

Government in America: People, Politics, and Policy
Thirteenth Edition, and Texas Edition
Edwards/Wattenberg/Lineberry

Chapter 15
The Federal Bureaucracy

Introduction

- Classic conception of bureaucracy (Max Weber)—a hierarchical authority structure that use task specialization, operates on the merit principle, and behaves with impersonality
- Bureaucracies govern modern states.

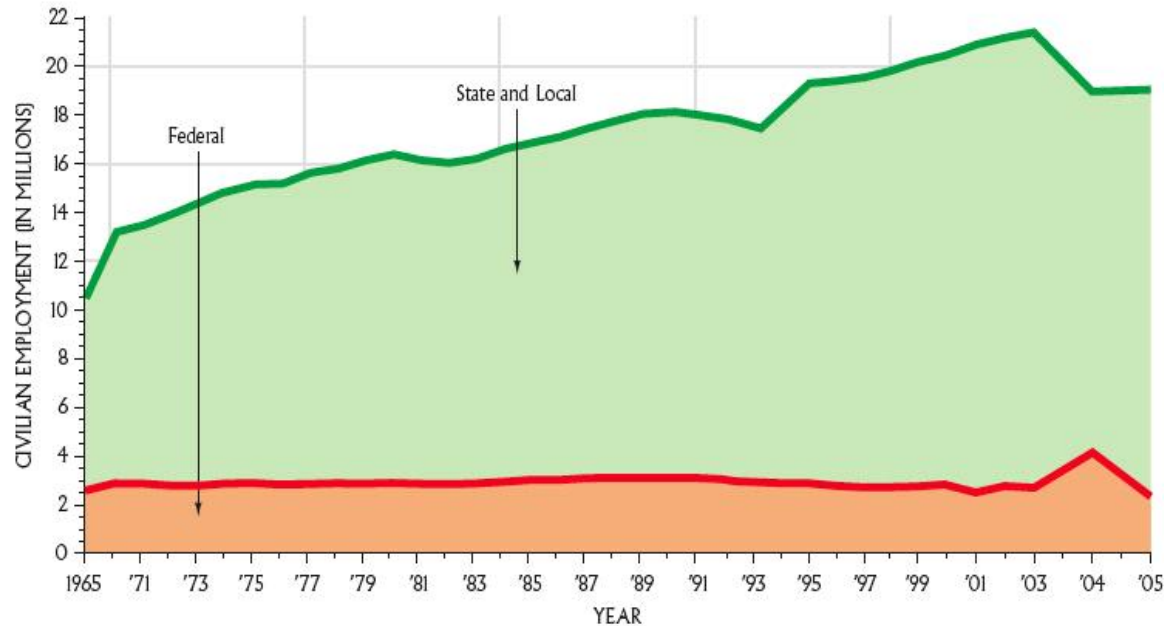
The Bureaucrats

- Some Bureaucratic Myths and Realities
 - Americans dislike bureaucrats.
 - Americans are generally satisfied with bureaucrats.
 - Bureaucracies are growing bigger each year.
 - Not in the federal bureaucracy
 - Most federal bureaucrats work in Washington, D.C.
 - Only about 12 percent do
 - Bureaucracies are ineffective, inefficient, and always mired in red tape.
 - No more so than private businesses

The Bureaucrats

Figure 15.1 Growth in Civilian Government Employees

The number of government employees has grown since 1965. The real growth, however, has been in the state and local sector, with its millions of teachers, police officers, and other service deliverers. Many state and local employees and programs, though, are supported by federal grants-in-aid. (Note that the figures for federal employment do not include military personnel.)



Source: *Budget of the United States Government, Fiscal Year 2007: Historical Tables* (Washington, DC: U.S. Government Printing Office, 2006), table 17.5.

The Bureaucrats

Table 15.1 Federal Civilian Employment

EXECUTIVE DEPARTMENTS	NUMBER OF EMPLOYEES ^a
Defense (military functions)	666,700
Veterans Affairs	222,800
Homeland Security	146,600
Treasury	112,500
Justice	118,500
Agriculture	100,100
Interior	70,200
Health and Human Services	61,300
Transportation	55,400
Commerce	37,400
State	30,300
Labor	16,800
Energy	15,700
Housing and Urban Development	9,800
Education	4,300
Larger Noncabinet Agencies	
U.S. Postal Service	732,348
Social Security Administration	64,000
Corps of Engineers	22,900
National Aeronautics and Space Administration	18,600
Environmental Protection Agency	17,400
Tennessee Valley Authority	12,700
General Services Administration	12,200

^aFigures are for 2006.

Source: *Budget of the United States Government, Fiscal Year 2007: Analytical Perspectives* (Washington, DC: U.S. Government Printing Office, 2006), tables 24.1 and 24.3.

The Bureaucrats

- Who They Are and How They Got There
 - Most demographically representative part of government
 - Diversity of jobs mirrors the private sector

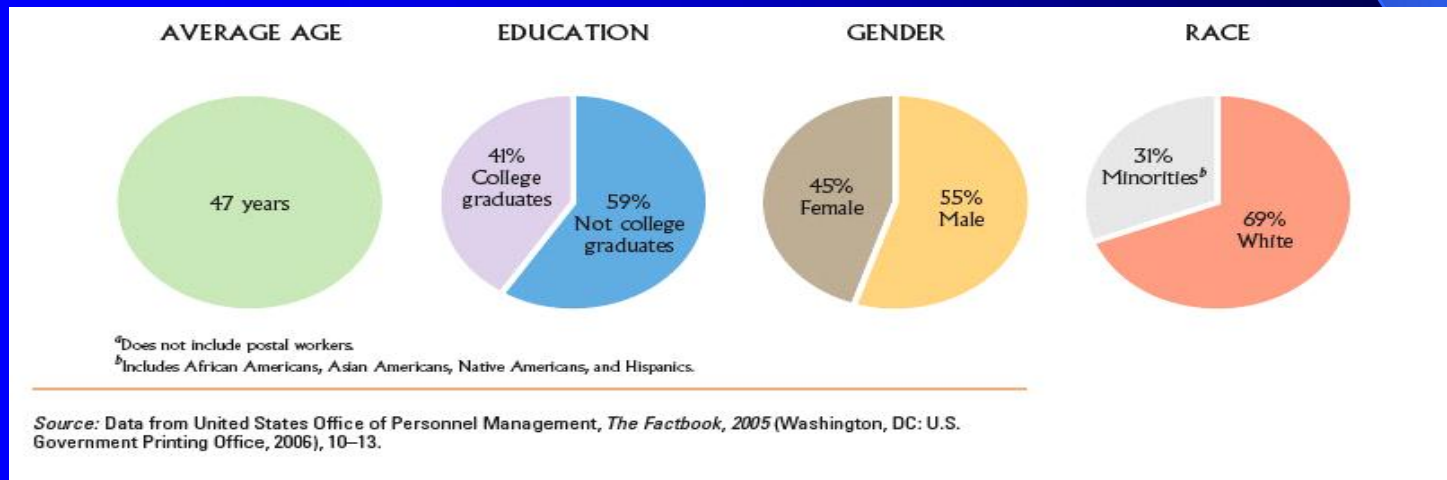


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The Bureaucrats

Table 15.2 Full-Time Civilian White-Collar Employees of the Federal Government

SELECTED OCCUPATIONAL CATEGORIES	NUMBER OF EMPLOYEES
General administrative, clerical, and office services	363,953
Medical, dental, and public health	139,132
Engineering and architecture	123,183
Accounting and budget	115,369
Investigation	93,897
Business and industry	87,292
Legal and kindred	86,377
Social science, psychology, and welfare	67,496
Biological sciences	58,779
Transportation	45,864
Personnel management and industrial relations	40,673
Physical sciences	33,470
Education	32,632
Supply	31,272
Information and the arts	18,197
Mathematics and statistics	13,624
Equipment, facilities, and services	12,164
Quality assurance, inspection, and grading	10,028
Library and archives	8,045
Copyright, patent, and trademark	3,864
Veterinary medical science	2,088

Source: U.S. Office of Personnel Management, *Occupations of Federal White-Collar and Blue-Collar Workers, Federal Civilian Workforce Statistics, as of September 30, 1999* (Washington, DC: U.S. Government Printing Office, 2000), table W-2.

The Bureaucrats

- Who They Are and How They Got There
 - Civil Service: From Patronage to Protection
 - Patronage: job given for political reasons
 - Civil Service: system of hiring and promotion based on merit and nonpartisanship, created by the Pendleton Civil Service Act (1883)
 - Merit Principle: entrance exams and promotion ratings to find people with talent and skill
 - Hatch Act: prohibits government employees prohibited from active participation in partisan politics

The Bureaucrats

- Who They Are and How They Got There
 - Civil Service: From Patronage to Protection
 - Office of Personnel Management: the federal office in charge of most of the government's hiring
 - General Schedule (GS) rating: a schedule for federal employees ranging from GS 1 to 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; mostly career officials

The Bureaucrats

Table 15.3 GS Employment and Salaries

GENERAL SCHEDULE GRADE	NUMBER OF EMPLOYEES	AVERAGE SALARY
1	270	\$18,081
2	955	20,963
3	8,445	23,960
4	45,327	27,315
5	100,984	31,412
6	81,255	35,666
7	130,828	39,327
8	51,413	44,771
9	123,437	47,601
10	16,975	53,493
11	180,333	57,555
12	207,566	69,655
13	174,575	83,672
14	80,205	99,285
15	41,845	119,134

Source: U.S. Office of Personnel Management, *Pay Structure of the Federal Civil Service as of March 31, 2004* (Washington, DC: U.S. Government Printing Office, 2005), table 4.

The Bureaucrats

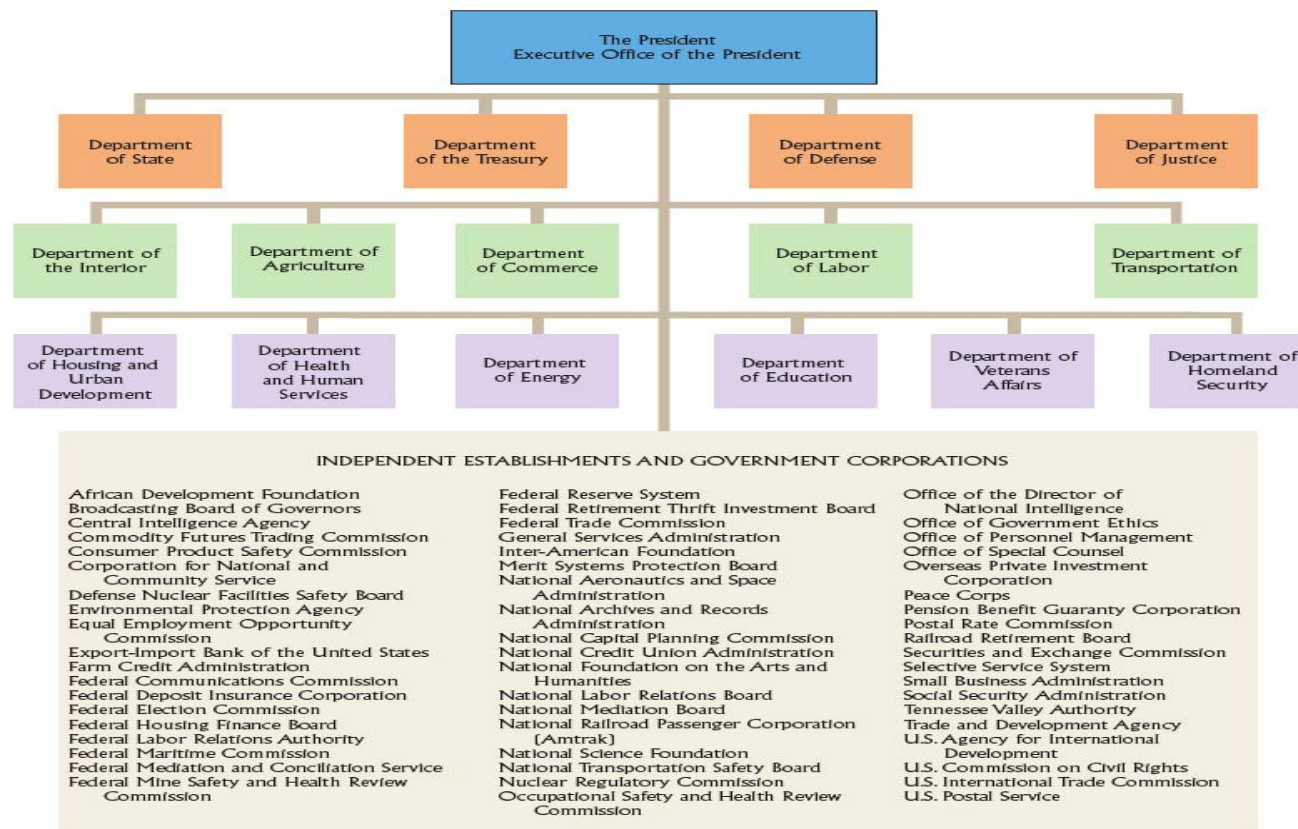
- Who They Are and How They Got There
 - The Other Route to Federal Jobs: Recruiting from the Plum Book
 - Lists the very top jobs available for Presidential appointment
 - Presidents work to find capable people to fill the positions.
 - Some plum jobs (ambassadorships) are patronage.
 - Their most important trait is transience.

How Bureaucracies Are Organized

- The Cabinet Departments
 - 13 Cabinet departments headed by a secretary
 - Department of Justice headed by Attorney General
 - Each has its own budget, staff and policy areas
 - Status as a cabinet department can be controversial
 - Republicans have tried to disband Departments of Education, Energy, and Commerce

How Bureaucracies Are Organized

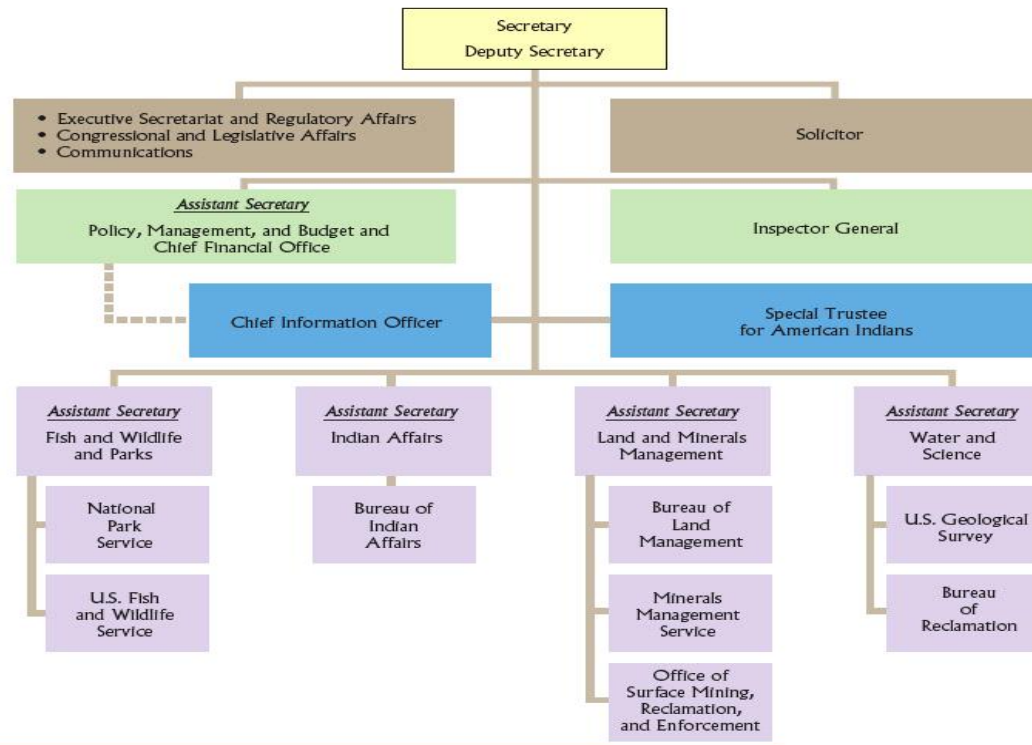
Figure 15.3 Organization of the Executive Branch



Source: Office of the Federal Register, *United States Government Manual 2006–2007* (Washington, DC: U.S. Government Printing Office, 2006), 21.

How Bureaucracies Are Organized

Figure 15.4 Organization of the Department of the Interior



Source: Office of the Federal Register, *United States Government Manual 2006–2007* (Washington, DC: U.S. Government Printing Office, 2006), 245.

How Bureaucracies Are Organized

- The Independent Regulatory Agencies
 - Independent Regulatory Agency: responsible for some sector of the economy making rules and judging disputes to protect the public interest
 - Federal Communications Commission (FCC)
 - Federal Trade Commission (FTC)
 - Securities and Exchange Commission (SEC)

How Bureaucracies Are Organized

- The Independent Regulatory Agencies
 - Headed by a commission of 5-10 people
 - Rule making is an important function watched by interest groups and citizens alike
 - Concern over “capture” of the agencies
 - Agencies act on behalf of the industry they are supposed to regulate, not the public interest

How Bureaucracies Are Organized

- The Government Corporations
 - Business like—provide services like private companies and typically charge for them
 - Postal Service and Amtrak
- Independent Executive Agencies
 - The agencies that don't fit in anywhere else
 - General Services Administration (GSA)
 - NASA

Bureaucracies as Implementers

- What Implementation Means
 - It involves translating the goals and objectives of a policy into an operating, ongoing program
 - Stage of policymaking that takes place between establishment and consequences of a policy
 - Implementation includes:
 - Creating and assigning an agency the policy
 - Translating policy into rules, regulations and forms
 - Coordinating resources to achieve the goals

Bureaucracies as Implementers

- 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.

Bureaucracies as Implementers

- Why the Best-Laid Plans Sometimes Flunk the Implementation Test
 - Lack of Resources (continued)
 - Many different types of resources are needed: personnel, training, supplies & 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.

Bureaucracies as Implementers

- Why the Best-Laid Plans Sometimes Flunk the Implementation Test
 - 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
 - Some policies are spread among several agencies.
 - Some agencies have different rules for the same policy.

Bureaucracies as Implementers

Table 15.4 Departments and Agencies with Responsibility for Border Security in 2002

Department of Agriculture	Immigration and Naturalization Service
Animal and Plant Health Inspection Service	Marshals Service
Central Intelligence Agency	Office of Special Investigations
Department of Commerce	Department of State
Critical Infrastructure Assurance Office	Bureau of Consular Affairs
National Oceanic and Atmospheric Administration	Bureau of Intelligence and Research
Department of Defense	Bureau of Population, Refugees, and Migration
Defense Intelligence Agency	Bureau for International Narcotics and Law Enforcement
Inspector General	Agencies
National Guard	Passport Office
National Reconnaissance Office	Postal Service
National Security Agency	Department of Treasury
North American Aerospace Defense Command	Customs Service
Department of Energy	Financial Crimes Enforcement Network
Office of Science and Technology Policy	Internal Revenue Service
Environmental Protection Agency	Office of the Inspector General
Office of International Activities	Secret Service
Department of Justice	Department of Transportation
Bureau of Alcohol, Tobacco, and Firearms	Coast Guard
Drug Enforcement Administration	Federal Aviation Administration
Federal Bureau of Investigation	Federal Motor Carrier Administration
	Maritime Administration

Bureaucracies as Implementers

- 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.

Bureaucracies as Regulators

- 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

Bureaucracies as Regulators

- Regulation: How It Grew, How It Works
 - Command-and-Control Policy: The government tells business 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.

Bureaucracies as Regulators

- Toward Deregulation
 - Deregulation: the lifting of restrictions on business, industry, and professional activities
 - Regulatory problems:
 - Raises prices
 - Hurts U.S.'s competitive position abroad
 - Does not always work well
 - But 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 agency's budget
 - Reorganize an agency
 - Creation of Department of Homeland Security

Understanding Bureaucracies

- Bureaucracy and Democracy
 - Congress Tries to Control the Bureaucracy
 - Influence appointment of agency heads
 - Senate confirms presidential nominees
 - Alter an agency's budget
 - Hold oversight hearings
 - Rewrite legislation or make it more detailed

Understanding Bureaucracies

- Bureaucracy and Democracy
 - Iron Triangles and Issue Networks
 - Iron Triangles: a mutually dependent relationship between bureaucratic agencies, interest groups, and congressional committees or subcommittees
 - 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.

Understanding Bureaucracies

Iron triangles—composed of bureaucratic agencies, interest groups, and congressional committees or subcommittees—have dominated some areas of domestic policymaking by combining internal consensus with a virtual monopoly on information in their area. The tobacco triangle is one example; there are dozens more. Iron triangles are characterized by mutual dependency in which each element provides key services, information, or policy for the others. The arrows indicate some of these mutually helpful relationships. In recent years, a number of well-established iron triangles, including the tobacco triangle, have been broken up.

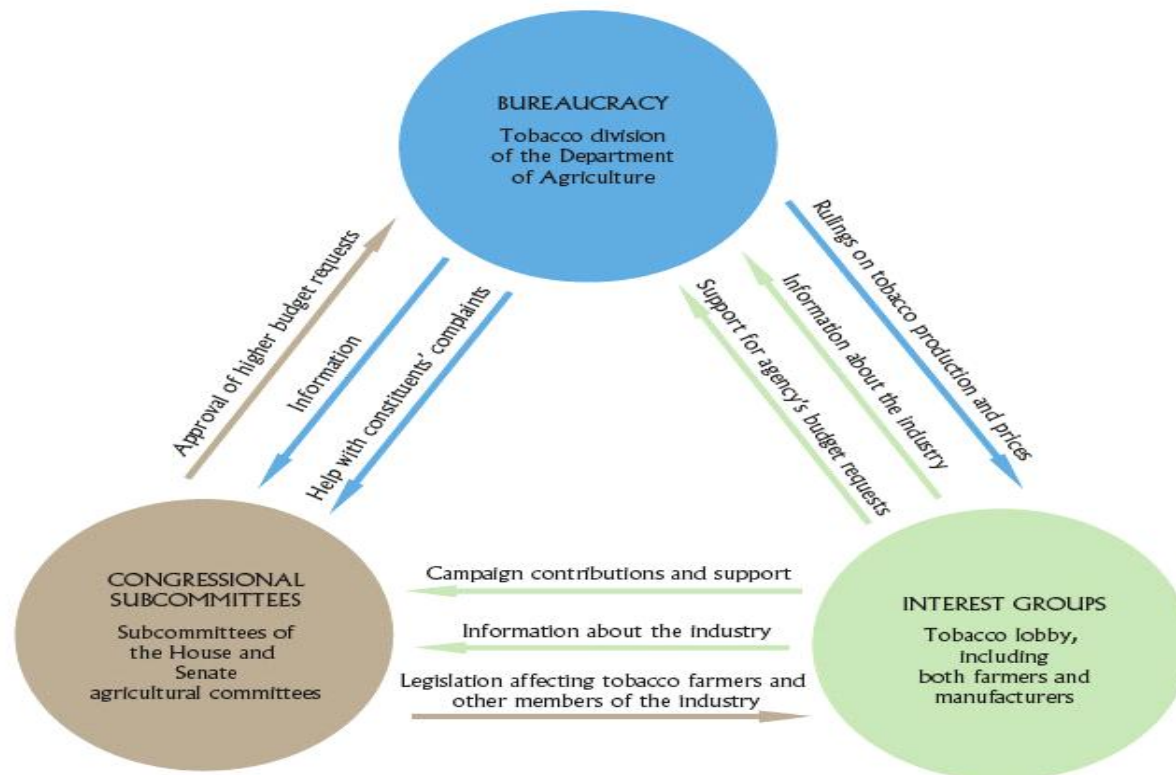


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Understanding Bureaucracies

- Bureaucracy and the Scope of Government
 - The size of federal bureaucracy is an example of a government out of control.
 - Even though the size of the bureaucracy has shrunk
 - Some agencies don't have enough resources to do what they are expected to do.
 - Bureaucracy only carries out policies; Congress and the president decide what needs to be done.

Summary

- Bureaucrats shape policy as administrators, implementers, and regulators.
- Bureaucracy's primary responsibility is the implementation of public policy.
- Federal bureaucracy has not grown but has in fact shrunk of late.