Introduction
- Bureaucracy: According to Max Weber, a hierarchical authority structure that uses task specialization, operates on the merit principle, and behaves with impersonality.
- Bureaucracies govern modern states

The Bureaucrats
- Some bureaucratic myths and realities
  - Americans dislike bureaucrats
    - False: we are generally satisfied with them
  - Bureaucracies are growing bigger each year
    - Not in the federal bureaucracy
  - Most federal bureaucrats work in Washington D.C.
    - False: only about 12% do
  - Bureaucracies are ineffective, inefficient, and always mired in red tape
    - No more so than private businesses
- Who they are
  - Most demographically representative part of government
  - Diversity of jobs mirrors the private sector

What Bureaucrats Do
- Their expertise and information help Congress and the president make decisions
- Perform vital services
- Expertise allows them a lot of freedom
  - Little congressional oversight

Largest Offices
- Department of Defense (DOD)
  - ¼ of all federal employees
  - Plus 1.4 million men and women in uniform
  - These 2 together is ½ of all federal employees
- United States Postal Service
  - 28% of federal employees
- Department of Veterans’ Affairs
  - Related to Department of Defense
  - 253,000 employees

The Bureaucrats
- How they got there
  - The other route to Federal jobs: Recruiting from the plum book
    - Lists the very top jobs available for president appointment
    - Presidents work to find capable people to fill the positions
    - Some plum jobs (ambassadorships) are patronage
    - Their most important trait is transience
• Superiors are moved in and out of their positions; therefore these jobs remain
  o Civil Service: from Patronage to Protection
    ▪ Patronage: A patronage job, promotion, or contract is one that is given for political reasons rather than for merit or competence alone.
    ▪ Civil Service: A system of hiring and promotion based on the merit principle and the desire to create a nonpartisan government service. Created by the Pendleton Civil Service Act (1883)
    ▪ Merit Principle: The idea that hiring should be based on entrance exams and promotion ratings to produce administration by people with talent and skill.
    ▪ Hatch Act: A federal law prohibiting government employees from active participation in partisan politics.
    ▪ Office of Personnel and Management: The office in charge of hiring for most agencies of the federal government, using elaborate rules in the process.
    ▪ GS (General Schedule) rating: A schedule for federal employees, ranging from GS 1 to GS 18, by which salaries can be keyed to rating and experience.
    ▪ Senior Executive Service: An elite cadre of about 9,000 federal government managers, established by the Civil Service Reform Act of 1978, who are mostly career officials but include some political appointees who do not require Senate confirmation.

❖ How Bureaucracies are Organized
• The Cabinet Departments
  o 14 cabinet departments headed by a secretary
  o Department of Justice headed by the Attorney General
  o Each has its own budget, staff, and policy areas
  o Status as a cabinet department can be controversial
    ▪ Republicans have tried to disband the department of education, energy, and commerce
• The Independent Regulatory Agencies
  o Responsible for some sector of the economy, making and enforcing rules to protect the public interest. It also judges disputes over these rules.
    ▪ Federal Communications Commission (FCC)
    ▪ Federal Trade Commission (FTC)
    ▪ Securities and Exchange Commission (SEC)
  o Headed by a commission of 5-10 people
  o Rulemaking is an important function watched by interest groups and citizens alike
  o Concern over “capture” of the agencies
- Agencies act on behalf of the industry they are supposed to regulate, not the public interest

- The Government Corporations
  - Business-like since they provide services, like private companies, and typically charge for them
    - Postal service and Amtrak

- Independent Executive Agency
  - Controlled directly by the president
  - The agencies that don’t fit in anywhere else
  - General services administration (GSA)
  - NASA

- Bureaucracies as Implements
  - What implementation means
    - Translating the goals and objectives of a policy into an operating, ongoing program
    - Implementation includes
      - Creating and assigning an agency the policy
      - Translating policy into rules, regulations, and forms
      - Coordinating resources to achieve goals
    - Stage of policymaking that takes place between establishment and consequences of a policy

- Why the best-laid plans sometimes flunk the implementation test
  - Program design
  - Lack of clarity
    - Congressional laws are ambiguous and imprecise
    - Sometimes the laws conflict with each other
  - Lack of resources
    - Agencies may be big, but may not have staff to carry out policy goals
    - Many different types of resources are needed: personnel, training, supplies, and equipment
    - May also lack the authority to act
  - Administrative routine
    - Standard operating procedures (SOPs) bring uniformity to complex organizations
    - It is often difficult to change the routines
  - Administrator’s dispositions
    - Administrative discretion is the authority to select among various responses
    - Street-level bureaucrats have the most discretion
Discretion is greatest where SOPs are not prevalent

- Fragmentation: responsibility for policy is sometimes dispersed among several units within the bureaucracy
  - Some policies are spread among several agencies
  - Some agencies have different rules for the same policy

- A case study: the voting rights act of 1965
  - Generally considered a success
  - Had a clear, concise goal
  - The implementation was clear
  - Those carrying out the law had obvious authority and vigor to do so

Bureaucracies as Regulators

- Regulation in the economy and in everyday life
  - Regulation: use of governmental authority to control or change some practice in the private sector
  - A full day of regulation
    - Federal agencies check, verify, and inspect many of the products and services we take for granted
    - Federal and state agencies provide many services
  - Regulation: how it grew, how it works
    - All regulation contains these elements:
      - A grant of power and set of directions from congress
      - A set of rules and guidelines by the regulatory agency itself
      - Some means of enforcing compliance with congressional goals and agency regulations
    - Command and control policy: the government tells the businesses how to reach certain goals, checks the progress, and punishes offenders
    - Incentive system: market-like strategies used to manage public policy
    - Some agencies are proactive; some are reactive

- Toward deregulation
  - Deregulation: lifting of restrictions on business, industry, and professional activities
  - Regulatory problems
    - Raises prices
    - Hurts U.S.’ competitive position abroad
    - Does not always work well
  - Some argue regulation is needed

Understanding Bureaucracies

- Bureaucracy and Democracy
  - Presidents try to control the bureaucracy
    - Appoint the right people
- Issue executive orders
  - Carry force of law and are used to implement policies
- Alter an agencies’ budget
- Reorganize an agency
  - Creation of Department of Homeland Security
- Congress tries to control bureaucracy
  - Influence appointments of agency heads
    - Senate confirms presidential nominees
  - Alter an agency’s budget
  - Hold oversight hearings
  - Rewrite legislation or make it more detailed
- Iron triangles and issue networks
  - Iron triangles: mutually dependent relationship between bureaucratic agencies, interest groups, and congressional committees
  - Exist independently of each other
  - They are tough, but not impossible to get rid of
  - Some argue they are being replaced by wider issue networks that focus on more than one policy

- Bureaucracy and the scope of government
  - This size of federal bureaucracy is an example of a government out of control
  - Some agencies don’t have enough resources to do what they need to do
  - Bureaucracies only carry out policy; congress and president decide what needs to be done

- Vocabulary
  - Patronage: One of the key inducements used by political machines. A patronage job, promotion, or contract is one that is given for political reasons rather than for merit or competence alone.
  - Pendleton Civil Service Act: Passed in 1883, an Act that created a federal civil service so that hiring and promotion would be based on merit rather than patronage.
  - Civil Service: A system of hiring and promotion based on the merit principle and the desire to create a nonpartisan government service.
  - Merit Principle: The idea that hiring should be based on entrances exams and promotion ratings to produce administration by people with talent and skill.
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- **Senior Executive Service**: An elite cadre of about 9,000 federal government managers, established by the Civil Service Reform Act of 1978, who are mostly career officials but include some political appointees who do not require Senate confirmation.

- **Independent Regulatory Commission**: A government agency responsible for some sector of the economy, making and enforcing rules to protect the public interest. It also judges disputes over these rules.

- **Government Corporation**: A government organization that, like business corporations, provides a service that could be provided by the private sector and typically charges for its services. The U.S. Postal Service is an example.

- **Independent Executive Agency**: The government not accounted for by cabinet departments, independent regulatory commissions, and government corporations. Its administrators are typically appointed by the president and serve at the president's pleasure. NASA is an example.

- **Policy Implementation**: The stage of policy-making between the establishment of policy and the consequences of the policy for the people whom it affects. Implementation involves translating the goals and objectives of a policy into an operating, ongoing program.

- **Standard Operating Procedures**: better known as SOPs, these procedures are used by bureaucrats to bring uniformity to complex organizations. Uniformity improves fairness and makes personnel interchangeable.

- **Administrative Discretion**: The authority of administrative actors to select among various responses to a given problem. Discretion is greatest when routines, or standard operating procedures, do not fit a case.

- **Street-Level Bureaucrats**: A phrase coined by Michael Lipskey, referring to those bureaucrats who are in constant contact with the public and have considerable administrative discretion.

- **Regulation**: The use of governmental authority to control or change some practice in the private sector. Regulations pervade the daily lives of people and institutions.

- **Deregulation**: The lifting of restricts on business, industry, and professional activities for which government rules had been established and bureaucracies had been created to administer.

- **Command-and Control Policy**: According to Charles Schultze, the typical system of regulation whereby government tells business how to reach certain goals, checks that these commands are followed, and punishes offenders.

- **Incentive System**: According to Charles Schultze, a more effective and efficient policy than command-and-control, in the incentive system, market like strategies are used to manage public policy.
○ Executive Orders: Regulation originating from the executive branch. Executive orders are one method presidents can use to control the bureaucracy. These orders carry the force of law and are used to implement statues, treaties, and provisions of the Constitution.

○ Iron Triangles: A mutually dependent relationship between bureaucratic agencies, interest groups, and congressional committees or subcommittees. Iron triangles dominate some areas of domestic policies.