness, courtesy and like traits."*

P.R. Dubhashi writes while commenting on administrative ethics in India, *"In India, though there is no ethical code for public administrators, there are, what are called, the government servant conduct rules. These rules lay down what constitutes misconduct for the public servant. It is apparently implied that such misconduct, which is not permitted, is also unethical conduct."*

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NOLAN Committee – In 1994 Committee on Standards in Public Life was appointed by United Kingdom government to advice PM on ethical standards of public life under the chairmanship of Lord Nolan. It promoted certain code of conduct called **Seven Principles of Public Life.**

1. **Selflessness:** Holders of public office should act solely in terms of the public interest.

2. **Integrity:** Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

3. **Objectivity:** Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

4. **Accountability:** Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

5. **Openness:** Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing. Example- Supreme Court held that the office of Chief Justice of India comes under RTI to enhance transparency and openness in judicial system.

6. **Honesty:** Holders of public office should be truthful.

7. **Leadership** Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

With the shifting paradigm in governance **Emotional Intelligence** has also been recognized as a virtue in ethical governance. An emotionally intelligent administrator has multiple desirable values including-

1. **Dedication**- The quality of remaining committed to public cause and citizen welfare even in face of hardships, threat and temptation.

2. **Empathy and compassion**- Empathy is about being able to accurately hear out and understand the thoughts, feelings and concerns of others, even when these are not made explicit. Compassion goes beyond empath and arouse an active desire to alleviate the suffering of others.

3. **Tolerance**- It is a permissible attitude towards others especially when they have an opinion or viewpoint opposite to one's own opinion. An emotionally intelligent civil servant ensures that the workplace environment is conducive, disputes are resolved amicably and staff remains committed to the work.

6.1.3. Code of Conduct and Code of Ethics

S.No.	Criteria	Code of Ethics	Code of Conduct
1.	Meaning	Code of ethics are highest ethical standards that a civil servant is expected to display.	Code of conduct are minimum standards of ethical behaviour expected from a civil servant.
2.	Nature	General	Specific
3.	Scope	Wide and subjective	Narrow and objective
4.	Governs	Decision making	Actions
5.	Focused	Values and principles	Compliance and rule

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6.	Enforcement	Since they are general and broadly worded, they are difficult to enforce and their violation difficult to punish.	Since they are narrowly and specifically worded their violation can be punished.
	Status in India	There is **no Code of Ethics** prescribed for civil servants in India although such codes exist in other countries.	In India, we have several Conduct Rules, which prohibit a set of common activities. For example, **All India Services (Conduct) Rules, 1954.**

Q. Distinguish between "Code of ethics" and "Code of conduct" with suitable examples.
(UPSC Mains 2018)

6.1.4. Importance of administrative ethics

The following points highlight the **importance** of (or need for) administrative ethics:

1. To check the arbitrary activities and cut down discretion of civil servants.
2. To promote a culture of administrative accountability and responsibility.
3. To make the governance citizen centric and to make administration more efficient and effective.
4. To promote public welfare and social good.
5. To strengthen the legitimacy and credibility of administration and increase the trust that people have in the administration and hence the government.
6. To cultivate high standards of conduct and actions in civil servants and remove undesirable traits in civil servants.
7. As per the second ARC report, laws, by nature, cannot be complete and code of ethics assume more importance in situations where law is silent or not applicable.
8. To provide guidelines and rules which can harmonize the relationship between civil servants and political executive. Thus, promoting the non-partisanship and impartiality in civil servants.
9. To inculcate high moral standards in public servants and ensure their translation into actions.
10. To help in fulfilling the Constitutional mandate and abide by the principles of the social contract theory.

P.R. Dubhashi laying emphasis on the need of ethics in administration said, "*it is of utmost importance that the public administration should be efficient, but it is even more important that it should be ethical. It is said that if character is lost, everything is lost. It could be stated about public administration, that if ethics is lost, everything is lost.*"

Q. What does ethics seek to promote in human life? Why is it all the more important in Public Administration?
(UPSC Mains 2014)

6.1.5. Administrative ethics in India

The **Committee on Prevention of Corruption** ('Santhanam Committee'-1964) had remarked:

"*For a country like India, development of her material resources and raising the standards of life of all classes are, indeed imperative. At the same time, the deterioration in the standards of public life has to be arrested. Ways and means have to be found to ensure that idealism and patriotism have the proper place in the ambition of our youth. The lack of moral earnestness, which has been a conspicuous feature of recent years, is perhaps the greatest single factor which hampers the growth of strong traditions of integrity and efficiency.*"

In India, administrative service ethics are contained in the various Civil Service Conduct Rules. The important ones are: **All India Services (Conduct) Rules, 1954; Central Services (Conduct) Rules, 1955; and Railway Services (Conduct) Rules, 1956.** In addition to these, there are several rules and instructions dealing with particular situations pertaining to Civil Servants. The current set of 'enforceable norms' are 'Conduct

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Rules', typified by the **Central Civil Services (Conduct) Rules - 1964** and analogous rules applicable to members of the All-India Services or employees of various State Governments.

The norms prescribed in such rules are much older than the Rules themselves. The specific acts were proscribed from time to time through notifications under the Fundamental Rules and the Civil Service Regulations. Some examples are the disapproval of habitual lending and indiscriminate borrowing (1869), and the banning of various actions – accepting gifts (1876), buying and selling property (1881) etc. The breach of such prohibitions entailed punitive actions like removal from service.

In the 1930s, a compendium of instructions containing 'do's and don'ts' was issued and collectively called 'Conduct Rules'. The compendium was converted in the form of distinct rules in 1955. The Santhanam Committee recommended considerable enlargement of such rules resulting in the 1964 version. These rules have subsequently been updated to include additional norms of behaviour. Some of the additions are: the requirement of observing courtesy, prohibiting demanding and accepting dowry, prohibiting sexual harassment of women employees etc.

Also, there are provisions outside conduct rules also like 'illegal gratification' or bribery - Sections 161 to 165 of the IPC - or 'criminal breach of trust by a public servant' - Section 409 IPC - which provide for terms of imprisonment. In 1947, with the enactment of the Prevention of Corruption Act, a new set of offences was also created, wherein acts like criminal misconduct by a civil servant, taking gratification with ulterior motives, etc. were made punishable under law.

There is **no Code of Ethics** prescribed for civil servants in India although such codes exist in other countries. What we have in India are several Conduct Rules, which prohibit a set of common activities. These Conduct Rules do serve a purpose, but they do not constitute a Code of Ethics. The second ARC recommends a Code of Ethics and that it should include broad principles of the Minister-civil servant relationship as well. It should also include and define 'Public Service Values' towards which all public servants should aspire.

Any transgression of these values should be treated as misconduct, inviting punishment. Also, Conflict of interest should be comprehensively covered in the Code of Ethics and in the Code of Conduct for officers. Additionally, it suggests that serving officials should not be nominated on the Boards of Public undertakings.

6.1.6. Suggestions for creating strong ethical framework for administration

The OECD identifies eight key components of an ethics infrastructure as follows:

1. **Political commitment**- Political leadership and commitment are one of the most significant elements of ethical infrastructure of public life. Ethically committed leadership instils confidence in people who work with honesty and lead the way by being role models.

   Example – Lal Bahadur Shastri took moral responsibility of a train accident in 1956 and tendered his resignation twice. The second was finally accepted by Jawahar Lal Nehru, although reluctantly.

2. **Effective legal framework**- India has legal framework with provisions to cover various unethical and corrupt practices such as the breath of official trust and duties, abuse of power, misappropriation, and extortion, corrupt practices, acceptance of undue advantage and abuse of official's influence.

   a.   Prevention of Corruption Act

   b.   Civil Services Conduct Rules

   c.   Indian Penal code

   The key problem is not lack of legal framework, but weak enforcement. Without effective enforcement mechanisms, legal and administrative provisions on ethics and corruption are in themselves ineffective.

3. **Efficient accountability mechanisms**- Accountability system is determined by the strengths and weakness of the existing organizational arrangements and procedures to detect and punish corruption and other unethical practices. The current administrative structure in India is characterized by large hierarchies, red-

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tapism, complex processes and opaqueness. Individual civil servants wield too much power and discretion without effective accountability. An efficient accountability mechanism with clearly defined rules, avenues for public participation and public scrutiny, promotion to transparency and government process reengineering is needed for an effective ethical administrative framework

4. **Workable codes of conduct** - Code of conduct should be clearly and unambiguously worded. The values being promoted in code of conduct/ethics should secure genuine employee acceptance. The creation of code of conduct will be counterproductive if it remains a collection of mere slogans and it will further promote a cynical form of moral corruption.

5. **Professional socialization mechanisms-** Professional socialization includes soundness of training programmes organized to inculcate public spirited values among administrators. It also includes administrative culture prevalent in the office or department.

6. **Supportive public service conditions-** As Rose-Ackerman has pointed out "if public sector pay is very low, corruption tends to be a survival strategy." Public service conditions like salary, promotion, posting, transfers etc directly influence the conduct of civil servants. Public service conditions are also directly related to ability to attract and retain quality human resource.

7. **Existence of central ethics coordinating body-** Bodies that coordinate the overall ethics framework range from parliamentary committees, central agencies and departments or specially created independent agencies mandated to oversee ethics in the public service.

   a. Central Vigilance Commission (C.V.C.) and State Vigilance Commission

   b. Central Bureau of Investigation

   c. Institutions of Lok Pal and Lok Ayukta

   d. Department of Personnel and Training

They serve as a watchdog for the violation of code of conduct and ensure the expected ethical behaviour are displayed by the civil servants. The presence of protection for civil servants under Article 311 has often been mentioned as a reason for poor performance of these agencies. The existing bodies must be sufficiently empowered to check incidence of corruption and other grafts.

8. **An active civil society** - The effectiveness of civil society is determined by the level of public criticism of government tolerated in the particular society. The presence of free, unbiased and independent media is an important factor of exposing corruption and other unethical actions. Civil society must be able to question government decisions and official actions to ensure that they abide by the rule of law and ethical standards in the public service. Government oversight and internal mechanisms for accountability are not sufficient for combating corruption and other unethical behaviour unless they are supplemented by strong civic institutions.

It must be noted that a framework for maintaining and promoting the norms of 'right conduct' cannot be enforced through a rigid mindless enforcement of laws and rules. It is all a question of striking the right balance. Within the civil services there are formal, enforceable codes setting out norms of expected behaviour with 'sanctions' prescribed for unacceptable departures from such norms. There are also informal conventions and unsaid rules of propriety and acceptable behaviour without formal sanctions (code of ethics). Although not enforceable by law, non-observance of such practices and conventions attracts social disapproval and stigma.

6.1.7. Public Services Bill, 2007

The Bill seeks to provide a statutory basis for-

1. The regulation of the Public Services in India, as enshrined in Article 309 of the Constitution of India.

2. To regulate the appointment and conditions of the Public Servants.

3. To lay down and review the fundamental values of Public Services, the Public Services Code of Ethics, Public Service Management Code.

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4. To establish Public Services Authority for facilitating review and proper development of Public Services and in order to develop Public Services as a professional, neutral, merit based and accountable instrument for promoting good governance and better delivery of services to the citizens.

This bill recognizes and reaffirms that –

1. Good governance is an inalienable right of the citizens in a democracy

2. Good governance should be participatory, transparent, accountable, governed by the rule of law and be informed by equity and inclusiveness in governance, and effectiveness and efficiency in service, and

3. A politically neutral, professional, accountable and efficient public service is an essential instrument for promotion of good governance

Public service values

The public service and the public servants shall be guided and informed by the following values in the discharge of their functions:

1. Patriotism and upholding national pride.

2. Allegiance to the Constitution and the law of the nation.

3. Objectivity, honesty, care and diligence, courtesy and transparency.

4. Maintain absolute integrity.

5. Discharge official duties with competence and accountability; without discrimination and in accordance with the law.

6. Ensure effective management, professional growth and leadership development.

7. Avoid misuse of official position or information and using the public money with utmost care and economy.

8. Function with the objective of serving public.

9. Public Servants are to serve as instruments of good governance and to provide services for the betterment of the public at large.

10. Foster socio-economic development, with due regard to the diversity of the nation but without discrimination on the ground of caste, community, religion, gender or class and duly protecting the interest of poor, underprivileged and weaker sections.

Public Services Management Code

Public Service Management Codes are codes notified by the Central Government from time to time for the Public Services and Public Servants. The Government shall prepare Public Services Management Code based on the following principles:

1. Public Services is established as a professional, merit-based institution for promoting government policies and good governance.

2. Mechanisms and incentives to achieve and maintain high levels of productivity, efficiency and excellence.

3. Policies and structures to promote the viability and sustainability of the public services keeping in view the finances of the government.

4. The interface between the political executive and the public services based on the principles of neutrality, professional excellence and integrity.

5. Public Servants shall be accountable for their decisions or the decision-making process in implementation of the management of code.

> **Q.** Discuss the Public Services Code as recommended by the 2nd Administrative Reforms Commission.
> **(UPSC Mains 2016)**

6.1.8. Mission Karmayogi

National Programme for Civil Services capacity building is a nationwide programme to lay the foundation for capacity building of civil servants so that they remain entrenched in Indian Culture while they learn the best practices across the world. It will prepare Indian civil servants for the future by making them more creative, constructive, imaginative, proactive, innovative, progressive, ethical, professional, energetic, transparent and technology enabled. Its components include:

1. **iGOT Karmayogi:** The mission will be delivered by Integrated Government Online Training-iGOT Karmayogi Platform. It will

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act as a launchpad for National Programme for Civil Services Capacity Building to enable a comprehensive reform of the capacity building apparatus at the individual, institutional and process levels.

2. **Human Resources Council:** It will be set up under the Chairmanship of the Prime Minister comprising select Union Ministers, Chief Ministers who will provide strategic direction to the task of Civil Services Reform and capacity building.

3. **Coordination Unit:** It will be headed by Cabinet Secretary consisting of select secretaries and cadre controlling authorities.

4. **Capacity Building Commission:** It will include experts in related fields and global professionals. This commission will prepare and monitor annual capacity building plans and audit human resources available in the government.

The inculcation of values in civil servants, facilitating the subordination of the self to a larger, societal good, and engendering a spirit of empathy for those in need of ameliorative state interventions are not skills which could be easily imbibed after joining the civil services. Such attitudes need nurturing over not merely individual lifetimes, but through successive generations - the 'right' ethos takes long to evolve. Nevertheless, it must be accepted that our civil service system has a tradition of attitudes and achievements which sets examples to be emulated by current and prospective civil servants.

6.2. ETHICAL CONCERNS AND DILEMMAS IN GOVERNMENT

6.2.1. Introduction

Dilemma is a situation when a person has to decide between two equally desirable or undesirable choices. For instance, choosing one tourist destination among many to go for vacations is a dilemma. However, ethical dilemma is a situation where a person has to opt from two ethical values, where opting one over another ultimately leads to violation of non-opted principle. For instance – a civil servant needs to have compassion as well as objectivity as core values which in turn may be contradictory to each other.

An ethical dilemma is a situation before a moral actor such that whatever choice he makes, he is likely to violate at least one moral principle. An ethical dilemma is not just a decision-making problem. In this the choice is between two possible moral imperatives, neither of which is clearly acceptable nor preferable. It's sometimes called an ethical paradox in moral philosophy. It often amounts to choosing between two evils. For example, a whistle-blower is always in an ethical dilemma because it requires one to either violate loyalty to the organisation/people in the organisation versus the public benefit of disclosure.

Jean Paul Sartre (1957) presented a case to show ethical dilemma in real world situation. He tells of a young boy whose brother was killed in the German attack 1940. He wanted to avenge his brother's death and to fight German forces which he considered evil. But boy's mother was living with him and he was her only support in her life. The boy thus had a conflicting obligation- one of limited scope but certain efficacy, personal devotion to his mother; the other of much wider scope but uncertain efficacy, attempting to contribute to defeat unjust evil. Boy can do each of these things, but not both. Such ethical dilemmas are difficult to resolve and every individual has a different opinion about what is the greater obligation of the boy.

Thus, ethical dilemma has following features-

1. The moral agent is required to perform each of the two or more actions.

2. The moral agent has freedom to choose between the competing options.

3. The moral agent can do each of the actions, but agent cannot do both the actions.

The agent thus seems to be condemned to ethical failure, no matter what option he chooses.

6.2.2. Ethical dilemmas in government

Government is sole provider of many services and enjoys exclusive legitimate authority to use force. Government enjoys a lot of discretion and with wide discretions come many responsibilities. Many situations may arise in government functioning which may present ethical dilemma. Ethical dilemmas in government have following features-

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1. **Value conflict** – Two or more than two values are involved in the situation and one value has to be chosen for better decision making in governance.

2. **Alternatives are equally justifiable** – Choosing one value over other directly compromises the other principle which is also equally justifiable or desirable.

3. **Consequences for stakeholders**– Ethical dilemmas in government functioning and decision making have significant consequences for the stakeholders which make it tougher to choose one value. (As opting one over another may violate rights of certain people.)

Ethical dilemma in government institutions may arise because of the following factors -

1. **Different perspectives on what is ethically wrong and what are ethically right**– Different individuals have different view on what is ethical and what is not in a given situation. For instance – A military officer may consider martial law ethically right for maintenance of law and order however a citizen considers it high-handedness of government.

2. **Ambiguity in laws, rules and procedures** – In many situations ethical dilemma is caused by lack of clarity in existing laws and norms which demands critical thinking on part of government official to resolve it. For instance – Suicide is decriminalized under Mental Health Act 2017, but the Indian penal code's section 309 still criminalizes suicide creating ethical dilemma for those dealing with such cases.

3. **Traditional values versus modern values**– Although societies have modernized and some are under the process of modernization, but the traditional values still play active role in people's decision and behaviour. For instance– In Indian society, loyalty towards family and kinship is considered supreme value however for a government servant neutrality is equally important. This creates ethical dilemma for the government functionaries.

4. **Ideologies**– Presence of a wide spectrum of ideologies both political and economic creates ethical dilemma for individuals. For instance, choosing capitalism is against the principle of equality as it promotes profit as aim but on the other hand it promotes liberty for individual which in turn leads to innovation and creativity.

5. There may arise ethical dilemmas in situations where the future consequence of an action is uncertain. A decision can lead to two possible results one of which is desirable and the other is undesirable. An example can be, providing nuclear technology to another country. It can be used by the recipient for peaceful purpose like energy and medicine as well as there is possibility of it being used for producing weapons of mass destruction. A similar case is present, providing other nations with dual use technology like cryogenic engines which can be used in space programme or in missiles.

Ethical dilemmas

1. **Law versus compassion**- Law is the legal instrument of state for better governance of the society. Law is generally based on facts, scientific reports as well as it is also concerned with human well-being. Before becoming an act, a bill is subjected to review by various committees for wider consensus on the same. On the other hand, compassion is human emotion which involves sense of inclusiveness and responsibility for others. Compassion might be based on facts or might not be.

   Ethical dilemma is caused when opting for either invariably violates other one. For instance – In order to provide intended benefits of a particular scheme, a person may lack specified documents or failure of authentication can make him ineligible for the scheme. Here law is not clear whether to provide benefits to the person however compassion demands welfare of the person. Thus, a civil servant may face ethical dilemma between law and compassion.

2. **Conflict of interest**- According to transparency international, conflict of

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interest may occur when a government official has two competing interests: one related to official duty and other related to private interest. Private interest could be related to financial obligations or providing undue advantage to family and friends. A common example of conflict of interest is when an official is awarding a tender and a relative/friend is a bidder in that auction.

Q1. Public servants are likely to confront with the issues of "Conflict of Interest". What do you understand by the term "Conflict of Interest" and how does it manifest in the decision making by public servants? If faced with the conflict of interest situation how would you resolve it? Explain with the help of examples. (UPSC Mains 2015)

Q2. Conflict of interest in the public sector arises when
(a) official duties,
(b) public interest, and
(c) personal interest
are taking priority one above the other. How can this conflict in administration be resolved? Describe with an example.
(UPSC Mains 2017)

Q3. What is mean by conflict of interest? Illustrate with examples, the difference between the actual and potential conflicts of interest.   (UPSC Mains 2018)

3. **Organizational ethics versus self-conscience-** Government institutes have code of conduct and code of ethics to be followed by its functionaries. Thus, a government official has to abide by the organizational ethics. However ethical dilemma happens when government functionaries' own conscience pricks him and the decision or act may go against the organizational ethics.

4. **Level of decentralization versus people's participation-** Centralization in government departments is often seen as a common evil promoting corruption, lack of transparency and non-accountability. Thus, Indian Constitution provides for decentralized mechanisms such as local urban and rural bodies. However, the centralized system is more capable of quick decision making and

faster implementation. Further the efficiency and productivity enhances in the centralized system.

People's participation, on the other hand, is necessary for sense of collective ownership of resources, to hold government accountable for its laws, policies and ensure rule of law. Citizen charter, Right to information, grievance redressal mechanisms of various acts and measures such as e-governance provides for better participation of people in governance. However, it slows down the decision making as consensus among all parties takes longer than usual time. Further, the efficiency also gets affected many times due to larger number of people participating, that too from different cultural and educational background. This created the ethical dilemma in policy making for government organizations as whether to follow centralized approach or to ensure people's participation for good governance.

5. **Development versus Environment debate-** Development in any nation is measured by Gross Domestic Product (GDP) rate of the country. Thus, environmental resources are harnessed for utilization by citizens for growth of society. It involves clearing of forests for agriculture and ensuring food security and livelihood of millions, consumption of fossil fuels for industry and vehicles, construction of dams for power generation, irrigation and meeting water demands by households and such other activities that eradicate poverty.

Inspite of the better standard of living that development has provided in many nations, there are concerns emerging all around the world regarding this model of development which is consumption orientated. This debate is due to faster depletion of natural resources, displacement of forest dwellers, global warming and climate change leading to extreme weather events such as floods, drought and extinction of wildlife at unprecedented rate. Thus, the government agencies all over the world are embroiled in the ethical dilemma regarding development versus environment as opting one over other

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creates its own challenges in the longer run.

6. **Ethics of capital punishment-** Ethical dilemma in capital punishment revolves around reformative/restorative versus retributive/punitive justice. Supporters of reformative justice are mainly human right activists who claim that capital punishment impinges the right of offenders to reform and every human must get a chance to do so. Further, practical experiences show that capital punishment has not proved to be an efficient way of dealing with criminals as the crime rate either remains same or has increased. Capital punishment is considered to be inhuman and a barbaric method used by primitive civilizations to punish the crime perpetrators. Capital punishment, once executed, cannot be reversed even if new evidence shows innocence of the accused. In fact, punishment is seen as fuelling revenge in societies for which Mahatma Gandhi said, "an eye for an eye makes the whole world blind."

The campaigners of punitive justice and to be more precise capital punishment, give the argument that some crimes are so heinous like rape, homicide etc that an example has to be set in society to prevent their reoccurrence. Further, the impact on victim who suffers both psychologically and physiologically can only be assuaged by inflicting torment such as capital punishment on the offenders. Sensitive issues like national security, peace and sovereignty which are often under threat because of challenges such as terrorism, lone-wolf attack, reconnaissance also demands punishment as high as capital punishment in public interest. Thus, state organs such as lawmakers, judiciary faces the ethical dilemma regarding capital punishment, especially when societies are highly charged on emotions after heinous crime have taken place or national sovereignty is violated.

7. **Ethics of Panopticon society-** Panopticon was a system of surveillance and control designed by the philosopher Jeremy Bentham, similar to today's digital age which has led to technology penetration in every sphere of individual's life. Internet and smart phones have become so common for an average man to own. Right to internet access is fast becoming fundamental right in nations across the world. Big multinationals like Google, Facebook and other social media platforms now have access to individual's whereabouts. Not only private institution, but in era of digital governance, government too has not only physical but also biometric information of all citizens. This information is called data, which is used for providing various benefits to citizens, specially marginalized sections of society. For example, direct benefit transfer to farmers under PM KISAN for better remuneration, Aadhar linking under Mahatma Gandhi national rural employment guarantee (MGNREGA).

The infamous case of Edward Snowden, followed by Cambridge Analytica data scandal and now the Pegasus malware case presents the ethical issues involved in use of technology by government for surveillance, micro targeting of citizens and thus building panopticon society. Digital age thus has its own ethical dilemmas as it jeopardizes the privacy of citizens which is now considered a fundamental right in India. However, the same technology is useful in national security and thus, maintains peace and stability which is basis of growth.

8. **Ethical dilemma in affirmative action-** Affirmative policies refer to the special mechanism designed to provide access to public educational institutions and employment to marginalized sections of society. It harnesses and utilizes the potential of backward sections to participate in nation-building and have sense of collective ownership of resources. Thus, proponents of affirmative action argue that it is an ethical step as it prevents political, social and economic exclusion of vulnerable citizens.

On the other hand, it is often considered as a step against right to equality as certain section of people get policy advantage than others on the basis of their caste, gender or other ethnic identity. It is also considered a step against meritocracy which is the main feature of bureaucracy, according to Max Weber.

9. **Doctrine of double effect versus Pauline principle**- According to doctrine of double effect, if doing something morally good has a morally bad side-effect, it is ethical to do it provided the bad side-effect wasn't intended in the first place. Some common examples where doctrine of double effect creates ethical dilemmas are abortion and euthanasia. A doctor who believed that abortion is ethically wrong, would eventually perform an abortion operation in order to save mother's life in critical life-threatening conditions. In euthanasia, the terminally ill person or doctor might be against overdose of the medicine because of potential side-effects but to reduce the unbearable pain they may take the step even knowing, it can cause the death of the patient.

Doctrine of double effect gets more complicated with Pauline principle which states that it is morally not advisable to do something wrong even if something good may arise of that. Thus, in no case the end justifies the means.

10. **Deontology vs Utilitarianism in government decisions:** Government actions are generally based on utilitarian approach which may sometimes appear to go against duty of government. For example, government has duty of protecting legal property of every citizen but may opt to acquire it, even without consent of property owners, for development of infrastructure projects keeping in mind interest of larger section of the society.

6.2.3. Ethical dilemmas in private institutions

Ethics in private institution refers to ethical principles governing business activities. These principles are for employers as well as employees to be followed on case-to-case basis. Thus, ethics in business provides for moral code of ethics and conduct which ensures ethical thinking, decision making and conduct. For instance, appointment on merit, competitive practices, paying taxes to government and fair prices from consumers.

Private institutions sometimes have the same ethical concerns and dilemma as the public institutions. Corruption, nepotism, environmental law violation, organizational duty versus public responsibility is among many common ethical concerns. The structural and organizational framework of private sector, however, is different than public on many accounts. In Private institutions, the relationship between employer and employee can be formal or informal based on the type of organization. For instance, in traditional family-based companies the relation is generally informal as compared to the multi-national companies having professional management system. Further the pattern of activities also varies like from agriculture-based farmer produce organization to service sector-based hospitality industry.

The major difference is the objective. Public sector focuses on social welfare, regional equality and empowerment of vulnerable whereas private sector is basically profit orientated. This variance in relationship as well as activities makes the ethical dilemmas faced in private sector different from public sector. Thus, a different approach is needed to resolve these dilemmas for making moral decisions.

Ethical concerns:

1. **Fiduciary responsibility**- A fiduciary is a person or an entity entrusted with the responsibility to take care of money or other assets of its clients. Thus, as a fiduciary, a company or its employee is legally as well as ethically answerable to the client. For example, the trustees of a mutual fund have a fiduciary duty to protect and further the interests of investors.

In India, Sahara India Parivar investor fraud presents the concern regarding misappropriation of funds of millions as it jeopardized the lives of so many investors who mainly belonged to the lower strata of the society and barely earned enough to keep their body and soul together. It tried to gamble the life of majorly illiterate group of people who have less or no idea of the financial position of a company and

thus, are ambiguous about harnessing the opportunity to make benefit out of schemes such as Optionally Fully Convertible Debentures. The scheme requires knowledge about performance of the company and basic knowledge about proper time to turn such debentures into shares which will be a profitable for them.

2. **Accountability towards shareholders**- A company generally has major and minor shareholders. Minority shareholders are dispersed geographically and have little say in decision making while by virtue of majority shareholding, the large investors can manipulate the decisions of the corporates. Thus, it becomes necessary for the board, especially independent and non-executive directors, to ensure that interests of all shareholders are protected, their views respected and their grievances resolved.

   While the majority shareholders have privileges, the minority are often neglected in many aspects. The ethical concern, thus, is that rights of minority shareholders need to be protected specially in adverse situations.

3. **Gender discrimination** – Gender gap is a major ethical concern in private institutions as laws made by Parliament are generally applicable for public institutions only. For instance, Maternity benefit act provides for maternity leave to female working in formal sector only.

   In private institutions, glass ceiling, sexual harassment at workplace and wage gap are the major ethical concerns as they violate the right to equality and is against prohibition of discrimination based on gender. Gender discrimination recently was highlighted in the Harvey Weinstein case followed up by #metoo campaign all over the world.

4. **Green washing**- It is the process of conveying a false impression or providing misleading information about how a company's products are more environmentally sound. Companies, as per national and international laws are required to produce goods and services sustainably. However, the methods, processes used cause harm to environment like air pollution, water pollution which evokes negative response from environmentalist and citizens. Further, environmental laws impose heavy fines and punishment on such violators. Thus, emerge the ethical concern of green washing where such institutions show their unsustainable products as eco-friendly and this goes against eco-centric values promoted in wake of global warming, pollution and climate change.

5. **Quality of product and services** – Private institutions has not only legal obligation but also ethical obligation to provide quality products and services. Since, economies take into account consumption by citizens to measure growth rate of country, so the consumption-oriented culture drives institution to engage in unethical practices to reduce the cost of production. This in turn degrades the quality of goods and services.

   Other reasons for the same are poor law enforcement by government agencies, lack of awareness among citizens etc. For instance, India's food regulator had banned Nestlé's Maggie in 2015 after tests showed it contained excessive lead and for alleged mislabelling over flavour enhancer MSG (monosodium glutamate).

6. **Organizational duty versus public responsibility** – This is the classic ethical concern in which the moral actor has to choose from duty towards the organization and public responsibility. Duty towards organization has features of loyalty, secrecy and following norms of institution. In many cases, these duties are in conflict with public responsibility thus, eliciting ethical behaviour on part of moral actor.

7. **Profit driven agenda versus purpose driven agenda** – Although private institution is mainly profit oriented but recent debate of compassionate capitalism or purpose driven agenda has highlighted the ethical concerns related to former. In its bid to maximize the gain and concentrate wealth, private institutions get involved in unfair trade practices like poor wage labour, unbridled

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exploitation of resources, evading tax, unusually higher cost of goods and services and other such unscrupulous activities.

In last decade, purpose driven agenda has come in forefront because of the unethical challenges caused by profit driven agenda. Purpose driven agenda is a holistic approach which apart from maximizing profit aims at inclusive development of all. Thus, it's a tectonic shift from anthropocentric values to eco-centric values which focuses on sustainable development.

8. **Lobbying** - Lobbying is the act of attempting to influence the actions, policies, or decisions of officials, most often legislators or members of regulatory agencies. Private institutions engage in lobbying to further their own interest in market. Ethical concerns related to lobbying are complex as sometimes it can be useful for presenting concerns of under-represented sections or vulnerable groups. Lobbying can provide decision-makers with valuable insights and data, as well as grant stakeholders access to the development and implementation of public policies.

    Lobbying can also lead to undue influence, unfair competition and regulatory capture to the detriment of the public interest and effective public policies. Thus, nations need to clearly define the terms 'lobbying' and 'lobbyist' when they consider or develop rules and guidelines on lobbying. Further, providing a level playing field by granting all stakeholders fair and equitable access to the development and implementation of public policies is a needed measure to ensure transparency in lobbying.

9. **Conflict of interest** - According to transparency international, conflict of interest may occur when a government official has two competing interests; one related to official duty and other related to private interest. Private interest could be related to financial obligations or providing undue advantage to family and friends.

    For instance, In the ICICI Bank case, a whistle-blower has alleged that Chanda Kochhar faced a conflict of interest as CEO

and Managing Director of ICICI Bank, when the bank decided to lend ₹3,250 crore to the Videocon group in 2012 and with Videocon Chanda Kochhar's spouse, had business ties. Thus, there is conflict of interest as ICICI Bank's CEO informally pushed the loan to the Videocon group because of benefits received by her family members from the group's promoters.

10. **Corporate social responsibility**- Corporate social responsibility (CSR) is a business model that helps a company be socially accountable—to itself, its stakeholders, and the public. By practicing corporate social responsibility, companies can be conscious of the kind of impact they are having on all aspects of society, including economic, social, and environmental.

    Although, it's a positive model if followed generally but many times CSR is nothing more than an opportunity for publicity. As a firm, it tries to look good through various environmentally or socially friendly initiatives without making systemic changes that will have long-term positive effects. Thus, the value of truth and honesty is violated in such dubious attempts by companies.

> **Q.** Corporate social responsibility makes companies more profitable and sustainable. Analyse. (UPSC Mains 2017)

11. **Commoditization of data** – With technological companies witnessing giant leap in market as mankind embraces technological age of artificial intelligence, big data, internet of things, the ownership of data produced and its commoditization has raised ethical concerns. **Commoditization of data** refers to personal data becoming an independently valuable asset that is freely available on the market. The companies use the data of its customers without their consent for its own monetary and other benefits, thus, violating their right to privacy.

    Thus, to resolve ethical concern related to commoditization of data, the parameters for responsible data use, rights, ownership, security and privacy need to be defined,

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implemented and enforced consistently across industries and around the globe.

6.2.4. Framework for ethical decision making

In order to resolve the ethical dilemmas following steps can be considered:

1. **Recognizing the ethical dilemma** – It is necessary that the government functionary is capable of recognizing that there is an ethical dilemma in a given situation. For this one, should ask following questions to himself:

   a. Does the decision involve choice between a right and a wrong or between two rights or two wrongs?

   b. To what extent choosing one right over other will impact the stakeholders?

2. **Identifying the stakeholders**

   a. Identifying the likely parties to be affected.

   b. Does the problem resolution create more victims?

3. **Getting the facts**

   a. What are the relevant facts in the case? Are the facts genuine or collected from the right source?

   b. Are the facts devoid of personal biases/opinions/prejudices?

   c. What are the options available for taking the ethical decision?

4. **Approaches to solve the ethical dilemma**

   a. **Virtue approach** – According to Virtue school of ethics, character of agent determines the morality of task. Thus, the government official acts according to his virtues to reach the ideals which have been set by him. According to Plato, these virtues can be courage, wisdom, temperance and justice.

   In ethical dilemma, moral actor following virtue approach asks himself whether the decision represents the kind of person he is or he want to be.

   Criticism- There is no objective list of virtues for the government functionaries.

   Further virtues are culture as well as context dependent, thus changes from individual-to-individual leading to non-uniformity in resolving ethical dilemma.

   b. **Kantian categorical imperative**- According to categorical imperative, a person has to always choose duty principle over other values. Ethical dilemma can be solved by doing the right things so that people are treated as ends and thus, their own rights can be fulfilled.

   Criticism– Only rights of people cannot be sole factor in resolving ethical dilemmas as economic, social as well as environmental costs are also involved.

   For instance– Building a dam will ensure rights of many citizens but without proper safeguards like rehabilitation, it harms the forest dwellers as well as forest animals in long run.

   c. **Utilitarian approach**- In ethical dilemmas, the value can be chosen by finding out which option will produce the most good for maximum number of people. This approach takes into account the economic and social welfare of larger number of people.

   For instance– In post-independence period, government has to opt between capitalism and socialism to ensure prosperity of the citizens. India being a newly independent country with impoverished manufacturing and agricultural base needed government's support for growth in initial year. Thus, socialism as a principal value was added in preamble.

   Criticism- It is not always possible to measure goodness of outcomes. Also, utilitarianism focuses on maximum happiness for maximum number which in turn discriminated the minority.

   d. **Justice approach** – Justice approach focuses on treating the individuals equally in the ethical dilemma. Also, if there is any difference in treatment then the difference should be justified.

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Criticism – principle of justice can harm the social welfare in long run.

For instance- In an appointment if a male and a female candidate have scored equal marks, consideration can be given to female as it will send message to empowerment to larger society.

e. **Gandhi's Talisman** – Mahatma Gandhi's Talisman is a novel approach to solve the ethical dilemmas. Consciously remembering it whenever needed, helps to make moral decisions in larger public interest.

"I will give you a talisman. Whenever you are in doubt, or when the self becomes too much with you, apply the following test. Recall the face of the poorest and the weakest man [woman] whom you may have seen, and ask yourself, if the step you contemplate is going to be of any use to him [her]. Will he [she] gain anything by it? Will it restore him [her] to a control over his [her] own life and destiny? In other words, will it lead to swaraj [freedom] for the hungry and spiritually starving millions? Then you will find your doubts and yourself melt away."

f. **Situational ethics:** In modern day ethical dilemma, the context and the situation in which a decision has to be made is also very important. So, considering and assessing the background of an action also becomes important for resolution of any ethical dilemma.

g. **Conscience as guide to resolve ethical concerns** – Conscience is an internal dialogue of man with himself about right and wrong. These are the internalized values which make us reflect on life and ask, "what is it that I should do to make the ethical choice", and that ethical choice is not influenced in any way by any other person and event.

When the other approaches fail to resolve the ethical dilemma, the moral actor can rely on his conscience to know what is more ethical to do in a given situation.

h. **Law as source of ethical guidance** – Laws are rules and regulations made by the state which aims to regulate the decision making and conduct of its citizens. Since law derives its authority from the Constitution, citizens themselves as their elected leaders frame it and are based on best practices followed worldwide to uphold human rights; they are one of the legal and widely opted sources for resolving ethical dilemma. For civil servants, Constitution is final arbitrator in case of ethical dilemma as it is the supreme law based on which other laws are framed.

Criticism – Inconsistency in laws, loopholes, coercive and collusive nature of laws render them ineffective and thus, act as incompetent guide to resolve ethical dilemmas.

5. **Decision-making** – After careful consideration of all the above approaches, best option can be chosen to address the situation. The decision in ethical dilemmas also depends on the attitude, aptitude as well as emotional intelligence of the government functionary. The attitude and emotional intelligence can be strengthened during training, mid-career review and evaluation using multi-stakeholder feedback.

Also, basis for justification of the option needs to be clearly communicated, if need be, to address the concerns of all the stakeholders. This ensures collective participation of citizens in governance and thus, strengthen s the democracy.

Q. Explain the process of resolving ethical dilemmas in Public Administration.
   (UPSC Mains 2018)

6.3. LAW RULES AND REGULATIONS AS THE SOURCE OF ETHICAL GUIDANCE

6.3.1. Introduction

The ethics are standards of right and wrong conduct that a society place upon itself. These standards evolve over time. While making a

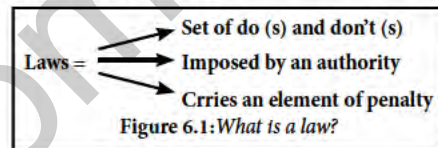**Public/Civil Service Values and Ethics in Public Administration**

decision these standards act as a compass which help a moral actor to evaluate different options and make right decision. Laws, rules and regulations along with conscience have been recognized as an important source of ethical guidance. In fact, deontological theory of ethics is entirely based on following duties, rules and laws. But the conviction and motivation to act in accordance with the duty comes from inside i.e., from conscience. According to utilitarian theorists the pursuit of happiness and avoidance of pain is the criteria for determination of ethicality of an action. But Jeremy Bentham has recognized that certain sanctions act on moral agents, namely, natural (fear of death), political (fear of punishment i.e., law), social (fear of boycott) and religion (fear of God) which help in ethical decision making. While these sanctions are external, JS Mill went a step further and added an internal sanction i.e., conscience, which acts as an internal source of ethical guidance.

The word *lex* (Latin for 'law') comes from a Latin word *ligare*, which means "to bind". Law imposes restrictions and induces people to act or restrains them from acting. With the establishment of state as the sovereign authority laws, rules and regulations have become effective instruments for determining and guiding behaviour of the citizens. The rule of law prescribes that no one is above the law and every person shall be treated equally. This has reduced the variation in standards that applied to different categories of citizen i.e., ministers, civil servants, elected leaders as well as private establishments. They have to abide by the same law and law does not discriminate on basis of status or power. Further, laws are made by the representatives of the people and in a participative democratic setup. The common people have avenues to participate in the process of the law formation so that it has sanctity and support of entire/majority community. Thus, we can infer that law is for a political community's common good.

6.3.2. Difference between Laws, Rules and Regulations

Laws are the enactment of the legislature. They are prescriptions and prohibitions that have sanctity and support of the state. In modern times it is held that laws must be passed by a representative or elected body. Laws are rigid in nature and their violation may attract punishment from the state. Laws by nature are incomplete and they are generally formed in response to a certain situation or event. Laws are made to regulate the actions of the individual. Laws are context specific and they guide the decisions and conduct of the individual in that particular context. Generally speaking, laws are a reflection of societal ethics that are codified and laid down for enforcement. Some laws can be framed for giving effect to international agreements or conventions. Example- Right of Children to Free and Compulsory Education Act, 2009, National Food Security Act, 2013, Unlawful Activities Prevention Act 1963 etc.

Laws =
- Set of do (s) and don't (s)
- Imposed by an authority
- Crries an element of penalty

Figure 6.1: *What is a law?*

Given the incomplete nature of law, regulations are made. Regulations can be understood as subsidiary legislations. They are made by the Executive in order to fill in the gaps that remain in the law. Regulations are standards and rules adopted by administrative agencies that govern how laws can be enforced. Regulations also need acceptance/ approval of the legislature to be enforceable. As such they carry the same force as the law. But regulations have to adhere to the broader limits set by the parent or enabling law. Regulations are rigid like laws and their violation also attract penalty from the state. In general parlance, the word 'regulation' is also used for the rules made by the regulatory authorities like Telecom Regulatory Authority of India or Central Electricity Regulatory Commission etc for regulating a particular sector like telecom sector, power sector etc.

Rules are set of instructions made by the people to guide their conduct. Rules can be made by government as well as private organizations. Depending upon the rule framing authority, the scope of application of rules differ. Certain rules made by the government can have force of law and are applicable for all, example- traffic rules or waste management rules; while the rules framed by the private organizations are limited to that particular organizations and its employees. Rules can be framed in different contexts like rule for house set

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by parents, rules of organization set by managers, even rules of games and sports. Their violation may attract sanction, but this sanction is limited and not as severe as those which follows when the laws and regulations are broken.

Rules are also formed to elaborate process and procedures of how a law and regulation will translate into actions. Laws, rules and regulations all have to adhere to the Constitution and if they violate the Constitution either in letter or in spirit, they are declared unconstitutional and void by the judiciary. Laws, rules and regulations are codified and written so they also limit the discretions of those who hold power to implement them. Further law, rules and regulations can have a reformative role which tends to set aside regressive customs and promote ethical standards. Example- Laws banning child marriage, child labour etc.

Note: For the rest of the discussion the words laws, rules and regulations are used interchangeably.

> **Q.** Distinguish between laws and rules. Discuss the role of ethics in formulating them. **(UPSC Mains 2020)**

6.3.3. Laws, Rules and Regulations as source of ethical guidance?

In case of ethical dilemma where moral agent is in confusion as to how to act, law, rules and regulations play an important role in guiding his decisions. This assertion is based on certain preconditions. The laws are made by legislators, but the legislators must act reasonably. What the legislator commands must be good, possible and just. It must be physically and morally possible to obey the laws. Laws must also be just, distributing goods and burdens equally. The law is for common, not private, good. Before anyone can be expected to obey a law, the legislator must promulgate it or make it known to the community. If the legislator does not promulgate or publicize the existence of a law, citizens will be ignorant of its existence and the legislator cannot expect obedience. When these preconditions are fulfilled, laws act as a source of ethical guidance because-

1. **Enacted by the legislature-** Citizens elect their representatives through free and fair elections and these representatives frame the law in the legislature. Law made by

competent authority and popular leader enjoys both legitimacy and support of the public. In case of ethical dilemma, people tend to repose their trust in the law and thus law act as source of ethical guidance. In India, Constitution is the final arbitrator in case any ethical dilemma.

2. **Laws are based on norms of the society-** Laws, rules and regulations help in shaping the actions of an individual and act as a source of ethical guidance as law are reflection of public morality. Laws are the codification of public ethics. In case of ethical dilemma, following law in letter and spirit automatically ensures that the ethically acceptable course of action is selected. For example- Recently, the provisions related to laws on crimes against women have been made stricter reflecting the ethical norms of the society and growing discontent in the society regarding violence against women.

3. **Fear of punishment-** Laws are sacrosanct and their violation leads to sanction from the state. The law has a coercive element to it and comes into force when it is violated. This creates fear, triggering the natural sense of avoiding pain and seeking pleasure leading to person acting in an ethical manner to avoid punishments. For example- Various Laws related to corruption like The Prevention of Corruption Act, 1988, The Benami Transactions (Prohibition) Act, 1988, Prevention of Money Laundering Act, 2002 etc. play an important role in ensuring that public officials conduct their actions in ethical manner.

4. **Objectivity-** Laws define objectively the scope and range of permissible actions. It takes away the role of subjective factors like impulse, biases, prejudices and preference from the domain of decision making. Law lays down objective criteria on basis of which desirability and ethicality of an action can be evaluated.

5. **Stakeholders' involvement–** Laws are generally framed after due deliberation and engagement of all the stakeholders, so that it represents the interest of all the sections

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of society. Stakeholders generally are interest groups, pressure groups, non-governmental organizations and experts of that particular field. With the new policy of putting draft law on government site for citizens feedback made even common man a stakeholder in the law-making process. Since the stakeholders have participated in the process of law formulation, it puts a moral obligation on them to adhere to the law. So, laws act as regulator of stakeholder's behaviour.

6. **Religious and cultural norms and law**– Religion and culture are powerful determinants of ethicality. Sometimes laws are based on these cultural norms like civil laws determining marriage, divorce, inheritance, adoption etc. In such case the amalgamation of religion, culture and law makes them a powerful force for regulation behaviour of human beings.

   But there are several limitations on cultural or religious norms like they are not universal in nature, they discriminate between roles for men and women, based on superstitions and thus, goes against the values of modernity which promotes equality, reasoning etc. In such cases, laws act as reformative force as it is based on reasoning, promote values of liberty, justice etc. For example- The law based on traditional morality like related to triple talaq, polygamy, denial of women entry to religious places needs to be changed by the force of law and regulations to ensure justice for all.

7. **Avoidance of slippery slope**– Laws lay down strict limitations on the authority and discretion of those in power. According to doctrine of slippery slope, by accepting something relatively less harmful we may start a trend such that extremely harmful becomes a trend in future. Thus, law provides a concrete way out of such situation where even accepting something less harmful is shunned by law. For example- Euthanasia- it is hard to define the level of suffering after which euthanasia can be allowed. So, the law has prohibited active euthanasia in India.

8. **Law is based on best practices** – Law is made by adopting best practices adopted across the world. This makes law universal in nature that is law aims to protect the right to life, dignity and other values such as secularism, fraternity. This makes it an ultimate guide in ethical dilemmas.

6.3.4. Limitations of law as source of ethical guidance:

Laws are potent to regulate the action of the humans but there is limitation to their effectiveness as source of ethical guidance because of the following factors-

1. **Coercive in nature** - Individuals, societies and nations do not look up to law as a source of ethical guidance because of coercive nature of law. Ethical forces are persuasive in nature and they help in evaluating what is correct and what is wrong. They do not dictate any particular course of action as done by the law. People abide by law and refer to law as source of ethical guidance because of fear of punishment as well as social boycott by communities. People contest that many times law is against their wishes and demands.

   For instance, in British India laws were framed by the colonial power and imposed on general public. Thus, leaders of freedom struggle didn't refer to British laws to resolve their ethical dilemmas and even opposed many laws through civil disobedience movement.

2. **Tool of powerful**- Law is often criticized as an instrument of oppression held by the powerful. Law has backing of the state power and those in power can manipulate law for their own benefit. In Indian scenario, we have seen that criminal elements enter the legislature through muscle and money power. Law becomes a tool in their hand to manipulate general public. For example- It is a known fact that large number of legislators have criminal records, but politicians are rarely convicted and go to jail. This defeats the purpose of law i.e. To protect the weak and ensure social and distributive justice.

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Philosopher Will Durant in his book- 'The Story of Philosophy' says that, "Law *is the invention of the strong to chain and rule the weak... Morality is the invention of the weak to limit and deter the strong.*"

3. **Collusive laws** – Instances of corruption arising out of insider trading, conflict of interest and collusion between political and business class discourage citizens to refer to law as a source of ethical guidance. Such cases reduce the trust of the general public in the law and law-making process itself. Example- Several instances of granting land to business in tribal and forested areas for industrial expansion or mining.

4. **Punitive versus reformative laws** – Punitive law has aim to punish the convict and impose proportionate cost on the violator of the act. Reformative law on the other hand seeks to reform the convict and assimilate him in the society. Different people can have different moral sense about what kind of punishment is justified for different type of crimes. A recent case has seen the demand of some groups to abolish death sentence for all type of crimes and give the opportunity to the convicts to reform. However, the other side demands even stricter punishment for heinous crimes and compulsory death sentence for crimes like gang rape.

5. **The Just Law:** Sometimes, there may be laws which are made by the competent legislature, but these laws are contrary to the accepted ethical standards. In such cases the violation of law may be ethical instead of blind adherence to the words of law. For example- The citizenship law of Myanmar rejects giving citizenship rights to Rohingyas. Such laws are patently unethical and cannot be the guide for moral decision and actions.

6. **Individual neglected over community:** Laws are reflection of collective conscience of the society so there may be a situation where individual rights are neglected for sake of collective rights. Contrary to this, the very basic motive of law is to protect freedom and liberty of ever individual. In

such cases law, itself becomes the cause of ethical dilemma. For example: The rise of Fascism and Nazism was possible because the rights of the individuals were subverted by the State.

7. **Inconsistency in laws:** On a particular subject matter there can be multiple laws, all either created by same authority or by different ones. This can create a dilemma as to which law to follow and which law to violate. For instance, Right to Information Act and Official Secrets Act can be at loggerhead to each other. In such cases, people try to play safe rather than doing what is ethically correct.

8. **Some laws may be prejudiced and biased:** While the basic law of the land (constitution) declares everyone as equal, some laws may create artificial distinctions. For example, parliamentary privileges and power of parliament to punish for its own contempt. These laws are often criticized as being unethical and promoting elitism in society.

9. **Laws in conflict with personal morality:** As stated earlier, laws are based on collective conscience of the society but sometimes this collective conscience can be in contrast with personal conscience. For example, a case of abortion or euthanasia. In case of euthanasia, a doctor may feel that denial of euthanasia is equal to condemning someone to a life of misery but since the law prohibits active euthanasia it becomes important for him to follow the law. In administration, consider a case where a civil servant has been ordered to demolish an unauthorized slum, but he may feel personally that doing this is wrong.

10. **Minimum standards:** Generally, laws lay down minimum standards of acceptable conduct. There may be conditions where the letter of the law has been followed but the spirit behind it has been violated. For example: The Anti-defection law in India is an example of law enforced morality. We have seen various instance of "legal defection" in past few years in different state assemblies.

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Laws are effective in guiding the conduct and action of an individual only when there are sufficient safeguards to ensure that the violation of the law will certainly attract sanctions. India has had law against littering in public place for long but its effectiveness in controlling public behaviour is a failed cause because its violations are never prosecuted. Supreme Court has observed that silent acceptance of violation of law is even worse than not having a law in the first place.

There are so many laws, rules and regulations that govern human behaviour that it is virtually impossible for any human being to know all of them. Further, there are so many instances of violation of laws making it impossible to prosecute them all. Law imposes morality and ethicality from outside. It is potent only under condition of supervision. While deontologists hold laws and rules as the principal guidance for public administrators on morality, even they recognize that laws and regulations are insufficient. Without conscience to apply those laws and rules to particular actions, public administrators are missing the crux of ethical governance. Laws, Rules and Regulations give so much discretion to a civil servant that without an awakened conscience these will invariably result in corruption and abuse of entrusted power.

6.3.5. Conscience as a source of ethical guidance

"There is a higher court than courts of justice and that is the court of conscience. It supersedes all other courts."
                              -Mahatma Gandhi

The word conscience comes from the Latin word *"conscientia"* which means "knowledge within oneself". It is something internal to a person which determined the goodness or badness of a human action. It is a special act of mind that comes into being when the intellect passes a moral judgement on goodness or badness of a particular action. Conscience is not a felling or an emotion but a mindful and intellectual decision. It is not a random thought, but it related to a moral judgement on a particular action. It can pass a moral judgement on an action that happened in the past or that is about to happen in the future.

Conscience is a cognitive act of mind based on value system of a person. It is the voice of inner self, but it is not irrational. It is not based on superficial choices which wax and wane with moods and preferences. It is the internal moral compass of a person. As conscience is based on value system, it develops over time based on various sources of knowledge, such as common sense, law, experience, society, family, educational institutions and religion.

Conscience acts a source of ethical guidance in following ways:

1. Conscience is the most immediate source of information which helps in evaluating different options and guiding human actions. Voice of Conscience is the first response towards any situation. It is the first thing that comes to mind when a person passes moral judgement on any action. Being the first response, it has deep influence on decision and action.

2. Since conscience is an **intellectual decision,** it allows man to exercise reason and transcend his animal instincts.

3. **Violation** of the voice of conscience **causes internal dissonance** which provides a drive for a person to avoid unethical actions.

4. Voice of conscience is **immutable** and accompanies a person throughout his life. It ensures that a person takes moral actions to the best of his abilities even when no one is watching him or when he is not under supervision. Conscience not only helps in taking decisions but also staying with the decision in difficult circumstances i.e., integrity.

5. It is through conscience that a person evaluates his own moral philosophy, character and motivations for action. Thus, it constantly **nudges a person to become best version of himself** and helps in moral development.

6. By nature, laws are incomplete. Conscience helps in interpreting laws in light of prevailing circumstances and filling voids left in law.

7. Conscience helps a person evaluate prevailing norms and laws and challenge unfair laws and norms. Thus, it helps in keeping society morally upright. Example:

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Efforts of Raja Ram Mohan Roy and Sati Law, breaking of unjust Salt Law by Mahatma Gandhi, Abolition of Slavery in the West etc.

8. Conscience helps in integrating prescribed norms with moral consideration which ensures that both letter and spirit of the law is followed.

Conscience becomes even more important for civil servants as they enjoy lot of powers and discretions without adequate accountability mechanisms in system. If a civil servant has a doubtful conscience, then he will not be able to take decisions in situations of value conflict. Further if a civil servant lacks conscience, then it results in self-serving attitude, corruption, nepotism and abuse of office.

N.R. Pillai, first cabinet secretary of India, writes *"The new Civil Servant should possess all the traditional virtues namely, efficiency, integrity and loyalty. The public servant of today should be one richly endowed with human sympathy and a widely awakened social conscience."*

> **Q.** What do you understand by the term 'voice of conscience'? How do you prepare yourself to heed to the voice of conscience? **(UPSC Mains 2013)**

Crisis of conscience

The behaviour of **immoral** persons can be explained by crisis of conscience. When conflicted with a moral choice, there is an inner voice in everyone, that guides them to the right course of action. But sometimes, it may be undesirable to go with the voice of conscience, if it is against public morality. Crisis of conscience happens when-

1. We do not listen to the inner voice- Sometimes, people do not listen to their inner voice because of external necessities over-riding their moral ideals.

2. We do not hear the inner voice in the first place- The absence of the inner voice can happen because of a permanent impairment to our moral values. This explains the behaviour of a habitual offender or a public servant taking bribes. In 2012, the Times of India had reported about the arrest of a man who was a habitual child offender for

an extremely long period of time. On being asked if he felt any remorse on committing the crime, he replied in negation and said that he did not even hear an inner voice to stop him from committing the crime.

Also, in some cases, when we are faced with an ethical dilemma, often choosing one course of action over another, leaves our inner voice dissatisfied. This leads to internal turmoil.

> **Q1.** What is meant by 'crisis of conscience'? Narrate one incident in your life when you were faced with such a crisis and how you resolved the same.
> **(UPSC Mains 2013)**
>
> **Q2.** What is meant by 'crisis of conscience'? How does it manifest in the public domain? **(UPSC Mains 2019)**

Intuition

Intuition is the ability to know something immediately without the need for conscious reasoning. It is based on the principle that moral truths are objective and that we can find them by directing our minds towards them. Intuition thus believes in the independent existence of moral ideas. It is neither one's emotion nor a gut feeling nor can it be discovered by reasoning. Intuition helps us in deriving moral principles because most people already have an idea of justice inside them. However, it has its own limitations. There is a difference between something actually being right and feeling right. Also, different people can have different intuitions and therefore will reach different conclusions.

6.4. ACCOUNTABILITY AND RESPONSIBILITY

6.4.1. Understanding accountability

Accountability is answerability of a person for his decisions and act of omission or commission to a formal system. Accountability is "formal responsibility" of a person holding office of trust and power. If answers are not found to be satisfactory, the accountable person will face sanctions and consequences for his act. Every public organization has a formal mechanism of

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accountability including supervisory board, audit institution, grievance redressal system etc. Outside the organization, accountability mechanism exists in form of legislative control of budget, judicial oversight and civil society activism.

The ultimate accountability of a public servant lies toward the public as the public is sovereign. Also, all the resources belong to public and targets are decided by the public through their elected representatives.

Accountability (as a value) for a civil servant is related to spirit and his concern for the public interest (public pathos). This mindset influences the efficiency and effectiveness of the public administration. Formal system of control is not sufficient to secure well performing public institutions because it can be manipulated and they are inherently incomplete as all possible future scenarios cannot be covered in laws and rules.

6.4.2. Difference from responsibility

Responsibility	Accountability
Responsibility is a sense of duty for the accomplishment of a task.	Responsibility + Answerability = Accountability
It arises by the virtue of one's commitment. It is self-acquired and assumed.	Accountability arises based on laws, rules and regulations. It is imposed by others and not assumed.
It can be delegated or shared.	It is codified and enforced; therefore, it cannot be delegated or shared.
Responsibility arises from within based on personal moral principles.	Accountability arises from outside based on authority or duty of a person to perform certain task.

Responsibility is moral obligation of an individual to behave with essence of commitment to the duty. It entails that a civil servant acts ethically as a person. Whereas, accountability means that the person is liable or answerable for his acts and decisions to some authority or formal system. During World War II, this distinction was

debated. Civil servants had acted unethically, but at the same time, followed rules and orders within the reigning bureaucracy that applied at the time. The accused civil servants would claim that they should not be held accountable, but at the same time, they had behaved irresponsibly.

Example-

When the CEO of Enron-Kenneth Lay, was indicted for bankruptcy, he argued that while he may be held accountable, he was not responsible for the fraud.

Lal Bahadur Shastri took personal responsibility of a train accident and resigned as railway minister (A Railway Minister cannot be held accountable for operational accidents; he is mainly concerned with policy).

When you write a letter but forget to send it then you are responsible for it. But if your boss tells you to post a letter and you forget, then you are accountable.

Figure 6.2: *The Delegation Triangle*
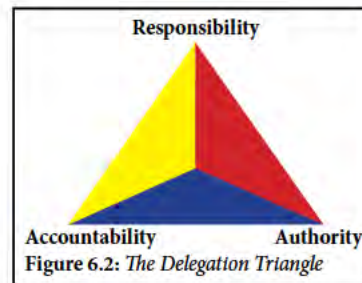
Q. What does 'accountability' mean in the context of public service? What measures can be adopted to ensure individual and collective accountability of public servants?

(UPSC Mains 2014)

6.5. ETHICAL ISSUES IN INTERNATIONAL RELATIONS AND FUNDING

6.5.1. Introduction

A century back, "survival of the fittest" was the guiding principle for the nations where every nation was engaged in expanding its "lebensraum" (German concept which talked about increasing its 'living space' or territory via settler colonialism).

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But the two world wars shook the very foundation of the international relations. This was followed by the cold war which made the situation in international arena even more complicated. It was realized that the blind pursuit of the self interest in the international arena was not conducive for the world which was interconnected and interdependent. Thus, ethics came to the realm of international relations.

The foreign policy of a nation is a tool for furthering the **national interest**. National interest is the goals and ambitions of a country in military, economic and cultural sphere. It begins from **survival of the nation**, but extends to the maintenance and growth of its reputation, power, ideology, wealth, influence, etc. There may be cases where national interest and international interest may be at divergence and in such cases, ethics becomes important. But again, ethical authority is said to be the weakest authority in international relations. This raises a question as to how to ensure ethical conduct of nations when there is no international body to enforce these standards on the powerful nations. For example- unilateral democratic intervention of the USA in Middle East, Russian annexation of Crimea.

The key question in international ethics is "*How can collective global interest be served if doing so requires some individual nations to forgo their own self-interest?* For example- Collective efforts are required to tackle climate change but developing countries must burn fossil fuel to keep their economies going on. Individual nations can advance on their own in short run but in long run collective efforts are needed especially when problems are transnational. Also, if all nations acted in blind pursuit of self-interest it will lead to chaotic, suspicious and vicious international environment where mutual gains from security and trade would disappear. In general, it is easier to provide collective goods in small grouping where status and aspirations of member nations are in convergence for example G7, ASEAN, BISMTEC etc. But when member nations have different ideologies, aspirations, motives and status ensuring cooperation becomes very difficult. For example, negotiations for climate action or WTO negotiations.

The issue is more complicated because of absence of central global authority. In contrast, in domestic politics, national government can force citizen to take actions that may go against their individual self-interest. For example: paying taxes or pollution control laws. In international arena, decisions have to be taken on consensus basis and they cannot be enforced if these agreements are violated. Although there can be moral suasion, economic sanctions or UNSC armed intervention but its effectiveness against powerful nation is questionable. For example- China's aggression in South China Sea. This raises another question on the equal status of sovereign nations. Although principle of sovereign equality is accepted universally, its translation into action is doubtful.

Changing balance of power politics around the world, born out of mutual distrust and sense of insecurity, make it often difficult for nations to strictly adhere to values they profess. When the self-interest and values are in conflict, invariably self-interest and self-preservation takes precedence. Example- India, which has a value laden foreign policy supporting peace and nonviolence, developed nuclear weapon for self-preservation and defence.

6.5.2. Theoretical perspective- Ethics of international relationship

There are three broad approaches to ethics in international relations-

1. Ethical norms do not apply to international relations (sceptical realism).
2. Ethical norms do apply to international relations:
   a. They are the norms of states that propagate universal values (Idealism).
   b. They are the norms of the morality of states (internationalism).
   c. They are norms that apply to all human beings in the society of humankind (cosmopolitanism).

6.5.2.1. Sceptical -Realism

International relation is a competitive game and relations between states are determined by power calculus of national interest. International relations

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do not depend upon morality, but they are maxims of prudence and practicality. Morality is abandoned wherever prudence dictates to do so. Even if morality is used in foreign policy, it is only another way of promoting national interest. Machiavelli has been seen as inspiration for realist and in modern time Hans Morgenthau was a prominent proponent. According to this perspective, moral principles not only aren't applied to international relations, but international relations are basically an ethical vacuum. It is based on arguments like-

1. International relations is a zero-sum game and states compete to get control over resources and do whatever is conducive to their survival without moral restraints.

2. In absence of any international body to impose ethical norms,

3. The very idea of sovereignty entails that there is no higher authority to which a state is answerable. Lack of common supranational power to enforce the ethical norms, renders such norms meaningless.

4. Governments acting in a trustee role always have a duty to their citizen to promote national interest irrespective of moral considerations for the rest of the world.

5. Because of diversity of values in the world, there is no universal moral standard and there can be no universal moral standards that can be used to construct a normative framework.

6.5.2.2. Idealism

Idealism refers to an approach to international politics that seeks to herald a utopian world. It advances certain universal ideals or moral goals, for example, making the world a more peaceful or just place. This approach is based on a dual premise, one that the current world political arrangements for achieving such goals are inadequate and two, that the human beings have it within their power to change these systems for the better. Idealism therefore, stands for improving the course of international relations by eliminating war, hunger, inequality, tyranny, force, suppression and violence from the world. It advocates morality as the means for securing the desired objective of making an ideal world.

6.5.2.3. Internationalism

Although international relations are mostly dominated by consideration of national interest, there is an ethical framework within which states generally operate. In an interconnected world, the relation between states is a mixture of cooperation and conflict, so some minimum accepted standards of international conduct must be established. The most widely accepted principles of international relations that form the basis of ethical framework are-

1. Non-aggression and non-interference towards other sovereign states.

2. Observation of principles of just war (*ius ad bellum* and *ius in bello*)

3. Keeping of international agreements and treaties. (*pacta sunt servanda*)

4. Code of treatment of ambassadors.

6.5.2.4. Cosmopolitanism

Cosmopolitanism is an ideology that although divided in nations, all human beings belong to a single community based on a shared morality. Cosmopolitanism argues that ethical standards exist in international relations and moral norms apply to all human beings and nations belonging to global community. This calls for universal human cooperation for benefit of all humanity. We share values like empathy, compassion, love for justice, liberty, equality of all persons, benevolence etc. across societies. These universal values are reflected in global platform in international agreements like "Universal Declaration of Human Rights", global cooperation against climate change, universal fight against terrorism etc.

It must be recognized that global community is still not well established and cosmopolitanism as a theory is more about "what ought to be" rather than what actually is reality. Under this theory, nations should act as responsible global citizens of international community who have duties like- to give aid, protect environment, promote peace, show tolerance towards other culture and ideologies. These universal values must find reflection in international relations and foreign policy pursued by the nations. This also implies setting up as well as reforming international institutions, improving

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international laws, especially human rights related because such changes will make realization of cosmopolitan values more effective.

Problem with cosmopolitanism approach is that some values change across society. Further, even when a value is accepted, its conception and minute details can vary from nation to nation. For example- Democracy in India and China is quite different. This raises a question- *Whether it is possible to evolve a set of fundamental values that is thick enough to guide the conduct of nations in international arena while being thin enough to accommodate diversity of nations?*

6.5.3. Core principles in international affairs for management of global resources:

Dominance- The dominance principle seeks to establish a power hierarchy in which those who are at the top controls those below. The dominance may come from hard power – economic or military- or soft power- ideology or culture. For example- Five permanent members of UNSC can be seen as reflection of dominance principle. The advantage of dominance principle is that like a government, it can dictate rules for all the other nations. It minimizes open conflict as well as promote order and stability. However, the disadvantage is the stability comes at a cost of constant oppression of, and resentment by, the low-ranking members in the status hierarchy. Also, conflict over position in hierarchy can affect the stability of the group.

Reciprocity- Under reciprocity international transactions are carried out on a transactional basis i.e., give and take. Good behaviour which is conducive for entire global community is rewarded while pursuit of self-interest at the expense of group interest is punished. Under principle of reciprocity all the sovereign states are equal and reciprocity is easy to "enforce" (example- diplomatic isolation). But reciprocity goes both ways, positive as well as negative example- disarmament as well as arms race. It can lead to downwards spiral as each side punishes what it believes to be the wrong act of the other nation. Most countries tend to overestimate their own contribution but underestimate the contributions made by the others further complicating the situation.

In international relations reciprocity is the most accepted principle. Example- if one country expels a certain number of diplomats from another country for spying, the other country always responds within days by expelling the same number of diplomats from the first country. Even international organizations adhere to these principles example- WTO explicitly recognizes reciprocity as the linchpin of cooperation (when one nation opens its market for other nation, other nation reciprocates by opening their own market).

Identity- The identity principle is based on the identities of participating nations as members of a community i.e., nation accepts and assumes the identity of the group. The identities can be based on religion, race, economic criteria, solidarity or even as member of common global community. The identity principle does not rely on self-interest. In fact, sometimes individual nations often let go of their self-interest to fulfil the interest of their identity group. Individual development assistance, Doctors without borders, UN peacekeeping force are such examples where countries self-defined identities as a member of global international community. The problem with such approach is that there may be situations where a country identifies with more than one groups and interest of groups diverge. Also, not all countries have ability to contribute to the identity group. This over time can create superiority complex and even dependency of the receiving country.

6.5.4. Various issues in international affairs-

1. Ethics of war
2. Ethics of migration and refugees
3. Ethics of protectionism
4. Ethics of international financial aid
5. The issue of Climate change. Who is to blame and how to share responsibility- current emissions from developing countries vs. historical emissions from developed countries.

Ethics of war

War ethics is the study of the extent and scope of morality of going to war and maintaining a moral

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conduct during the war. Its purpose is to help decide what is right and wrong for both, the soldier and the country, to generate debate and discussion on public policy and to guide actions of governments and individuals. It leads to creation of a formal code of war including rules of engagement, protecting rights of civilians and penalizing soldiers and others for war crimes.

The 'Just War' doctrine says that some wars can be moral under certain circumstances. It has three components:

1. *'Jus ad bellum'* i.e., Justice of war- A war can be justified if it meets the criteria of just cause, right intention, proportionality, chance of success, declaration by proper authority and war as the last resort.

2. *'Jus in bello'* i.e., Justice in war- It is based on the principle of discrimination and proportionality. Discrimination talks about the distinction between legitimate targets of war such as soldiers and combatants and others such as non-combatants and civilians. Proportionality principle involves proportionate use of force, i.e. no more than what is required to meet the objective. These are also institutionalized by the UN Charter and The Hague and Geneva convention.

3. *'Jus post bellum'* i.e., Justice post war- It deals with the morality of the termination phase of war, including the responsibility to rebuild.

The 'Just war' doctrine was followed by India in the Bangladesh liberation war. The intentions of the Indian government were noble in that the East Bengal people had to be liberated from the tyranny of the rulers of West Pakistan. India also did not annex or exercise control over the new country-Bangladesh and treated Pakistani prisoners of war in a respectable manner. However, the Iraq invasion by the US armed forces was not a 'Just war', rather it was just a war. The US forces failed to find any weapon of mass destruction, that was cited as one of the reasons for a second invasion. The United States invaded and occupied Iraq territory and made post-war Iraq no better than the pre-war Iraq. It is a stark reminder that the consequences of action were no better than that of inaction. However, critics argue that the 'Just war' doctrine has made violence acceptable and has since led to

the use of nuclear/chemical/bio weapons despite overriding the proportionality principle.

Ethics of drone technology in warfare

The rise of military drones usage raises new questions on ethics of war. While drones reduce the danger to life of the people deploying them, as compared to the on-ground forces or piloted aircrafts that fire missiles, but it raises significant questions about their ethicality. The precision of drone strikes offers a moral argument in the ethics of war, favouring their use. But the military must have strong, substantiated proof that

1. the target is an enemy combatant.

2. there is no alternative source of action wherein killing can be avoided.

3. there is no civilian presence.

4. the host-country will not go for a retaliatory strike.

Also, since the attacker is not physically present at the site, he lacks the moral consideration of not killing a person. The scope and legitimacy of drone use is also problematic. In international humanitarian law, the UN charter doesn't support countries flying armed drones when they are not at war, and bans firing missiles against rogue forces like ISIS and Al Qaeda without local government agreement. However, rarely these conventions are followed.

Pacifism believes that war and violence cannot be justified on any grounds and international issues must be sorted in a peaceful way. **Absolute Pacifism** believes that war and violence can never be accepted, not even in the name of self-defence and that end result of violence is always worse than non-violence. **Conditional Pacifism** is against war and violence in principle but believes that they can be a necessity sometimes, based on utilitarian principle. **Selective Pacifism** believes that immorality of war and violence is a matter of degree. It may oppose the use of weapons of mass destruction, biological or chemical warfare but not the rest. **Active Pacifism** believes in active promotion of peace and campaigning against war and when there can be no opposition to war, it

calls for reducing the ill-effects of war. The biggest challenge to Pacifism comes from Realism which states that Pacifism cannot be a national policy until every nation follows the same policy. Even a pacifist like Mahatma Gandhi has said, "*When there is choice only between cowardice and violence, I would advise violence.*" Even religions provide for use of violence when absolutely necessary. In *Bhagavada Gita*, *Krishna* preaches a confused *Arjuna*, that it is *Dharma* to fight against the unjust war that has been imposed upon him.

Ethics of migration and refugees

A refugee is a person who has been forced to leave his/her country in order to escape war, persecution or natural disaster. Refugee crisis is a global concern today because of millions of **war refugees** from Syria, Iraq, Afghanistan; **persecution refugees** from Myanmar, Pakistan, Yemen; **climate refugees** from Kiribati islands, Maldives, etc., leading to countries increasingly adopting stricter immigration and migration policies. Refugees are the most marginalized and vulnerable people with majority of refugees being women and children. It therefore becomes our moral duty to offer them sanctuary as going back may directly endanger their lives. Refugee crisis is often the result of military intervention by powerful nations which should be condoned by global institutions. It is because of these reasons that Indian amended its Citizenship Act, to make it easier for religiously persecuted victims from neighbouring nations to get permanent abode in our country. Additionally, climate refugees are not even responsible for their plight. It is because of collective human action that climate change is a reality now and glaciers are increasingly melting away leading to rise in sea levels and submergence of small island nations.

However, 'Life boat ethics' talks about national interest and challenges the ethicality of providing shelter to refugees. According to this doctrine, a nation has limited resources for only a limited number of people and that it would be immoral to the existing citizens if their share of resources are diverted to the aid of others. Sometimes, refugee settlement areas are also treated as a vote bank by certain political parties that results in populism and divisive politics, threatening to alter the social fabric. Incessant influx of refugees in smaller nations can even impact the local demography and introduce economic stress. If the living conditions of refugees are not improved then they can get trapped in the vicious cycle of poverty and may become dependent on social assistance for a very long time.

The responsibility to assist and come to the aid of the displaced people first falls on their own governments. However, if they are unwilling or unable to do so, then this responsibility transcends across national boundaries. As humans, we need to understand that refugees also have a right to remedial justice and that there are moral duties to those in great need and who have no other form of protection other than humanitarian assistance or asylum.

Ethics of protectionism

Protectionism is the economic policy of discouraging imports from other countries by imposition of tariff and non-tariff barriers like import quotas, anti-dumping duty, etc. The concept of national interest champions the cause of protectionism as it works in favour of labour welfare and rights, protects jobs and increases specialization by pushing people to compete in areas of strength. Also, new infant industries require protection from foreign competition where free market leaves little space for small craftsmen, artisans and traders. Free trade increases inequality in an already unequal world as money flows not to workers but to the wealthy elites. In absence of protectionism, competition increases, putting undue pressure on wages of the people resulting in poor living and working conditions. James Madison, the founding father of US said that the act of regulating commerce was not unconstitutional.

Ethics of '*Laissez faire*' state the otherwise, wherein, trade is kept free from any interventionist policies. According to it, the free market economic system gives rise to competition that brings out the best in us. In a globalized world, international trade is inevitable as no nation has all the resources that it needs. Moreover, protectionism leads to indebtedness from global institutions if trade deficit is high and foreign currency reserves are low. Further, protectionism can result in economic stagnation and even international conflicts.

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For example, when US imposed tariffs on steel, aluminium and other Chinese goods, China retaliated by imposing sanctions on US agricultural products.

Foreign Aid and International Funding

Foreign aid is voluntary transfer of resources from one country to other country. Foreign aid can be in the form of financial, military, technical or humanitarian assistance. Also, aid may be in the form of grant, with no repayment obligation, or a loan, generally at a concessional rate of interest. In the face of it, aid may appear as a noble altruistic and charitable cause where developed countries assist less developed countries to overcome various developmental challenges and promote economic development. But, on deeper analysis we realize that international aid as a foreign policy tool goes beyond just altruism but has a deep seeded realism.

Countries compete with each other economically, militarily and strategically. This raises a question that why countries spend billions of dollars as aid when it can be used to strengthen their economy and military. The use of foreign aid as an instrument of foreign policy started after World War II. USA started funding west European nations to assist them in their post war reconstruction and rebuilding efforts. Later the plan was extended as Marshal Plan to finance all the nations which were ready to join in the capitalist bloc during cold war period. In order to counter the capitalist 'dollar imperialism' USSR started its own foreign funding programme to assist socialist and communist regime around the world. Thus, through foreign aid both the blocs started expanding their domain of influence. This cold war rivalry highlighted that the foreign aid goes beyond altruistic aid and it is a political strategic necessity for preserving the self-interest.

A country may be providing foreign aid to a recipient country because of many **reasons** like-

1. Foreign aid is given for improving the image and reputation in international community (humanitarian assistance or developmental aid).

2. Foreign aid helps in building positive working relationship between recipient and donor country.

3. To promote the conditions for peace and stability especially in war torn countries. Some countries may genuinely believe that the international order and their own self-interest is linked with the prosperity of others in international community.

4. Some countries give out foreign aid because they consider it their moral and ethical responsibility to help the less fortunate people in underdeveloped countries.

5. Foreign aid may also be given as a symbol of repatriation of wealth which has been lost due to donor country's action. Example-drain of wealth due to colonial rule.

6. Foreign aid can be given as a symbol of diplomatic approval of domestic policy of the recipient country.

7. To strengthen an ally either militarily or economically.

8. Foreign aid may also be extended to reward a government for behaviour desired by the donor.

9. It can be given to extend cultural influence and build soft power.

10. Foreign aid may also be given for infrastructure creation especially in resource rich nations often to extract resources like minerals or oil from recipient country.

Foreign aid can be of following type-

1. **Bilateral Aid-** Assistance given by a country directly to another country is called bilateral trade. Strategic political considerations are often the most important determinant of the selection of recipient as well as amount of bilateral aid. For example- USA gave billions to Pakistan during operation Enduring Freedom in Afghanistan.

2. **Multilateral Aid-** Multilateral aid is provided by international organizations like World Bank, United Nations, IMF etc. These funds are generally for the human development in underdeveloped countries like poverty reduction, education and health.

3. **Tied Aid-** Under tied aid, the recipient country must spend the aid in the donor country or in a group of selected

countries. For example- Aid given by the China for infrastructure development but with a condition that the infrastructure development will be undertaken by Chinese firms.

4. **Project Aid**- Under project aid, the resources donated to the recipient country are ties to a particular project like hospital or school. Project aid takes away the autonomy of the recipient to spend money according to their own discretion and spending priorities are decided by the donor.

5. **Military Aid**- Military aid is never altruistic or charitable. Military aid generally comes with terms that necessitates the recipient buys arms or defence contracts with the donor country directly.

6. **Voluntary aid**- Voluntary aid is usually in the form of charity like Doctors Without Borders.

India also grants various kind of aids- financial, military and humanitarian. Financial assistance of India is primarily focused on immediate neighbourhood and in recent times, extended to cover Indian ocean region including Africa. The foreign aid helps India to maintain its geopolitical clout and to keep crucial partnership flourishing. India's foreign assistance programme offers a unique opportunity for South-South cooperation, especially, in the face of changing international dynamics.

Ethical Issues in International Funding

Most of the foreign aid flow from developed countries to poor countries. Also, most of the world's poorest countries are former colonies of some of the world's richest countries. So, whether the foreign 'aid' should be seen as charity from the developed countries or responsibility for the historical injustice committed on their part.

There is a normative ethical principle of global distributive justice which makes it responsibility of all rich nations to help poor nations and ensure that every member of global community has an opportunity to realize his/her potential. This implies that countries such as Norway, Sweden, Finland, Switzerland and a number of others, which played virtually no part in modern colonial enterprises,

are nonetheless seen as having ethical obligations in addressing global inequalities.

Aid is often given with conditionalities. It is either linked to a particular project or with terms that dictate, the aid money should only be used for buying goods and services from the donor country. These conditionalities reduces the discretion of the nations to make their own policy and effects their sovereignty. Local communities are not consulted and their needs are not taken as input for policy making. This increases the distance between ruled and ruler. Aid sometimes also leads to "philanthropic colonialism". Example- OBOR project of China is like a debt trap for countries like Pakistan.

On the other hand, when unconditional aid is provided or countries are not held responsible for complying with the conditions, there is possibility that the aid money will be used for unintended purpose. For example- United States gave Pakistan $6.6 billion in military aid to combat the Taliban between 2001 and 2008. Only $500 million is estimated to have ever reached the army.

Further, Economic Survey has called tax 'the glue that binds citizen and state together' but when a ruling dispensation depends upon the foreign aid for finances then, the need of the 'glue' itself is reduced. The government becomes more accountable to foreign donor than to their local citizens. So, in a way foreign aid strikes at the very core of democratic politics.

Foreign aid over long period of time creates dependence of the recipient on the donor. When the donor realizes this dependence, it can arm twist the recipient to manipulate its internal policies in the favour of the donor. The aid should be directed toward building the capacity of the recipient to become self-dependent and self-governed.

Some scholars argue that just like trade, aid is used in transactions. The basis of making foreign 'aid deals' is that each side has something to give that the other side holds dear. The donor countries 'buy' policies or concessions and recipient country is 'paid' for it. But this argument ignores a very important fact that trade happens between two countries, but the aid is given by one leader to another leader. Generally, democratic countries are more developed and richer. The democratically

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elected leader has desire to retain power and for that perception management of the domestic constituency is very important. Foreign aid to buy policy of different nations is very effective way to build a good image at home irrespective of how aid is used by the recipient nation. For example- During cold war, USA Presidents paid millions of dollars to dictatorial regimes to persuade them to maintain anti-Soviet pro-capitalist stance with little regards to how that money was being used by the dictator.

In dictatorial regimes, the dictator has incentive to create difficult circumstance like famine or epidemic in their country if there is possibility that the international community will provide aid. When aid is given, the resources originally with the nation that were earlier supposed to be used for the people, gets diverted. Further, when aid is given, there is little chances of it reaching the poor for whom aid was intended. Sometimes aid has done more harm than good for the people-

In the case of Africa, S. K. B. Asante (1985) said *"Summing up the experience of African countries both at the national and at the regional levels it is no exaggeration to suggest that, on balance, foreign assistance, especially foreign capitalism, has been somewhat deleterious to African development........ evidence available suggests that the forms in which foreign resources have been extended to Africa over the past twenty-five years, insofar as they are concerned with economic development, are, to a great extent, counterproductive."*

It is also observed that when a nation gets elected to the UNSC, it starts getting more international aid. A UNSC seat gives leaders valuable 'vote' to sell. They get more US and UN aid, better terms and more programmes at the IMF, World Bank, and a host of other institutions. But the empirical evidence suggests that the aid they receive results in worse performance for their economy. Many leaders, particularly those from autocratic nations, appear to prefer to sell the influence rather than exercise it on behalf of their people's interests.

These arguments have raised a question on the basic utility as well as the argument of ethics and morality as a reason for aid giving. Nations claim that their foreign aid is targeted to improve the condition of the most deprived sections of the international community but the underlying reason for foreign aid are more malicious.

Q1. At the international level, bilateral relations between most nations are governed on the policy of promoting one's own national interest without any regard for the interest of other nations. This lead to conflicts and tension between the nations. How can ethical consideration help resolve such tensions? Discuss with specific examples. **(UPSC Mains 2015)**

Q2. Strength, peace and security are considered to be the pillars of international relations. Elucidate. **(UPSC Mains 2017)**

Q3. The will to power exists, but it can be tamed and be guided by rationality and principles of moral duty.' Examine this statement in the context of international relations. **(UPSC Mains 2020)**

6.6. CORPORATE GOVERNANCE

Naresh Chandra committee on corporate governance remarked *"Good corporate governance involves a commitment of a company to run its businesses in a legal, ethical and transparent manner - a dedication that must come from the very top and permeate throughout the organisation. That being so, much of what constitutes good corporate governance has to be voluntary. Law and regulations can, at best, define the basic framework - boundary conditions that cannot be crossed."*

According to Cadbury Committee on The Financial Aspects of Corporate Governance, *"Corporate governance is the system by which companies are directed and controlled...... Corporate governance is concerned with holding the balance between economic and social goals and between individual and communal goals. The governance framework is there to encourage the efficient use of resources and equally to require accountability for the stewardship of those resources. The aim is to align as nearly as possible the interests of individuals, corporations and society."*

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According to Uday Kotak committee on corporate governance "*Corporate governance deals with the ways in which suppliers of capital to corporations, especially faceless, powerless small investors, can assure themselves of getting fair treatment as stakeholders.*"

According to Kumar Mangalam Birla committee, the fundamental objective of corporate governance is the "*enhancement of shareholder value, keeping in view the interest of other stakeholders.*"

6.6.1. Introduction

Corporate governance refers to the set of processes, customs, policies and institutions that determines how decisions are taken in corporates, how businesses are operated and regulated. Corporate Governance may be defined as a set of systems, processes and principles which ensure that a company is governed in the best interest of all stakeholders. It determines the relationship that exist between board, corporate, manages, shareholders, employees, auditor, consumers, government and society at large. Corporate governance is about promoting corporate fairness, transparency and accountability. It ensures:

1. Adequate disclosure and effective decision making to ensure sustainability of corporates

2. Transparency in business transaction

3. Compliance with statutory and legal provisions

4. Protection and promotion of shareholder interest.

5. Commitment to values and ethical conduct by corporations as well as corporate leaders.

Corporate governance is acceptance of the fact that shareholders are the real masters and management has a role of trustee on behalf of the stakeholders. It deals with conducting the affairs of a company in such a manner that there is fairness to all stakeholders and asymmetry of benefits between different categories of stakeholders is avoided.

The corporates have to ensure that it complies with its internal rules as well as country's laws in which they operate. Good corporate governance ensures growth and sustainability of the corporation in long run. The core motive of corporate governance is to maximize profit for shareholders in a sustainable manner, ensure society gets their due share in development while operating within the bounds of law. It is an important determinant of the work culture and work ethics that exist in a corporate organization.

Balancing ethicality, legality and profitability in Corporate Governance

Corporate governance can be viewed in terms of balancing profitability, morality, legality, social and environmental sustainability. The issue with corporate governance is ensuring maximum profitability of shareholders while operating in ethically and legally upright manner. When all three components i.e., profitability, legality and ethicality are in line then the transactions of corporates are smooth. But, in most cases profitability and legality takes precedence over ethicality - an example being surrogate advertisement for liquor.

Corporate governance also ensures that corporate leaders and decision makers act ethically like maintain a clear distinction between personal and corporate funds in management of a company. Ethical dilemmas may arise because of conflicting interest of involved parties. In this regard, managers make decisions based on set of principles influenced by values, context and culture of the organization. Ethical leadership is good for business as the organization is seen trustworthy, upright and virtuous which is also financially beneficial for the company.

In recent times, the cases of auditing frauds by Enron, 2009 global financial crisis, collapse of Satyam and Kingfisher in India, issues of privacy and accountability of social media houses like Facebook etc. have raised many questions on the status of corporate governance and business ethics. The issue of reconciliation of business and ethics is not new. **Gandhi ji called commerce without morality as a deadly sin.** (Harshad Mehta case: role of regulator; Satyam Scam: failure of auditing; ICICI bank: Conflict of Interest; PNB fraud: Internal Mechanism; Tata Case: Role of promoter; Infosys Case: Role of Independent Director)

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6.6.2. Importance of ethical corporate governance-

1. Trust and confidence sustain the market and ethical corporate practices provide the basis for such trust. Lack of corporate integrity compromises such trust.

2. Failure of corporate governance cannot be tolerated as they tarnish the positive contribution of responsible corporates to overall development of society.

3. The self-interested blind pursuit of profit, with no concern for other stakeholders, will ultimately lead to business failure and, at times, to counterproductive regulation. Thus, it is the duty of business leaders to always assert ethical leadership so as to protect the foundations of sustainable prosperity.

4. If capitalism is to be respected, and to ensure its sustainability, it must be both responsible and moral. Business, therefore, needs a moral compass in addition to its practical reliance on measures of profit and loss. This has led to development of idea of 'compassionate capitalism'.

5. When corporates act ethically, they are also rewarded monetarily. For example- through corporate social responsibility, corporates can build a positive image for themselves and consequently the brand value of their product, the likelihood of consumption of their product by people and the profitability also increases.

6. While laws and free market forces are necessary, they are insufficient guide for responsible business conduct (like tax avoidance though account sheet adjustments). This makes corporate ethics an important guide for responsible conduct of businesses.

7. Large corporates are publicly visible and when they fail, they fail "spectacularly". The ripple effect of their failure is not limited to their own sector but felt economy wide. They not only harm themselves and their shareholders but the entire economy is negatively affected. Example- The failure of IL&FS has resulted in credit crunch for entire economy because of reduced confidence of lenders.

6.6.3. Philosophical basis of Corporate Governance

There is an old saying that "good ethics is good business." According to French philosopher **Paul Ricoeur**, the aim of ethics is "the good life for and with the other person in just institutions." From here, evolved the idea of 'corporate citizenship'. Corporate citizenship implies that the corporation should act like a good citizen in society and realize that contribution to the common good of society is an essential element of good and ethical business. The rationale of ethics in business and going beyond only profit can be understood on basis on various ethical theories.

The **Aristotelian** ethical approach to corporate governance is fundamentally based on idea of quest for happiness or *eudaimonia* while being rational and acting according to reason. When corporates act morally, they act in a way that is genuinely conducive to their wellbeing. It is the public that gives legitimacy and "license" to corporates to operate in a particular location. So, it is in corporates own best interest to act in a way that is not blind pursuit of wealth but also socially and environmentally beneficial to ensure their own survival in long run.

The **Kantian** deontological approach to ethics of corporate governance is based on the idea of "categorical imperative". According to Kant, categorical imperative are unconditional directives that must be followed under all circumstances. Following categorical imperative by the corporates ensure that the rules and regulations are always followed and corporates always act on the basis of "good will". The universality principle and doctrine of means and ends ensure that corporates act in morally upright manner and also, they do not use society or environment as mere means to the end of profitability.

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*In 2015, US environment protection agency found that **Volkswagen** had installed a computer software in about six hundred thousand vehicles, to cheat the federal emission tests. Such cases of emission fraud by Volkswagen depict that the corporate knowingly acted in a wrong manner and misrepresented the emission levels showing that Kantian ethics were violated in corporate governance.*

The **Utilitarian** approach to ethics of corporate governance is based on maximizing benefit for maximum number. The moral actions of corporates are intended to produce the greatest good and do no harm to any stakeholder. The aim is to promote environmental, social and economic sustainability and the good life for all. This idea of integration of people, planet and profit (3P) (triple bottom line) is an integral part of corporate governance ethics under utilitarian perspective.

6.6.4. Principles of Corporate Governance

The principles of corporate governance are rooted in two ethical ideals- "spirit of cooperation" and "human dignity". The spirit of cooperation means working together for common good enabling mutual prosperity with healthy and fair competition. Human dignity refers to the value of each person as an end, not as a means to fulfil the purpose of others.

This led to birth of seven core principles of responsible corporate governance (Caux Round Table Principles for Moral Capitalism) -

1. **Respect stakeholders beyond shareholders.** An ethical corporation has responsibilities beyond its investors and managers. It contributes to society not only through products and services but also through wealth and employment generation. An ethical corporate acts with honesty and fairness towards its customers, employees, suppliers, competitors, and the broader community.

2. **Contribute to economic and social development**- An ethical corporation recognizes that business cannot sustainably prosper in societies that are falling or lacking in economic development. A responsible business therefore contributes to the economic, social and environmental development of the communities in which it operates. A responsible corporation enhances society through effective and prudent use of resources, free and fair competition, and innovation in technology and business practices.

3. **Build trust by going beyond the letter of the law**- An ethical corporation adheres to the spirit and intent behind the law, as well as the letter of the law, which requires conduct that goes beyond minimum legal obligations. It operates with truthfulness, transparency and keeps its promises.

4. **Respect rules and conventions**- An ethical corporation respects the local cultures and traditions in the communities in which it operates, consistent with fundamental principles of fairness and equality. It respects all applicable national and international laws, regulations and conventions, while trading fairly and competitively.

5. **Support responsible globalization**- As a participant in the global marketplace, an ethical business supports open and fair multilateral trade. It supports reform of domestic rules and regulations when they unreasonably hinder global commerce.

6. **Respect the environment**- An ethical corporation protects and, where possible, improves the environment, and avoids wasteful use of resources. It ensures that its operations are within environmental carrying capacity and complies with best practices in environmental management.

7. **Avoid illicit activities**- An ethical corporation does not participate in corrupt practices, bribery, money laundering, or other illicit activities. It does not participate in or facilitate transactions linked to or supporting terrorist activities, drug trafficking or any other illicit activity. Further, it actively supports the reduction and prevention of all such illegal and illicit activities.

6.6.5. Various Stakeholders involved in Corporate Governance:

The key stakeholder constituencies are those who contribute to the success and sustainability of business enterprise. In turn, key stakeholders are dependent on business for their well-being and prosperity. They are the beneficiaries of ethical business practices.

1. **Customers**- Customers provide cash flow by purchasing goods and services. Ethical corporations treat its customers with respect and dignity. Corporations have a responsibility to provide customers with the highest quality products and services at reasonable cost. They treat customers fairly in all aspects of business transactions, including providing a high level of service and remedies for product or service problems or dissatisfaction. The health and safety of the consumer must be protected and harmful environmental impact of the products must be reduced. The corporations should be sensitive to the culture and traditions of the customers in the way products and services are offered, marketed, and advertised.

2. **Employees**- Employees produce the goods and services sold. They are the real resource of the company. A responsible business treats every employee with dignity and respects their interests. Business has a responsibility to provide employment opportunities and compensation that contribute to improved living standards of the employees. The working conditions must be safe and healthy. A corporation should be open and honest with employees in sharing information, limited only by legal and competitive constraints. There should be adequate communication channels so that complaints, grievances and issues of the employees can be resolved.

   Businesses must avoid discriminatory practices and provide equal treatment, opportunity and pay in areas such as gender, age, race, and religion. They should also encourage the employment of differently-abled people in places of work where they can be productive. The employees should be treated as resource and corporates should encourage and assist all employees in developing relevant skills and knowledge. The business should be sensitive to the impacts of unemployment and work with governments, employee groups and other agencies in addressing any employee dislocations. Businesses must avoid illicit or abusive child labour practices.

3. **Shareholders**- Shareholders are the real owners of the company as they provide funds for the business. A responsible business acts with care and loyalty towards its shareholders and in good faith for the best interests of the corporation. Business therefore has a responsibility to apply professional and diligent management in order to secure fair, sustainable and competitive returns on shareholder investments. They also have a responsibility to disclose relevant information to shareholders, subject only to legal requirements and competitive constraints. Businesses must work to conserve, protect, and increase shareholder wealth.

   There are two kinds of shareholders- large and small. Large shareholders include persons with high net worth, institutional investors and companies. Small shareholders are dispersed geographically and have little say in decision making while by virtue of large shareholding the large investors can manipulate the decisions of the corporates. Thus, it becomes necessary for the board, especially independent and non-executive directors, to ensure that interests of all shareholders are protected, their views respected and their grievances resolved.

4. **Suppliers**- Suppliers provide vital resources. A responsible business treats its suppliers and subcontractors with fairness, truthfulness and mutual respect including pricing, licensing, and payment in accordance with agreed terms of trade. It also ensures that business supplier and subcontractor activities are free from coercion and threats. The aim is to foster long-term stability in the supplier relationships in return for value, quality, competitiveness and

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reliability. For sustainability, it is important to share information with suppliers and integrate them into business planning. To ensure that high standards of ethicality is maintained they should seek, encourage and prefer suppliers and subcontractors whose employment practices respect human rights and dignity as well as whose environmental practices meet best practice standards.

5. **Competitors**- Competitors provide efficient market. An ethical business engages in fair competition which is a basic requirement for increasing the wealth of nations and ultimately for making possible the just distribution of goods and services. Business therefore has a responsibility to foster open markets for trade and investment. They promote competitive behaviour that is socially and environmentally responsible and demonstrates mutual respect among competitors. Ethical management of corporations ensure that they do not participate in anti-competitive or collusive arrangements or tolerate questionable payments or favours to secure competitive advantage. They refuse to acquire commercial information through dishonest or unethical means, such as industrial espionage and respect both tangible and intellectual property of the competitors.

6. **Communities**- Communities provide social capital and operational security for the business. As a global corporate citizen, a responsible business actively contributes to good public policy and to human rights in the communities in which it operates. Corporates, therefore, has a responsibility to respect human rights and democratic institutions, and promote them wherever practicable. They should recognize government's legitimate obligation to society at large and support public policies and practices that promote social capital. Through, CSR corporates collaborate with community initiatives seeking to raise standards of health, education, workplace safety and economic well-being. Corporates promote sustainable development in order

to preserve and enhance the physical environment while conserving the earth's resources. They should seek to promote peace, security and the rule of law while respecting diversity of nation.
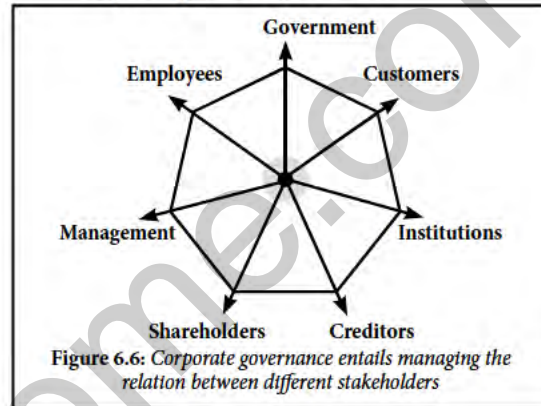
Figure 6.6: *Corporate governance entails managing the relation between different stakeholders*

6.6.6. Corporate Governance in India

1956	Companies Act 1956 contains first reference to corporate governance in India
1997-98	CII introduced voluntary "Code of Corporate Governance" along the line of UK's Cadbury Committee Report.
2000	On recommendation of Kumar Mangalam Birla Committee on Corporate Governance SEBI introduced clause 49 of Listing Agreement.
2005	Revised Clause 49 was issued.
2013	Companies Act 2013 introduces mandatory corporate social responsibility along with other changes.

Board of directors as company's main officers and decision makers have fiduciary duties to implement corporate governance best practices to achieve the vision and mission of the company. The long-term objectives of corporate governance in India is achieved through mechanisms ensuring that:

1. A properly structured board capable of taking independent and objective decision is placed in a position to steer the affair of the corporation.

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2. The board is balanced with adequate number of non-executives and independent director to ensure interest of all the stake holders is preserved.

3. The board adopts transparent process in decision making.

4. The board has adequate mechanism to address the concerns of all stakeholders.

5. The board remains in effective control of the affairs of the company as they are the trustee in which shareholders have reposed their trust.

6. The board keeps shareholders informed regarding of relevant developments in the company.

7. The board effectively monitors the functioning of the management team.

6.6.7. Companies Act 2013 - mandatory Corporate Social Responsibility

Article 135 of the Companies Act introduced mandatory CSR (Corporate Social Responsibility) for large companies. All companies with turnover of over ₹ 1000 crores, net worth above 500 crores or net profit of over ₹5 crores are required to spend at least 2% of their annual profit (averaged over preceding 3 year). CSR is acceptance of the fact that successful operation of a company depends upon the well-being of the society as it is the society which provides the ecosystem in which company operates. The Ministry of Corporate Affairs (MCA) also issued the Companies (Corporate Social Responsibility Policy) Amendment Rules, 2021, to amend the 2014 Rules, issued under the Companies Act, 2013. The latest rules require every entity undertaking CSR activities to register itself with the central government with effect from April 1, 2021. Also, companies whose CSR obligation is greater than ten crore rupees will be preparing an impact assessment report for all CSR projects where expenditure is greater than one crore rupees, so that outcomes of their CSR activities can be measured.

The **Injeti Srnivas Committee** on Corporate Social Responsibility also recommended that expenses towards CSR should be eligible for deduction in the computation of taxable income.

Additionally, the violation of CSR compliance could be made a civil offence and shifted to the penalty regime. A CSR exchange portal could be developed to connect contributors, beneficiaries and agencies, allowing CSR in social benefit bonds and promoting social impact companies. However, the committee strongly opposed the usage of CSR as a "means of resource-gap funding for government schemes".

6.6.8. Clause 49

The term 'Clause 49' refers to clause number 49 of the Listing Agreement between a company and the stock exchanges (NSE and BSE) on which it is listed. This clause was added to Listing Agreement in 2000 on the recommendations of the Kumar Mangalam Birla Committee on Corporate Governance constituted by the Securities Exchange Board of India (SEBI) in 1999. The purpose of clause 49 is to improve corporate governance in all listed companies. (There is long list of provisions under Clause 49, only important ones are covered here.)

Mandatory provisions

1. **Board of Director:**

   Composition of board- The Board of directors of the company shall have an optimum combination of executive and non-executive directors with not less than fifty percent of the board of directors comprising of non-executive directors.

   Where the Chairman of the Board is a non-executive director, at least one-third of the Board should comprise of independent directors and in case he is an executive director, at least half of the Board should comprise of independent directors.

   Non-executive Directors' compensation and disclosures- All fees/compensation, if any paid to non-executive directors, including independent directors, shall be fixed by the Board of Directors and shall require previous approval of shareholders in general meeting.

   Other provisions for board- The board shall meet at least four times a year, with a maximum time gap of four months between

any two meetings. A director shall not be a member in more than 10 committees or act as Chairman of more than five committees across all companies in which he is a director.

Code of Conduct- The Board shall lay down a code of conduct for all Board members and senior management of the company. The code of conduct shall be posted on the website of the company.

2. **Audit Committee:**

   Qualified and independent audit committee- A qualified and independent audit committee shall be set up, giving the terms of reference subject to the following:

   a. The audit committee shall have minimum three directors as members. Two-thirds of the members of audit committee shall be independent directors.

   b. All members of audit committee shall be financially literate and at least one member shall have accounting or related financial management expertise. The Chairman of the Audit Committee shall be an independent director.

3. **Disclosures:**

   Disclosure of accounting treatment- In the preparation of financial statements, if a treatment different from that prescribed in an Accounting Standard has been followed, the fact shall be disclosed in the financial statements, together with the management's explanation as to why it believes such alternative treatment is more representative of the true and fair view of the underlying business transaction in the Corporate Governance Report.

   Board Disclosures – risk management- The company shall lay down procedures to inform Board members about the risk assessment and minimization procedures. These procedures shall be periodically reviewed.

   Proceeds from public issues, rights issues, preferential issues etc.- When money is raised through an issue (public issues, rights issues, preferential issues etc.), it shall disclose to the Audit Committee, the uses on a quarterly basis. Further, on an annual basis, the company shall prepare a statement of funds utilized for purposes other than those stated in the offer document/prospectus/notice and place it before the audit committee.

   Remuneration of Directors- All pecuniary relationship or transactions of the non-executive directors vis-à-vis the company shall be disclosed in the Annual Report. Disclosures on the remuneration of directors shall be made in the Annual Report specifying all elements of remuneration package of individual directors summarized under major groups, such as salary, benefits, bonuses, stock options, pension etc. Also, Details of fixed component and performance linked incentives, along with the performance criteria must be provided.

4. **Report on corporate governance:**

   There shall be a separate section on Corporate Governance in the Annual Reports of company, with a detailed compliance report on Corporate Governance. Non-compliance of any mandatory requirement of this clause with reasons thereof and the extent to which the non-mandatory requirements have been adopted should be specifically highlighted.

■■■

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7.1. CONCEPT OF PUBLIC SERVICE

7.1.1. What is public service?

Public service is the process of supplying goods and services to members of the society usually by a government entity. It may be provided by various other stakeholders in a society who have the essential responsibility or motivation: civil society, individual activist, citizen, private sector, media and so on. Public services have intention of serving the public while keeping citizens at the centre as opposed to private services that have profit as core agenda. Public service is 'for the people' and 'by the people', via their representatives, as it is the public itself who decides the goals of public service.

'Public' in public service:

According to Joseph Stiglitz the 'publicness' of a service can be decided on basis of the link between decision makers and intended beneficiaries. In public service, people making decisions must be strongly linked to the people on whose behalf they make the decisions. Also, the scope of public service is wide in terms of the number of people it is serving. The socio-economic impact of the public service is also large.

7.1.2. Conceptual roots of public service

1. **Social contract:** Thinkers like Thomas Hobbes, John Locke etc. propounded that public service is the contractual obligation of government as the people have surrendered some of their rights and resources to them in return for certain basic services. Hence, public servants are bound to serve the people.

2. **Spirituality:** Thinkers like Mahatma Gandhi viewed public service as a way to salvation. He believed that public service elevates individual consciousness and produces the highest sense of fulfilment. He said, *"The best way to find yourself is to lose yourself in the service of others."*

3. **Giving back:** It is also believed that public service is the duty of those who have enriched themselves using public resources, so that a stable and happy society is achieved. It is the duty of those who are capable to serve those who are in need. This is the view held by rich philanthropists such as Bill Gates, Narayan Murthy etc.

4. **Spirit of service:** Public service is also viewed as a manifestation of individual morality which motivates public servants towards working for others. Such public service is based on individual conscience and social goodwill. Swami Vivekananda said, *"service of man is the service of God."*

7.1.3. Attributes of public service

1. **Intangible:** Public service is the provision of services which are essential for a society or are their basic right. Such services cover provision of justice, education, sanitation etc. Involvement of these tangible goods in such provision is considered incidental. The

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intangible nature of public service, however, leads to certain challenges in quantification, performance evaluation and so on.

2. **Moral**: Public servants are driven by their values and morals which motivate them to serve the people. Serving the people is based not just on authority or responsibility (as is the case with public officials) but is also on certain foundational values such as compassion, integrity, civic consciousness etc

3. **Obligatory**: Public service is not only a voluntary ethical undertaking but is also an obligation for the government and other actors. Since governments run with the consent and resources of people, they are politically as well as morally obliged to provide certain services to its people. Moreover, in the modern times, obligations have been imposed even on private sector to contribute to public service in the form of corporate social responsibility. Even civil society groups that are financed and supported by government are mandated to work in the direction of public service.

4. **Government-led**: Even though public service can be provided by a host of stakeholders (as aforementioned), public service is largely and centrally provided by the government. Governments have large scale resources (raised from the public itself) at its disposal and hence, leads the domain of public service. Moreover, in modern era, states have adopted the idea of welfare state which obliges governments to ensure well-being of people. The Directive Principles of the Indian Constitution also mandate the state to provide certain services to the people.

5. **Citizen-Centric**: The ultimate objective of public service is to serve the people, particularly in a democracy. Thus, services are provided as per the public's needs, demands, interests, rights and convenience. Various measures are adopted to ensure citizen-centricity in public service such as Code of Conduct, Right to Information, Citizen Charters etc.

6. **Collective goals**: Public service is provided to people as a collective group and not to individuals separately or discriminately. This is particularly true for a democracy where all citizens enjoy equality and other civic rights. Due to the attribute of collectiveness, public service is geared towards achieving goals that are good for public at large and not just for selective individuals. For instance, peace, environmental preservation, public parks, streetlights etc. are provided to people collectively and not selectively. However, with the rise of marketization and privatization, public services are being provided to people on a user-pay basis e.g., toll collection, bus fare etc.

7. **Ensures equality**: Public service is provided to all persons on an equal basis and all individuals are equal in the eyes of the service providers. For instance, courts see all individuals as equals while delivering justice. Public service is also aimed at establishing equality among groups or individuals when they originally suffer from inequalities. For instance, subsidized food, water, transport is provided to the needy so as to ensure their upliftment and achieve an egalitarian society.

8. **Vitality**: Public service also works as the enabling factor for people as they use the service as the means to achieve other ends. For example, free education provided by the government or NGOs enables the youth to achieve stability and prosperity in their lives.

9. **Sovereignty**: Some services in the public service domain have traditionally been provided by the sovereign, that is the government such as law and order, defence, justice and so on. The government is bound to provide these basic services to the people due to the social contract between them. Some public services are exclusively provided by the government because only the government has the authority or capability to provide them in an effective manner.

Various Public Servants

Under the **Prevention of Corruption Act, 1988**, *'a person who holds an office by virtue of which he is authorised or required to perform any public duty'*, is a **public servant**. 'Public duty' under the Act is a *'duty in the discharge of which the State, the public, or the community at large has an interest'*. The Supreme Court has expanded the definition of 'public servants' under this Act multiple times by adding Universities, Managing Director and Executive Director of private banks (operating under a licence issued by the Reserve Bank of India), etc., to its scope. It is to be noted that in the present times, these actors that are public servants do not work in silos but are coming together in multi-stakeholder collaborative arrangements to work together for a common purpose. This will be described in detail in the following section on 'changing nature of public service'.

Figure 7.1: *Various Public Servants*
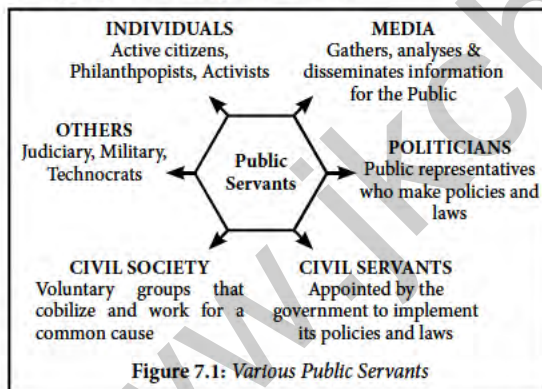
How are civil servants different from public servants?

1. **Professional:** Civil service is a profession and not a voluntary initiative like civil society or movement like that of politicians. Civil servants are supposed to adhere to norms of professionalism like specialization, objectivity, efficiency etc.

2. **Career:** Civil servants usually work in a lifelong career service with assured career advancement and job security. Their work is not temporary or ad hoc like elected politicians or activism.

3. **Appointed:** Civil servants are appointed for their merit and capability by the governments whom they work for. They are not elected like politicians or civil society representatives. As they are appointed for their merit, they are able to take decisions as per their stated professional objectives rather than populism.

4. **Civil Service values (neutrality, impartiality, anonymity):** Civil servants, especially in democracies and multi-party systems, are supposed to be politically neutral, impartial towards any individual or group and maintain anonymity in their functioning. These values enable civil servants to work in a stable, fair and effective manner. Other types of public servants may have political leanings and work publicly by mobilizing people.

Q. What do you understand by the term 'public servant'? Reflect on the expected role of public servant.

(UPSC Mains 2019)

7.1.4. Significance of public service

1. **Morality:** Public service is the manifestation of individual morality and values that motivate public servants. It is a way to achieve self-fulfilment and salvation for individuals. Besides, public service is also a reflection of social morality which drives members and sections of society to work for each other's well-being. For instance, Indian tradition has the concept of *'punya'* (good deed) which one can carry out by serving others, especially the needy.

2. **Rights and entitlements:** In modern democratic states, public service is also a right of the public as a whole. The social contract theory lays down that people surrender some of their rights and resources so as to ensure provision of certain services in return from the government.

3. **Essential:** Public service is not just a voluntary good deed but is also indispensable for a society. For a healthy society, it is

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important that some persons and sections come forward to work as public servants so that the society remains healthy and offers a good life to people. Besides, certain services and amenities are essential in nature (such as water, food, sanitation etc.) that must be provided to the public by the public servants.

4. **Equality and equity:** A large component of public service is aimed at supporting and serving the needy and disadvantaged. Such public service ensures social mobility and an egalitarian social order and the betterment of all in the long run. This is the basic principle behind the concepts of 'Antyodaya' and 'Sarvodaya'.

5. **Social stability:** Public service is so crucial for a society that in its absence, unrest and chaos is likely to arise. Public service is necessary so that basic rights such as justice, equality, liberty, dignity etc are protected. Public service provides a good life to people who in turn respect the prevailing social order. Kautilya said that in the absence of state, 'matsyanyaya' (large fish eating the small fish) will prevail.

6. **Performance evaluation:** In the era of good governance, the character and quality of public service is used by people as the key criteria to evaluate government performance and then fix accountability through elections, legal recourse etc. For instance, the integrity and service delivery of government are used by people while deciding their votes.

> **3Es (Efficiency, Effectiveness, Economy):** In modern times, public service not only needs to ensure availability and accessibility but also quality in its working. Public servants must ensure efficiency, effectiveness and economy in their working so as to best utilize public resources and deliver the best returns to the public.

Q1. "The best way to find yourself is to lose yourself in the service of others."
   – Mahatma Gandhi (UPSC Mains 2020)

Q2. What is mean by public interest? What are the principles and procedures to be followed by the civil servants in public interest?   (UPSC Mains 2018)

7.1.5. Changing nature of public service

1. **Privatization and marketization:** As governments are falling back from the domain of public service, private sector is taking over the domain. Private sector is taking up not only the contracted-out service delivery (roads, electricity) but is also taking up altruistic public service through corporate social responsibility.

2. **Increasing role of state:** While there is roll back of state to eliminate inefficiencies, at the same time, the role of the state is also expanding into newer domains. Economic redistribution, industrial regulation, environmental conservation, welfarism etc. are new domains where public service is the key basis of functioning and larger public interest is the goal.

3. **Quality of service delivery:** With growing public awareness of their rights, people have begun to demand reasonable quality in service delivery. This has made public servants move a step further from passive top-down manner of public service to active participative manner of public service. It has also necessitated public service to fulfil certain quality norms such as citizen charter, six sigma and so on.

4. **Third sector:** As governments are falling short of public expectations (corruption scandals, communication gap, unresponsiveness etc.), people are beginning to mobilize and organize themselves as alternate actors in public service. They are serving the public at large, sometimes in a more professional, responsive and effective manner. For instance, Teach for India, Mazdoor Kisan Shakti Sangathan, Self Help Groups etc. are some voluntary organizations that are serving people and complementing the roles of both the market and state.

5. **Multi-stakeholder collaboration:** Public service is no longer confined to the traditional state but is seeing the participation of new actors who work to serve the people as per their own strengths. The latest paradigm of public service is based on collaboration, coordination and cooperation among all

stakeholders. Public Private Partnership is one example where private production and government regulation work together for public purposes. Nowadays, civil society is also getting involved in PPP to ensure fairness and accountability in its functioning, leading to a new paradigm of PPPP i.e., Public Private People Partnership.

6. **Increased digital penetration:** Globalization and digitization have raised standards of service delivery by private enterprises which sometimes set the benchmarks for even public services.

Almost overnight, the Coronavirus pandemic transformed the work and workplaces of the public servants. They were at the forefront of handling the COVID-19 crisis, and seen leveraging innovation and creativity, often on a shoestring budget, to come up with unique and quick responses to the crisis. For example, development of drive-thru testing sites and contact tracing apps, very early in the pandemic, in the Republic of Korea; the use of robots to carry out medical tasks such as temperature taking so as to minimize contact between infected patients and healthcare workers in Rwanda, etc. Governments with robust public services were able to fight COVID-19 in an effective manner. For instance, even after increasing number of cases, Kerala had few cases of people dying outside hospitals due to lack of medical facilities.

7.1.6. Different views on public service

1. **State Minimalism:** This is the classical western view of public service where state is expected to carry out the very basic essential functions (law and order, taxation etc.) and leave the rest to private initiative. It not only carries out economic activity but also does social work for the good of all. This leads to efficient allocation of resources, liberty and prosperity; however, it also leads to social inequality, exploitation and possibly, consequent social unrest.

2. **Statist:** This view believes that the state is the only capable and suitable actor for public service as it does not work with the profit motive and is responsible to the public at large. It advocates a socialist kind of state that performs all possible functions with the aim of benefitting the greatest possible number of people, especially the needy. It leads to equitable development and fairness in the society but involves some inefficiency and ineffectiveness due to the inherent problems of government such as red-tapism, lack of expertise, bureaucratic apathy etc.

3. **Good governance:** This concept promoted by World Bank calls for convergence of state, private sector and civil society so as to combine the strengths of all and eliminate their weaknesses. It requires public service to ensure certain qualitative features such as transparency, accountability, participation, efficiency and effectiveness etc.

7.1.7. Ethical concerns in public service

1. **Self-aggrandizing:** Public servants use the authority and resources vested in them to maximize their selfish gains rather than public interest. Bureaucrats using official facilities (vehicles, equipment etc.) for private use is one example.

2. **Opacity:** Public service providers often lacks transparency in its functioning due to various reasons like lack of public awareness, hiding wrongdoing etc. Such lack of transparency becomes the breeding ground of corrupt practices.

3. **Corruption:** Misuse of power to enrich oneself through coercive and collusive methods is a rampant problem across the world which is undermining people's faith in public service.

4. **Lack of accountability:** Public servants are provided great resources and powers but are seldom subject to accountability for their actions. This leads to inefficiency as well as misconduct in their functioning. There is need for ethical, legal and institutional framework to improve accountability of civil servants.

5. **Authoritarianism**: Public servants often misuse their authority to supress dissent or further their selfish gains. Suppression of peaceful constitutional protests by governments to avoid questions is an example.

6. **Inefficiency and ineffectiveness**: Public service is often seen to be done just for namesake and lacks the quality to produce the desired outcomes. Poor quality of education provided in government schools is one example.

7.2. PHILOSOPHICAL BASIS OF GOVERNANCE AND PROBITY

7.2.1. Understanding governance and probity Governance

The World Bank defines **governance** as *"the manner in which power is exercised in the management of a country's economic and social resources."* The World Bank refers to the three aspects of governance:

1. the form of political regime,

2. the process by which authority is exercised in the management of a country's economic and social development

3. the capacity of government to design, formulate, and implement policies and discharge functions.

In 1997, the UNESCO defined governance as a process whereby citizen needs and interests can be articulated for the positive social and economic development of the entire society and in the light of a perceived common good. Governance is not limited to the actions of government. It is said that the task of governance is too difficult for the government to handle alone. This assertion that governance goes beyond the scope of government reflects the essence of democratic governance which ensures continuous citizen participation and engagement in the process of governance.

Good Governance

Good governance promotes equity, participation, pluralism, transparency, accountability, democracy, and the rule of law in a manner that is effective, efficient, and enduring. 2nd ARC has recognized some core principles of good governance-

1. Rule of law which requires that laws and their implementation be transparent, predictable, equitable and credible.

2. Accountability at each level of administration

3. Minimization of unfettered discretion

4. Putting the citizen first- citizen centric governance

5. Governance to be built on strong ethical foundation

6. Principle of subsidiarity (which implies both devolution and delegation of authority).

e-Governance

Electronic governance or e-governance is the application of Information Technology for delivering government services. Through e-governance, government services are made available to citizens in a convenient, efficient, and transparent manner. It also enables a citizen centric administration where citizens can participate effectively. Indian Government has launched the National e-Governance Plan (NeGP) which involves making all Government process backed by a digital infrastructure and making them available through special delivery centres.

Minimum government, maximum governance

Prime Minister of India on the Civil Services day celebrations gave the slogan of 'Minimum government, maximum governance' to the young probationers to usher in a new era of bureaucracy. He envisioned a change in public service delivery by retreating from those activities where government's role is counter-productive and private participation would better pay-off. The concept also involves reducing the number of touchpoints between the citizenry and the administrators in order to deliver contactless service making it more effective and productive. Initiatives like Digital India, DBT or Direct Bank transfer, Aadhaar, Ujjwala scheme, codification of labour laws, etc. have brought about development while also ensuring transparency, accountability, reduced instances of corruption, etc.

Ethical governance

The concept of good governance is now being extended to the concept of ethical governance

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or probity in governance. **Probity** means being morally and ethically above reproach. Probity in governance is sum total of public-spirited values like integrity, honesty, uprightness, dedication to public service and objectivity. Probity implies not just absence of dishonest behaviour or corruption but also an added element of ethical trust.

Probity stands for impeccable standards of morality in public life. It goes beyond financial honesty or non-corrupt behaviour. Probity means that public servants will take no undue advantage of any sort from their office. They will avoid any semblance of impropriety.

> **Q.** What do you understand by the terms 'governance', 'good governance' and 'ethical governance'? (UPSC Mains 2016)

7.2.2. Philosophical basis of governance

Plato's views on governance:

The philosophical basis of governance can be traced back to ancient Greece. Democratic governance structure was present in Athens (Greece) way back in 4th and 5th century BC. Popular leaders were elected and decisions were taken after discussion and debate. But, Plato, in The Republic, raised a number of **objections to the democracy.** Through Socrates, Plato argued that in a democracy where everyone has right to rule, people will be driven by selfish desire to grab power for themselves. Democracy risks the emergence of dictators and tyrants. Further, there is also a possibility that a person with no skill or moral character can be elected as a ruler in democracy. For Plato, ideal rulers are philosopher-kings. Thus, Plato's political views are considered as totalitarian.

Aristotle's views on governance:

Aristotle brought philosophy and politics closer. He coined the word ethics (ethos) and argued that ethics and politics are two separate but closely related fields of study, since ethics examines the good of an individual, while politics is concerned with the good on city-state. According to Aristotle, a city can have 6 possible constitutional governance forms-

	Correct	Deviant
One ruler	Kingship	Tyranny
Few ruler	Aristocracy	Oligarchy
Many ruler	Polity	Democracy

Government by a single person for the general good is called "monarchy"; for private benefit, "tyranny." Government by a minority is "aristocracy" if it aims at the state's best interest and "oligarchy" if it benefits only the ruling minority. Popular government in the common interest was called by Aristotle as "polity"; he reserves the word "democracy" for anarchic mob rule. So good governance according to him aims for the common good while poor governance aims for the wellbeing of a part of the city (tyrants, wealthy or mob).

Divine right of the King to rule/ govern:

Divine right of the king is a political and religious doctrine to uphold the legitimacy of royals to rule. This framework emerges from the argument that the king is selected by God to rule and govern the masses. This entails that the legitimacy of the king cannot be challenged by mortals. It asserts that a ruler is not subject to any earthly authority, deriving the right to rule directly from divine authority. The monarch is not subjected to the will of the people. It also means that any attempt to depose, dethrone or restrict his power runs contrary to the will of the divine making the ruler absolute monarch. Throughout much of the European history the divine right argument has been forwarded to provide theological justification for absolute monarchs.

Outside Europe the divine right of king was also accepted.

1. In ancient Egypt, the Pharaoh was considered a God by his people.

2. In imperial China, emperors wielded absolute power through mandate of the heaven.

3. In Ottoman empire sultans commanded absolute power and were called *"shadow of God on Earth"*

Machiavelli's views on governance:

Machiavelli, in The Prince, has argued that for effective governance good rulers sometimes have

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to learn "*not to be good*". They should be willing to leave aside ethical concerns of justice, integrity and compassion in order to maintain stability of the state. The pursuit, seize and maintenance of power takes precedence over the welfare of the public and good governance.

Indian philosophy of governance:

Indian conception of governance is rooted in ethics. The duty of ruler is to ensure that his subjects are satisfied. *Shukla Yajurveda* includes a prayer wherein a ruler prays thus: "*let my subjects be satisfied, my herds be satisfied, my people be satisfied, let not my people be needy*." Mahabharata says that a person becomes a King for protecting Dharma and not for acting capriciously.

Kautilya's views on governance:

A concrete record of philosophical basis of governance in India is reflected in Chanakya's *Artha Shastra* (2nd and 3rd century B.C.). Chanakya favoured right of the king to rule based on *Dharma shastras*, but he was against monarchical absolutism. According to Chanakya-

"*In the happiness of his subjects lies the king's happiness, in their welfare lays his welfare. He shall not consider as good as only that which pleases him but treat as beneficial to him whatever pleases his subjects.*" According to him "**Yogakshema**" or welfare of the people is the ultimate goal of the ruler. Thus, laying the foundation of good governance and welfare state. He supported the protection of livelihood, of weaker section, consumer protection and even the welfare of prisoners also. The King's dharma is to be just, fair and liberal in protecting his people. His boldness to his people should be like attitude of a father towards his children. Kautilya demarcated the model ruler as one "*who is ever active in promoting the welfare of the people and who endears himself by enriching the public and doing well to them.*"

7.2.3. Social Contract as a basis of governance

Social contract is a moral and political philosophy, that originated during the age of entitlement and concerns with the legitimacy of authority of king to rule. It opposed the divine rights theory and asserted that the king derives its power to rule and govern from the will of the people. The Social contract is an agreement that exists between the ruler and the ruled. Through social contract people yield some personal control and rights to the ruler. In exchange ruler takes up responsibility of ensuring that rights of people are protected from others who would seek to trample upon them.

The conception of social contract is different for different scholars. According to **Thomas Hobbes**, the initial state of nature was of anarchy "war of all against all". The social contract was formed by the people out of self-interest. Individuals come together and ceded some of their rights so that others will cede there. This resulted in establishment of a state which has legitimacy to govern.

John Locke contradicted Hobbes conception of social contract. According to Locke, the original state of nature was happy and characterized by reason and tolerance. Locke believed that individuals in a state of nature would be bound morally, by the Law of Nature, not to harm each other in their lives or possessions. Without government to defend them against those seeking to injure or enslave them, people would have no security in their rights and would live in fear. Thus, people come together to form a state and give it legitimacy to govern.

The social contract implies that source of state's power is the will of the people and state has certain responsibility towards the individuals. This idea gets reflected in the Declaration of Freedom of USA which says, "Governments are instituted among Men, deriving their just powers from the consent of the governed." In democracy, this consent to govern is given through elections. If people don't like the government, they have the right to change it. Social contract is also basis of the conception of right based approach in governance. Under right based approach, citizens are seen as holding rights and state as bearer of duties.

Since, social contract means that the people has placed their trust in the state for protection of their rights, this trust reposed provides **philosophical basis of probity**. The concept of probity in governance implies that those who govern should be above moral reproach and there should be an element of trust that power holders will act in ethical manner.

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Probity in governance means not just acting with integrity, honesty and objectivity but it also has an added element of faith that the power holder will continue to act with integrity, honesty and objectivity in future also. It suggests that those who govern are uncorrupted (present situation) and incorruptible (trust in future)

Trust underpins the social contract. It works on the basis that people consent to be governed, pay their taxes, and obey the law and because they trust that the government will use the people's collective investment to build the common good, and that in turn will benefit them. Democracies require that people have faith in the system. They need to believe that the tenets of democracy exist and are functioning properly in their society. The most visible manifestations of government and governance in the society are public servants and public services. For maintaining confidence of the public in ability and intention of the government to serve their welfare, probity as a value and quality in public servants is paramount. Probity on part of public servants assures the people that the government is working for their benefit and that all its institutions and leaders are striving to build a better nation.

> **Q1.** What do you understand by 'probity' in public life? What are the difficulties in practicing it in the present times? How can these difficulties be overcome?
> **(UPSC Mains 2014)**
>
> **Q2.** What do you understand by probity in governance? Based on your understanding of the term, suggest measures for ensuring probity in government.
> **(UPSC Mains 2019)**

7.3. INFORMATION SHARING AND TRANSPARENCY IN GOVERNANCE

> *"Truth never damages a cause that is just."*
> *- Mahatma Gandhi*
>
> *"A people who mean to be their own governors must arm themselves with power that knowledge gives."*
> *- James Madison*

> *"Popular government, without popular information, or the means of acquiring it is but a Prologue to a Farce or a Tragedy; or perhaps both."*
> *- James Madison*
>
> *"Transparency means shedding light on shady deals, weak enforcement of rules and other illicit practices that undermine good governments, ethical businesses and society at large."*
> *- Transparency International*

7.3.1. Introduction

Transparency is the practice that **enables the people to obtain accurate information about government activities.** Transparent information can be details on anything from accounting figures to how decisions are taken in government to information about rules or laws that govern the system etc. Transparency is about availability, easy accessibility and accuracy of information sharing with various stakeholders and citizens.

Transparency is a behavioural virtue of government or politicians, a style of relationship between a political actor and public forum, and a system of formal and informal rules. Lack of transparency may lead to deliberate concealment of information from the public. Transparency **ensures constant public scrutiny and makes government more responsible, citizen centric and accountable.** There can be different mechanisms through which transparency in government system can be assured. Within a government system, transparency can be passive, proactive or forced. It can be brought through mechanisms like right to information (**passive**), provided through public website and open data (**proactive**), or initiated anomalously through the system in whistleblowing or leaking (**forced**).

7.3.2. Importance of transparency and information sharing in government

Information is the building block of conscious goal setting by actors in government. When public policy makers seek to share information for better decision machining and coordination, transparency becomes practically relevant for efficiency. The process of transparency may be divided into three kinds:

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1. **Informational** transparency where the new data used to inform policy making is transparent.

2. **Decision-making** transparency when the content and the actors involved in making policy decisions are known and identified.

3. **Policy outcome** transparency where the actual policy consequences and their causal dependency is transparent to public and other decision makers.

Transparency cuts down the discretions of the government officials and politicians. This raises a question as to why a global movement to promote transparency has found acceptance across countries and reforms were introduced by the governments which reduces their autonomy. The causal explanation of the transparency movement can be explained on the basis of external pressures that act on the government. For example, the demand for Right to Information in India started with the agitation of Mazdoor Kisan Shakti Sangathan. Given the right incentives politicians are likely to comply with the popular just demands.

Transparency is coextensive with the rise of civil society and the growth of democracies. Increasing trends of transparency is also result of political competition. In representative democracies, elected politicians choose to adopt transparent administration to capitalize on political superiority provided that the political competitors are subjected to the same level of transparency. Resistance to transparency may result in negative publicity. The risk of being looked at as an anti-democratic government brings a greater cost than accepting transparency.

Internal resources and decisions must also be taken into account. Maintaining transparency requires adequate resources and strong internal organizational capacity. Transparency in any organization also depends upon the technological capacity of the organization as transparency is increasingly reliant on digital forms of information disclosure. Today as a result of technological development, popular pressure and political will, transparency policies are proliferating all over the world.

7.3.3. Unintended consequences of transparency and information sharing

Scholars around the world accept that transparency can be a **double-edged sword**. Transparency may lead to **involvement of too many parties** in policy making and the exercise of policy making may slow down substantially. Transparency may even **encroach upon privacy** of those who hold public offices. Small matters can blow out of proportion and **attract court cases** which may lead to **costly legal delays**. Even when information is suppressed in public interest, it is termed as hypocrisy of the government affecting the citizens' trust in the government.

On one hand, transparency can lead to healthy habit of politicians to act properly in order to avoid blame. But if the spirit of transparency is not followed, transparency may be turned into a game of tinkering and **spinning of information** in order **to generate favourable public opinion**. Similarly, politicians may **not be willing to take tough decisions** and focus more on managing perception of the public by spending time and resources convincing them of his own credibility.

Another unintended consequence of transparency is that perceptions of political ineptitude or corruption are magnified to the collective level of the organization. This may generate **negative public opinion** not only of the officer/ politician but, this negative perception is generalized for the entire organization. False opinions may be formed on this basis and may even become ingrained in the social consciousness. Further, if this is repeated frequently citizens or civil society actors may decide to withdraw and disengage from politics as a response to political dysfunction rather than seeking remedial action and holding government accountable which is the core aim of transparency.

The most contentious topic of transparency costs and benefits is the impact of transparency on citizen trust and attitudes towards the legitimacy of government action. The principle of government transparency becomes ever more complex with the challenge of **balancing good kinds of transparency** such as political accountability and public participation **with dangerous kinds of**

transparency such as **surveillance** and invasions of personal privacy. It may even jeopardize national security in some instances.

7.4. RIGHT TO INFORMATION

In 1987, a few laborers in Rajasthan were refused their wages on charges of inconsistent performance. Mazdoor Kisan Shakti Sanghathan (MKSS), an activist group fought for these workers and demanded that the government produced the necessary proof to verify the worker's performance records. After a series of protests, the MKSS got the copies of rolls, which also brought to surface the corruption that existed among the officials. Provoked by such discrepancies, the MKSS protested for the RTI. This protest turned into a national event leading to the passing of the Freedom of Information Act 2002 which became the RTI Act 2005.

7.4.1. Right to Information Act 2005

The Right to Information Act 2005 is a path breaking legislation which marks the end of culture of secrecy and dawn of transparency. The main **features of RTI Act** are as under-

1. Any person can request any information through a request in writing or through electronic means in English or Hindi or in the official language of the area in which the application is being made along with fee (10 rupees) (fee is exempt for certain categories of applicants).

2. An applicant making request for information shall not be required to give any reason for requesting the information or any other personal details except those that may be necessary for contacting him.

3. 'Public Authorities' include bodies of self-government established under the Constitution, or under any law or government notification. For instance, these include Ministries, public sector undertakings, and regulators. It also includes any entities owned, controlled or substantially financed and non-government organizations substantially financed directly or indirectly by funds provided by the government.

4. Public Central/ State Public Information Officer, as the case may be, on receipt of a request shall provide information as expeditiously as possible, and in any case within thirty days of the receipt of the request. If the information sought for concerns the life or liberty of a person, the same shall be provided within forty-eight hours of the receipt of the request.

5. If the Public Information Officer has, without any reasonable cause, refused to receive an application or has not furnished information within the time specified or malafidely denied the request for information or knowingly given incorrect, incomplete or misleading information or destroyed information, a penalty of two hundred and fifty rupees each day shall be imposed, till information is furnished, however, the total amount of such penalty shall not exceed twenty-five thousand rupees.

6. Exemptions-

   a. Information, disclosure of which would prejudicially affect the sovereignty and integrity of India, the security, strategic, scientific or economic interests of the State, relation with foreign State or lead to incitement of an offence.

   b. Information which has been expressly forbidden to be published by any court of law or tribunal or the disclosure of which may constitute contempt of court.

   c. Information, the disclosure of which would cause a breach of privilege of Parliament or the State Legislature.

   d. Information including commercial confidence, trade secrets or intellectual property, the disclosure of which would harm the competitive position of a third party, unless the competent authority is satisfied that larger public interest warrants the disclosure of such information.

   e. Information available to a person in his fiduciary relationship, unless the competent authority is satisfied that the larger public interest warrants the disclosure of such information.

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f. Information received in confidence from foreign Government.

g. Information which would impede the process of investigation or apprehension or prosecution of offenders.

h. Cabinet papers including records of deliberations of the Council of Ministers, Secretaries and other officers.

i. Information which relates to personal information, the disclosure of which has no relationship to any public activity or interest, or which would cause unwarranted invasion of the privacy of the individual unless the Central Public Information Officer or the State Public Information Officer or the appellate authority, as the case may be. It is satisfied that the larger public interest justifies the disclosure of such information.

7. In case of conflict between RTI and Official Secrets Act, 1923 a public authority may allow access to information, if public interest in disclosure outweighs the harm to the protected interests. The provisions of this Act shall have effect not withstanding anything contained in any other law or any instrument having effect by virtue of any law other than this Act.

8. Any information relating to any occurrence, event or matter which has taken place, occurred or happened twenty years before the date on which any request is made shall be provided to any person making a request.

9. Certain categories of organizations have been exempted from the provisions of the act like intelligence and security organisations.

Official Secrets Act

The Official Secrets Act (OSA), 1923, enacted during the colonial era, governs all matters of secrecy and confidentiality in governance. The law largely deals with matters of security and provides a framework for dealing with espionage, sedition and other assaults on the unity and integrity of the nation. However, given the colonial climate of mistrust of people and the primacy of public officials in dealing with the citizens, OSA created a culture of secrecy. Confidentiality became the norm and disclosure the exception.

As per Section 5 of OSA, any person having information about a prohibited place, or such information which may help an enemy state, or which has been entrusted to him in confidence, or which he has obtained owing to his official position, commits an offence if he/she communicates it to an unauthorised person, uses it in a manner prejudicial to the interests of the State, retains it when he/she has no right to do so, or fails to take reasonable care of such information.

The word "secret" or the phrase "official secrets" has not been defined in the Act. Therefore, public servants enjoy the discretion to classify anything as "secret".

Other Acts and instruments that have bearing upon RTI

1. Section 123 of the Indian Evidence Act, 1872 prohibits the giving of evidence derived from unpublished official records relating to affairs of State except with the permission of the Head of the Department.

2. Civil Service Conduct Rules, 1964 prohibits communication of an official document to anyone without authorization.

3. Union Minister, while assuming office, is administered an oath of secrecy as follows:

   "I will not directly or indirectly communicate or reveal to any person or persons any matter which shall be brought under my consideration or shall become known to me as a Minister for the Union except as may be required for the due discharge of my duties as such Minister." The oath of secrecy is against the principle of transparency.

7.4.2. Central Information Commission and State Information Commission

The Act has created two bodies Central Information Commission and State Information Commission. The important features of these bodies are as under:

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1. The Central Information Commission shall consist of Chief Information Commissioner and such number of Central Information Commissioners, not exceeding **ten**, as may be deemed necessary.

2. The Chief Information Commissioner and Information Commissioners shall be **appointed by the President** on the recommendation of a committee consisting of— (i) the Prime Minister, who shall be the Chairperson of the committee; (ii) the Leader of Opposition in the Lok Sabha; and (iii) a Union Cabinet Minister to be nominated by the Prime Minister.

3. The Chief Information Commissioner shall hold office for such a **term** as may be **prescribed by the Central Government**.

4. Chief Information Commissioner or any Information Commissioner shall be **removed** from his office **only by order of the President** on the ground of proved misbehaviour or incapacity after the Supreme Court, on a reference made to it by the President, has, on inquiry, reported that the Chief Information Commissioner or any Information Commissioner, as the case may be, ought on such ground be removed.

5. The **salaries and allowances** payable to and other terms and conditions of service of— (a) the Chief Information Commissioner; (b) an Information Commissioner shall be such as may be **prescribed by the Central Government**.

6. Similarly, State Chief Information Commissioner and the State Information Commissioners shall be **appointed by the Governor** on the recommendation of a committee consisting of— (i) the Chief Minister, who shall be the Chairperson of the committee; (ii) the Leader of Opposition in the Legislative Assembly; and (iii) a Cabinet Minister to be nominated by the Chief Minister.

7. State Chief Information Commissioner or a State Information Commissioner shall be **removed** from his office **only by order of the Governor** on the ground of proved misbehaviour or incapacity after the Supreme Court, on a reference made to it by the Governor, has on inquiry, reported that the State Chief Information Commissioner or a State Information Commissioner, as the case may be, ought on such ground be removed.

8. The **salaries and allowances** payable to and other terms and conditions of service of— (a) the State Chief Information Commissioner; (b) a State Information Commissioner shall be such as may be **prescribed by the Central Government**.

9. It shall be the duty of the Central Information Commission or State Information Commission, as the case may be, to receive and inquire into a complaint from any person who has been refused access to any information requested under this Act or who has not been given a response to a request for information or access to information within the time limit specified under this act.

RTI Amendment Act 2019

The Right to Information (amendment) Act 2019 has made following changes:

1. The amended act gives power to the central government to fix the **salary and allowances** of CIC, IC, SCIC and SIC, which could be lower —
given that the Information Commission is a statutory body unlike the Election Commission which is a constitutional body. However, the current incumbents' salaries will not be affected by the amendment.

2. The new act gives the central government the power to fix **tenures**. If the tenure of the CIC, IC, SCIC and SIC are to be fixed by the Centre, it follows that their removal from office is also dependent on the Centre.

The amendments to salary and tenure of SCIC and SIC, dilute state's autonomy and power.

The Act has established a three-tier structure for enforcing the right to information guaranteed under the Act. Public Authorities designate some of their officers as Public Information Officers. The first request for information goes to Central/State

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Assistant Public Information Officer and Central/State Public Information Officer, designated by the Public Authorities. These Officers are required to provide information to an RTI applicant within 30 days of the request. Appeals from their decisions go to an Appellate Authority. Appeals against the order of the Appellate Authority go to the State Information Commission or the Central Information Commission.

7.4.3. Importance of RTI

RTI has emerged as a tool of citizen empowerment in India. The RTI has given statutory rights to the citizens so that they can ask questions to those who hold power on their behalf. It has helped not only solving personal grievance but also long-standing societal issues. The RTI has helped in following ways:

1. **Transparency:** RTI has ensured that the relevant information regarding government activities, rules and regulations available with the public.

2. **Strengthen governance:** Good governance requires that laws and their implementation be transparent, predictable, equitable and credible. RTI ensures that violations of laws are identified as well as rectified at the earliest.

3. **Accountability at each level of administration:** RTI has armed citizens with information which has enabled general public to hold public servants accountable for their act of commission and omission.

4. **Minimization of unfettered discretion:** RTI has enabled people to seek justification from the power holder regarding their conduct and decisions in public service. This has reduced the discretionary power that is enjoyed by the officials and the rule of law has been strengthened by the RTI.

5. **Citizen centricity in decision and action:** The RTI has brought citizen to the centre of every action as now officials cannot take any random decision. The decisions have to be objective so that it can be defended in future by the decision makers before the public.

6. **Corruption reduction-** The RTI act has helped people identify various cases of corruption and graft. This creates a fear among the corrupt officials. The overall corruption in the governance and contracting has come down because of the RTI act. Scams like 2G scam, Adarsh society scam, commonwealth games- diversion of dalit funds, Indian red cross society scam etc. were detected using RTI applications.

7. **Improved government-public relations:** The information has helped public to understand genuine difficulties that government suffers. It has built trust in the public regarding functioning of the government.

8. **Improved quality of service:** Through RTI a person can ask why he has been denied a service or why the services are delayed. This has strengthened the grievance redressal system of the country and improved the quality of service delivery in the government offices.

7.4.4. Issues in RTI

Although RTI has brought in a culture of transparency and accountability, lot of issues regarding implementation of RTI in spirit remains. Some of the important issues are as under:

1. **Whistle-blower protection:** RTI act does not afford protection to whistle-blowers. There is a lack of provision to give protection to whistle-blowers by maintaining their privacy. More than 300 instances of attacks on or harassment of citizens and at least 51 murders and five suicides can be linked to information sought under The Right to Information Act. Examples:

Name, Place	Nature of attack	Nature of activism
Sanjay Dubey, Maharashtra	Killed	Filed RTI regarding illegal construction and PIL in High court against a politician.
Bhola Sah, Bihar	Killed	Exposed financial irregularities in Social Welfare schemes.

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| Rajendra Prasad Singh, Bihar | Killed | Exposed several corruptions in police recruitment, PDS, toilet scheme, health and education scheme through his RTI application. |
| Sambhuram Bishnoi, UP | Assaulted | Exposed MNREGA, Sajal Dhara tubewell scam against his village sarpanch |

2. **Poor record keeping:** Most of the old records are not available in digital format. This creates a problem for replies of RTI where instead of providing accurate and succinct information, large amount of unnecessary information is provided. The *Second ARC first report RTI- Master key to Good Governance* cites an example "When Rakesh Shukla, a poor farmer from the central Indian state of Chhattisgarh, asked local authorities for information on paddy field purchases in his area, he was handed a bill for 182,000 rupees. Authorities told him that the bulk of the expenses- 108,000 rupees had been spent photocopying over 90,000 copies of official papers relating to the purchases. The documents filled an entire room."

3. **Delay in decision making and policy logjam:** Critics have pointed out that the RTI has hampered decision making exercise. Decision taken in good faith may result in undesirable consequences. Even if the official enquiry exonerates them, the negative public image and lost reputation may never be recovered.

4. **Intrusion into privacy:** Some of the information sought under RTI are intrusive in nature and can violate the privacy of public officials. On the other hand, some vital and relevant information is denied to public under the excuse of privacy. Now that the Supreme Court has declared privacy as a fundamental right the issue has become even more complex.

5. **Lack of institutional capacity:** Many government departments are already short on staff. The RTI has put additional compliance burden on them. Given the strict timelines, the government departments are engaged in managing RTI applications rather than doing what they are supposed to do. It is a time-consuming exercise and large number of frivolous RTI applications are also putting extra and unnecessary burden on the government.

6. **Time limit of 20 years:** Information up to 20 years in past can be obtained through RTI. Most of the RTI applications are related to land record and property records and a time limit to 20 years is too less to determine how properties have changed hands in the past.

7. **Citizens only:** Under the Act, the right to information is available only to the citizens and not to non-citizens, whereas in most countries such distinction is not made.

8. **Exemptions:** The list of exemptions is large. Exemptions like sovereignty and integrity of nation, relations with the foreign nations etc are very broadly worded. Relevant information is denied to the public in name of these restrictions.

9. **Lack of awareness in public:** Although many know that right to information exists but not even 20 percent of Indian population know how to exercise this right and how to seek information from the public.

10. **Power of Central Information Commission:** The power of CIC is limited in scope as it does not have powers to enforce its orders. The CIC in past has ruled that the political parties fall within the definition of public authorities and must disclose their financing details to the public. But this decision was not followed by the political parties. Further, large number of cases are pending before the CIC. In June 2019, about 31,000 appeals were pending, over 9,000 of those pending for over a year.

Now, that the RTI act has been amended the independence of CIC is further reduced and its ability to take decisions which are against the government of the day has substantially declined.

7.4.5. Suggestions

RTI Act was passed in 2005 and years of experience with the act has led to identification of certain issue and ways to address those issues. Following are the suggestions for improving the effectiveness of RTI act:

1. **Streamline various laws and rules:** The Official Secrets Act, 1923 should be repealed, and substituted by a chapter in the National Security Act, containing provisions relating to official secrets. Civil services conduct rule and Evidence Act has to be brought in line with the RTI act. The oath of secrecy can be replaced by oath of transparency for ministers when they enter their office. (Recommendations of the Second ARC First report RTI-Master-key to good governance)

2. **Prune the exemption list:** The current exemptions are wide and have to be clarified and sharpened. Blanket exemptions in the RTI like "security, intelligence, research and economic institutes" deny many important information to the public. In 2018, nine central agencies and one State agency were authorised for exemption under Section 69 of the IT Act. Yet, the Intelligence Organisations Act, which restricts the civil liberties of intelligence agency employees, only lists four agencies, while the RTI Act lists 22 agencies as "intelligence and security organisations established by the central government" that are exempt from the RTI Act. Thus, it is unclear which agencies count for exemption.

3. **Digitization of records:** Just scanning old records is not enough. The records have to be converted into machine readable format so that relevant information sought by the people can be given to them succinctly and quickly.

4. **Capacity building of the government organizations:** Training programmes should not be confined to merely PIOs. All government functionaries should be imparted at least one day training on Right to Information every year.

5. **Awareness generation in public:** The government should run a widespread campaign to make public aware of how to exercise their right to information. NGOs and civil society can be included in this exercise. A change in the attitude of the people is a crucial factor responsible for the success of the Right to Information Act in India.

   CASE STUDY - In Mexico, Federal Institute for Access to Public Information (IFAI) has engaged in a broad public relations campaign involving pamphlets, posters, radio and television spots, academic publications and a massive and successful Internet drive, spearheaded by an extensive and user-friendly website. The oversight body has initiated a project called 'IFAI Communicates', aimed at bringing together people within communities to identify and then request information that they need.

6. **Whistle-blower Protection Act:** Whistle-blower Protection Act 2014, passed by both houses of the Parliament and signed by the President in 2014, is yet to be operationalised. In absence of an effective mechanism to protect whistle-blower, there is always a genuine fear of violence in whistle-blowers. Further, the provisions of the Whistle-blower 2014 Act also need to be strengthened to effectively protect whistle-blowers. The USA's mechanism for whistle-blower protection can act as a role model in this regard.

7. **CIC as a constitutional body:** The 2019 amendment has reduced the independence of the CIC by giving a reason that the Central Information Commission is not a constitutional body like Election Commission. Instead of diluting the independence of the CIC, it should be converted into a constitutional body and granted the same independence and authority as available to the election commission.

8. **Reducing pendencies:** Currently three out of the ten positions of information

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commissioners are vacant. These positions should be filled as early as possible. The organizational capacity of the information commission has to be strengthened to ensure that cases are allocated fairly and disposed of quickly.

9. **Political parties under RTI:** In 2013, the CIC had declared six national political parties as public authorities under the RTI Act and ordered them to make voluntary disclosures and respond to information requests. However, all parties refused to comply with the decision, prompting the petitioners in the case to approach the Supreme Court in 2015, which is still hearing the case. Political parties should be expediently brought under RTI to check flow of illicit funds.

10. **An effective filter mechanism:** A lot of frivolous RTI result in wasting of too much precious time. An effective filter mechanism needs to be developed for filtering out frivolous RTI applications. In case of applications that are filed online, new technologies like machine learning and AI can provide a solution to this.

11. **Creation of RTI implementation cell:** Information Commission is dependent on resources of the appropriate Government and Public Authorities for the implementation of the orders issued by them. RTI implementation cell may be created to set up implementation measures to promote compliance of information commissions direction by the public authorities and oversee the status of implementation.

12. **Inter-departmental coordination:** Many a times the information sought by the applicants is spread over multiple ministries and departments. In such cases, a coordination mechanism must be there to ensure that information from various sources can be collected and dispatched timely.

13. **Performance audit:** Internal and third-party audit for the status of implementation of the RTI shall be carried out to identify department specific bottlenecks.

Supreme Court comes under the RTI

In 2010 Delhi High court held that office of Chief Justice of India is a public authority and falls under the ambit of the RTI act. Supreme Court in November 2019 upheld the decision of the Delhi HC. The SC held that judicial independence and accountability go hand in hand, and transparency does not undermine judicial independence.

Right to Information and Right to Privacy are two sides of the same coin. They have to be balanced while deciding to give out information from the office of the Chief Justice.

Further, the Court has asked the information commissioner to apply test of proportionality while entertaining applications seeking information from CJI's office, keeping in mind right to privacy and independence of judiciary.

In March 2020, Supreme Court also clarified its position on the applicability of RTI Act to High Courts. It distinguished between judicial and administrative functions of the court and restricted the disclosure of information held by the High Court on the judicial side, under the RTI Act.

The preamble of the Constitution declares "We the people of India...." as the sovereign and source of the power of the Constitution. The RTI is reflection of this pronouncement. Through RTI, people are able to hold their representatives responsible and become part of the decision-making exercise itself. While introducing the reforms in the act, it should be kept in mind that it is the quality and not the quantity of information that matters to the public. It must be recognized that right to information is necessary, but not sufficient, to improve governance. A lot more needs to be done to usher in accountability in governance, including protection of whistle-blowers, decentralization of power and fusion of authority with accountability at all levels. Nevertheless, this law provides us a priceless opportunity to redesign the processes of governance, particularly at the grass roots level where the citizens' interface is maximum.

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Q1. Some recent developments such as introduction of RTI Act, media and judicial activism, etc. are proving helpful in bringing about greater transparency and accountability in the functioning of the government. However, it is also being observed that at times the mechanisms are misused. Another negative effect is that the officers are now afraid to take prompt decisions. Analyse the situation in detail and suggest how the dichotomy can be resolved. Suggest how these negative impacts can be minimised.

(UPSC Mains 2015)

Q2. "The Right to Information Act is not all about citizens' empowerment alone, it essentially redefines the concept of accountability. Discuss.

(UPSC Mains 2018)

Q3. There is a view that the official secrets act is an obstacle to the implementation of Rights to Information act. Do you agree with the view? Discuss.

(UPSC Mains 2019)

7.5. CITIZEN'S CHARTER

The spirit behind the Citizen's Charter – *"A customer is the most important visitor on our premises. He is not dependent on us; we are dependent on him. He is not an interruption on our work; he is the purpose of it. He is not an outsider on our business; he is part of it. We are not doing him a favour by serving him; he is doing a favour by giving us an opportunity to do so".*

- Mahatma Gandhi

Good governance is necessary for social and economic development of the country. Government is sole provider of many important services to the citizens. But improving the quality of service delivery is a challenge in many developing countries. Citizens are often unable to hold the service provider accountable for the quality of services simply because they are not aware of their entitlements, expected standards and avenues to seek redressal when the services are denied to them. In addition to undermining the connection between citizens and the state, this lack of accountability hampers governmental effectiveness and creates myriad opportunities for corrupt practices. Therefore, it is important to develop ways to provide citizens with the information they need to hold government accountable for delivering results. Citizen's charter is one such tool to promote good governance through enhancing transparency, accountability and responsiveness of the administration.

7.5.1. What is a Citizen's Charter?

"A citizen's charter may be defined as a public document that sets out basic information on the services provided, the standards of service that costumers can expect from an organization, and how to make complaints or suggestions for improvement."   *- OECD*

"A Citizens' Charter represents the commitment of the Organisation towards standard, quality and time frame of service delivery, grievance redress mechanism, transparency and accountability."

- Department of Administrative Reforms and Public Grievances

Citizen's Charter is basically a **set of commitments** made by an organization regarding the standards of service which it delivers. Although citizen's charter specifically mentions the rights and entitlements of the citizen, but it is not legally justifiable i.e., it cannot be enforced by court of law.

Citizen's Charters are **public agreements between citizens and service delivery providers** that clearly codify expectations and standards in the realm of service delivery. A citizen's charter is a short statement describing the level of service a citizen can expect from a public service organization (government departments, offices, bodies, agencies, etc.). It also informs the citizen about the agency's services, outlines relevant avenues of communication, details relevant service standards, and outlines citizen rights and responsibilities including feedback and available complaint mechanisms. Thus, Citizens' Charter is an instrument which seeks to make an organization transparent, accountable and citizen friendly.

According *to 2nd ARC Twelfth Report-Citizen Centric Administration*, every citizens' charter

has several essential **components** to make it meaningful-

1. **Vision and Mission statement of the organization-** This gives the outcomes desired and the broad strategy to achieve these goals and outcomes. This also makes the users aware of the intent of their service provider and helps in holding the organization accountable.

2. **Domain to the organization-** In its Citizens' Charter, the organization must state clearly what subjects it deals with and the service areas it broadly covers. This helps the users to understand the type of services they can expect from a particular service provider. These commitments/ promises constitute the heart of a citizens' charter. Even though these promises are not enforceable in a court of law, each organization should ensure that the promises made are kept and, in case of default, a suitable compensatory/remedial mechanism should be provided.

3. **Citizen Responsibility-** The Citizens' Charter should also stipulate the responsibilities of the citizens in the context of the charter.

```
┌─────────────────────────────────────┐
│         CITIZEN'S CHARTER           │
│         Name of Department          │
│ Mission:                            │
│ Vision:                             │
├──────────────────┬──────────────────┤
│     Services     │    Standards     │
├──────────────────┼──────────────────┤
│                  │                  │
├──────────────────┴──────────────────┤
│  Grievance Redressal Contact No:    │
└─────────────────────────────────────┘
```

Figure 7.2: *Sample Citizen's Charter*

The World Bank document *Citizens' Charters: Enhancing Service Delivery through Accountability* has identified following **benefits** of the citizen's charter:

1. Citizen's charters enhance transparency and accountability by providing citizens with a clear understanding of service delivery standards, including timetables, user fees for services, options for grievance redress and how agencies have performed against those standards.

2. Citizen's charter decreases opportunities for corruption and graft by increasing transparency and educating citizens about their rights.

3. It increases organizational effectiveness and performance of the government organizations by making a public commitment to adhere to measurable service delivery standards.

4. It creates a way for both internal and external actors to objectively monitor service delivery performance. Create a more professional and client-responsive environment for service delivery. It also fosters improvements in staff morale.

5. Increase government revenues by ensuring that the money citizens pay for services goes into the government's coffers (and not into employees' pockets).

OECD in its handbook for *Improving Quality of Public Services* has further pointed out that citizen's charters help public agencies to manage the expectations of service users. It also provides a framework for consultations with service users, encourage public agencies to measure and assess improve performance where promised standards have not been achieved. This increases satisfaction of service users.

7.5.2. Citizen's Charter movement

For long government organizations viewed the citizen as recipient and beneficiary or client of the services they provide. The government organization dominated this relationship because of monopoly over essential services. This left citizens with little choice and they were forced to accept whatever quality services they were provided. Citizen's charter movement sought to change this perspective and bring a fundamental change in the relationship that existed between public service providers and citizen. It sought to turn citizens into consumer of the services and made service providers dependent upon the citizen-consumer. In simple words it transformed the way public organizations look at or treat citizens from their 'beneficiaries/ clients' to their 'Customers' who have got rights and the capacity to "choose". The Citizens' Charter sees public services through the eyes of those who

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use them and emphasizes on ensuring that these services are demand driven rather than supply driven.

Citizen's charter movement started in late 1980s and early 1990s. UK was the pioneer nation in the wake of a broader privatization program. UK under John Major government launched citizen's charter scheme in 1991 as a national programme with a simple aim: to continuously improve the quality of public services for the people of the country so that these services respond to the needs and wishes of the users. The Citizens' Charter movement (1991) was based on six principles:

1. **Quality:** Improving the quality of services
2. **Choice:** Wherever possible
3. **Standards:** Specify what to expect and how to act if standards are not met
4. **Value:** For the taxpayers' money
5. **Accountability:** Individuals and Organisations
6. **Transparency:** Rules/ Procedures/ Schemes/ Grievances.

The programme was re-launched in 1998 by the Labour Government of Tony Blair which rechristened it as "Services First". The initial six principles were further expanded by the Labour Government as following nine principles of Service Delivery (1998): -

1. Set standards of service
2. Be open and provide full information
3. Consult and involve
4. Encourage access and the promotion of choice
5. Treat all fairly
6. Put things right when they go wrong
7. Use resources effectively
8. Innovate and improve
9. Work with other providers.

Following the UK's first initiative, many countries embarked on designing and implementing charter approach to efficient and effective delivery, including Australia, Canada, Italy, Belgium, Spain, Portugal, Sweden, the Netherlands, India, the USA, Argentina, Costa Rica, Hong Kong, Namibia and Samoa, and South Africa.

India followed the footstep of UK in designing and implementing citizen's charter. In 1994, consumer rights activists for the first time drafted a charter for health service providers at a meeting of the Central Consumer Protection Council in Delhi. In 1996, the Prime Minister initiated the citizen's charter program on a national level. The Citizen's Charter initiative in India saw fruition on the state level at a conference of Chief Ministers held in May 1997 where the "Action Plan for Effective and Responsive Government at the Centre and the State Levels" was adopted, paving the way for the formulation of charters among ministries, departments and agencies that have significant public interaction. The Department of Administrative Reforms and Public Grievances in Government of India (DARPG) initiated the task of coordinating, formulating and operationalising Citizen's Charters. The guidelines for formulating the Charters as well as a list of the do's and don'ts were communicated to various government departments and organisations to enable them to bring out focused and effective charters.

7.5.3. Evaluation of Citizen's Charter movement in India

Citizen's charter movement in India is a mixed story. On the positive side, Citizen's charters have acted as a **tool of organisational transparency and accountability:**

1. Citizen's Charter has **increased participation** of common man in efficient working of an organisation by making the citizens aware of the aims and goals of the organization.
2. It has helped in **reducing corruption** through transparent provisions and thus, ensured accountability.
3. It has led to **citizen friendliness,** citizen convenience, raised efficiency and effectiveness in public delivery system.
4. It has reduced cost, prevents delay and red tapism and thus, promote good governance.
5. Citizen's Charter **set standards of service,** allowing high expectations from an organisation, pushing them to work diligently.
6. It encourages **access and promote choice** and thus, treat all fairly.

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An initial evaluation in 2003 of citizen's charter development show lack of stakeholder consultation, which could have resulted to lack of improvement in client satisfaction and quality of services provided. In 2007 after ten years of implementation, the Public Affairs Centre carried out a comprehensive national review of charters. DARPG sponsored Indian Institute of Public Administration to conduct its own evaluation of the progress made under citizen's charter scheme in India. Following are the findings of different evaluation (including The Second ARC's twelfth Report-Citizen Centric Administration) efforts regarding **issues** faced in successful implementation of citizen's charter-

1. **Poor design and content:** Most organizations do not have adequate capability to draft meaningful and succinct Citizens' Charter. Critical information that end-users need to hold agencies accountable are simply missing from a large number of charters.

2. **Lack of public awareness:** There is lack of awareness among the citizens to exercise their right to get the services as per Citizens' Charter. Also, implementing agencies doesn't focus much on citizens' awareness initiatives.

3. **Inadequate groundwork:** Government agencies often formulate Citizens' Charters without undertaking adequate groundwork in terms of assessing and reforming its processes to deliver the promises made in the Charter.

4. Charters are **rarely updated** and some departments are still using charters framed during 1990's.

5. **End-users** and NGOs are **not consulted** when Charters are drafted. The consultation with the stakeholders is often ignored and the charter is prepared by the top authorities defeating the very purpose.

6. The needs of senior citizens and the disabled are not considered when drafting Charters.

7. **Resistance to change:** The new practices demand significant changes in the behaviour and attitude of the agency and its staff towards citizens. At times, vested interests work for stalling the Citizens' Charter altogether or in making it toothless.

8. There is a **lack of training, customer focus** and sense of ownership among those implementing the provisions of Citizens' Charter.

9. Often Citizens' Charters are written in **English** language or state's official language which may be difficult to comprehend for masses.

10. Lack of focus attributes to top-down approach of the initiative.

11. There is often **lack of independent audit** of the outcomes of implementation of Citizens' Charter.

12. Process of lodging complaints may be complex and grievance redressal officer may be inaccessible.

13. Concerned officers' transfers and reshuffle during early formulation and implementation of the charters hampered the progress.

14. Sometimes, citizen's charter sets **unrealistic standards** which results in disinterested implementation as the desired result cannot be achieved irrespective of the efforts put in its implementation.

7.5.4. Suggestions for better implementation of Citizen's Charter

The Second ARC says that in order to make these Charters effective tools for holding public servants accountable, the Charters should clearly spell out the remedy/ penalty/ compensation in case, there is a default in meeting the standards spelt out in the Charter. It emphasized that it is better to have a few promises which can be kept than a long list of lofty but impractical aspirations. Second ARC makes following recommendations for successful implementation of citizen's charters

1. **Internal restructuring should precede Charter formulation** - Citizen's Charter that are put in place after these internal reforms will be more effective than those designed as mere desk exercises without any system re-engineering. Thus, there has to be a complete analysis of the existing systems and processes within the organization. These should be reformed if such a need is felt.

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2. **One size does not fit all** - There is a huge variation among different governments and departments when it comes to formulation and implementation of Citizens' Charters. Variations exist on account of different capabilities and resources that governments and departments need to implement Citizens' Charters and differing local conditions. Therefore, the formulation of Citizens' Charter should be a decentralized activity with the head office providing broad guidelines.

3. **Wide consultation process** - Extensive consultations within the organization followed by meaningful dialogue with civil society as well as inputs from experts.

4.. **Firm commitments to be made** - Commitments made to citizens/consumers in Citizens' Charter must be precise and firm in quantifiable terms wherever possible. Over time, the standards of service delivery should be made more stringent.

5. **Redressal mechanism in case of default** - along with relief which the organization is bound to provide.

6. **Periodic evaluation of Citizens' Charter** - preferably through an external agency. The result of such evaluations must be used to improve upon the charter since Citizens' Charter is a dynamic document which must keep improving in accordance with changing citizens' needs, underlying processes and technology.

7. **Benchmark using end-user feedback** - Performance and accountability tend to suffer when officials are not held responsible for the quality of a Charters' design and implementation. In this context, end-user feedback can be a timely aid to assess the progress and outcomes of an agency.

8. **Hold officers accountable for results** - The monitoring mechanism should fix specific responsibility in all cases where there is default in adhering to the Citizens' Charter.

9. Better give a few promises that can be kept, rather than a long list of lofty but impractical aspirations.

7.5.5. Preconditions of successful implementation of Citizen's Charter

Accountability and transparency through citizen's charter can be achieved only in a conducive administrative ecosystem. The World Bank has identified certain preconditions for successful implementation of citizen's charter -

1. There is strong official support for the citizen's charter initiative, especially during the start-up phase.

2. The citizen's charter is developed with input from both internal and external stakeholders through participatory processes.

3. Staff have an incentive to adhere to the conditions outlined in the citizen's charter, because their performance appraisal reviews and/or additional compensation are tied to the organization's success in achieving the service delivery targets outlined in the charter.

4. Employees and citizens are aware of the citizen's charter initiative, and civil society is involved in holding service providers accountable.

5. Progress is tracked through a project-level monitoring and evaluation system and linked to other social accountability interventions to verify that service delivery improvements have been achieved.

Sevottam Model

Sevottam is a service delivery excellence model which provides an assessment-improvement framework to bring about excellence in public service delivery. The Sevottam model has three modules.

1. The first component of the model requires effective charter implementation thereby opening up a channel for receiving citizens' inputs into the way in which organizations determine service delivery requirements. Citizens' Charters publicly declare the information on citizens' entitlements, thereby, making citizens better informed and hence, empowering them to demand better services.

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2. The second component of the model, 'Public Grievance Redress' requires a good grievance redressal system operating in a manner that leaves the citizen more satisfied with how the organization responds to complaints/ grievances, irrespective of the final decision.

3. The third component 'Excellence in Service Delivery', postulates that an organization can have an excellent performance in service delivery only if it is efficiently managing well the key ingredients for good service delivery and building its own capacity to continuously improve service delivery.

Citizens' Charter Bill

1. **The Right of Citizens for Time Bound Delivery of Goods and Services and Redressal of their Grievances Bill, 2011** was tabled by the then Minister of State for Personnel, Public Grievances and Pensions, in Lok Sabha in 2011.

2. The Bill deals with government departments that deal directly with citizens
   a. Constitutional bodies,
   b. Statutory authorities,
   c. Public-private partnerships,
   d. NGOs substantially funded by the government and companies that provide services under a statutory obligation.

3. **Provisions –**
   a. Every citizen is given right to get time bound delivery of goods and services.
   b. If not delivered, there is redressal mechanism.
   c. It makes it mandatory for every public authority to publish a Citizens' Charter within six months of the commencement of the Act, failing which the official concerned would face action, including a fine of up to ₹ 50,000 from his salary and disciplinary proceedings.

   d. Provides a format for Citizens' Charter -
      i. List the details of the goods and services provided by a public authority.
      ii. The name of the person or agency responsible for providing the goods or services.
      iii. The time frame within which such goods or services have to be provided.
      iv. The category of people entitled to the goods and services; and
      v. Details of the complaint redressal mechanism.

4. Bill aims to establish Public Grievance Redressal Commissions at Centre and State levels.

It lapsed due to dissolution of the 15th Lok Sabha.

Government is constantly striving to improve service levels and to foster closer relationships with all citizens. The citizen's charter is an expression and manifestation of government's commitment to improving service and ways of communicating with citizens. This citizen's charter sets out the standard that citizens can expect from government organization, explains how they can obtain information and how to let government organizations know if they have concerns and offer advice on service improvement. Given that citizen's charter strengthens both the supply of (e.g., more customer-focused service delivery, clearly outlined performance standards) and demand for (e.g., increase citizens' awareness about their rights, provide citizens with the information they need to hold service providers accountable) good governance, the tool has the potential to improve performance across various government organizations and projects.

Q. Explain the basic principles of citizens' charter movement and bring out its importance.   (UPSC Mains 2019)

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7.6. WORK CULTURE

7.6.1. Understanding work culture

Work culture can be defined as the set of shared values and beliefs of an organization that manifests in the working of that organization. It contributes to the unique social and psychological environment of an organization. It is influenced by factors such as history, type of responsibilities, employees, management style, and national culture. For example, coming to workplace on time is a basic element of work culture that is determined by the sincerity of the employees and their beliefs about the possible repercussions of not being on time.

Work culture sets the informal rules in any organization. Management decides and dictates the organizational rules. But work culture determines how these rules are understood by the workers and to what extent they are followed. The values that an organization carries are reflection of the work culture. As such, a good work culture can imbibe and promote consistent display of high level of desirable values like honesty, dedication, equality, objectivity etc. On the other hand, a poor work culture may not promote these values and can even promote undesirable attitudes in the workers like gender prejudices, delays, nepotism etc. How such cases of violation of rules are dealt with also depend upon the work culture of the organization.

Work culture reflects the mentality of the workers in an organization. Work culture decides how seniors interact with their subordinates, how work is assigned, what importance is associated with the assigned work, the culture of meeting deadlines and rewards associated with the performance. Government work culture is often criticised for having an elitist mindset, top-down communication, nepotism, personal relations gaining more importance than performance, red-tapism and corruption.

7.6.2. Public and private work culture

Public sector	Private sector
Motive: To maximize public welfare	**Motive**: To maximize profits for the organization
Method: To follow rules and regulations and involve all stakeholders	**Method**: To reduce costs and maximize sales and speed of work
Merits: Ensures adherence to due process, justice and fairness. Provides low-pressure work environment.	**Merits**: Maximizes economy and efficiency. Provides flexibility and autonomy in working.
Demerits: Leads to complacency, non-performance and so on. Involves poor working environment and red-tapism.	**Demerits**: Gives priority to productivity over principles. Often leads to exploitation of workers and injustice.

7.6.3. Features of a good work culture

1. **Interpersonal relations**: Healthy relations among employees having respect and cooperation for each other are a mark of good work culture. It requires values of tolerance, teamwork, respectfulness etc. Various studies like the famous Hawthorne Studies have shown that human relations have greater impact on motivation levels than physical factors like wages, equipment etc.

2. **Timely work**: Timely completion of all work and meeting of deadlines shows a good work culture as it leads to higher efficiency and productivity and also, meeting of client expectations. Timeliness is even more important in public administration because completion of such work benefits a large number of people.

3. **Impartiality and objectivity**: Supervision by management and relations with peers should not be based on any bias or prejudice. Relations among employees as well as rewards and penalties should only be based on facts related to performance and productivity and not any personal factors. This will enhance incentive for higher performance and chances for career advancement.

4. **Participative decision making**: Such decision making democratizes the workspace and gives a sense of ownership and belongingness to the employees apart from the top management. It also ensures that the interests and needs of lower rung of employees are protected and unfair practices do not prevail.

5. **Three-way communication**: Top-down, bottom-up, peer-to-peer communication allows for free flow of information, better decision making, consultations with employees, identification of grievances, interpersonal relations and so on. It also helps in clearing the air which helps prevent and minimize conflicts.

6. **Punctuality**: Coming to workplace on time and working for full hours is a mark of sincere work culture. It goes on to enhance the productivity of the organization and also improves the reputation of the organization in the eyes of the clients and customers.

7. **Cordiality and responsiveness (towards clients)**: Courteous behaviour towards clients and prompt response fulfilling their demands reflects commitment and dedication of the workforce. It also enhances the reputation of the organization in the eyes of the clients, contributing to better clientele in the long run.

8. **Performance evaluation and rectification**: Quantitative, fair and objective performance evaluation increases the motivation of the employees as it becomes the fair basis for rewards and recognition. It also makes the employees aware of their shortcomings and management can take measures to correct their errors.

9. **Motivated workforce**: High levels of motivation in the employees is a result of a healthy work culture. Such motivated workforce shows willingness to put in their best effort and contribute towards organizational objectives.

10. **Productivity**: High levels of productivity means the workforce produces the maximum output by using the least amount of resources. It is a mark of efficiency and high performance.

11. **Skill upgradation and career advancement**: A good work culture ensures that the abilities of its employees are regularly upgraded and the employees have the opportunities to be promoted regularly once they have the requisite skills. Career advancement increases motivation level and sets in a virtuous cycle of motivation and performance.

12. **Conducive working environment**: A healthy work culture provides good physical conditions and equipment for the workforce which is used to improve their performance and productivity. Swachh Bharat Abhiyan in government offices focuses on the same objective. Conducive environment also covers providing women a safe, secure and fair environment with gender equality and empowerment.

13. **Quality service delivery**: A healthy work culture leads to good quality of services to its clients. This is a result of qualities like punctuality, commitment, integrity and so on.

14. **Stability and security**: Job security and stability of tenure are essential features of a good work culture as such conditions lead to higher morale, lesser conflicts, stronger focus on work and so on.
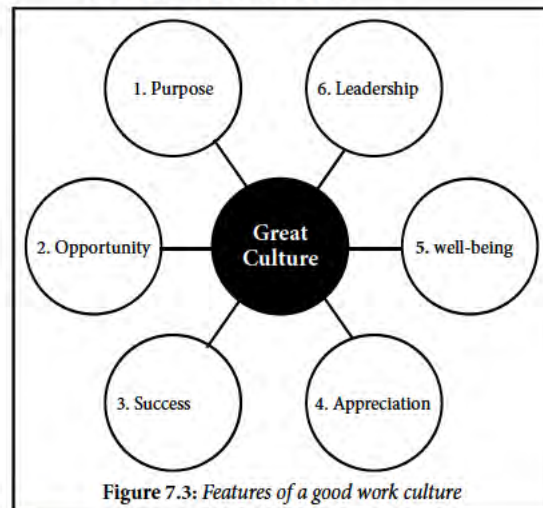
Figure 7.3: *Features of a good work culture*

7.6.4. Features of a poor work culture

1. **Inefficiency**: A poor work culture shows high resource use, slow pace of work due to the 'chalta hai' attitude and complacency among workers. This is itself a result of lack of accountability and weak supervision.

2. **Lack of accountability**: Poor performance is not penalized and workers are not made to account for their poor quality of work. This pattern of behaviour slowly spreads to other workers as it is not penalized.

3. **Poor grievance redressal**: Sufficient care is not given to needs and complaints of the clients who are unsatisfied with the services. It results from a lack of commitment to service and weak institutional mechanisms to redress grievances.

4. **Improper behaviour**: Behaviour of employees is seen to be rude, apathetic, unprofessional etc. towards each other and also clients. Spitting while talking, improper language, abuse etc. are signs of poor work culture.

5. **Conflicts**: Disputes between managers and subordinates and among fellow employees are rampant and remain unresolved. They lead to logjams, stagnation and loss of productivity.

6. **Nepotism and favouritism**: Human resource management is based on favouring loyalists and favourites instead of being based on performance. This goes on to encourage sycophancy among employees and feudal attitude among supervisors and at the same time, fails to reward good performance.

7. **Low morale and motivation**: Workforce suffer from lack of motivation due to low compensation, poor human relations, poor working conditions, lack of recognition and so on. This results in fall of productivity and casual attitude among employees.

8. **Elitism**: Managers do not consult employees or encourage their participation in decision making. Managers remain aloof and show high handed behaviour. It leads to tensions in employer-employee relations or a passive subservient attitude among employees.

9. **Red-tapism**: Organization works with a process-orientation rather than result-orientation. It is caused by rigid rules and procedures and lack of incentive for risk taking and swift decision making.

10. **Status-quoism**: Organizations resist any changes due to presence of vested interests or lack of incentive for bringing reforms. This is a common feature of government bureaucracy across the world.

11. **Corruption and rent seeking**: Official authority and resources are used to maximize selfish personal gains at the expense of the clients or public. This involves exploitation of the clients and subordinates and gives a bad name to the organization.

12. **Apathy**: Managers are apathetic to the needs and demands of the subordinates and the employees are apathetic towards the public. This results into low motivation and performance levels. In public administration, it undermines development of the people and also breeds discontent among the public.

13. **Work as burden**: Work is seen as a burden and employees try their best to avoid work. This leads to buck-passing, inefficiency and so on.
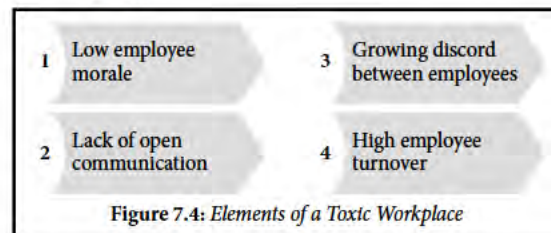
1	Low employee morale	3	Growing discord between employees
2	Lack of open communication	4	High employee turnover

Figure 7.4: *Elements of a Toxic Workplace*

7.6.5. Reasons for poor work culture in public sector

1. **Lack of objective performance evaluation**: Performance by employees is not evaluated properly in a fair, quantitative and objective manner. Due to this, there is lack of rewards and recognition for high performance and thus, low levels of motivation and effort by workers.

2. **Job security**: Excessive job security and life-long service is a cause of complacency as employees believe they will remain in their job regardless of their poor performance.

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3. **Process-orientation:** The focus in government is on strictly following the rules and procedures and not on achieving results.

4. **Lack of performance accountability:** Civil servants are not made to answer for their poor performance, errors or delays. This encourages poor performance and does not weed out the poor performers.

5. **Seniority principle:** Promotions are based on seniority and completion of certain years of service and merit is not given adequate importance. This leads to complacency among employees and reduces incentive to perform.

6. **Lack of public awareness:** Low levels of literacy and awareness among the people reduces their ability to exercise their rights and hold the administration accountable. This allows the employees to take advantage of the public and exploit them.

7. **Resource crunch:** The amount of funds available with the government is limited, particularly in developing countries which leads to lack of investment in human resource and office conditions.

8. **Poor training:** Civil servants, particularly of the lower rung, are not properly trained to imbibe the civil service values and skills for higher productivity. This leads to lack of commitment and poor performance across the workforce.

9. **Bureaucratic apathy:** Bureaucracy enjoys a privileged life in the ivory towers and is observed to not have adequate concern for the public's needs, particularly the weaker sections. Bureaucracy continues to enjoy high salaries and promotions regardless of their performance. Karl Marx elaborated on such weaknesses of bureaucracy.

Some success stories

1. **Ahmednagar:** Administrative reforms for office management such as single window system, scientific record keeping etc. were introduced by the District Collector **Anil Kumar Lakhina** in order to improve service delivery and grievance redressal for the public.

2. **Indian Space Research Organization:** The organization has gained global fame for its work culture and its productivity, cost-effectiveness, teamwork, quality of work and so on. It is well-known for the practices of **human resource development, zero-based budgeting** and so on.

3. **Passport Seva Kendra:** PSKs have incorporated **outsourcing, digitization, office modernization** etc. to improve service delivery and benefit the public at large.

4. **Public Grievances Commission, Delhi:** It is an external institutional oversight mechanism to effectively redress the grievances of the people and improve urban governance. The **Second Administrative Reforms Commission** recommends the setting up of such integrated grievance redressal bodies by all cities.

5. **Google:** The organization has provided a holistic healthy environment to its employees in order to improve productivity, motivation and satisfaction levels. It uses freedom of workspace, resting area, free cafeteria and so on.

A fair deal for workers?

Fairwork and Oxford University conducted a study on working environments at start-ups in India, assigning them a score out of 10 on five parameters- fair conditions, pay, contracts, management and representation. The study also examined whether a firm pays a fair minimum wage. It found that Ola, Uber, Foodpanda were not meeting some of the standards. The '996 work schedule'- working 9am to 6pm, 6 days a week, where weekdays, weekends and even vacations were taken over by work, was found to be the biggest employee concern. The workers were given less than promised package and incentives, with little job security and rapid rounds of hiring and firing. They complained of a poor work-life balance, wherein they were also made to feel guilty about taking leaves for catering to family emergencies. Even in tech start-ups, a hard partying culture did not transform to high productivity or a happy workforce.

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7.6.6. Ways to improve work culture in government

1. **Pre-entry and mid-career training:** Training can be used to improve the values, attitudes and skills of employees which automatically leads to greater performance and commitment to duty.

2. **Sensitivity training:** The technique devised by Chris Argyris (also called T-Group training), aims to enhance mutual understanding and respect among employees which leads to better interpersonal relations. This reduces conflicts and improves morale.

3. **Public hearing:** Public hearings should be organized periodically to redress grievances of the citizens in a transparent and effective manner. This leads to responsiveness and improves quality of service delivery. This has been a success story in Rajasthan under the name of Jan Sunwais.

4. **Feedback:** Organizations and employees should get clear and regular feedback about their performance. This drives them to make reforms and improve their functioning.

5. **Public Service Guarantee:** Legal mechanisms can be used to set certain enforceable standards for service delivery, such as Public Service Guarantee Acts enacted in various states of India. This creates a legal compulsion for employees to fulfil their duties and also increases awareness among employees. For instance, Madhya Pradesh was the first Indian state to legislate a Public Service Guarantee Act named "Madhya Pradesh Lok Sevaon Ke Pradan Ki Guarantee Adhiniyam" in August, 2010 and Bihar was the second to enact a similar Act on 25 July, 2012.

6. **Performance-linked pay:** Salary of civil servants should not be entirely fixed and should have a component that increases with their performance. This encourages good performance and also offers recognition.

7. **CCTV surveillance:** Surveillance puts an eye over the employees which increases the push for working sincerely. It also works to prevent wrong practices.

8. **Private sector practices:** Private sector work culture is seen to have certain advantages over public sector and hence, some practices of private sector can be adopted by government. This can include performance targets, performance-linked pay, managerial autonomy, ease of hiring and firing etc.

9. **Leadership:** Good quality leadership has to work to ensure a good work culture in the organization. This can be done through participative management, trust, constructive feedback and so on.

10. **Recognition:** Employees should be recognized for their good performance through rewards, newsletters, employee-of-the-month award etc. This not only motivates the high performing employees but also encourages the peers.

7.6.7. Recent administrative reforms to improve work culture

1. **360-degree performance evaluation:** Recently, the government has proposed performance evaluation by various stakeholders including superiors, clients, subordinates, peers, civil society and so on. This ensures holistic feedback and thus, provides clarity to employees on the areas of improvement. The new Performance Appraisal Report introduced for All-India-Services provides for regular, participative, detailed, quantitative performance evaluation instead of the earlier top-down secretive ACR.

2. **Compulsory retirement:** The government has invoked compulsory retirement recently to remove officers with poor performance track record and doubtful integrity. This enforces a perform-or-perish principle and pushes civil servants to deliver.

3. **Biometric attendance:** This technique aims to ensure punctual behaviour and discipline on part of employees which improves productivity and work culture.

4. **Swachh Bharat Abhiyan:** It seeks to improve the physical working environment which partly contributes to higher motivation

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and satisfaction. It also specifically caters to women by ensuring separate toilets.

5. **Gender empowerment**: Women must be provided a safe and secure working environment and also special amenities for women. This covers Internal Complaints Committee (for sexual harassment), maternity benefits, creches and so on.

6. **Citizen Charter**: It increases transparency for the citizens about the rights available to them and also makes it mandatory for the organization to fulfil certain service standards and thereby, improve work culture.

7. **E-governance**: Digitization ensures transparency, timeliness, accountability, quality etc. in the functioning of the organization which goes on to improve the performance and quality of work.

8. **Lateral entry**: Private sector personnel are directly recruited into the government and they bring their own healthy values and work culture with them which can then spread into the government working.

9. **Civil Services Day Awards**: Such awards provide recognition to officers doing good work and also inspires other officers to raise their level of performance.

10. **Social audits**: Such audits put in place monitoring and evaluation of the working of organizations by the people which pushes government officials to work honestly as well as effectively.

11. **New India Manthan**: It is an initiative where the Prime Minister directly interacts with District Collectors to provide certain features of work culture that they are expected to introduce in the administration under them.

12. **PRAGATI**: This is a digital video-conferencing platform used by the Prime Minister to regularly monitor the working of the central and state governments in order to ensure timely completion of work. This makes the top officials to work upon improving the work culture of organizations under them and enhance their performance.

7.7. QUALITY OF SERVICE DELIVERY

7.7.1. What is service delivery?

In modern times, the main job of government is to provide services to the citizens ranging from justice delivery to water supply, as other production activities have been taken over by the private sector in the era of liberalization and globalization. Such services have to be provided to a large mass of people in an uninterrupted manner. Many of these services are provided at minimal cost due to their essential nature and other services may be provided on a user-pay basis.

In service delivery, the government acts as the service provider and citizen is the client that is to be served with highest possible quality in return for their contribution to the government in the form of taxes, fees, allegiance to state and so on. However, service delivery is beset with various problems such as delays, poor quality etc. which creates discontent among people and undermines faith in the government. In such a context, it becomes a key concern for the government to enhance the quality of service delivery.

7.7.2. What is quality of service delivery?

Quality of service delivery refers to the qualitative attributes of service delivery which creates a positive and satisfying experience for the citizens and at the same time, fulfils the duty of the government as a service provider. Quality of service delivery is a holistic concept which essentially means that right services are provided to the right people in the right manner.

It has been widely observed that nature of service delivery has evolved with time. In the context of India, at the time of independence, service delivery was seen as a top-down activity and citizens were seen as passive beneficiaries of government welfare programmes. Such a view prevailed for schemes like public distribution system, law and order, subsidized fuel etc.

But with rising levels of development and public awareness, citizens have gone on to demand services as their right and demand adequate quality in the service delivery in return of the taxpayer money. With the rise of active citizenry,

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civil society and globalization, governments have also been compelled to raise the quality of service delivery. Moreover, in the era of liberalization and privatization, government often has to compete with private sector for market share and thus, strives to improve service delivery.

**Administrative reforms made for quality service delivery**

1. **Right to Information**: This has created a legal right to get information about government functioning which enables citizens to fix accountability, increases public awareness and also prevents corruption inside the administration.

2. **Citizen Charter**: They lay down specific standards of service delivery which must be fulfilled by the administration and also provide grievance redressal channels to the citizens.

3. **Public Service Guarantee Acts**: State governments, beginning with **Madhya Pradesh in 2010**, have enacted PSG Acts which lay down specific timelines for service delivery by service providers and also provide penalties to be imposed in case of violations.

4. **E-Kranti**: This is the upgraded version of the National eGovernance Plan which aims to digitize government processes and citizen-administration interface along with spreading digital literacy so as to improve service delivery for the common man.

5. **Aadhar**: It provides a unique identification number to individuals which can be used for identity authentication and availing services by the beneficiaries, thereby eliminating manual interface and improving public convenience.

6. **Direct Benefit Transfer**: Under this initiative, government has chosen to directly transfer cash into beneficiary accounts which they can use to avail services of their choice. This prevents leakages in the delivery of subsidized services and also promotes competition between government and private service providers.

7. **Twitter Seva**: This is a recent social media initiative of the government where citizens can avail services, register grievances and receive prompt response. Due to the pressure of open public scrutiny, quality is ensured in service delivery. Recently, it has been used by citizens to resolve complaints regarding rail travel and on-board services.

8. **Lokpal and Lokayuktas**: The institution of ombudsman provides for effective grievance redress to common man against denial of service or corruption by officials.

GAP Model of service quality:

The Gap Model of Service Quality is a framework which can help us to understand customer satisfaction. The model shows the five major satisfaction gaps that organizations must address when seeking to meet customer expectations. The model was first proposed by A. Parasuraman, Valarie Zeithaml, and Leonard L. Berry in 1985. In this model, customer satisfaction is largely a function of perception. If the customer perceives that the service meets their expectations, then they will be satisfied. If not, they'll be dissatisfied. If they are dissatisfied, then it will be because of one of the five customer service "gaps" as shown in the figure. To use the model, an organization should measure each of these gaps and then take steps to manage and minimize each gap.

Figure 7.5: *Gap Model of Service Quality*
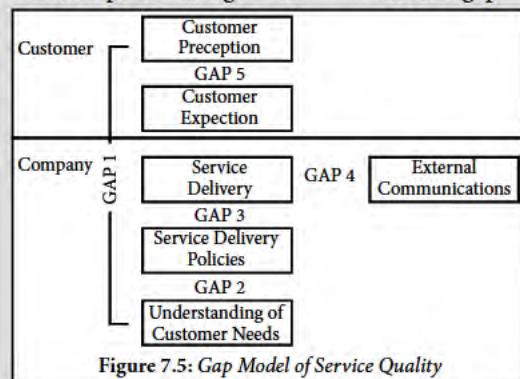
Gap 1 or the knowledge gap is the difference between the customer's expectations of the service and the company's provision of that service. Gap 2 or the policy gap is the difference between management's understanding of the customer needs and the translation of that understanding into service delivery policies and standards.

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Gap 3 or the delivery gap is the difference between service delivery policies and standards and the actual delivery of the service. The communication gap or gap 4 is the gap between what gets promised to customers through advertising and what gets delivered. The customer gap, which is gap 5, is the difference between customer expectations and customer perceptions. This gap occurs because customers do not always understand what the service has done for them or they misinterpret the service quality.

7.7.3. Importance of quality of service delivery

1. **Maintaining faith in government**: Good quality of service delivery ensures that people continue to trust and respect the state as an institution. Failure to provide basic services (like water, fuel, law and order etc.) to people has been seen as the reasons for discontent, unrest and chaos, as recently seen in **Venezuela**.

2. **Value for taxpayer money**: Citizens make their monetary contribution to run the government in the form of direct and indirect taxes and thus, have the right to demand a reasonable quality of service delivery for their own well-being.

3. **Rights-based approach to development**: In modern times, availing certain services is being seen as a right of the citizens and not as a welfare provision by the government. The **Right to Education** is an example of this approach.

4. **Market demand**: In recent times, economic growth and ease of doing business have become important concerns. This has created a lot of pressure upon the government to provide good quality services in the areas of electricity, connectivity and so on.

5. **Civil society activism**: Rise of a strong and vibrant civil society has pressured the government to raise the quality of service delivery as civil society has mobilized citizens and opinion through protests, campaigns, agitations and so on. For instance, the **Mazdoor Kisan Shakti Sangathan** agitation in Rajasthan forced the government to introduce transparency and social audits of its welfare programs.

6. **Globalization**: Globalization has forced the governments to compete with other governments for investments and so on. Globalization has also enabled people to exchange views and information with the rest of the world and demand their own governments to meet the standards of good governance. For example, good governance is a concept brought in by **World Bank** which has now become a key concern for people in India. Various international conventions like the **International Covenant on Economic, Social and Cultural Rights** mandate all governments to provide proper services in the areas of education, labour welfare etc.

7. **Upholding consumer citizenship**: The citizen as a consumer is someone who expects quality services including health, education, etc. from the government in lieu of the taxes he pays. Good quality of public service delivery therefore, also ensures that environmental protection, social responsibility, labour security, etc. are upheld and choices of citizens as consumers are respected.

7.7.4. Features of good quality service delivery

1. **Responsiveness**: Services should be delivered in a prompt manner to people on-demand. Requests for service delivery should be processed promptly and there should be regular interface for communication between citizens and service provider (the government).

2. **Convenience**: Citizens should be able to avail services anytime anywhere in the manner of their choice. This helps in minimizing the time and cost for availing services which might be a concern for many people. The recent initiative of **doorstep delivery of services by Government of Delhi** is an example.

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3. **Timeliness:** Services should be delivered within the time allowed for the purpose. This fulfils rights and expectations of the citizens and also improves the work culture of the administration. For instance, justice delivery is an area where timeliness is of key concern as **justice delayed is justice denied.**

4. **Transparency:** Citizens should have complete information of the services, procedures, rights, mode of delivery and so on. This helps citizens in exercising their rights and fixing accountability of administration.

5. **Accountability:** Administration should made to account for its performance so that maladministration is not encouraged and errors are exposed and rectified. Accountability ensures that administration fulfils its duty and also helps in administering rewards and penalties.

6. **Participation:** There should be mechanisms to enable public participation in administration and service delivery so that citizens' expectations, needs and priorities is known to the service providers. Public participation also helps in better monitoring, evaluation and auditing of service delivery through mechanisms like public hearings, social audits etc. The **Panchayati Raj System** in India is a key mechanism to ensure public participation in governance.

7. **Efficiency and economy:** Governments should ensure optimum speed and best use of resources which delivering services. It is government's duty to maximizes the value for taxpayers' money and also ensures proper financial management in governance.

8. **Effective Grievance Redressal:** Service delivery often leaves many citizens dissatisfied due to errors or poor quality in the provision of services. Grievances resulting from poor quality service must be registered and redressed in a timely and effective manner.

9. **Quality standards:** Service delivery must have certain specific standards so that the services meet certain quality benchmarks. This provides the administration with certain performance targets. It also provides the citizens with benchmarks which they can use to assess the quality of services provided.

10. **Equality and equity:** Service delivery should treat all individuals and groups equally and impartially regardless of their status, identity, background etc. Moreover, service delivery must ensure that weaker sections are able to avail the services on the same footing as the privileged, which helps in achieving an inclusive and egalitarian society. For example, **Accessible India Campaign** ensures that government services (like public transport) are equally accessible to differently abled persons.

7.7.5. Reasons for poor quality service delivery

1. **Secrecy:** There is lack of transparency in the administration due to lack of public awareness and inherent bureaucratic tendency to work in secrecy. This deprives citizens of information regarding their rights and the obligations of service provider. For instance, online public display of muster rolls in MGNREGA is a way to improve transparency in the system.

2. **Inaccessibility and delays:** Many services are inaccessible to people due to challenges like illiteracy, physical challenge, remote location etc. Moreover, where services are provided, they are accompanied with huge delays which not only creates discontent among the public but also breeds a poor work culture in the administration. Service delayed is service denied.

3. **Lack of standards:** Services are provided but their quality is not up to the mark which makes the services meaningless. Also, citizens do not have the benchmarks against which they can compare the actual services provided. Poor quality may be the result of administrative apathy, lack of resources, weak standards and so on. The **Public Distribution System** in India is a common example of poor quality of service. The **Shanta Kumar Committee** notes that there are upto **70% leakages** in PDS of some States.

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4. **Enforceable rights:** Citizens do not have enforceable rights to certain services which they can use to guarantee effective delivery of services. This disempowers the citizens and allows the service providers to continue with poor quality of services. For instance, National Food Security Act lays down specific rights to food which can be enforced by beneficiaries through legal processes.

5. **Lack of public awareness:** Due to illiteracy and lack of education, citizens are often unaware of their rights and duties of administration and hence, are unable to demand quality service delivery. They continue to see administration as overlords with powers to provide or deny services.

6. **Lack of accountability:** Administration is not held accountable internally and externally for the services they provide and their quality. This allows inefficiency to continue and malpractices are not penalized. Service delivery is also degraded by the menace of **corruption** at cutting edge level of governance. Corruption takes place due to public unawareness, lack of transparency, wide discretionary powers and so on. It exploits the weaker sections the most.

7. **Interoperability:** In the era of e-governance, online services are not available on all platforms. For instance, some websites or platforms are not functional on mobile phones which hampers m-governance and reduces public convenience.

8. **Rigidity:** Rigid rules and procedures consume a lot of time and causes delays in providing services in a timely manner. They also create confusion for the beneficiaries regarding the process to be followed for availing services.

9. **Lack of capacity:** Officials do not receive proper training and skill development which enables them to achieve higher productivity. This reduces their ability to provide quality service delivery. There is also lack of infrastructure which causes inefficiencies. For instance, **State of Panchayati Raj Report** reveals that less than **50% of the Gram Panchayats** do not have electricity connections.

10. **Coordination:** Various services require involvement of several government departments which must coordinate and converge in order to provide effective service to the people. However, due to behavioural or institutional problems, coordination is lacking. For instance, in civic administration, **roads are left dug up** due to lack of coordination among public works, sanitation, electricity departments.

7.8. UTILIZATION OF PUBLIC FUND

7.8.1. What is a Public Fund?

Public fund is the financial resource of the public which is held by state in a custodian capacity. Public fund management relates to the way governments manage public funds and the impacts on the growth of the economy and the wellbeing of citizens. Managing public resources involves how the government earns money, known as revenue, and how the government spends money, or expenditure. Revenue may come from taxes, money earned by state enterprises, or foreign aid and other sources. Expenditures include government wages, purchasing goods and services, and spending on infrastructure and public services among others.

According to 2021-22 budget the below figure shows the source and spending of Indian government-

7.8.2. Principles of utilization of Public Fund

Public resources should be applied for the best possible public benefit. Therefore, public entities should be guided by certain principles when they manage public resources. Utilization of public fund by public entities should demonstrate following principles:

1. **Lawfulness-** Public entities must act within the law and meet their legal obligations. The public fund must be utilized after sanction from competent authority. Unauthorized spending is bound to lead to extravagance and overspending. Also, funds must be spent only for the purpose it has been sanctioned for.

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2. **Accountability-** Public entities should be accountable for utilization of public funds and be able to give full and accurate accounts of their activities and have in place governance and management arrangements suitable to address any concerns. In India, accountability is ensured through institutions and instruments like-

Legislative	Executive
Budget	In-house accountability mechanisms
Parliamentary committees	CAG
Debates, discussion, question hour etc.	Lokpal and Lokayukta, CVC, CBI etc.
Judicial	**Civil Society**
Judicial review	Elections
Suit against government and officials	Social Audit, Citizen charter
Judicial activism etc.	Media etc.

3. **Openness and transparency-** Openness depends on high standards of reporting and disclosure. This has a dual benefit:

   a. it demonstrates that the public resource is being used properly, fairly, and effectively for the optimal public benefit.

   b. it increases the public trust in the government.

   Transparency ensures that authority acted within law and followed due process. Transparency also guarantees that authority observed the overall principles of equity and fairness and achieved value for money and optimal benefit to the end user. Some public entities operate in less than optimal situations, where there is no market of providers or where those that are available do not have capability or capacity that is required. These conditions place disproportionate discretion and power in the hands of public entities. Transparency becomes necessary under such situations to ensure that the actions are taken in good faith.

4. **3E's (Efficiency, Effectiveness and Economy)** – Utilization of public fund must be effective and efficient, without waste, and in a way that optimises the public benefit. It is necessary that all public expenditure should satisfy one fundamental test, viz., that of Maximum Social Advantage. That is, the government should discover and maintain an optimum level of public expenditure by balancing social benefits and social costs. Every rupee spent by a government must have as its aim the promotion of the maximum welfare of the society as a whole. Care has to be taken that public funds are not utilized for the benefit of a particular group or a section of society. The aim is the general welfare.

   The value-for-money principle involves several aspects, such as:

   a. Balancing effectiveness with efficiency.

   b. Sustaining the funding arrangement (where this is desirable)

   c. Demonstrating the competence of the public entity.

5. **Sustainability of the funding relationship-** While utilizing the public fund a public entity should take into account the possible effects of its funding decisions and need of funding in future. Public entities should ensure flow of fund for a cause at a rate that is fair and reasonable, and not jeopardise long-term service delivery prospects.

   Consider the case of fertilizer subsidy in India. Each fertilizer manufacturer is provided subsidy to ensure financial viability of the manufacturer. This means the most inefficient is rewarded for its inefficiency. Such funding arrangements are not sustainable in long term but are strategically important for the country. This creates a dilemma regarding spending of public fund.

6. **Fairness-** While utilizing public funds, government has a fundamental obligation to always act fairly and reasonably because of the trust that people have placed in it. The conduct of public entity should be open and impartial. Also, to be fair and reasonable it is important to pay due regard to the diversity

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of the nation but without discrimination on the ground of caste, community, religion, gender or class and duly protect the interest of poor, underprivileged and weaker sections.

7. **Integrity**- Anyone who is managing public resources should do so with the utmost integrity. A government should have policies and processes to underpin the highest standards of integrity – for example, a code of conduct, a code of ethics, a public service code. Ethical utilization of public funds should require public servants to declare any personal interest that may affect, or could be seen to affect, their impartiality in any aspect of their work.

7.8.3. Ethical issues related to utilization of Public Funds:

1. Utilization of public fund for bailouts of businesses.
2. Level of direct and indirect taxation.
3. Use of public money for government advertisement.
4. Running loss making PSU using public money.
5. Resource distribution across sectors like health, defence, research etc.
6. International aid giving when millions in India are devoid of basic amenities like education, healthcare, clean drinking water, electricity etc.
7. Spending on space missions and interplanetary missions when remote villages are in accessible.
8. Corruption in utilization of public fund.

Q1. There is a heavy ethical responsibility on the public servants because they occupy positions of power, handle huge amounts of public funds, and their decisions have wide ranging impact on society and environment. What steps have you taken to improve your ethical competence to handle such responsibility?

(UPSC Mains 2014)

Q2. Effective utilization of public finds is crucial to meet development goals. Critically examine the reasons for under-utilization and mis- utilization of public funds and their implications.

(UPSC Mains 2019)

Is it ethical to bailout large corporations using public funds when they continue to pay 'vulgar' salaries to their top executive?

Some corporates are "too big to fail". If they collapse, a ripples will be felt not only in any particular sector but across the economy. In some cases, the company may be providing a service which no other company can provide i.e., a case of monopoly (in Indian context we can see cases like DISCOMs which are loss makers but cannot be allowed to fail). Further, government is under pressure from the public to bail out large corporations as they employ large number of people. Sometimes private corporations may be under threat without any fault of their own example- global economic slowdown.

But, on the other hand, bailouts promote a culture of inefficiency and distorted reward-punishment incentive. The money used for bailouts can be used in more impactful manner like for education or healthcare. Anticipated bailouts encourage a moral hazard by allowing managers to take higher-than-recommended risks in financial transactions. Also, companies argue that they pay large salaries to retain talent and if it is not paid any future prospect of revival will automatically end. In 2007, at the verge of receiving a bail-out, Goldman Sachs paid its CEO and two co-Presidents a salary of 67 Million USD. This raises a question of morality versus economy.

Such questions can have no simple answers. While utilizing public fund for bailouts, government has to keep in mind the principles of public fund utilization to ensure "maximum benefit for maximum number."

Gender Budgeting

Gender budgeting is an ethical imperative in the utilization of public funds. An established definition of gender budgeting refers to *"a gender-based assessment of budgets, incorporating a gender perspective at all levels of the budgetary process and restructuring*

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revenues and expenditures in order to promote gender equality" (Council of Europe, 2009).

The 2015 OECD recommendation on gender equality in public life, calls for a multi-dimensional approach for advancing gender equality as a core principle of modern public governance, including the promotion of gender-responsive policies, the role of gender budgeting, and closing the gender gap in public leadership and public employment. India started releasing a Gender Budget along with the Union Budget in 2005-06. The Gender Budget has two parts: Part A includes schemes with 100% allocation for women (for example-the girl's hostel scheme); and Part B with schemes allocating at least 30% of funds for women (for example-Mudra Yojana). However, in the last 13 years, the allocations as a proportion to the total budget have stayed constant between 4 to 6 per cent. In order to achieve women development and empowerment, the budgetary allocations for women specific schemes, especially Part A schemes would need to be increased.

7.9. CHALLENGES OF CORRUPTION

7.9.1. Understanding Corruption

Monopoly + Discretion – Accountability = Corruption

In traditional sense, corruption refers to moral or ethical impurity. It has been used to indicate a deviation form accepted proper norms of the society. In contemporary times, corruption refers to **improper conduct linked to one's official position.**

Transparency International defines corruption *"as the abuse of entrusted power for private gain."* Corruption can be classified as grand, petty and political, depending on the amounts of money lost and the sector where it occurs.

Corruption is decay of probity in governance. It implies dishonest behaviour by those who possess power. The scope of corruption is higher where

accountability of administrators is weak, discretions are wide and division of power between political executive and bureaucracy is ambiguous. Grand corruption takes place at high level of government that distort policies enabling leaders to benefit at expense of public interest. Petty corruption refers to everyday abuse of entrusted power at low and mid-level public officials in their interaction with ordinary citizen.

Coercive and Collusive Corruption

Another way in which we can classify corruption can be coercive corruption and collusive corruption. In **coercive** corruption holder of public office, forces a citizen to pay the bribe otherwise he may face delays, harassment, lost opportunities, loss of precious time and wages or potential danger to life. In coercive/ extortionary corruption public official gains at the cost of involuntary bribe giver. **Collusive** corruption involves a public official and a voluntary bribe giver who pay the bribe for award of contract for public work and procurement of goods and services, recruitment of employees, evasion of taxes, substandard projects, collusive violation of regulations, adulteration of foods and drugs, obstruction of justice and concealing or doctoring evidence in investigation etc. In such cases collusive corruption, both parties benefit at immense cost to the society. As state's control over economy has declined with LPG reforms, coercive corruption too has declined because of reduced state monopoly while collusive corruption tends to increase.

7.9.2. Corruption and Ethics

According to 2nd ARC report, 'Ethics in Governance', corruption is an important manifestation of the failure of ethics. The word 'corrupt' is derived from the Latin word *'corruptus'*, meaning 'to break or destroy'. The word 'ethics' is from the original Greek term *'ethikos'*, meaning 'arising from habit'. It is unfortunate that corruption has, for many, become a matter of habit, ranging from grand corruption involving persons in high places to retail corruption touching the everyday life of common people.

Corruption in governance is ethically wrong because-

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1. The government derives the just legitimacy to rule from the consent of the governed. This consent is the sign of trust reposed by the public in the government. Corruption is **betrayal of this trust**.

2. The government is extremely powerful, is authorized to use violence, and holds a monopoly on many services like, issuing passports, subsidies, benefits, permits, and licenses. This creates a lot of dependency of public on the government. Corruption is the **abuse of vested power** by the powerful at the cost of weak and abandonment of the dependent, which is an ethical wrong.

3. The government is funded by taxes. Taxpayers have the right that their money is spend on behalf of the general interest and not on the private interests of government officials. Corruption is violation of this right.

4. To be able to function effectively and efficiently, the government requires public support. Integrity and absence of corruption are a prerequisite for attaining and maintaining public support.

5. The government has to lead by example if it wants the citizens to abide by the law and public morale. Ethical role modelling is thus of utmost importance and corruption is vitiation of this role model.

6. The mere fact that both bribe giver and bribe taker want to keep it secret is an indicator that corruption is something which is considered unethical, improper and even sinful by the public.

7.9.3. Impact of Corruption

According to World Bank, corruption has a **disproportionate impact on the poor** and most vulnerable, increasing costs and reducing access to services, including health, education and justice. Empirical studies have shown that the poor pay the highest percentage of their income in bribes. For example, in Paraguay, the poor pay 12.6 percent of their income to bribes while high-income households pay 6.4 percent. Corruption erodes trust in government and undermines the social contract. This is cause for concern across the globe, but particularly in contexts of fragility and violence, as corruption fuels and perpetuates the inequalities and discontent that lead to fragility, violent extremism, and conflict.

Corruption impedes investment, with consequent effects on growth and jobs. Countries capable of confronting corruption use their human and financial resources more efficiently, attract more investment, and grow more rapidly.

7.9.4. Effect of Corruption on the system

Corruption is self-perpetuating and it creates a chain reaction of corrupt acts. Corruption damages the entire system of administration and governance due to following effects:

1. **Snowballing**- Small incidents of corrupt behaviour tend to grow out to bigger ones. Not addressing corruption in time, and turning a blind eye, signals out that it is okay. This enhances the risk that trespassers will engage more frequently, and on a larger scale in corruption.

2. **Contamination**- Corrupt behaviour of an employee tends to infect other colleagues. Violations that are ignored, or not dealt with properly by the organization, could be interpreted as being acceptable. This enhances the risk that others in the organization feel justified or encouraged to do the same.

3. **Revelation**- Transparency is an important public sector value. Civil servants operate in a fishbowl, constantly watched from all directions and examined under the magnifying glass. Corrupt acts are thus likely to be discovered and revealed by the media, often leading to public outrage and diminished public trust.

4. **Radiation**- Corruption within a certain part of the civil service is damaging for the reputation of the entire civil service. Citizens and the media generally do not make a distinction between the different parts of public administration. Hence, corruption is attributed to the whole public system and thereby undermine its credibility.

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7.9.5. Corruption in India

Corruption as a concern in administration can be traced back to the works of **Chanakya** during Mauryan empire. Chanakya's definition of embezzlement (which in the Artha Shastra is the closest to what we understand as corruption today):

"A government officer, not caring to know the information … and neglecting to supervise the despatch of work in his own department as regulated, may occasion loss of revenue to the government owing to his ignorance, or owing to his idleness when he is too weak to endure the trouble of activity, or due to inadvertence in perceiving …, or by being timid when he is afraid of clamour, unrighteousness, and untoward results, or owing to selfish desire when he is favourably disposed towards those who are desirous to achieve their own selfish ends, or by cruelty …, or by making use of false balance, false measures, and false calculation owing to greediness…"

It goes on to observe...

"… Just as it is impossible not to taste the honey or the poison that finds itself at the tip of the tongue, so it is impossible for a government servant not to eat up, at least, a bit of the king's revenue…"

And then laments of the impossibility of the situation...

"… Just as fish moving under water cannot possibly be found out either as drinking or not drinking water, so government servants employed in the government work cannot be found out…"

National Commission to Review the Working of the Constitution's Consultation Paper on "Probity in Governance" identified following **features of the corruption** in India-

1. First, corruption in India occurs **up-stream**, not down-stream. Corruption at the top distorts fundamental decisions about development priorities, policies, and projects.

2. Second, corruption money in India has wings, not wheels. Most of the **corrupt gains** made in the region are immediately **smuggled out to safe havens abroad.** Whereas, in other countries there is some capital flight, but a major portion of investment stays within the country. In other words, it is more likely that corruption money in the other parts of world is used to finance business than to fill foreign accounts.

3. Third, corruption in India often leads to promotion, not prison. The **big fish** – unless they belong to the opposition – **rarely fry.** In contrast, industrialised countries often have a process of accountability where even top leaders are investigated and prosecuted. The most frustrating aspect of corruption in India is that the corrupt are often too powerful to go through an honest process of accountability.

4. Fourth, corruption in India occurs with hundreds of million people living below poverty without basic amenities live healthcare, education, drinking water and sanitation. Vast majority suffers from poverty and deprivation while a few make fortunes through corruption.

7.9.6. Reasons of Corruption

The 2nd ARC has recognized 3 main reasons for high level of corruption-

1. First, there is a **colonial legacy** of unchallenged authority and propensity to exercise power arbitrarily. In a society which worships power, it is easy for public officials to deviate from ethical conduct.

2. Second, there is enormous **asymmetry of power** in our society. The asymmetry of power reduces societal pressure to conform to ethical behaviour and makes it easy to indulge in corruption.

3. Third, as a conscious choice, the Indian state in the early decades after Independence chose a set of **policies** whose unintended

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consequence was to put the **citizen at the mercy of the State**. Over regulation, severe restrictions on economic activity, excessive state control, near-monopoly of the government in many sectors and an economy of scarcity all created conditions conducive to unbridled corruption.

In addition, many state subsidies and beneficiary-oriented programmes in a situation of asymmetry of power converted the public servant into patron and master and reduced most citizens into mendicants. This, at once enhanced opportunities to indulge in corruption and reduced the citizens' capacity to resist extortionary demands.

Other reasons for incidences of corruption also include:

1. **Historical causes-** In India, corruption has its roots in the colonial rule of the past. British administration was not interested in the overall development of the country. The East India company used to issue *Dastaks* or trade permits for European traders to waive off custom duties for personal goods. Robert Clive abused the law and started issuing *Dastaks* for commercial goods as well, resulting in widespread corruption and huge drain of wealth from Bengal. Centuries of British rule made corruption, a part of Indian administrative culture.

2. **Changing values and desires-** The second important cause of corruption in public service is 'fast urbanisation and industrialisation where material possessions, position and economic power determine the status and prestige of a person in the society. Since salaries are low and inflation is unabated, civil servants fall easy prey to corrupt practices in order to maintain status in the society.

3. **Economic causes-** Inadequate remuneration of salary scales and rising cost of living is probably one of the important causes of corruption. In recent years, the fast-rising cost of living has brought down the real income of various sections of the community, particularly the salaried classes.

4. **Lack of strong public opinion against the evil of corruption-** People do not report to government against corrupt officials. Instead, they offer bribes to get their illegitimate claims accepted. People must fight against corruption and build a strong public opinion against corruption.

5. **Complicated and cumbersome procedures and working of government offices-** It is alleged that the working of most government departments, e.g., the Customs and Central Excise, Imports and Exports, Railways, Supplies and Disposals, Police, Income Tax., etc, is complicated, cumbersome and dilatory. This has encouraged the growth of dishonest practices like the system of 'speedy money'.

6. **Inadequate laws to deal with corruption-** Indian Penal Code and other laws which deal with corruption cases are outmoded and provide insufficient penalties. It takes too much time to get a corrupt official punished under the laws. Summary trials and stricter punishments should be awarded to end corruption.

7. **Undue protection given to the public services in India-** As interpreted by the courts, **Article 311** of the Indian Constitution, which provides protection to civil servants, made it difficult to deal effectively with corrupt public servants. So is the case with **'Single Directive'** that signifies that prior approval is required from the Central government in order to initiate enquiry proceedings against a Joint Secretary or above civil servant. Reluctance of higher officials to take disciplinary action against corrupt officials due to their collusion with them has further aggravated the situation.

8. **Collusion of commercial and industrial magnates** and others to serve their individual interests.

9. **Pressure groups-** Pressure groups like Indian Chamber of Commerce, trade associations, State Chambers of Commerce, are said to help in breeding corruption at higher levels through their activities of getting favours for their communities.

10. **Functionalist theory-** This theory argues that corruption provides the process by

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which members of society can circumvent or manipulate the political and economic systems, which are unable to cope with the demands made by the public. For instance, corruption has been institutionalized in the Nigerian bureaucracy due to its efficacy in speeding up processes by greasing the wheel of administration. As a result, such systems become unworkable or cannot function without the existence of corruption.

On analysis of Corruption Perception Index, we can observe that countries which have socio-economic equality (example- Scandinavian countries) do much better while countries having large inequalities have much higher incidence of the corruption. It can be understood with an example- for a rich person paying a bribe of ₹5000 is very small amount but for a poor receiving ₹5000 for a corrupt act is a large amount of money. So, in case of high economic difference both parties have incentive to indulge in corruption.

> **Q1.** It is often said that poverty leads to corruption. However, there is no dearth of instances where affluent and powerful people indulge in corruption in a big way. What are the basic causes of corruption among people? Support your answer with examples.   **(UPSC Mains 2014)**
>
> **Q2.** "Non-performance of duty by a public servant is a form of corruption". Do you agree with this view? Justify your answer.   **(UPSC Mains 2019)**

7.9.7. Prevention of Corruption Act, 1988

The Prevention of Corruption Act, 1988 consolidated the provisions of the Prevention of Corruption Act, 1947, some sections of the Indian Penal Code, the Criminal Procedure Code, and the Criminal Law Act, 1952. It enlarged the scope of the term 'public servant' and included a large number of employees within its ambit. However, MPs and MLAs, even though performing 'public duties', were kept out of the ambit of the Act. If the offence against the public servant was proved in the courts, it was punishable with imprisonment of not less than six months but extending to a maximum period of five years. A key problem of the 1988 Act was that the person giving the bribe was legally seen as a victim and so not held culpable or criminally liable.

After India ratified the United Nations Convention Against Corruption, the Government of India initiated measures to amend Prevention of Corruption Act to bring it in line with international standards. Two amendment acts have been passed for the Prevention of Corruption Act, 1988- one in 2013 and the other in 2018. The 2013 Amendment Act made bribery, a punishable offence. A person who was compelled to bribe, should he/she report this incident to the law enforcement within seven days would not be charged under the Prevention of Corruption Act. Two types of offences were covered under the amended criminal misconduct. The offences included illicit enrichment as in amassing wealth disproportionate to one's income sources and fraudulent misappropriation of property. The amendments made taking mandatory prior approval of the relevant government authority to conduct any investigation regarding any offences allegedly conducted by higher post officials. However, if the offender had been arrested on the spot for taking bribes, then this approval was not needed. The trial limit for cases under PCA was fixed within two years if they were handled by a special judge and the total period for the trial could be only four years.

The highlights of the 2018 Amendment Act are as follows:

Old provisions	New provisions	Significance
Bribery: There was no specific provision for bribery, except the provision which recognised abetment as an offence.	Giving a bribe is now an offence, punishable by a 7-year prison term. However, when one is forced to give a bribe, it is not considered an offence. But it should be reported within seven days.	It could empower the public to refuse to give a bribe but a seven-day limit may not be enough. It is unclear as to what happens if citizen's report of coercion is not registered by the police.

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	Bribe is termed as 'undue advantage', and defined as 'gratification other than legal remuneration'.	
Pre-investigation approval: There was no such provision in the Act, but a rule similar to it was struck down by the Supreme Court.	Police officers now, cannot begin probe without prior approval of relevant authority or government (except when caught red-handed).	Protection which was formerly available to officials of rank of Joint Secretary and above (before SC struck it down) is extended to all public servants.
Sanction for prosecution: Sanction was required under Prevention of Corruption Act for serving officers only.	Sanction is now needed for prosecuting former officials for offences done while in office. Centre may also notify guidelines for sanction. Decision on request for sanction is to be taken within 3 months, which may be extended by a month.	Sanction for IPC offences covered both serving and retired officers. Guidelines and time limit may help make this sanction process easier.
Criminal misconduct: There were five kinds of criminal misconduct earlier, which have been reduced to two by the 2018 amendment. The ones that have been omitted, include- taking bribe habitually, getting anything free or at a concession, obtaining pecuniary advantage for oneself or for another without public interest.	Now, there will be only two forms of criminal misconduct. These include: Misappropriation of property entrusted to a public servant, and intentionally enriching oneself illicitly.	This is to protect public servants from being wrongly prosecuted for official decisions. Earlier it was a crime to obtain advantage from a private party without public interest.
Forfeiture of property: Earlier, this was not done under the Prevention of Corruption Act, but under a 1944 ordinance through civil courts.	Section has been introduced for Special Courts under the Prevention of Corruption Act, to attach and confiscate property.	This helps avoid a fresh procedure to confiscate property obtained through corruption, and enables court conducting trial to do so itself.

The overall theme of this book has been ethical governance and how it deals with the issue of corruption in the administration. In different chapters we have discussed various points to address this issue like adopting the Code of Ethics, ensuring quality public service delivery, declaration of Citizen's Charters, effective implementation of RTI Act, etc. The steps to ensure integrity in public services will help in reducing the instances of corruption in public administration as promoting integrity is the same as countering corruption. There is also a need for a comprehensive package to fight against corruption. The government must also enforce laws like Whistleblower protection act, strengthen existing laws like Lokpal act etc. and ensure citizen participation and transparency in decision making to eradicate corruption. Moreover, there should be an equal focus on judicial reforms and police reforms to create an effective deterrence.

Q. Today we find that in-spite of various measures of prescribing codes of conduct, setting up vigilance cells/commissions, RTI, active media and strengthening of legal mechanism, corrupt practices are not coming under control.

(a) Evaluate the effectiveness of these measures with justifications.

(b) Suggest more effective strategies to tackle this menace.

(UPSC Mains 2015)

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Below is a list of other questions asked in UPSC Mains exams that cover different chapters of the Red Book.

Q1. The current society is plagued with widespread trust-deficit. What are the consequences of this situation for personal well-being and for societal well-being? What can you do at the personal level to make yourself trustworthy? **(UPSC Mains 2014)**

Q2. All human beings aspire for happiness. Do you agree? What does happiness mean to you? Explain with examples. **(UPSC Mains 2014)**

Q3. We are witnessing increasing instances of sexual violence against women in the country. Despite existing legal provisions against it, the number of such incidences is on the rise. Suggest some innovative measures to tackle this menace. **(UPSC Mains 2014)**

Q4. Differentiate between the following:
  (i) Ethical management and management of ethics
  (ii) Discrimination and preferential treatment **(UPSC Mains 2015)**

Q5. The crisis of ethical values in modern times is traced to a narrow perception of the good life. Discuss. **(UPSC Mains 2017)**

Q6. Increased national wealth did not result in equitable distribution of its benefits. It has created only some "enclaves of modernity and prosperity for a small minority at the cost of the majority." Justify. **(UPSC Mains 2017)**

Q7. "In doing a good thing, everything is permitted which is not prohibited expressly or by clear implication". Examine the statement with suitable examples in the context of a public servant discharging his/her duties. **(UPSC Mains 2018)**

Q8. "Education is not an injunction; it is an effective and pervasive tool for all round development of an individual and social transformation". Examine the New Education Policy, 2020 (NEP, 2020) in light of the above statement. **(UPSC Mains 2020)**

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