ETHICS
Updated Value Addition Material 2020
Probity in Governance- Concepts, Principles and Challenges
PROBITY IN GOVERNANCE: CONCEPTS, PRINCIPLES AND CHALLENGES

Contents

1. Probity: Definition and Overview .......................................................... 2
   1.1. Philosophical Basis of Probity in Governance .......................................... 2
2. Need for Probity in Governance ................................................................. 3
3. Principles of Probity ................................................................................... 4
4. Transparency: Definition and Overview ...................................................... 4
   4.1. Transparency: A Pillar of Ethical Governance ........................................... 5
   4.2. Features of Transparent Governance ....................................................... 6
      4.2.1. Information Sharing ........................................................................ 6
      4.2.2. Participative Governance ................................................................ 7
5. Accountability and Responsibility ............................................................... 8
   5.1. Meaning of Accountability .................................................................... 8
   5.2. Why is it needed? .................................................................................. 9
   5.3. How can it be ensured? .......................................................................... 10
   5.4. Meaning of Responsibility .................................................................... 11
6. Challenge of Corruption ............................................................................ 12
   6.1. Understanding Corruption: Unethical Basis .......................................... 13
   6.2. Impacts of Corruption .......................................................................... 14
   6.3. Corruption: Analysis and Indian Perspective ......................................... 15
   6.4. Ways to Tackle Corruption .................................................................. 17
   6.5. Conclusion ......................................................................................... 19
7. Other challenges associated with Probity in Governance ............................ 19
8. Previous Years UPSC GS Mains Questions ................................................ 20
9. Previous Years UPSC Mains Questions: Case Studies ................................. 20
10. Previous Years Vision IAS GS Mains Questions ......................................... 21
11. Previous Years Vision IAS GS Mains Questions: Case Studies .................... 29
**Note** - This document shall cover the following sections from the syllabus:

- Probity in Governance - Philosophical Basis of Governance and Probity; Information Sharing and Transparency in Government; Accountability and Ethical Governance; Challenges of Corruption

## 1. Probity: Definition and Overview

Probity originates from the Latin word ‘probitas’, meaning good. **Probity is confirmed integrity. It is usually regarded as being incorruptible.** It is the quality of having strong moral principles and strictly following them, such as honesty, uprightness, transparency and incorruptibility.

Probity in Governance is concerned with the propriety and character of various organs of the government as to whether these uphold the **procedural uprightness, regardless of the individuals manning these institutions.**

It involves adopting an ethical and transparent approach, allowing the process to withstand scrutiny. Probity goes further than the avoidance of being dishonest because it is determined by intangibles like personal and societal values.

### 1.1. Philosophical Basis of Probity in Governance

The gist of wisdom on administrative ethics is that the public administrators are guardians of the administrative state. Two crucial questions raised in this context are -

**Why should guardians be guarded? and Who guards the guardian?**

**Historical perspective:**

The ethical concerns of governance have been emphasized broadly in Indian scriptures and other treatises such as Ramayana, Mahabharata, Bhagvad Gita, Buddha Charita, Arthashastra, Panchatantra, Manusmriti, Kural, Shukra Niti, Kadambari, Raja Tarangani, and Hitopadesh. Chinese philosophers such as Lao Tse, Confucius and Mencius also contributed the theoretical dogmas on **ethical governance.**

**Perspective of various other philosophers:**

Western Philosophy identifies 3 eminent school of ethics-

- First, inspired by **Aristotle** holds virtues (such as justice, charity and generosity) are dispositions to act in ways that benefit the possessor of these virtues and the society that he is a part.
- The second by **Immanuel Kant**, makes the **concept of duty central to morality** i.e. human beings are bound, from knowledge of their duty as rational beings, to obey the categorical imperative to respect other rational beings with whom they interact. Kant supposed that a rigorous application of the same methods of reasoning would yield an equal success in dealing with the problems of moral philosophy.
- The third being, the **utilitarian standpoint** that proclaims that the guiding principle of conduct should be the greatest happiness (or benefit) of the greatest number. **Utilitarianism** is a theory in normative ethics maintained that the moral action is the one that maximizes utility. Utilitarianism is a form of consequentialism, which implies that the “end justifies the means”.

Another philosopher who developed **ethical theory of governance** was **David Hume**. Hume upholds that moral distinctions are derived from feelings of pleasure and pain of a special sort, and not as held by many Western philosophers since Socrates from reason. Working from the empiricist principle that the mind is essentially passive, Hume claims that reason by itself can never prevent or produce any action or affection. But since morals concerns actions and affections, it cannot be based on reason.
In recent times the movement of good governance initiated by World Bank in 1992 broadly lays down stress on ethical and moral conduct of administrators.

2. Need for Probity in Governance

In a democracy, probity espouses the principles of equality before law and a respect for the rights and duties of leaders towards their citizens. Conversely, probity is a societal expectation which citizens demand from decision makers and all those who function as a part of the state’s apparatus.

It is a shared belief that the adoption of standards like “accountability”, “transparency” and “responsiveness” will lead to clean and efficient governance. However, standards do not, by themselves, ensure ethical behaviour: which requires a robust culture of integrity and probity in public life. The crux of ethical behaviour does not lie only in standards, but in their adoption in action and in issuing sanctions against their violation.

The need for probity in governance can be understood as follows:

- **Legitimacy of the system:** Foremost, it helps build up the legitimacy of the system, i.e. the state. It builds trusts in the institutions of the state and a belief that the actions of the state will be for welfare of the beneficiaries.
- **Trust building through ethical outcomes:** It leads to prudent and ethical outcomes and building of trust over time.
- **Objectivity:** It provides for an objective and independent view on the fairness of the process.
- **Checks and balances:** It helps in checking the abuse and misuse of power by various organs of government such as magistracy, police and all other providers of public service e.g. PWD, health, education, etc.
- **Equitable and sustainable development:** It is an essential and vital requirement for an efficient and effective system of governance and for socio-economic development.
- **To serve the constitutional cause:** Probity in Governance is required to serve the motto of Constitution. i.e. to provide Social, Political and economic justice to all. It enhances faith in the governance.
- **Reduced politicization of bureaucracy:** It helps address nepotism, Favoritism, Political partisanship. Public reposes more trust in governance and therefore it facilitates participatory governance. It leads to avoidance of sub-optimal outcomes, corruption and poor perception.

The famous economist Mehboob-Ul-Haq, remarked that corruption existed everywhere but it is a greater cause of worry in South Asia because it is exploitative and feeds on the helpless poor citizen.

Though instilling a sense of morality in the people and its representatives is a long-term process which needs an immediate attention, some legislatives measures can be designed with an utmost urgency to ensure probity in governance.

According to the National Commission to Review the working of Constitution’s (NCRWC, 2002) report on ‘Probity in governance’:

- ‘An important requisite for ensuring probity in governance is absence of corruption. The other requirements are effective laws, rules and regulations governing every aspect of public life and, more important, an effective and fair implementation of those laws, etc.'
The NCRWC made suggestions on ways to enforce probity in governance, specifically on legal and procedural aspects to control the menace of corruption.

Thus, **Probity in governance** is an essential and vital requirement for an efficient and effective system of governance and for socio economic development.

### 3. Principles of Probity

While the doctrine and the principles of probity are clear and well defined, giving a concrete shape to implement them is the task of the government.

#### 4. Transparency: Definition and Overview

Transparency has been defined by the **Second Administrative Reforms Commission** as, the ‘availability of information to the general public and clarity about functioning of governmental institutions.’

Further, Vishwanath and Kaufmann (1999) have defined transparency as the **“increased flow of timely and reliable information, which is accessible to all relevant stakeholders”**. This perspective emphasizes not only the **availability** of information, but also its **reliability** and **accessibility**.

It is not a new concept as shown in the timeline depicting the evolution of ‘transparency and right to information’ which can be charted out as follows:
• Resolution 59 of the UN General Assembly adopted in 1946 recognised Freedom of Information an integral part of the fundamental right of freedom of expression.

• International Covenant on Civil and Political Rights (1966) and the American Convention on Human Rights (1969) also recognized the Right to Information in one way or the other.

• Supreme Court Case in Mr. Kulwal v/s Jaipur Municipal Corporation, 1982 emphasized that without Right to Information, the freedom of speech and expression cannot be fully used by the citizens.

• MKSS (Mazdoor Kisan Shakti Sangathan), a grassroots organization led by activists Aruna Roy and Nikhil Dey that started the movement of Right to Information regarding development projects in rural Rajasthan

• NCPRI (National Campaign for People’s Right to Information), 1959 was formed with an objective of getting the legislation on Right to Information passed.

• Tamil Nadu was the first state to enact RTI legislation in 1997, Rajasthan enacted the Right to Information Act in 2000

• The RTI Act 2005 overcame these lacunae and provided a legal framework for the working of Right to Information

Why is Transparency and Information Sharing essential?

Transparency and information sharing form the two most important pillars of the good governance in a mature democracy.

• Transparency and information sharing are key tools to build accountability and trust in public offices. They are indispensable in the quest for good governance – be it timely execution of projects, or fight against corruption or arbitrary exercise of power.

• These empower citizens, foster their participation in public affairs, strengthen participatory democracy and usher in people centric governance.

• In transparent governance system, the criteria, procedures and systems of decision-making are openly known to all. Information sharing is sine-qua-non for transparency.

• Further, transparency of information is also seen as significant for motivating citizens to exercise ‘voice power’. Voice power is defined as the capacity of citizens to pressurize the frontline officials in ensuring effective delivery of services. This voice power results in greater accountability.

Therefore, we can say that in a broad sense, Transparency refers not only to the level of openness, accessibility and reliability of information but also to style of functioning and the priorities accorded by the government in policy making.

4.1. Transparency: A Pillar of Ethical Governance

It can be contended that transparency and accountability is the fundamental requirement for preventing the abuse of power. It is necessary condition for ensuring that power is directed towards the achievement of efficiency, effectiveness, responsiveness and transparency.

Open, transparent and accountable government is an imperative prerequisite for community-oriented public service delivery because without it covert unethical behaviour will result.

Transparency is not just a means to fulfill certain functions but an end in itself. Belief in the openness of government to regular inspection is so firmly ingrained in our collective consciousness that transparency has innate value.
4.2. Features of Transparent Governance

Over time, India has made consistent efforts to imbibe Transparency in the government by working on the following three focus areas:

- **Right to information laws** – to establish the constitutional/legal right for a citizen to access the information that they want;
- **Proactive transparency** – to commit governments to publishing as much information as possible in an accessible form;
- **Open data approach** – to enable all the stakeholders to reconfigure the government data into inter-operable and accessible formats.

4.2.1. Information Sharing

Information sharing refers to the exchange of data among various governing bodies, organizations and the general public. Access to information is a crucial, and perhaps the largest, subset of it.

Indian Parliament has also institutionalized this right by legislating Right to Information Act 2005 which mandates timely response to citizen requests for government information (*refer later sections of this document for the detailed analysis of the RTI Act*).

Further, *parliamentary debates are televised in India, government audit reports are published and the government positions on various policy issues* are widely advertised through websites, radio and social media. Most recently, the government has launched data.gov.in website to promote **Open Data Government (ODG)**.
4.2.2. Participative Governance

Participative governance is one of the means to achieve transparency in governance through the bottom up approach (73rd and 74th Constitutional Amendment Acts, by giving constitutional status to Panchayats and Urban Local bodies). It entails participation of people in decision-making at the grass root level through decentralization of powers to the local self-governing bodies.

Following are some other initiatives towards participative governance:

- **Social Audit** – It is a potent tool in the hands of citizens to monitor and evaluate the working of various governance bodies. Initiated by the Mazdoor Kisan Shakti Sangathan (MKSS) as ‘jansunwai’ (public hearing), in 1990s, now social audits have been made mandatory in statutes such that the Mahatma Gandhi National Rural Employment Guarantee Act. Such audits have increased citizen participation and have helped in ensuring checks and balance in system. For instance, in Andhra Pradesh, state-wide social audits found fraud of large amounts resulting in administrative or criminal charges against nearly 7,000 officials. This has also ushered in environmental democracy and governance.
• **Resident Welfare Associations** — These include state-specific incentives to incorporate the views of society or to devolve the decision-making power for basic civic functions to the citizens. These initiatives have been applauded for their implementation and intent of engaging common citizens to promote ‘janbhagidari’ (public participation).

• **The Bhagidari scheme of the Delhi Government** directly involves citizens through RWAs in monthly meetings in order to mobilize the community to take responsibility for their respective zones and areas. These RWAs are also the first point of contact for state utilities while planning development-related and other changes.

• **People’s Plan Campaign: (PPC) in Kerala** was an experiment in decentralized planning (1996). Local governments were required to make their own Five-Year Plans with direct engagement of public. Adequate funds from the State’s development budget were also devolved for the process. However, this scheme has since been scrapped.

5. **Accountability and Responsibility**

5.1. **Meaning of Accountability**

Accountability means making the public officials answerable for their behavior and responsive to the entity from which they derive their authority. Holders of public office are accountable for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

Accountability also means establishing criteria to measure the performance of public officials, as well as oversight mechanisms to ensure that standards are met.

**What Does Accountability Includes?**

In public services accountability is a legal concept, as it contours are fixed by the law, and ideally it includes 3 things:

- **Answerability**: It means one is legally bound to give answers with respect to his commissions, omissions.

- **Enforceability**: It means the respective civil servant is liable to be punished according to the law, if he found to be guilty in discharging his official duties.

- **Grievance redressal**: It means the aggrieved person should have sufficient institutional mechanism to be heard and resolving his grievances.

Answerability refers to the obligation of the government, its agencies and public officials to provide information about their decisions and actions and to justify them to the public and those institutions of accountability tasked with providing oversight.

Enforcement suggests that the public or the institution responsible for accountability can sanction the offending party or remedy the contravening behavior. As such, different institutions of accountability might be responsible for either or both of these stages.

Accountability has little meaning without transparency. Without complete and correct information in public domain, accountability will be of little value. Accountability is not merely ‘to whom’ and ‘how’, it is also ‘for what’. The ‘what’ aspect is provided through transparency. This is the reason that transparency and accountability are mostly used in the same breath.
Institutions for extracting accountability of public servants for their action and inaction-

1. Head of the organization at the organizational level.
2. Departmental head at departmental level.
3. Concerned ministry at the ministerial level.
4. Parliamentary proceedings at the national level.
5. Public opinion at popular level.
6. Media and civil society at societal level.
7. Courts at judicial level.

There is thus both a routine accountability which is mostly departmental in nature and externally enforced accountability which is assessed only when called into question.

5.2. Why is it needed?

Evaluating the ongoing effectiveness of public officials or public bodies ensures that they are performing to their full potential, providing value for money in the provision of public services, instilling confidence in the government and being responsive to the community they are meant to be serving.

1. It prevents the public services from turning into tyrant as they are held answerable to their deeds and mis-deeds.
2. Avoids conflict of interests- Setting accountability clearly demarcates area of one’s actions where he or she is required to act.
3. The first and last beneficiary of public service is public, as the public services are required to act in interest of public and they are answerable for their actions.
4. Promotes justice, equality, and egalitarianism because public servants are required to realize these constitutional ideals and at the same time, they are answerable for their actions.
5. It brings legitimacy to public services- Accountability promotes the loyalty to service as actions are carefully calculated and keeps a check on arbitrary and ill-conceived actions and policies.
6. Be it fear of legal consequences or an outcome of one’s morality, owing accountability for their actions motivates the public servants to discharge their duty with honesty, integrity and efficiency.

5.3. How can it be ensured?

The accountability mechanisms in any country are broadly categorized as those that are located within the State and those outside it. Accountability of the executive arm of government to Parliament and to the citizens of the country is of course the fundamental feature of a democracy.

Analysts have categorized these accountability mechanisms into “horizontal” accountability mechanisms which refer to those located within the State as against ‘vertical’ accountability mechanisms which are those outside the State and include the media, civil society and citizens.

<table>
<thead>
<tr>
<th>Institutions and Mechanisms that Promote Accountability</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Outside the State (Vertical)</strong></td>
</tr>
<tr>
<td>- To the People through elections</td>
</tr>
<tr>
<td>- Through RTI Act to citizens</td>
</tr>
<tr>
<td>- Citizens’ oversight committees</td>
</tr>
<tr>
<td>- Civil society/watchdog bodies</td>
</tr>
<tr>
<td>- Media</td>
</tr>
<tr>
<td>- Service delivery surveys</td>
</tr>
<tr>
<td>- Citizens’ charters</td>
</tr>
<tr>
<td>High effectiveness</td>
</tr>
<tr>
<td>Low effectiveness</td>
</tr>
<tr>
<td>Low to medium effectiveness</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Within the State (Horizontal)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>External (Outside the Executive)</strong></td>
</tr>
<tr>
<td>- Parliament</td>
</tr>
<tr>
<td>- Judiciary</td>
</tr>
<tr>
<td>- Lokayukta</td>
</tr>
<tr>
<td>- CAG</td>
</tr>
<tr>
<td>- CVC</td>
</tr>
<tr>
<td><strong>Internal (Within the Executive)</strong></td>
</tr>
<tr>
<td>- Superior officers</td>
</tr>
<tr>
<td>- 1- Rewards/punishments</td>
</tr>
<tr>
<td>- 2-Disciplinary procedures</td>
</tr>
<tr>
<td>- 3-Performance Management System</td>
</tr>
<tr>
<td>- CBI/police/vigilance</td>
</tr>
<tr>
<td>- Internal Audit</td>
</tr>
<tr>
<td>- Grievance Redressal Mechanisms</td>
</tr>
<tr>
<td>- Disciplinary Procedures (Prevention of Corruption Act, Official Secrets Act)</td>
</tr>
<tr>
<td>- E-governance mechanisms (PRAGATI, NeGP etc.)</td>
</tr>
</tbody>
</table>

Further, by promoting transparency, through effective implementation of RTI in full earnest, especially the pro-active disclosure, then public officials would be more careful to function
strictly according to the spirit of the law and constitution. Secondly, it would educate the people about their rights, entitlements and how to question their fulfillment.

There should be capacity building of the stakeholders to question the public officials about their discharging of official duties. For example, the concept of Social Audit under MGNREGA. Also, effective implementation of laws like Prevention of Corruption Act should be ensured.

In India, constitutional and statutory bodies such as the office of the Comptroller & Auditor General, the Election Commission, and the Central Vigilance Commission (CVC) are examples of other oversight mechanisms that are autonomous but lie within the framework of the State. It should be ensured that these bodies are strengthened and empowered in both letter and spirit.

An independent judiciary embodies the constitutional doctrine of separation of powers and is another important element in the system of checks and balances that exists in any democratic country. The independence and effective role of judiciary is crucial for upholding the rule of law in India, thus various steps like Memorandum of Procedure, e-courts among other should be promoted.

The final expression of accountability in a democracy is through the medium of periodic elections which is an instrument for punishing and rewarding the Government of the day, and therefore, serves as an ultimate instrument of accountability. The electoral reforms and democratic maturity of people is the ultimate bulwark of accountability.

5.4. Meaning of Responsibility

It means accountability to oneself, i.e. when the accountability turns inward. It is a moral concept, where a person feels the answerable to oneself for all his actions, even if it is not covered by any law.

It is more enduring than accountability, because it is based on ethical reasoning, and the person would always do the right thing, even if nobody is there to watch his action, as he holds himself answerable to oneself. Here the person takes ownership of one’s actions and decisions.

DON’T YOU THINK RESPONSIBILITY & ACCOUNTABILITY SHOULD WORK TOGETHER?
Though, these terms are used interchangeably, there is a subtle difference between the two. Accountability makes the person accountable for the consequences of the actions or decisions made by him/her. As against this, consequences are not necessarily attached to the responsibility. Further, accountability requires a person to be liable and answerable for the things, he/she does. Conversely, responsibility expects a person to be reliable and dependable to complete the tasks assigned to him.

Responsibility is said to be attached with ethical maturity, therefore, to inculcate responsibility we need to impart the moral, ethical values through training, role playing etc.

6. Challenge of Corruption

The word ‘corrupt’ is derived from the latin word corruptus, meaning ‘to break or destroy’.

One of the most persuasive definition given by the Word bank- “Corruption is the abuse of public funds and or office for private or political gains.”

This confirms the contention that corruption is a failure of governance. Corruption is an important manifestation of the failure of ethics.

There are majorly two types of Corruption: Coercive and Collaborative.

Coercive Corruption:

- Coercive Corruption is where a person is forced to give bribe to get a job done to which he is otherwise entitled, such as getting a ration card, a driving license, a passport, an electric connection, or sanction for constructing a building.
- Such corruption is endemic to how government carries out its routine activities such as issue of license, permit, policing and revenue collection.
- Payments are generally of petty nature, to lower level inspectors, babus and clerks, and payoff facilitates benefits to which one is otherwise legally entitled

Collaborative/ Big ticket Corruption:

- Collaborative Corruption is one involving high officials and ministers that often implicate multinationals and large domestic firms, in which both parties gain substantial pecuniary benefits, though the public is the ultimate loser.
- They mostly relate to mega-projects, large value contracts, concessions and other favors and difficult to prove nexus, as both bribe giver and takers are beneficiaries.

The countries which are rated as ‘very corrupt’ have a high incidence of coercive corruption, where corruption is institutionalized and citizens have to pay bribe for even basics.
6.1. Understanding Corruption: Unethical Basis

The ethical and moral values of a person decrease with steep rise in power. A Person who has absolute authority may misuse his position.

“Power tends to corrupt and absolute power corrupts absolutely”-Lord Acton

The focus on acts of corruption may mainly be placed ‘before the act’ by deontologists and ‘after the act’ by utilitarians.

Utilitarians maintain that people must act morally in ways that will produce the best consequences.

Deontologists rely on adherence to certain rules in order to militate against acts of corruption. Deontology as a rule-based normative ethical theory illuminates the moral dimension of human activities, especially those that concern human obligations and responsibilities. Deontologists see punishment for criminal deeds as a means of deterrence, whilst utilitarianism views punishment from the retributive angle. Both these approaches demand special attention in a study of corruption.

Honorable late President Abdul Kalam while terming corruption as a dreadful malady afflicting the society observed that Erosion of Conscience and lack of righteousness arise from the never-ending attitude of greed of ‘what can I take?’ rather than ‘What can I give?’. He further added that Failure of inculcation of virtue ethics in individual character ethics, work/professional ethics, parental ethics at all levels of society is a reason for increased corrupt acts and laws not effective as deterrents.
6.2. Impacts of Corruption

Irrespective of the causes of corruption which may be economic, social, legal administrative or political, and the logic given by some ‘pragmatic’ experts in favour of the short-term benefits of speed money, corruption slowly and surely rots away the credentials of an administration, person and even the society as a whole in the long term.

Recently, India has been ranked at the 80th position among 180 countries and territories in the Corruption Perception Index (CPI) prepared by Transparency International.

Ethical:

- Corruption generates black money, which impacts development. Moreover, when the corrupt gets scot free and prosper, it leads to the development of an unethical culture wherein means may not necessarily justify the end. Corruption is considered as a given and is no more abhorred.
- As a corollary to this honesty no more remains a virtue to vouch for and practiced. Once a society accepts corruption as a given its journey to the abyss initiates.
- It sets in motion a cycle of vengeance wherein a person tries to make good the money he loses out due to corruption by indulging in corrupt acts himself. For example, a businessmen forced to pay bribery to an government official make up for the loss by selling sub-standard products/services or by inflating their prices, which forces others to do the same and in the long run everyone loses out including the corrupt government official as he is the consumer of such products and services too, e.g. today it’s a challenge in India to find unadulterated milk, paneer and other food items.

Political:

- Implications for democracy: EIU’s Democracy Index, 2020 has placed India at 51st position (out of 167 countries) and categorizes it as a flawed democracy citing erosion of civil liberties primarily due to lingering issues of corruption and integrity. Corruption eats into the vitals of an administrative setup thus threatening public faith in democracy itself.
- It leads to a general disinterest in political process and may even encourage the growth of radical trends in marginalized communities, e.g. Naxalism
Social:
- 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.
- Honest are victimized and the competent / honest are not attracted to public services. It impacts morale and generates a culture of lethargy, non-participation and lack of focus on public-service delivery.
- Culture of lethargy ('aaraam’ and ‘chalta hai’) leads to slow pace of development.

Economic:
- Cost overruns: Corrupt workforce is focused on self-aggrandizement than on finding solutions to felt problems.
- Promotions / postings determined on the basis of criteria other than merit.
- Effectiveness of government programmes decline, impacts the quality of public infrastructure.
- 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.
- Corruption has adverse effects on human development (indicated by HDI indicators), as it’s both the cause of poverty and a barrier in reducing it.
- Corruption hurts the Poor the most, e.g. by fueling inflation, increases the cost of basic services for common man, shifts government expenditure from priority areas to those areas where rent seeking is greater.

6.3. Corruption: Analysis and Indian Perspective

It is often said that in India, corruption thrives because it is a low risk, high profit business. There are so many safeguards and protection in the system in which a public servant operates that it is very difficult to catch and punish an official indulging in corruption.

Some of the key observations that can be understood is as follows:

1. The weak legal framework for punitive action:
   - Because of ill-defined policies, weak regulatory frameworks and large indiscretion among ministers and high public officials, India has witnessed large cases of crony capitalism that may derail the entire economy. E.g. The CBI alone has hundreds of cases pending in various courts under the PCA, some of them as old as 25 years.
   - However, the judicial process in India is slow and time-consuming. Cushions of safety have been built in the legal system on the principles that everybody is innocent till proved guilty. The legal provisions are exploited by the corrupt to escape punishment. E.g. The conviction rate of criminal cases in India is hardly 6 per cent. The PCA, 1988 hardly serves as a deterrent.
   - There is also a statutory bar that a public servant of the rank of Joint Secretary and above can’t be prosecuted, without prior government permission; the government often delays or prevaricates sanction, thus effectively barring trial of the guilty official.

2. Political Corruption: The Electoral Process and Reform:
   - It is widely recognized that huge money required to fight elections is the foundation of political corruption. Due to the vast geographical area of a constituency, with more than two million voters in many cases, a candidate has to spend huge money to contest the elections.
• A good part of this money comes from business houses, who expect quid pro quo, in the form of opportunities to make black money and other favors. There are several other problems with our electoral system, such as flaws in the electoral rolls, lack of voters’ education, booth capturing, and intimidation of voters.

• The most serious problem relates to persons with criminal background getting elected. In 2004, 24% of members of Parliament (MPs) had criminal cases pending against them. In 2009, that went up to 30%, in 2014 to 34%, and in 2019 as many as 43% of MPs had criminal cases pending against them.

3. The economic policy and the controlled economy:

• License Permit Raj and The Rise of Corruption Monster: India adopted a socialist model of economic development with the state occupying commanding heights since the time Five Year Plans were launched in 1950s. This model of economic development led to the government doing almost everything and placing vast discretionary powers in the hand of public officials in what has been called ‘license permit Raj’.

• Bureaucratic Red-Tapism and Abetting Corruption: This has been highlighted suitably by Robert Merton as, “When the rule becomes more important than the game itself”.

• While we have liberalized the economy, there has been practically no reform in archaic rules, procedures and systems of delivering public services.

• This has built in provision for delay and prevarication giving opportunity to officials to indulge in corruption and harass the hapless citizens.

• Over-regulation combined with a weak state fosters corruption. Cumbersome rules that make market entry difficult or impose costs on legitimate economic activity, if well-enforced, tend to hamper growth because they create high barriers for new projects, investments and entrepreneurial ventures, and this hurts economic activity.

This regulatory regime gave government extensive power of patronage, as also of delay and extortion. And they were fully exploited by the politicians on the pretext of raising party funds, the bureaucrats had their own share of the loot, and bribery became a pervasive phenomenon at all levels of the government. (S.S Gill, Former Civil Servant)

Departments such as police, municipal corporations, land records, sales tax, income tax, excise and customs are known to be corrupt and even routine work cannot be done without giving bribe- (OP Tiwari’s analysis on Corruption in India)

Case Study:
The manual of building by-laws of the Municipal Corporation of Delhi is a confused, intricate and excessively detailed document running into 350 pages. The complicated rules gives the engineers and architects an opportunity to harass citizens who wish to construct houses. S. S. Gill has given a graphic description of how in capital city of Delhi, at the centre of power, organisations such as DDA, MCD, electricity board, and Police have systematised corruption and where officials actively abet, land grabbing, unauthorised construction, theft of power, and illegal plying of transport vehicles.
4. Rise of the Elites and the post liberalization Corruption:
   - The mega corruption thrives because of a **nexus between big business, politician and bureaucrat as highlighted by** Transparency International.
   - Irrespective of coercion involved, the fact remains that **bribery fosters a culture of impunity and repeat corruption, undermines the functioning of public institutions and fuels a perception that governments and bureaucracies are up for sale to the highest bidder.**
   - **Post-economic liberalization opportunity of corruption has increased many-fold due to policies of privatization, public–private Combating Corruption.**
   - **As per Global Financial Integrity, Deregulation and trade liberalization are the main drivers of illicit flow of money abroad.** (out of the illicit flow of USD 462 billion from the country since 1948, 68 per cent occurred during the post-reform period of 1991–2008)

5. MNC’s and Lobbying:
   Lobbying means **any activity of a group or individual with special interest designed to influence the legislative or regulatory actions of a public authority.**

   Lobbying by MNCs in nexus with the incumbent government is employed as means to further vested interests to get the clearances of projects, diversions, bypassing of laws, land acquisition working in their favour.

   **Case Study:** Kalikesh Narayan Singh Deo, a Lok Sabha MP from Orissa introduced a Private Members Bill to regulate lobbying activities. The Bill required lobbyists to register themselves and defined lobbying as communication with and payment to a public servant with the aim of influencing a legislation or securing an award of a contract. Such a definition however blurs the distinction between lobbying and bribery. It may even have the unintended consequence of legitimizing bribery prohibited under the Prevention of Corruption Act, 1988.

6.4. Ways to Tackle Corruption

1. **Ingrain ethical organizational culture through regular ethical training modules and workshops:**
   - The 2nd Administrative Reforms Commission states that poor organizational culture has led to degradation of values and corruption in administration in India. Also, if the work of the public servants is not driven by values oriented to public service, it may lose the trust, confidence and respect of the people who rely on it.

   Thus, an ethical organizational culture through regular ethical training modules, workshops that encourages effective employee participation and transmission of positive values must be employed that leads to better motivation and higher levels of self-esteem for public servants.

   Ethical and spiritual training sessions need to be organized in various training centers like LBSNAA for ethical orientation of public officials to bring about an attitudinal change. Use of Yoga and meditation for development of the inner self of the officials is required.

2. **Strict adherence of Code of Conduct and Code of Ethics:**
   - The code of conduct established for various officials needs to be backed by a Code of ethics which needs to be **imbibed internally** by the officials. **Code of conduct has its limitations but code of ethics will help in imbibing values like courtesy to public, honesty and dedication towards work, responsiveness towards needs of public.** This will ensure that there will be no need of coercive public officials to show ethical behaviour.
3. **Power of the people: Enlightened Citizens as part of the system**

   Citizens also need to undergo attitudinal change and must refrain from bribing officials through ‘speed money’ to get their work done faster. They must be educated about the social costs of corruption.

   Similar **ethical and spiritual training sessions** could be organized by the government to bring about this change. Lessons from the lives of great personalities like Swami Vivekananda, Mahatma Gandhi, Pandit Jawaharlal Nehru should be propagated among the masses so as to inspire them to live their lives according to the values followed by these legends.

4. **Effective implementation of Institutional measures:**

   Strict and evolved implementation of the accountability mechanisms be it effective laws, mechanisms, procedures and tools in accordance with the changing dynamics of the requirements of the society is crucial.

   Bring together formal and informal processes (this means working with the government as well as non-governmental groups) to change behavior and monitor progress will cut red-tapism.

5. **Power of Technology:**

   The ambition of digital government is to transform the analogue, paper-based, legacy systems used to interact with citizens and make public services open, simple and citizen-centric. **Eg: E-auctions of Coal, telecom spectrum, digitization of services like passport, DBT, cashless transactions etc.**

   Use of e-governance and ICT tools to build dynamic and continuous exchanges between key stakeholders: government, citizens, business, civil society groups, media, academia thus ensuring transparency and accountability in governance. For example: The Indian Government’s Unique Identification **Number AADHAR initiative of gathering biometric and demographic data** of all Indian residents and linking it with social benefits like public distribution system entitlements is a good example to plug such leakages.

   **The Bhoomi online management, and delivery of land records in Karnataka** need to be replicated across other services with rigor.

6. **Act globally and locally:**

   Corruption is a global problem that requires global solutions. Keep citizens engaged on corruption at local, national, international and global levels – in line with the scale and scope of corruption. Make use of the architecture that has been developed and the platforms that exist for engagement. **Eg: UN Anti-corruption working group and WB anti-corruption initiatives**

   **Some global success stories are:**
   - The success story of M-Pesa/M-Paisa in African countries and Afghanistan is widely known. It not only made monetary transfers easier and more economical but also fought corruption.
   - Chile’s e-commerce public procurement system **ChileCompra has gained immense popularity around the world** by bringing transparency in public spending.

   Lastly, the fight against corruption must **be turned into a mass movement like the way Mahatma Gandhi turned the struggle for independence into a mass movement.** We must instill a sense of patriotism among the officials and larger public that by **following an ethical path they are contributing towards nation building. They must be given a sense of ownership regarding the country they are living in and they should be made stakeholders in this process.**
This will ensure that **not only corruption will be eradicated from the country and an ethical perspective towards life will be inculcated among the people. It will also mark the coming of the second independence and rebirth of our nation**

### 6.5. Conclusion

If corruption levels in India are reduced to those in Scandinavian countries, GDP would increase by 1.5% and investment would increase by 12%. If all overseas black money is brought back, India can pay back its debt. As many philosophers like **Rabbi Haim of Romshishok** have pointed out, the difference between heaven and hell lies in the fact whether the people in a given society have empathy for and trust on each other. ‘**Sanskritization of corruption**’ will only push our society towards a living hell.

### 7. Other challenges associated with Probity in Governance

Probity in governance is an essential and vital requirement for an efficient and effective system of governance and for socio-economic development.

Some of the important issues/ challenges that hinders the path of ensuring probity in governance is as discussed below:

- **Lack of fair and effective implementation of laws**: The other requirements are effective laws, rules and regulations governing every aspect of public life and, more important, an effective and fair implementation of those laws, etc. Indeed, a proper, fair and effective enforcement of law is a facet of discipline.

- **Colonial legacy**: Due to **ingrained culture of indiscipline resulting out of colonial legacy of bureaucracy/executive functioning**, that those in authority can exercise power in an unchallenged way. This **culture of impunity** amounts to a culture of indiscipline and untruth; morality, both public and private, is at a premium. Discipline implies inter alia public and private morality and a sense of honesty.

- **Historical and social asymmetries of powers in society**: Nearly 90% of the people work in the unorganized sector. Two thirds of the remaining work in the organized sector having job security and regular monthly wages and are employees of the state either directly or indirectly. Such asymmetry of power reduces societal pressure to conform to ethical behaviour.

- **Erosion of Values and Institutions**: Gross perversion of the Constitution and democratic institutions amounting to willful violation of the oath of office and this is so deeply entrenched in the system that most people regard corruption as inevitable and any effort to fight it as futile. This cynicism is spreading so fast that it bodes ill for our democratic system itself.

**Surveillance Society**

Surveillance involves paying close and sustained attention to another person. The term encompasses not only visual observation but also the scrutiny of all behaviour, speech, and actions. Prominent examples of surveillance include surveillance cameras, wiretaps, GPS tracking, and Internet surveillance.

When this activity includes an entire or a substantial fraction of a population, it is said that there is a normalisation of a surveillance society. The recent decision of the Government of Delhi to install CCTV cameras in different parts of the capital has generated a debate on sanctity and normalisation of a surveillance society.

**Ethical Issues in Surveillance**

- **What are the areas and events when people do not mind being surveyed?**
  - We do not have issues with the security checks at airports and railway stations. In fact, we
demand more and more surveillance. Whereas on the other hand, even a small intrusion in our phone is resisted forcefully.

- **What powers of surveillance states should have over their citizens?**
  - Can the state have a universal access and unlimited powers to survey a particular person, if it is convinced of its efficacy? Or there has be a set of limitations on its use.
- **What powers of surveillance private companies should have over clients?**
  - The companies in the guise of service delivery and research may be use misusing the data of citizens. E.g. as revealed in the recent case of Facebook where the users personal data and activity was leaked to other agencies.
- **Which technologies should and shouldn’t be used?**
  - Today there are number of advanced technologies available which can intrude into the private space of citizens, such as phone tapping, spyglasses etc. There needs to be a rationing of the technologies available to the government agencies, which should be mandated by law.

### 8. Previous Years UPSC GS Mains Questions

#### 2013
- 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?

#### 2014
- What does ‘accountability’ mean in the context of public service? What measures can be adopted to ensure individual and collective accountability of public servants?
- 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?
- 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.

#### 2016
- "Corruption causes misuse of government treasury, administrative inefficiency and obstruction in the path of national development." Discuss Kautilya’s Views.

#### 2018
- What is mean by public interest? What are the principles and procedures to be followed by the civil servants in public interest?

#### 2019
- What do you understand by probity in governance? Based on your understanding of the term, suggest measures for ensuring probity in government.
- What are the basic principles of public life? Illustrate any three of these with suitable examples.

### 9. Previous Years UPSC Mains Questions: Case Studies

1. You are the head of the Human Resources department of an organisation. One day one of the workers died on duty. His family was demanding compensation. However, the company denied compensation because it was revealed in investigation that he was drunk at the time of the accident. The workers of the company went to strike demanding compensation for the family of the deceased. The Chairman of the management board has asked for your recommendation.
   - What recommendation would you provide the management?
   - Discuss the merits and demerits of each of the recommendations

2. In a modern democratic polity, there is a concept of political executive and permanent executive elected people’s representatives forms the political executive and bureaucracy forms the permanent executive. Ministers frame policy decisions and bureaucrats execute these. In the initial decades after independence, relationship between the permanent executives and the political executives were characterized by mutual understanding,
respect, and cooperation, without encroaching upon each other’s domain. However, in the subsequent decades the situation has changed. There are instances of the political executive insisting upon the permanent executives to follow its agenda. Respect for an appreciation of an upright bureaucrats has declined. There is an increasing tendency among the political executive to get involved in routine administrative matters such as transfers, posting etc. Under this scenario, there is a definitive trend towards ‘politicization of bureaucracy’. The raising materialism and acquisitiveness in social life has also adversely impacted upon the ethical values of both the permanent executive and the political executive.

What are the consequences of this ‘politicization of bureaucracy? Discuss

**10. Previous Years Vision IAS GS Mains Questions**

1. **Probit is an essential condition of good governance. Explain.**

   **Approach:**
   
   - Define Probit.
   - Provide arguments to bring out the significance of probity for good governance.
   - Conclude answer.

   **Answer:**

   Probit is the quality of adhering to strong moral principles such as honesty and integrity as well as uprightness, good character and decency. It is the act of following the highest principles and ideals rather than merely avoiding corrupt or dishonest conduct. It balances service to the community against the self-interest of individuals.

   **Probit and Good Governance**

   Governance is the act and manner of managing public office. A working paper of the National Commission to Review the Working of the Constitution noted that probity in governance is an essential and vital requirement for an efficient and effective system of governance and for socio-economic development. While the constitution and laws provide legal framework for governance, probity is part of the ethical framework that determine the nature of governance and the relationship between the government and the governed.

   **Probit is essential for good governance as it:**

   - **Enhances the credibility of the state apparatus:** Since probity is concerned with procedures, processes and systems rather than outcomes, it ensures procedural integrity of the institutions. Thus, efficient and effective system of governance leads to socio-economic development.
   - **Ensures institutional integrity:** Probit maintains ethicality and legality of institutions regardless of the individuals manning them. It involves adopting an ethical and transparent approach, allowing the process to withstand scrutiny.
   - **Minimizes individual discretions:** Strict adherence to the highest moral standards allows institutions as well as the individuals to deal with everyone impartially.
   - **Curb corruption:** Aspects of probity such as accountability and transparency - prevents abuse of public resources or position in public life for private gain.
   - **Upholds public confidence:** Probit in governance preserves public confidence in the government and governmental processes. It eases the way authority is exercised by the public officials.

   Creation of a strong moral framework in governance is essential for good governance. However, procedural probity should not be at the cost of humane aspect of the
administration. To ensure probity in public life, a robust culture of integrity and moral standards needs to be cultivated.

2. What do you understand by the terms transparency and accountability in administration? Bring out the relationship between the two.

Approach:

- Define and explain both transparency and accountability.
- Explain the relationship between transparency and accountability.
- Conclude appropriately.

Answer:

Transparency in administration means the availability of information in the public domain as permissible under the law. It aims to bring about clarity in the functioning of government institutions. It brings out clear communication on the process of decision-making and the reasons taken without distorting facts i.e. sanctity of procedure should be reflected in decision-making. For example, e-auction of any public procurement project where all the details and parameters are made available in public domain.

Accountability in administration means the answerability of the decision makers for their decisions and actions to the designated superior authority. It means they must submit themselves to the scrutiny necessary to ensure this. Further, it also includes the enforcement of the sanctions, if actions or justifications are judged unsatisfactory. For e.g. the government is accountable to the Parliament for its various actions and parliamentarians are accountable to their constituencies for their performance.

Relationship between transparency and accountability: Transparency and accountability share a complementary relationship. On one hand, accountability defines the type of transparency needed and on the other hand, the quality of information decides the type of accountability possible. It can be seen as follows:

- Effect of transparency on accountability: If there is transparency in the working of an authority, it will aid people to uphold accountability. For e.g the disclosure of information under Right to Information Act, aids the citizens to uphold the accountability of public officials.

- Effect of accountability on transparency: If there is an accountability mechanism in place, it will force the public authority to maintain transparency in the decision-making. For e.g. the audit and scrutiny conducted by the Comptroller and Auditor General of India makes way for the departments and authorities to maintain transparency in their record keeping.

To ensure a positive influence, transparency and accountability systems should be designed to support each other. Both the concepts reinforce each other and contribute towards good governance, rule of law and improving the citizen’s trust in the government.

3. Examine the role of media in promoting probity in governance.

Approach:

- Define the term ‘probity in governance’.
- Assess the role of the media in ensuring probity in governance.
- Mention a few issues with the media and suggest a way forward.
**Answer:**

Probity is the quality of having strong moral principles and strictly following them. It includes principles such as honesty, integrity, fairness, uprightness, transparency and incorruptibility. Probity in Governance is concerned with the propriety and character of various organs of the government as to whether these uphold the procedural uprightness, regardless of the individuals manning these institutions. An important requisite for ensuring probity in governance is absence of corruption. Media plays following role in ensuring it:

- **Transparency**: Media is essential to safeguarding transparency of democratic processes. This is often called its 'watchdog' role. For example, media presence at voting and counting centres is critical to fair and transparent elections.
- **Corruption**: Investigative reporting by media or reporting of instances of corruption may prompt public bodies to launch formal investigation into allegations of corruption. For example, investigations into alleged mishandling of funds during CWG games.
- **Institutional Integrity**: Media disseminate the findings of public anti-corruption bodies, thus reinforcing the legitimacy of these bodies as well as insulating them from undue pressures from vested interests. For example, bringing politicians to account for violations of code of conduct during elections.
- **Accountability**: Sometimes, mere inquiries by journalists, in the absence of a story’s publication or of conclusive proof of wrongdoing, can lead to a tangible response from authorities eager to protect their reputations and those of the institutions they represent.
- **Participative democracy**: It brings public concerns and voices into the open and works to strengthen government responsiveness to various social problems including corruption.
- **Feedback mechanism**: It can also expose flaws in policy, laws or regulation that foster a climate ripe for corruption, thus creating pressure for reform.

For the media to effectively help in ensuring probity in governance, it needs to be independent from governmental, political or economic control. As well as, media should be pluralistic with the existence of the greatest possible number of newspapers, periodicals and broadcasting stations. Such a media will reflect the widest possible range of opinions within a community and play its role of the fourth pillar of democracy in true form.

4. **Explain the importance of probity in governance. What measures have been undertaken for ensuring probity in governance in India?**

**Approach:**

- Briefly explain the term probity.
- Discuss the importance of probity in governance.
- Mention the measures taken by government to ensure probity in governance.

**Answer:**

Probity is the quality of having strong moral principles and strictly following them. It includes principles such as honesty, integrity, uprightness, transparency and
incorruptibility. Probity is confirmed integrity. It is usually regarded as being incorruptible.

Probity in Governance is concerned with the propriety and character of various organs of the government as to whether these uphold the procedural uprightness, regardless of the individuals manning these institutions. It involves adopting an ethical and transparent approach, allowing the process to withstand scrutiny. The objective of having probity is that it ensures procedural integrity. It is concerned with processes, procedures, and systems. It includes principles such as honesty, integrity, uprightness, transparency and incorruptibility.

According to NCRCW, absence of corruption is a prerequisite for ensuring probity in governance. The other requirements are effective laws, rules and regulations to govern every aspect of public life and fair implementation of those laws. Probity in governance ensures that the system remains transparent, accountable, responsive and open to scrutiny.

Importance of probity in governance:
- It helps in building legitimacy of the state and trust in its institutions. It instills a belief that actions of the state are for the welfare of the beneficiaries.
- It leads to prudent and ethical outcomes and building of trust over time.
- It leads to avoidance of sub-optimal outcomes, corruption and poor perception.
- It provides for an objective and independent view on the fairness of the process.
- It helps in checking abuse and misuse of power by various organs of the government.
- It is vital for the efficient and effective system of governance and for socio-economic development.

Measures taken by Government of India to ensure probity in governance are:
  - Amendments in 2018 included the act of offering gifts/bribes to the public servants as punishable offence.
  - It also amended the act to protect honest bureaucrats through bringing more clarity on criminal misconduct and by making the prior sanction by competent authority necessary before starting inquiry investigation against them.
- Right to Information Act, 2005: It helps the cause of probity in governance through citizen activism. The 2nd ARC considers RTI as the master key to good governance.
- Whistle-blowers Protection Act, 2014: The act provides a mechanism for receiving and inquiring into public interests disclosure against act of corruption, misuse of power discretion or criminal offences by public servants.
- Prohibition of Benami Property Transaction Act, 1988 and amendments in 2016: Now, Benami transactions have been clearly defined, and confiscation of such properties without payment of compensation has been established as law.
- Central Vigilance Commission: It advises government in matters related to maintenance of integrity in administration.
- Lokpal and Lokayukta Act, 2013: It envisages an institution of ombudsman which enquires into allegations of corruption against certain public functionaries and matters related to them.

There must be a legislation to check misfeasance in public offices, confiscation of illegally acquired assets by public servants, and a code of ethics for government. A strong criminal judicial system is also required to ensure probity. As a society, one must evolve to a level where probity becomes a way of life and honesty becomes a routine
expectation. The value of integrity, impartiality and merit must become the guiding principle to be followed by bureaucrats.

5. **Transparency in government organisations is an essential pre-condition for good governance. Elucidate.**

**Approach:**
- Briefly define transparency and its role in a democracy.
- State the tools of transparency in India and discuss how they lead to objective decision-making, increased efficiency etc.
- Mention the current issues regarding transparency in India.
- Conclude suitably.

**Answer:**

Transparency refers to the availability of information to the general public and clarity about functioning of governmental institutions. Governance is the manner in which decisions are taken and implemented, particularly by the lawful authority. ‘Good’ signifies that governance system adheres to certain well-accepted principles which make the system of governance ethical, just and effective. Some of these principles include adherence to rule of law, participation, accountability, transparency, equity, efficiency & effectiveness and inclusivity.

**Transparency as a tool for good-governance**
- In a functional democracy, the government is obliged to keep its citizens informed. This helps citizens to hold their public officials accountable, which is key to just and good governance.
- As per the 2nd Administrative Reforms Commission, transparency in a democracy allows bi-directional information flow, which allows citizens to participate in governance.
- It empowers the citizens to demand and get information about public policies and programmes, keep themselves informed about their rights as well as duties. Thus, it promotes efficiency, effectiveness and responsiveness in public administration.

**Tools for transparency**
- In India, the Right to Information Act, 2005 (RTI Act), Lokpal and Lokayuktas Act, 2013, Citizen’s Charter, social audit, digitization of records, etc. are tools of transparency and accountability.
- When the process of decision-making is transparent, decisions are taken objectively in a fair manner. This ensures equality before law, just allocation of resources, cutting down on discretionary and arbitrary decisions etc.
- It not only leads to increased transparency but also reduction in corruption. For example, e-auctions of coal blocks by Coal India in 2018-19 made the auction process more transparent and fetched 44% higher prices.

Despite these measures, India has not fared well on the global parameters related to transparency in governance.
- According to Global Corruption Index, 2018 developed by Transparency International corruption is all pervasive Indian administration. The index ranks India 78 out of 180 countries.
- Despite its positive impacts, there are several issues in the implementation of the RTI Act such as low level of awareness about the act especially among women,
rural population, SC/ST/OBCs etc., procedural constraints in filing RTI applications, poor quality of information, increased attacks on RTI activists etc.

- Institutions such as the judiciary, political parties etc. remain outside the purview of the RTI Act, hence, it is difficult to monitor their functioning.
- Apathetic government officials who are secretive in their workings. This undermines both transparency and accountability in public functioning.

Measures should be taken to improve transparency in government organizations, accountability of public servants and involve more citizens in the governance process. The government should proactively and voluntarily make information public as per Section 4 of RTI act to promote transparency in governance. It will ensure just and good governance.

6. **Bring out the significance of probity in public life. What are the requisites for ensuring probity in governance? Pointing out the key concerns in India in this context, suggest certain remedial measures.**

**Approach:**
- Define probity, with special focus on your own understanding.
- List what constitutes probity in governance and the relevant issues plaguing the country in this context.
- Finally, provide a multipronged approach to remedy the issues.

**Answer:**

Probity can be defined as strict adherence to your moral principles based on undeviating honesty and a quality of being incorruptible.

According to the Nolan Principles of Public Life, maintaining a high standard of probity in public life means following the principles of selflessness, integrity, objectivity, accountability, openness, honesty and leadership.

In the modern world, various areas of public life are plagued by corruption, dishonesty and the lack of integrity.

Without these principles discipline cannot be maintained, which according to Gunnar Myrdal is necessary for progress to be made. Corruption has an adverse impact on all aspects of our lives, to tackle which probity in public life is a must.

To ensure probity in governance, absence of corruption is a must along with effective institutions to oversee and enforce laws, rules and regulations which govern various aspects of public life.

In this context the key concerns in India with regards to ensuring probity in governance are:
- Despite laws being present to combat corruption, there is lack of will to enforce them in letter and spirit.
- Deficiency in rule of law as there is asymmetry of power and information. This opens channels for exploitation of dependents on state by those who form part of the executive arm of the state.
- Acceptance of corruption as a necessary evil in large sections of the society.
- A culture of non-transparency in government which discourages attainment of outcomes from outlays.

In order to remedy this situation, two-pronged approach:

From legal-administrative perspective, the following steps can be taken:
• Enacting a comprehensive law to check mala fide actions of public servants.
• Providing a law for confiscation of illegally acquired assets of public servants.
• Strengthening the Whistle-blower Act to protect whistle-blowers.
• Implementation of RTI Act in letter and spirit.
• Strengthening the Institution of Lokpal
• Strengthening the criminal judicial system i.e. reforms in all aspects which include police/investigating agency, the prosecuting agency, the advocates, witnesses and finally the judiciary.
• Undertaking measures like social audit to promote social accountability

From a **general perspective**, we as a society need to impart value education at home and school. As the children learn a lot from the elders, we need to be better role models and citizens to ensure that the younger generation grow up to adopt probity in public life.

7. **While discretion is necessary for effective discharge of duties, it is also a major factor responsible for corruption in administration at all levels. Comment. In this context, suggest some ways in which smooth execution of responsibilities can be ascertained while minimizing corruption.**

**Approach:**
- First explain the meaning of discretion in administration.
- Then explain why discretion is required for effective discharge of duties.
- Explain how discretion could lead to corruption.
- Finally explain measures to minimise corruption while ensuring smooth execution of responsibility.

**Answer:**
Discretion means the power to decide or act according to one’s judgment. Indian law grants some discretionary powers to administrative authorities. Such exercise is not to be arbitrary, vague and fanciful, but legal and regular.

Discretionary powers bestowed on the administrative authorities are of a vast range. Their power serve the purpose of simple ministerial tasks like maintenance of birth and death register as well as those which seriously affect the rights of an individual, e.g. acquisition of property, regulation of trade, industry or business, inquiry, seizer, confiscation and destruction of property, detention of a person on subjective satisfaction of an executive authority and many more. The list of their functions is exhaustive in nature.

The problem of administrative discretion is complex. There has been a constant conflict between the claims of the administration to an absolute discretion and the claims of subjects to a reasonable exercise of it. Now a question is raised that how it can be control.

It can be control with two types, first judicial and other one is non-judicial. There are so many ways to control it.

**Judicial Control**

Judiciary must concentrate on two points. Firstly, it should direct the legislative that they do not confer wide and unlimited discretion to executive. And other is that every discretionary act must come under the power of judicial review. Judiciary can thus play a good role to control abuse of discretionary powers.

Supreme Court of India in its various judgements has held that:
• The administrative discretion should be used according to rules of reason and justice and not according to private opinion, according to law and not humor.
• It is not to be arbitrary, vague and fanciful but legal and regular.
• It must be exercised within limit to which an honest man competent to the discharge of his office ought to confine himself.

Non-judicial control

We must incorporate such rules which will be mandatory for the authority who will exercise discretion to adhere to. If legislative is fails to maintain such norms in that statute to control discretion, those norms must be incorporated by administration with the help of delegated legislation. Mechanisms like code of conduct and code of ethics ensure that self-discipline is observed while exercising discretion. Various institutions like CVC, CBI, Lokpal etc. ensure that abuse of discretion is caught and punished which acts as deterrent in the future.

Hence, through the above mechanism, abuse of discretion can be curbed while at the same time flexibility is maintained while taking administrative decisions.

8. **Open government is an even more comprehensive concept than transparency and freedom of information. Elaborate.**

**Approach:**

First, explain the concept of transparency. Then discuss the essential elements of open government. The last part of the answer should focus on how open government is even more comprehensive than transparency.

**Answer:**

Transparency is an essential feature of open government. Transparency means that information about the activities of public bodies is created and is available to the public, with limited exceptions, in a timely manner, in open data formats and without restrictions on reuse. Transparency mechanisms must include the disclosure of information in response to requests from the public and proactive publication by public bodies. Key information about private bodies should be available either directly or via public bodies.

**But open government has two other essential elements.** They are **participation** and **accountability**. Participation means that the public can engage directly in the consideration of policy options and decision making, and can contribute ideas and evidence that lead to policies, laws, and decisions which best serve society and broad democratic interests. Governments should actively seek to mobilize citizens to engage in public debate. Mechanisms should exist which permit the public to participate at their own initiative and to trigger policy debates on matters of concern.

An accountable government is one which makes itself answerable to the public, upholding standards of behavior and integrity, and both explaining and taking responsibility for its decisions and actions. Accountability requires that rules, regulations and mechanisms be in place governing the exercise of public power and the spending of public funds. Specific and detailed measures are required to reduce corruption risks, to identify and prevent potential conflicts of interest, and to guard against illicit enrichment. There should be protections for those who expose wrongdoing.

Thus in an open government openness through transparency becomes a means to greater civic participation in an enabled environment, where there is effective free flow of information both ways to see through the working of government; and to verify...
whether or not public servants are meeting their obligation to expectations of citizen;
All four component of accountability i.e. answerability, sanction, redress and system
improvement ensure responsiveness of government and finally civic engagements in
the process of governance, in the form of people’s planning, participatory budgeting,
corruption watch by citizen audit etc. makes it (open government) the new democratic
culture of an open society toward which every liberal democracy is moving.

9. **Ethics is the first line of defense against corruption while law enforcement is remedial
and reactive. Examine the statement with suitable examples.**

**Approach:**
- Describe the importance of ethics and laws in preventing corruption.
- Elaborate the statement while taking a stand on it and justify with examples.

**Answer:**
Ethics refer to well-founded standards of right and wrong that prescribe what humans
ought to do, usually in terms of rights, obligations, fairness or specific virtues. Laws are
usually based on an ethical framework and aim to bring social order while controlling
the immoral or unethical behaviour of individuals in the society.

Laws act as an external set of standards and rules imposed on an individual by the
government. An individual disobeying the law is liable to face the prescribed penalties
and punishments and thus deter non-compliance. Laws have societal sanctions and
approvals and thus have an important role in smooth functioning of the society. The
fact that laws are grossly violated often by the wealthy and the powerful suggest a
fundamental lack of ethics in the society.

Ethics act as a moral compass in guiding an individual even when the law is silent on
the action which ought to be taken. A typical example is the role of an administrator
where discretion has to be exercised. Discretion provides ample opportunities for
corruption and a person with weak ethics may easily fall prey to money-making even at
the cost of society’s wellbeing. Therefore, ethics is the first line of defense, even if there
is no law on the subject.

As another example, a government may not frame laws to dictate whether a company
should make its products more environmentally safe or easier to recycle, but doing so
may be the ethical thing to do. But a responsible and ethically upright organisation will
consider these measures even in the absence of laws mandating the same.

Hence, it is ethics that act as a strong defence mechanism for all societies to prevent
corruption whereas laws are reactive and only a remedy. A permanent solution for
wiping corruption from its roots shall only come with the internalization and not from
the external forces. External mechanisms remain effective till they tend to have some
reward or punishments while inherited value system shall accompany lifelong.

11. Previous Years Vision IAS GS Mains Questions: Case Studies

1. **Sandhya recently completed her B. Com. and was extremely excited to be hired for her
dream job working for a Public Sector Bank. During her initial days, she began to
notice that funds from grants were being mismanaged and misallocated. Some of her
co-workers were also using bank property materials, including cars, for personal
business.**

   However, Sandhya was most shocked by the hiring practices she witnessed at the
   office. Applicants to the jobs were supposed to take exams that were invigilated by
   bank employees. Sandhya began to notice that the invigilators were allowing
applicants to cheat on the tests because the applicants had already been chosen for the job. Many of these pre-chosen applicants were friends of current employees. Sandhya reported what she witnessed to Mahesh, the Branch Assistant Manager, who was second-in-command to the Branch Manager. Mahesh told her, “You heard nothing, you saw nothing, and you say nothing.” Sandhya was absolutely shocked; not only by the corruption, but that it was deliberately being swept under the rug. Sandhya was in a dilemma. She really needed the job to pay off loans, and she loved the actual content of the work she was doing. She was also concerned that it would look bad to leave her first job in less than a year, as well as tarnish future chances to work in a government organization. On the other hand, she felt extremely uncomfortable in her work environment due to the culture of corruption.

(a) What are the options available to Sandhya?
(b) Evaluate each of these options and choose the option you would adopt, giving reasons.

Answer:

Sandhya is caught in a typical dilemma where she doesn’t want to leave the job but cannot see such a work environment embroiled in corruption too. One should point out how overlooking this matter would mean a lot of loss to public exchequer and inefficiency in the working of the bank. As Sandhya was unsuccessful in her attempt to bring out the matter to Mahesh, her approaching the Branch Manager to report the issue seems the most appropriate option in such a situation.

Some of the options available to Sandhya are:

a) She can ignore the matter and proceed in her usual way as this does not impact her directly and any action taken would adversely impact her personally
b) She should report the matter to Branch manager and bring to light how she was told to keep the matter under wraps.
c) She can resign from the job as taking either of the first steps would not leave her satisfied and in a comfortable situation
d) Become a whistleblower. She can bring the matter to the notice of someone in the vigilance department overseeing the functioning of the bank as it is public money after all that is being squandered through such activities.

Option a) As per the rights/duty, fairness and common based approach it is Sandhya’s duty to uphold the integrity of the banking system. The money that is being squandered away is public money and therefore any such activity is hurting the public interest in the long term. Additionally, the faulty hiring practices would greatly impact the working of the bank and bring down its efficiency and effectiveness further hurting the interests of the public and the society at large. It would be unethical to ignore the matter for the dire consequences it might have on the organization in future.

Even though ignoring the matter would save Sandhya from the trouble of getting into any controversy and help save her job but as discussed above it would not be healthy in the long run for either the organization or even Sandhya.

Option b) because of the following reasons: Virtue approach: integrity and honor are two virtues that one should embody and help promote. One must ask myself what is the highest state of character one can aspire to? One obviously recognizes the virtue of honesty and merit. Likewise, one should push himself/herself to think about the values one should live up to, those being integrity and promotion of merit in this particular case. Therefore, the most appropriate option seems to reporting the matter to the branch manager.

Option c) Resigning from the job does not seem a feasible option considering the fact that Sandhya has to pay off her loan and any such action would not show well on her
CV and have an adverse impact on her career. It would save Sandhya the trouble of getting into any kind of problem with regards to the conscience but it would put her in a great trouble as she would be out of job and would put her and her family’s livelihood at stake. Moreover, such an action would mean running away from the situation and punishing oneself for the fault of others.

Option d) Even option D seems like a possible option but whistleblowing is a double edged sword and should only be explored once all the possible options have been exploited. It may be possible that if the matter is brought to branch manager’s attention, he/she may take a strict action against those embroiled in such activities. Proceeding to blow whistle on the matter without exploring this option may be taking an action in haste and puts the reputation of the bank in a danger.

2. Big firms often undertake sub-contracting to complete large infrastructure projects in a timely manner. You recently joined one such firm as a manager responsible for awarding these contracts. Looking at the past records, you find that all contracts for the past few years have been awarded to a particular firm, X. Your superior has asked you to award an upcoming contract to the same firm. Although, not binding, company procedure maintains that sub-contracting work should be offered after competitive bids. This is to ensure that the firm most suitable for the project in terms of operations and finance gets the contract. When you discuss this with your superior, he insists that hiring of the firm X has been done as per legal norms of the company and no official rule has been violated. You decide to contact the owner of the firm X. After doing so, you realize that he is the nephew of your superior, who is also a shareholder in the company.

(a) State the ethical issues involved in the case.
(b) Does this form of transaction between two private parties constitute a conflict of interest? Justify.
(c) Evaluate the possible ways of awarding contracts in such a situation with their merits and demerits. Also state which method would be more suitable in each.

Approach:
- State some of the ethical issues in the case.
- Evaluate if a situation of interest is generated due to the relationship of your superior with the owner of firm X and the knowledge of the superior being a shareholder in the company.
- Suggest ways of awarding contracts in the situation, along with their merits and demerits.
- State your eventual course of action in this scenario.

Answer:
Basic Facts: In this situation, the company where I work is repeatedly sub-contracting work to another private firm, X, without holding competitive bids, which should be carried out according to company procedures. The case highlights the issue of conflict of interest, as the owner of firm X is the nephew of my superior and is also a shareholder of the firm.

Stakeholders:
- Myself, as I am the manager of the company, with the responsibility of awarding contracts.
- My superior who is a shareholder of firm X as well as an employee of the company where I work.
- Owner of firm X as the decisions made by our company affect his business interests.
• Owners of other firms who vie for company contracts as they are not getting a fair chance in the bidding process.
• Shareholders of the company who can suffer due to poor decisions.
• Consumers who will be affected by substandard infrastructure.

(a) Some of the ethical issues involved in this case are:

• **Nepotism and compromise on professional integrity**: Subcontracts are being granted on the basis of personal relations, without competitive bids. Due to this, there is no guarantee that the firm most suitable in terms of efficiency and financial aspects gets the contracts.
• **Lack of objectivity in decision-making**: The interests of my superior and his nephew are guiding the decision-making process of the company. There is inherent subjective bias in this scenario.
• **Legal vs Ethical**: It may be legally correct but not ethical as no official rule of the company has been violated, but, it goes against established company procedure.

(b) Transaction between two private parties generates a conflict of interest since the owner of firm X is the nephew of my superior, who has repeatedly directed that the contract be awarded to firm X. Since my superior is also a shareholder in firm X, he is invariably taking business decisions on the basis of personal relations and perceived financial opportunities. He would not be affected much due to poor performance of the company as his family is benefitting, but other shareholders and employees will be affected. Thus, personal interests are directly in conflict with interest of shareholders. Also, they are in conflict with the interest of consumers who expect quality infrastructure.

(c) Possible ways of awarding contracts in such a situation are:

• **Granting the contract to firm X as suggested by my superior.**
  • **Merits**: I will remain in good terms with him, may get quick promotion and increment.
  • **Demerits**: I will be unethical in my work conduct as a manager. I will also obstruct competitive bidding and play a role in eschewing probable offers that could save the company more money and get the work done more efficiently. I would be compromising my integrity and commitment to interest of shareholders, colleagues and consumers.
• **Refuting my superior and revealing his interest in firm X, while simultaneously organizing the competitive bid.**
  • **Merits**: I will follow company procedure and my professional integrity will be upheld.
  • **Demerits**: I will go directly against the order of my superior, who can hinder my chances of promotion in the company. I will also violate the established work hierarchy in the company.
• **The most suitable action** will be to talk to my superior about the generated conflict of interest and argue in favour of holding competitive bids. However, if he still refuses to acknowledge the gravity of the situation, I will approach the company head/board regarding the issue. This will ensure that other managers and subordinates are not in a similar position in the future. Meanwhile, I will also accept competitive bid offers and award the contract to the firm most suitable for the job. It will ensure my professional integrity and uphold the interest of all stakeholders.
3. **You are representing India in an international bidding for oil exploration in a country. Other, richer countries are also bidding for the project. You are sure that your bid of exploration is better as well as cheaper than that of others, and that you will definitely win the bid. A day before the auction, you come to know that other countries are employing every means, including bribing the authorities for being successful. Some of the officials of the home country have also contacted you and made some demands in exchange for assurance of India winning the bid. You are aware of the criticality of this bid in terms of domestic economic and strategic implications.**

**Based on above information, answer the following questions.**

(a) Specify the ethical dilemma(s) that you face in this situation.
(b) Do ethical concerns really matter in international transactions or are they secondary to domestic interests?
(c) What will be your course of action in the above situation? Justify with merits and demerits.

**Approach:**

- Identify the ethical dilemmas that you face.
- Highlight the importance of ethical concerns in international transactions vis à vis domestic interests.
- Then mention the course of action that you would follow. Justify it by taking into account the merits and demerits of the decision.

**Answer:**

a) The situation in this case study presents the following ethical dilemma:

The dilemma is whether to pay the bribe vs being upright and avoid the temptation to pay.

The former action may help India win the bid, but it will be an unethical course of action and may spoil the image of the country in the long run when the truth comes out in the public. It will also have adverse consequences for India’s relations with the countries involved in bidding process. Moreover, this is inimical to a healthy competition, level playing field and innovation. This action will also set a wrong example to others. The action is not only unethical but also illegal as regards to Indian laws. It may not bring in me a sense of accomplishment or content.

The latter course of action may lead to a possible defeat in the bidding process, setback for my career and economic and strategic implications for the country. But it is the right path to follow.

b) Advocates of national interest in international relations argue that national interests are paramount. As Henry Kissinger has said- “there are no permanent ally or permanent enemies, only interests are permanent”. These arguments are based on the fact that the government of a county primarily works on the behalf of its citizens and thus it is bound to uphold their interests. The political party in power has to face general elections regularly and its report card of performance evaluates not only domestic but international actions as well. Hence, national interest alone should be paramount in international relations.

However, these arguments suffer from certain inconsistencies. If the national interest alone is taken into account then wrong doings like colonization, regime change, arm twisting of weaker nations etc. will be justified. Further, there exists a wide inequality internationally and if strong nations justify their actions solely based on the national interests than this gap will further widen. Moreover, the global commons will not survive and sustainable development will remain a distant dream.
Thus, fairness, justice, apathy, sustainable development of whole world, equity etc. are ethical principles which are as important as national interests and really matter in international relations.

c) In such situation, I will pursue the following course of action:

a. Verifying, at my own level, the correctness of information related to bribery activities in the auctioning process.
b. Informing my seniors, seeking their advice as they might have faced similar situation earlier.
c. Approach the head of the authorities handling the whole process of auction and inform them about inconsistencies which has come to notice and demand a fair and transparent bidding process.
d. If grievances are not addressed at that level then, after taking my seniors into confidence, we can approach other higher authorities of home country like judiciary for intervention.

I will also demand that the officials involved in bribe-seeking activities must be punished which will deter such malpractices in future. Those nations who are involved in unfair practices must also be punished (by way of fines, blacklisting them or cancelling their bids).

Justification of such course of action

In international transactions, sometimes unethical actions like bribery are also sought to be justified in the name of national interest. However, on a closer look, such actions are clearly against the national interests in reality. The revelation about involvement in bribery would jeopardize the international relations of future generations of our country.

Further, a single contract cannot be so important to our country that we sacrifice our moral standards and higher values maintained for so long. Moreover, corruption can never be the true foundation of prosperity. The gains obtained from it corrupt the whole society.

By following the stated course of action, I will display faith in the governance of home country, uphold our moral values and there will be higher chances of fair bidding process. As India’s bid is better and cheaper, it will ensure India’s success. It will generate the good will for our nation among the people of that country; set a right example against corruption in international transactions. Overall, it will be a right step towards the righteousness which we expect in international relations.
Heartiest Congratulations to all successful candidates

7 in Top 10 Selections in CSE 2019

From various programs of Vision IAS

2 Air
Jatin Kishore

3 Air
Pratibha Verma

6 Air
Vishakha Yadav

7 Air
Ganesh Kumar Baskar

You can be next

9 in Top 10 Selection in CSE 2018

1 Air
Kanishak Kataria

2 Air
Akshat Jain

3 Air
Junaid Ahmad

4 Air
Shreyang Kumat

5 Air
Grughti Jayant Deshmukh

7 Air
Karnati Varunreddy

8468022022
WWW.VISIONIAS.IN

Delhi | Jaipur | Pune | Ahmedabad | Hyderabad | Chandigarh | Lucknow