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Catering to Evolving Trends in GS Paper - IV
of Civil Services Examination

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LEXICON
For Ethics, Integrity & Aptitude
**Catering to Evolving Trends in GS Paper-IV
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Also Useful for All State Public Service
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Preface

The ninth edition of 'The Lexicon For Ethics, Integrity & Aptitude' has been updated in synchronization with the nature of questions being asked in GS Paper IV by UPSC.

Previously, the orientation of the paper was towards terminologies, definitions and theoretical understanding of the concepts. However, currently though the questions being framed are within the given syllabus, they are focussing more on the changing nature of the society.

There is a shift to applied nature of ethics which was evident in questions on role of ethics in human life, corporate social responsibility, e-governance initiatives helping beneficiaries, etc. Keeping this in mind, the book has been revised to suit the needs of the aspirants.

The nature of questions being asked emphasizes impact of policies, initiatives and political decisions on the vulnerable sections of the society from an ethical perspective. Considering this, the topics in the book have been revised to enrich the list of values, include ethics of just war, define ethics in private and public relationships and emphasize consequences of ethics in human action.

Questions on foundational values of civil servants have been asked in the past too but in order to achieve the objective of transforming civil servants into people-centric 'Karmayogis', values like competency, wisdom, compassion and empathy have assumed greater significance. This edition covers these values which are necessary to improve the efficiency of civil servants.

This revised edition comprises recommendations given by second Administrative Reforms Commission (ARC) to improve the governance and make it more inclusive, transparent, accountable and citizen-centric. Also, concepts like democratization of information, budget transparency, etc. have been covered.

With increasing debates of shifting towards privatization, corporate sector and its responsibilities have widened. Accordingly, a **new chapter 'Corporates and Ethics'** has been added which details out the definition and principles of corporate ethics, dilemmas faced in corporate sector and responsibilities of corporates. The 'Contemporary Ethical Issues' section discusses about '**Innovation with Human values.**'

The GS Paper IV (Ethics Paper) of the civil services examination is the litmus test of an individual, that is not only based on theoretical understanding but also scrutinizes candidates' attitude and approach to issues relating to integrity, probity in public life and their problem-solving approach to various issues, conflicts and dilemmas faced by them in dealing with society.

This book in a pedagogical manner enlightens an individual about ethics and all its related concepts. The book is not just about the definitions, thoughts, concepts but it is about the discussions, role-play, application of thoughts and underlying cases, etc. that are useful for every individual and not just a civil servant for showcasing moral conduct.

We hope this new edition adds significant value to your preparation. For further improvement, we invite your Feedback/suggestions at editor@chronicleindia.in

- N.N. Ojha (Editor)

HOW TO USE THIS BOOK

This book 'The Lexicon for Ethics, Integrity & Aptitude' is a compendium covering all the dimensions of ethics and related concepts. This book completely justifies the syllabus of UPSC and other examinations where ethics is a dynamic subject - which oscillates between morality and ethicality. The book deals with in-depth concepts of normative ethics, meta-ethics, applied ethics and other related concepts.

If you are an aspirant for civil services, this book will enrich you with basic concepts of ethics as well as its application in real-life situations and governance. So, this requires a systematic study of this book. Here are the three steps to develop clarity in concepts and the foundation for you to be ready for apply them.

Step 1: To derive maximum benefit out of this book, during the first reading, a reader must focus on the basic concepts and their relevance in real-life environment - conditions/situations. Try to differentiate between similar topics and focus on key definitions. To be more familiar with the topics, it requires a second reading. The second reading should be more in-depth and the reader should try to read between the lines and inculcate concepts and memorize keywords- this will make you comfortable in this subject.

Step-2: Ethics, being a dynamic subject, you have to develop a thought process and correlate different topics. Take the help of previous year question papers and try to answer the theoretical questions (not Case Study) of the paper through your earned knowledge after going through this book.

Step-3: After getting familiar with various concepts, terms & terminology, correlation among them, now you are ready to face real-life situations - to attempt case study questions. First go through the first chapter of this book that deals with case studies. Here you will find the logic of what you have learnt in basics.

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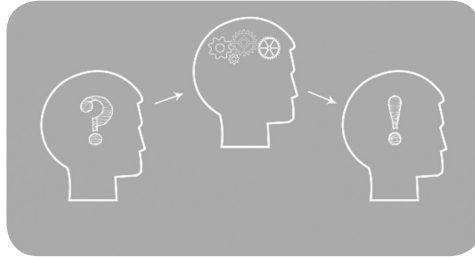
GENERAL STUDIES PAPER-IV

Syllabus as mentioned on the UPSC website

Ethics, Integrity, and Aptitude

This paper will include questions to test the candidate's attitude and approach to issues relating to integrity, probity in public life and his problem solving approach to various issues and conflicts faced by him in dealing with society. Questions may utilize the case study approach to determine these aspects. The following broad areas will be covered:

- **Ethics and Human Interface:** Essence, determinants and consequences of Ethics in human actions; dimensions of ethics; ethics in private and public relationships. **Human Values** - lessons from the lives and teachings of great leaders, reformers and administrators; role of family, society and educational institutions in inculcating values.
- **Attitude:** Content, structure, function; its influence and relation with thought and behavior; moral and political attitudes; social influence and persuasion.
- **Aptitude and Foundational Values for Civil Service:** Integrity, impartiality and non-partisanship, objectivity, dedication to public service, empathy, tolerance and compassion towards the weaker-sections.
- **Emotional Intelligence:** Concepts, and their utilities and application in administration and governance.
- **Contributions of Moral Thinkers and Philosophers:** From India and World.
- **Public/Civil Service Values and Ethics in Public Administration:** Status and problems; ethical concerns and dilemmas in government and private institutions; laws, rules, regulations and conscience as sources of ethical guidance; accountability and ethical governance; strengthening of ethical and moral values in governance; ethical issues in international relations and funding; corporate governance.
- **Probity in Governance:** Concept of public service; Philosophical basis of governance and probity; Information sharing and transparency in government, Right to Information, Codes of Ethics, Codes of Conduct, Citizen's Charters, Work culture, Quality of service delivery, Utilization of public funds, challenges of corruption.
- **Case Studies:** On the above issues.



A BRIEF ANALYSIS OF CASE-STUDY (GS PAPER-IV, 2018 - 2022)

To get familiar with the pattern of questions being asked, in this chapter a brief analysis of previous years' papers are discussed - particularly case study questions - that is the real test of this paper and in practical life.

One should first know about the roadblocks/knots then he should explore ways to overcome/unknot them through the tools provided in this book in a systematic manner.

Further, in this chapter, broader contours of the questions has been taken and certainly this cannot be treated as 'Model' answer as what is 'Model' for UPSC always remains shrouded on mystery and subject to varied interpretations. But, still this can be one of the approaches which you can opt for while attempting this paper.

General Overview of Previous Paper

Overall answering of GS Paper-IV 2022 required the understanding of both theoretical and applied ethics.

The 'Section-A' of GS Paper-IV, 2022 had total six questions where each question had two sub-parts with quotation based question having three sub-parts.

These questions have been framed broadly on topics like -

- Foundational values for civil services like wisdom, intellectual competency, compassion, empathy;
- Impact of attitude of civil servants on implementation of rules and policies;
- Ethics and human interface;
- Corporate social responsibility;
- Understanding of concepts like constitutional morality, conflict of interest, probity in public life, challenges of digitalization, devotion to duty; and
- The ethical concerns associated with ongoing current developments like Russia-Ukraine conflicts, widening scope of online methodologies, whistleblower protection.

The questions have been associated with impact on society at large and vulnerable section in particular, highlighting the reflection of ethics need for building an equal, just and fair society.

An Overview of Case-Study Questions

The 'Section-B' of GS Paper-IV, 2022 had total six case studies. The case studies asked, required the understanding and application of ethical concepts from perspective of different professions like Vice President of multinational company, State Civil Services Officer, Investigative Journalist, Inspecting Team Member in Shoe Company, Joint Commissioner in Transport Department and Officer of Environment Pollution Control Board.

The answering of case studies required identification of stakeholders, ethical dilemmas and values at conflict and proper understanding of the merits and demerits of the options available to resolve the issue.

Case Study: Whether to recruit meritorious unethical person for personal interests or not? (2022)

This case study includes the concept of-

- Ethics in private and public relationships
- Transparency
- Honesty
- Integrity
- Loyalty



LEXICON OF CASE-STUDY

In the following section, we have tried to present in an objective manner, how to look at the Case-Study questions, as Case-Study is said to be pedagogy of management fraternity. Apart from this, some selected write-ups, which goes a long way in enriching the optimal manner in which one can negotiate Case-Study questions has also been given.

What is Case Study?

A case study is an account of an activity, event or problem that contains a real or hypothetical situation and includes the complexities one would encounter in the workplace. Case studies are used to help you see how the complexities of real life influence decisions.

Analysing a case study requires you to practice applying your knowledge and thinking skills to a real situation. To learn from a case study analysis you will be “analysing, applying knowledge, reasoning and drawing conclusions” (Kardos & Smith 1979).

According to Kardos and Smith (1979) a good case has the following features:

- It is taken from real life (true identities may be concealed).
- It consists of many parts and each part usually ends with problems and points for discussion. There may not be a clear cut-off point to the situation.
- It includes sufficient information for the reader to treat problems and issues.
- It is believable for the reader (the case contains the setting, personalities, sequence of events, problems and conflicts).

So, in a nutshell; a case study gives you an opportunity to “participate” rather than be passive. It calls for a more engaged approach from the

examinees and at the same time it is the best methodology at the hands of the examiner where he can test the probability of the presence/absence of the potential within the candidate beyond what is available in a plain answer/question type exam.

Types of Case Studies

In the Civil Services Examination, General Studies Paper IV is dedicated to Ethics that includes Case Studies section and carries more than hundred marks. Case studies are one of the major scoring areas for the aspirants and therefore, understandings of the case studies are very important aspects of the preparation.

This basic understanding will direct on how to approach the case to solve the given dilemmas. The case studies asked by UPSC are unique in the sense that they are meant to check the attributes that are expected from a civil servant. By contextual analyses of the case studies we may find that they are fundamentally 'a genuine' or 'invented' situation where an individual is exposed to moral problems or ethical dilemmas. Some of the cases may have multi-layers of ethical dilemmas, where the authorized person is exposed to several levels his upper subordinates.

Such dilemmas demand strong moral standards to tackle such situations with multidimensional intellect. Also, some of the ethics cases are based on certain kinds of goals and objectives; these cases are solved by standard ethical practices.

Different cases require different strategies to handle, and therefore, which type of cases are given and what approach should be followed to tackle the ethical dilemmas, calls for - firstly identification of type of case study and the dilemma involved is necessary.

In any case, a case study may take one of the four different forms:

1. Illustrative case studies,
 2. Exploratory case studies,
 3. Cumulative case studies,
 4. Critical case studies.
1. **Illustrative case studies** are descriptive in nature and designed to shed light on a particular situation, set of circumstances, and the social relations and processes that are embedded in them. These case studies are mainly based on one or two specific events or instances exposing a person to a certain situation. They are useful in bringing to light something about which most people are not aware of.



ETHICS & HUMAN INTERFACE

Etymologically the term “ethics” correspond to the Greek word “ethos” which means character, habit, customs, ways of behaviour etc.

Ethics may be defined as the systematic study of human actions from the point of view of their rightfulness or wrongfulness, as means for the attainment of the ultimate happiness. It is the reflective study of what is good or bad in that part of human conduct for which human has some personal responsibility. In other words, Ethics is a set of standards that a society places on itself and which helps guide behaviour, choices and actions.

Ethics is one of the branches of philosophy. As a philosophical discipline, ethics is the study of the values and guidelines by which we live. It also involves the justification of these values and guidelines. It is not merely following a tradition or custom. Instead it requires analysis and evaluation of these guidelines in light of universal principles.

Ethics is also called “moral philosophy”. The word “moral” comes from Latin word “mores” which signifies customs, character, behaviour etc. It is the reflective study of what is good or bad in that part of human conduct for which human has some personal responsibility.

As moral philosophy, ethics is the philosophical thinking about morality, moral problems, and moral judgments.

Socio-Political Evolution of Ethics

Ethics is as old as humanity. The first ethical precepts were certainly passed down by word of mouth by parents and elders, but as societies learned to use the written word, they began to set down their ethical beliefs. These records constitute the first historical evidence of the origins of ethics.

In the Western Philosophy, the history of ethics can be traced back to the fifth century B.C with the appearance of Socrates. As a philosopher among the Greeks his mission was to awaken his fellow humans to the need for rational criticism of their beliefs and practices.

Plato's theory of forms could be seen as the first attempt at defending moral realism and offering an objective ground for moral truths. He was the fountainhead of religious and idealistic ethics, Aristotle engendered the naturalistic tradition of ethics.

Aristotle's ethical writings (i.e. Eudemian Ethics, the Nicomachean Ethics, and the Politics) constitute the first systematic investigation into the foundations of ethics. Aristotle's account of the virtues could be seen as one of the first sustained inquiries in normative ethics. It was a clear mixture of Greco-Roman thought with Judaism and elements of other Middle Eastern religions.

The medieval period was dominated by the thoughts of Christian philosophers and theologians like Augustine and Thomas Aquinas. The influence of Christianity dominated the ethical scenario so much that during this period philosophy and religion were nearly indistinguishable.

The rise of Christian philosophy produced a new era of history of ethics. In times of St. Augustine, the most prominent philosopher of the early medieval period, ethics became a blend of the pursuit of earthly well-being with preparation of the soul for eternal salvation.

The next towering figure of medieval philosophy is Thomas Aquinas. He brought about a true reconciliation between Aristotelian science and philosophy with Augustinian theology. Aquinas greatly succeeded in proving the compatibility of Aristotelian naturalism with Christian dogma and constructing a unified view of nature, human, and God.

The social and political changes that characterized the end of medieval period and the rise of modern age of industrial democracy gave rise to a new wave of thinking in the ethical field. The development of commerce and industry, the discovery of new regions of the world, the Reformation, the Copernican and Galilean revolutions in science, and the rise of strong secular governments demanded new principles of individual conduct and social organization.

Some of the modern philosophers who contributed to the great changes in ethical thinking were Francis Bacon, René Descartes, Thomas Hobbes, Gottfried Wilhelm Leibniz, Benedict de Spinoza, John Locke, David Hume, Immanuel Kant, John Stuart Mill and Friedrich Nietzsche.



ATTITUDE

Attitude refers to a psychological tendency that is expressed by evaluating a particular object with some degree of favour or disfavour. "Object" includes people, things, events, and issues. Attitudes are the feelings and beliefs that determine the behaviour of the persons. They provide framework for responding in a particular fashion.

The attitudes may be positive or negative. The positive attitudes yield favourable behaviour and the negative attitudes yield unfavourable behaviour. Therefore all variables must be identified and analysed which help in the formation of favourable attitudes. The persons having positive attitudes towards the job and organisation may contribute their best to the organisation.

Components of Attitude- 'CAB'

Attitude involves the expression of an evaluative judgment about a stimulus object. In other words, reporting an attitude involves making a decision concerning liking vs. disliking, approving vs. disapproving or favouring vs. disfavouring a particular issue, object, or person.

The most influential model of attitude is multi-component model that conceptualizes three components of attitude, generally called CAB:

- Cognitive
- Affective
- Behavioural

A. Cognitive Component

The cognitive component of attitudes refers to the beliefs, thoughts, and attributes we associate with an object. When you form your opinion or judgment on the basis of available information and decide whether you have a favourable or unfavourable opinion on that, it is the cognitive part of an attitude we are talking about.

B. Affective Component

The affective component of attitudes refers to feelings or emotions (e.g. fear, sympathy, hate, like, pleasure) linked to an attitude object. Affect plays a very important role in attitude formation. Also, affect is a common component in attitude change, persuasion, social influence, and even decision making. How we feel about an outcome may override purely cognitive rationales.

C. Behavioural Component

The behavioural component of attitudes refers to a tendency or a predisposition to act in a certain manner. The predisposition to behave in a certain manner may be caused by affective and cognitive components. For example, the things you believe about something (for e.g. 'my boss is corrupt and is misusing company funds') and the way you feel about it (e.g. 'I can't stand working for him') may have some effect on the way you are predisposed to behave (e.g. 'I'm going to quit my present job').

Structure of Attitude and Dynamic Properties of Attitude

Structure of attitude is about the arrangement of negative and positive feelings, beliefs and behaviors within and among the affective, cognitive and behavioral component of attitude.

Attitudes may consist of

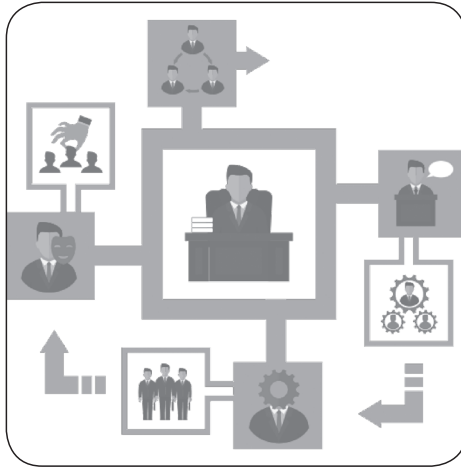
- few positive and many negative elements,
- few negative and many positive,
- few positive and few negative, or
- many positive and many negative elements.

The structure of attitudes can be examined by exploring their (CAB's) dynamic implication for information processing, retrieval and judgment. These dynamic properties of attitudes are as follows-

- Attitude Strength
- Attitude Accessibility
- Attitude Ambivalence

Attitude Strength

Attitudes differ in strength. Strong, central attitudes are attitudes that refer to important attitude objects that are strongly related to the self. These attitudes are often related to important values. Attitude strength involves several dimensions, such as - certainty, intensity and extremity, attitude origin, personal importance.



APTITUDE & FOUNDATIONAL VALUES FOR CIVIL SERVICES

Ethical issues in civil services are common these days. Almost every country whether developed or developing is facing challenges of corruption in public administration. India is nowhere aloof of this.

If we see everyday newspaper, we find cases of corruption not only at junior level but also at higher level of civil service hierarchy where important decisions are made. Therefore it becomes important to inculcate the value of ethics in civil servant in order to ensure the true essence of public administration and welfare.

Therefore, the clear understanding of foundational values of civil service is required in order to score good in UPSC or other State PCS exam.

In this chapter, we have discussed most important ethical values from the perspective of a civil servant. The understanding of these values not only helps to write answer in section A of ethics paper but also help in case studies asked in section B.

Foundational Values

Why are Values Important?

Values are essential components of organisational culture and instrumental in determining, guiding and informing behaviour. For civil services, adherence to high-level public service values can generate substantial public trust and confidence. Conversely, weak application of values or promotion of inappropriate values can lead to reductions in these essential elements of democratic governance, as well as to ethical and decision-making dilemmas.

In spite of the enactment of laws, rules and regulations to ensure impartiality, honesty and devotion among the civil services, there still remains a vast area of administrative discretion which cannot be controlled by formal laws, procedures and methods. In such areas, says Otto Kirchheimer, “no supervision from above can be as effective as an automatic control on the minds of those possessing it and creating standards of efficiency as well as honesty”.

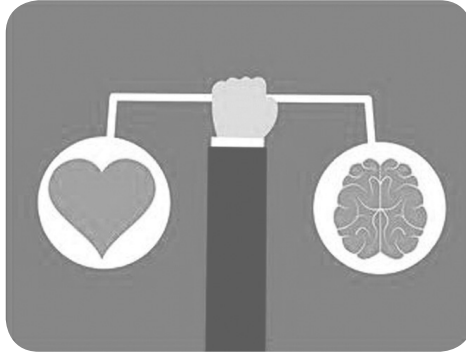
Any deviation from the common standards under such circumstances is likely to be discovered sooner or later and rooted out. In the words of McCann, in all such areas “they must answer to their own conscience, to their own senses of dignity and pride, to the opinions of their fellow-men and above all, to their devotion, to their own honest effort to define the total welfare and to serve it”.

Values for Civil Service

There are obvious constraints to attempts to prescribe values which public services should adopt, given the variety of historical, social and cultural forces at play in different parts of the world. But according to Second Administrative Reform Commission, integrity, dedication to public service, impartiality, political neutrality, anonymity, etc. are said to be the hallmarks of an efficient civil service. The Commission is also of the opinion that in addition to commitment to the Constitution these values should include:

- a. Adherence to the highest standards of probity, integrity and conduct
- b. Impartiality and non-partisanship
- c. Objectivity
- d. Commitment to the citizens’ concerns and public good
- e. Empathy for the vulnerable and weaker sections of society.

The public servant’s duties today remain many, complex and often seemingly contradictory. This is reflected in the values and principles underpinning those duties - including maintaining confidentiality, acting in the public interest, providing quality advice, avoiding conflicts of interest, ensuring accountability to a range of actors and treating all colleagues equitably.



EMOTIONAL INTELLIGENCE

Emotionally intelligent people are sensitive to other people. They are able to manage their own emotion as well understand the emotion of others. Therefore, an emotionally intelligent civil servant can efficiently ensure welfare of people at large by understanding their hardships. In this chapter, we have discussed emotional intelligence, its characteristics, functions, etc. Also how emotional intelligence can deliver desired outcome in civil services, management and other profession.

Emotions

Emotion is an affective state of consciousness in which joy, sorrow, fear, hate, or the like, is experienced, as distinguished from cognitive and volitional states of consciousness.

Whereas, the term 'affective' is defined as something pertaining to feeling or emotions, especially pleasurable or unpleasurable aspects of a mental process.

Intelligence

Intelligence is a set of cognitive abilities which allow us to acquire knowledge, to learn and to solve problems.

Emotional Intelligence

Emotional intelligence is the ability to perceive emotions, to assess 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 (Mayer and Salovey).

According to Goleman, “emotional intelligence” refers to the capacity for recognizing our own feelings and those of others, for motivating ourselves, and for managing emotions, well in ourselves and in our relationships. In simple words, emotional intelligence refers to attributes such as understanding one’s feeling, empathy for others, and the regulation of emotions to enhance one’s life. Aristotle wrote about emotional intelligence in 350 BC, centuries before the term became popular.

It is important to understand that Emotional Intelligence is not the opposite of intelligence, it is not the triumph of head over heart but is the unique intersection of both. Think about the definition of emotion, intelligence, and especially, of the three parts of our mind - affect/emotion, cognition/thinking, volition/motivation. Emotional Intelligence combines affect with cognition and emotion with intelligence.

Emotional intelligence, then, is the ability to use your emotions to help you solve problems and live a more effective life. Emotional intelligence without intelligence, or intelligence without emotional intelligence, is only part of a solution. It is the head working with the heart.

Mayer & Salovey (Ability Model)

In the words of Mayer and Salovey, Emotional Intelligence is the ability to 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. There are four different areas as perceived by Mayer and Salovey in above definition-

- **Perceiving Emotions-** In order to properly understand the emotions, it is, first, necessary to accurately perceive them. In many cases, this might involve understanding non-verbal signals such as body language and facial expressions.
- **Reasoning with Emotions-** Reasoning with emotions involves using emotions to promote thinking and cognitive activity. Emotions help prioritize what we pay attention and react to; we respond emotionally to things that garner our attention.
- **Understanding Emotions-** The emotions that we perceive can carry a wide variety of meanings. If someone is expressing angry emotions, the observer must interpret the cause of their anger and what it might mean. For example, if your boss is acting angry, it might mean that he is