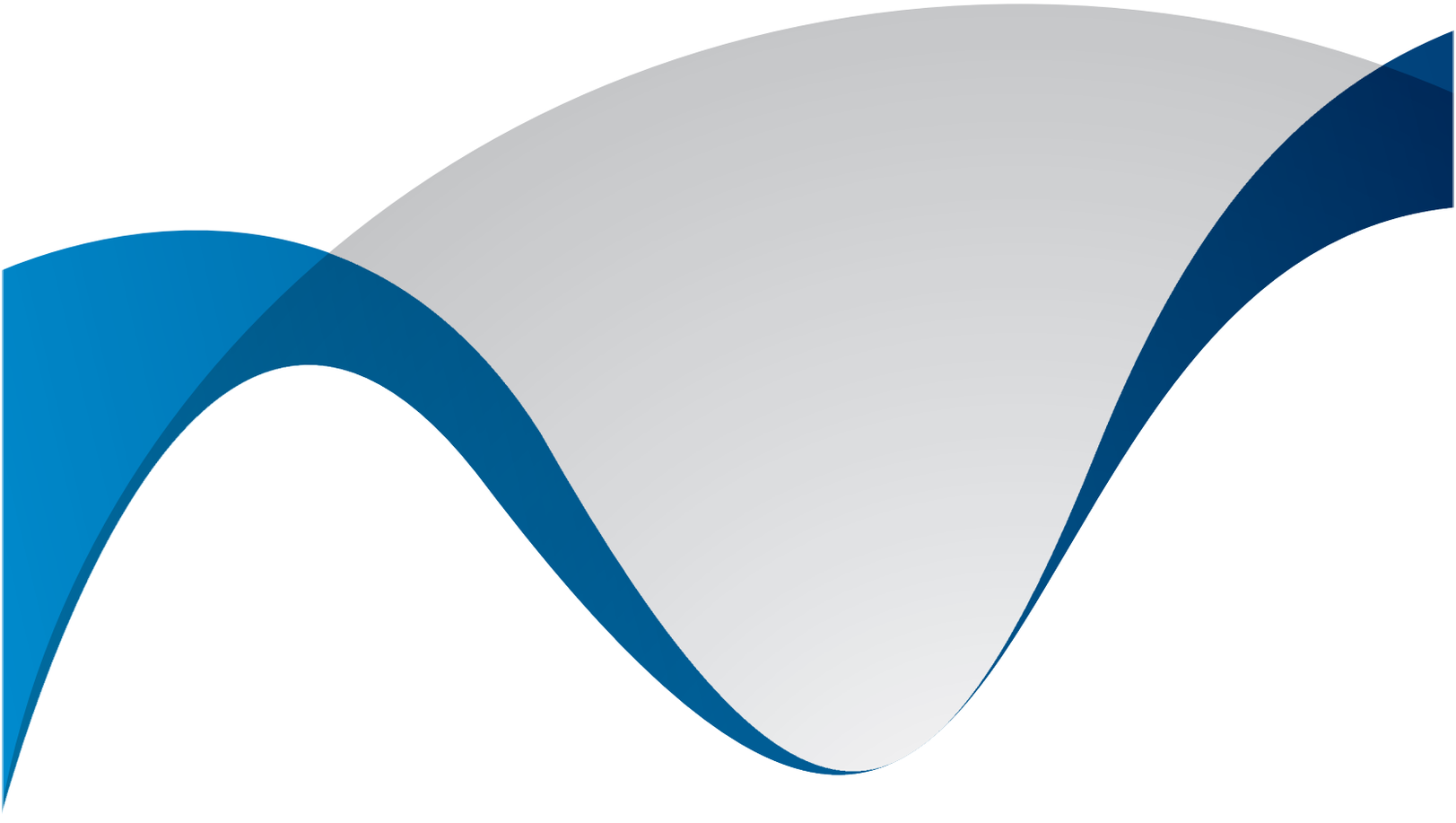
Introduction to **Public Administration**



Goldfrey Edwards

Introduction to Public Administration

Introduction to Public Administration

Edited by
Goldfrey Edwards

Introduction to Public Administration
Edited by Goldfrey Edwards
ISBN: 978-1-9789-2619-6

© 2017 Library Press

Published by Library Press,
5 Penn Plaza,
19th Floor,
New York, NY 10001, USA

Cataloging-in-Publication Data

Introduction to public administration / edited by Goldfrey Edwards.
p. cm.
Includes bibliographical references and index.
ISBN 978-1-9789-2619-6
1. Public administration. I. Edwards, Goldfrey.
JF1351 .I58 2017
351--dc23

This book contains information obtained from authentic and highly regarded sources. All chapters are published with permission under the Creative Commons Attribution Share Alike License or equivalent. A wide variety of references are listed. Permissions and sources are indicated; for detailed attributions, please refer to the permissions page. Reasonable efforts have been made to publish reliable data and information, but the authors, editors and publisher cannot assume any responsibility for the validity of all materials or the consequences of their use.

Copyright of this ebook is with Library Press, rights acquired from the original print publisher, Larsen and Keller Education.

Trademark Notice: All trademarks used herein are the property of their respective owners. The use of any trademark in this text does not vest in the author or publisher any trademark ownership rights in such trademarks, nor does the use of such trademarks imply any affiliation with or endorsement of this book by such owners.

The publisher's policy is to use permanent paper from mills that operate a sustainable forestry policy. Furthermore, the publisher ensures that the text paper and cover boards used have met acceptable environmental accreditation standards.

Table of Contents

Preface **VII**

Chapter 1 **Introduction to Public Administration** **1**

Chapter 2 **Policies Related to Public Administration** **16**
- Policy 16
- Economic Policy 22
- Education Policy 25
- Health Policy 26
- Military Policy 30
- Policy Studies 31
- Policy Analysis 32
- Program Evaluation 39
- Distributive Tendency 58
- Policy Alienation 61
- Policy Monitoring 63

Chapter 3 **Understanding Public Policy** **67**
- Public Policy 67
- Engineering and Public Policy 68
- Foreign Policy 70
- Science Policy 74
- Policy Laundering 79
- Policy Network Analysis 81
- Public Comment 83

Chapter 4 **Public Administration Practices** **88**
- Human Resources 88
- Organizational Theory 92
- Statistics 104
- Budget 120
- Ethics 124

Chapter 5 **Essential Elements of Public Administration** **140**
- Administration (Government) 140
- Administrative Discretion 141
- Politics-Administration Dichotomy 145
- Advocacy 147
- Advocacy Evaluation 150
- State-Building 152

Chapter 6 **Forms of Government and Administration** **163**
- Democracy 163
- Dictatorship 189
- Oligarchy 194

- Autocracy 196
- Monarchy 197
- Totalitarianism 210
- Republic 215

Chapter 7 **E-Government: An Integrated Study** **231**
- E-Government 231
- E-Governance 243
- E-Democracy 255
- Teleadministration 270
- E-Government Unit 275
- E-Estonia 276

Chapter 8 **Civil Service: A Global Overview** **279**
- Civil Service 279
- Australian Public Service 289
- Civil Services of India 295
- Brazilian Civil Service 306
- Public Service of Canada 307
- Hong Kong Civil Service 313
- French Civil Service 316
- Beamter 321
- Civil Service of Japan 330

Permissions

Index

Preface

The book studies, analyses and uphold the pillars of public administration and its utmost significance in modern times. Public administration is an academic field which is concerned with the study of government policies and administrative work and also their implementation and management. This text unfolds the innovative aspects of public administration theory, which will be crucial for the holistic understanding of the subject matter. It studies, analyses and upholds the pillars of public administration and its utmost significance in modern times. Those in search of information to further their knowledge will be greatly assisted by this textbook. It aims to serve as a resource guide for students and contribute to the growth of the discipline.

To facilitate a deeper understanding of the contents of this book a short introduction of every chapter is written below:

Chapter 1- Public administration studies the implementation of the policies of the government. It also analyses the policies and also focuses on the decision-making capability of the ruling government. This chapter will provide an integrated understanding of public administration.

Chapter 2- Policies are implemented as a protocol. It is a system of principles that helps in guiding decisions of a country or any organization. Some of the examples of policy-making fields are economic policies, educational policies and military policies. This chapter helps the readers in understanding an in-depth understanding of the topic.

Chapter 3- Public policies are directed towards administrative branches of a state. It is composed of national constitutional laws and also consists of regulations. The aspects elucidated in the section are military policy, science policy, policy laundering, policy network analysis and public comment. The section elucidates the crucial theories related to public policy.

Chapter 4- Human resources is the workforce of any organization or any business. The aspects explained are organizational theory, policy analysis, budget, ethics and budget. The chapter strategically encompasses and incorporates the practices of public administration, providing a complete understanding.

Chapter 5- The essential elements of public administration are administrative discretion, politics-administration dichotomy, advocacy, advocacy evaluation and state building. The term administration is usually used in context of governments. Public administration is understood in confluence with the major topics that have been explained in the following section.

Chapter 6- Democracy is a form of government where the citizens exercise their powers by directly choosing their representatives. It is also known as the rule of the majority. Dictatorship, oligarchy, monarchy, totalitarianism and republic are the other forms of government that have been explained in the following chapter.

Chapter 7- The use of devices and computers for public services is known as E-Government. The application of technology for delivering better government services is termed as electronic governance. The following section unfolds its crucial aspects in a critical yet systematic manner.

Chapter 8- Civil service is the sector in which civil servants are employed. Australian public service, civil services of India, Brazilian civil service, Hong Kong civil service and civil service of Japan are some of the civil services that have been explained in the section. The chapter is an overview of the subject matter incorporating all the major aspects of civil service.

I would like to share the credit of this book with my editorial team who worked tirelessly on this book. I owe the completion of this book to the never-ending support of my family, who supported me throughout the project.

Editor

1

Introduction to Public Administration

Public administration studies the implementation of the policies of the government. It also analyses the policies and also focuses on the decision-making capability of the ruling government. This chapter will provide an integrated understanding of public administration.

Public administration is the implementation of government policy and also an academic discipline that studies this implementation and prepares civil servants for working in the public service. As a "field of inquiry with a diverse scope" its "fundamental goal... is to advance management and policies so that government can function." Some of the various definitions which have been offered for the term are: "the management of public programs"; the "translation of politics into the reality that citizens see every day"; and "the study of government decision making, the analysis of the policies themselves, the various inputs that have produced them, and the inputs necessary to produce alternative policies."



Public administration is both an academic discipline and a field of practice; the latter is depicted in this picture of US federal public servants at a meeting.

Public administration is "centrally concerned with the organization of government policies and programmes as well as the behavior of officials (usually non-elected) formally responsible for their conduct" Many unelected public servants can be considered to be public administrators, including heads of city, county, regional, state and federal departments such as municipal budget directors, human resources (H.R.) administrators, city managers, census managers, state mental health directors, and cabinet secretaries. Public administrators are public servants working in public departments and agencies, at all levels of government.

In the US, civil servants and academics such as Woodrow Wilson promoted American civil service reform in the 1880s, moving public administration into academia. However, "until the mid-20th century and the dissemination of the German sociologist Max Weber's theory of bureaucracy" there was not "much interest in a theory of public administration." The field is multidisciplinary in character; one of the various proposals for public administration's sub-fields sets out six pillars, including human resources, organizational theory, policy analysis and statistics, budgeting, and ethics.

Definitions



Even in the digital age, public servants tend to work with both paper documents and computer files: "There has been a significant shift from paper to electronic records during the past two decades. Although government institutions continue to print and maintain paper documents as "official records," the vast majority of records are now created and stored in electronic format." (pictured here is Stephen C. Dunn, Deputy Comptroller for the US Navy)

In 1947 Paul H. Appleby defined public administration as "public leadership of public affairs directly responsible for executive action". In a democracy, it has to do with such leadership and executive action in terms that respect and contribute to the dignity, the worth, and the potentials of the citizen. One year later, Gordon Clapp, then Chairman of the Tennessee Valley Authority defined public administration "as a public instrument whereby democratic society may be more completely realized." This implies that it must "relate itself to concepts of justice, liberty, and fuller economic opportunity for human beings" and is thus "concerned with "people, with ideas, and with things." According to James D. Carroll & Alfred M. Zuck, the publication by "Woodrow Wilson of his essay, "The Study of Administration" in 1887 is generally regarded as the beginning of public administration as a specific field of study".

Drawing on the democracy theme and discarding the link to the executive branch, Patricia M. Shields asserts that public administration "deals with the stewardship and implementation of the products of a living democracy." The key term "product" refers to "those items that are constructed or produced" such as prisons, roads, laws, schools, and security. "As implementors, public managers engage these products." They participate in the doing and making of the "living" democracy. A living democracy is "an environment that is changing, organic", imperfect, inconsistent and teaming with values. "Stewardship is emphasized because public administration is concerned "with accountability and effective use of scarce resources and ultimately making the connection between the doing, the making and democratic values."

More recently scholars claim that "public administration has no generally accepted definition", because the "scope of the subject is so great and so debatable that it is easier to explain than define". Public administration is a field of study (i.e., a discipline) and an occupation. There is much disagreement about whether the study of public administration can properly be called a discipline, largely because of the debate over whether public administration is a subfield of political science or a subfield of administrative science", the latter an outgrowth of its roots in policy analysis and evaluation research. Scholar Donald Kettl is among those who view public administration "as a subfield within political science". According to Lalor a society with a public authority that provides at least one public good can be said to have a public administration whereas the absence of either (or a fortiori both) a public authority or the provision of at least one public good implies the absence of a public administration. He argues that public administration is the public provision of public

goods in which the demand function is satisfied more or less effectively by politics, whose primary tool is rhetoric, providing for public goods, and the supply function is satisfied more or less efficiently by public management, whose primary tools are speech acts, producing public goods. The moral purpose of public administration, implicit in its acceptance of its role, is the maximisation of the opportunities of the public to satisfy its wants.

The North American Industry Classification System definition of the Public Administration (NAICS 91) sector states that public administration "... comprises establishments primarily engaged in activities of a governmental nature, that is, the enactment and judicial interpretation of laws and their pursuant regulations, and the administration of programs based on them". This includes "Legislative activities, taxation, national defense, public order and safety, immigration services, foreign affairs and international assistance, and the administration of government programs are activities that are purely governmental in nature".

From the academic perspective, the National Center for Education Statistics (NCES) in the United States defines the study of public administration as "A program that prepares individuals to serve as managers in the executive arm of local, state, and federal government and that focuses on the systematic study of executive organization and management. Includes instruction in the roles, development, and principles of public administration; the management of public policy; executive-legislative relations; public budgetary processes and financial management; administrative law; public personnel management; professional ethics; and research methods."

History

Antiquity to the 19th Century

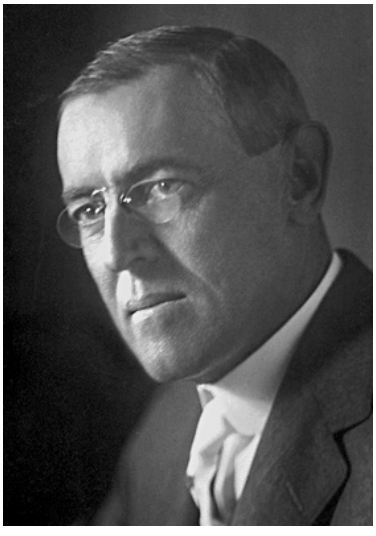
Dating back to Antiquity, Pharaohs, kings and emperors have required pages, treasurers, and tax collectors to administer the practical business of government. Prior to the 19th century, staffing of most public administrations was rife with nepotism, favoritism, and political patronage, which was often referred to as a "spoils system". Public administrators have long been the "eyes and ears" of rulers. In medieval times, the abilities to read and write, add and subtract were as dominated by the educated elite as public employment. Consequently, the need for expert civil servants whose ability to read and write formed the basis for developing expertise in such necessary activities as legal record-keeping, paying and feeding armies and levying taxes. As the European Imperialist age progressed and the militarily powers extended their hold over other continents and people, the need for a sophisticated public administration grew.

The eighteenth-century noble, King Frederick William I of Prussia, created professorates in Cameralism in an effort to train a new class of public administrators. The universities of Frankfurt an der Oder and University of Halle were Prussian institutions emphasizing economic and social disciplines, with the goal of societal reform. Johann Heinrich Gottlob Justi was the most well-known professor of Cameralism. Thus, from a Western European perspective, Classic, Medieval, and Enlightenment-era scholars formed the foundation of the discipline that has come to be called public administration.

Lorenz von Stein, an 1855 German professor from Vienna, is considered the founder of the science of public administration in many parts of the world. In the time of Von Stein, public administra-

tion was considered a form of administrative law, but Von Stein believed this concept too restrictive. Von Stein taught that public administration relies on many prestablished disciplines such as sociology, political science, administrative law and public finance. He called public administration an integrating science, and stated that public administrators should be concerned with both theory and practice. He argued that public administration is a science because knowledge is generated and evaluated according to the scientific method.

Modern American public administration is an extension of democratic governance, justified by classic and liberal philosophers of the western world ranging from Aristotle to John Locke to Thomas Jefferson.



Woodrow Wilson

In the United States of America, Woodrow Wilson is considered the father of public administration. He first formally recognized public administration in an 1887 article entitled "The Study of Administration." The future president wrote that "it is the object of administrative study to discover, first, what government can properly and successfully do, and, secondly, how it can do these proper things with the utmost possible efficiency and at the least possible cost either of money or of energy." Wilson was more influential to the science of public administration than Von Stein, primarily due to an article Wilson wrote in 1887 in which he advocated four concepts:

- Separation of politics and administration
- Comparative analysis of political and private organizations
- Improving efficiency with business-like practices and attitudes toward daily operations
- Improving the effectiveness of public service through management and by training civil servants, merit-based assessment

The separation of politics and administration has been the subject of lasting debate. The different perspectives regarding this dichotomy contribute to differentiating characteristics of the suggested generations of public administration.

By the 1920s, scholars of public administration had responded to Wilson's solicitation and thus

textbooks in this field were introduced. A few distinguished scholars of that period were, Luther Gulick, Lyndall Urwick, Henri Fayol, Frederick Taylor, and others. Frederick Taylor (1856-1915), another prominent scholar in the field of administration and management also published a book entitled 'The Principles of Scientific Management' (1911). He believed that scientific analysis would lead to the discovery of the 'one best way' to do things and /or carrying out an operation. This, according to him could help save cost and time. Taylor's technique was later introduced to private industrialists, and later into the various government organizations (Jeong, 2007).

Taylor's approach is often referred to as Taylor's Principles, and/or Taylorism. Taylor's scientific management consisted of main four principles (Frederick W. Taylor, 1911):

- Replace rule-of-thumb work methods with methods based on a scientific study of the tasks.
- Scientifically select, train, and develop each employee rather than passively leaving them to train themselves.
- Provide 'Detailed instruction and supervision of each worker in the performance of that worker's discrete task' (Montgomery 1997: 250).
- Divide work nearly equally between managers and workers, so that the managers apply scientific management principles to planning the work and the workers actually perform the tasks.

Taylor had very precise ideas about how to introduce his system (approach): 'It is only through enforced standardization of methods, enforced adoption of the best implements and working conditions, and enforced cooperation that this faster work can be assured. And the duty of enforcing the adoption of standards and enforcing this cooperation rests with management alone.'

The American Society for Public Administration (ASPA) the leading professional group for public administration was founded in 1939. ASPA sponsors the journal Public Administration Review, which was founded in 1940.

US in the 1940s



Luther Gulick (1892–1993) was an expert on public administration.

The separation of politics and administration advocated by Wilson continues to play a significant

role in public administration today. However, the dominance of this dichotomy was challenged by second generation scholars, beginning in the 1940s. Luther Gulick's fact-value dichotomy was a key contender for Wilson's proposed politics-administration dichotomy. In place of Wilson's first generation split, Gulick advocated a "seamless web of discretion and interaction".

Luther Gulick and Lyndall Urwick are two second-generation scholars. Gulick, Urwick, and the new generation of administrators built on the work of contemporary behavioral, administrative, and organizational scholars including Henri Fayol, Fredrick Winslow Taylor, Paul Appleby, Frank Goodnow, and Willam Willoughby. The new generation of organizational theories no longer relied upon logical assumptions and generalizations about human nature like classical and enlightened theorists.

Gulick developed a comprehensive, generic theory of organization that emphasized the scientific method, efficiency, professionalism, structural reform, and executive control. Gulick summarized the duties of administrators with an acronym; POSDCORB, which stands for planning, organizing, staffing, directing, coordinating, reporting, and budgeting. Fayol developed a systematic, 14-point, treatment of private management. Second-generation theorists drew upon private management practices for administrative sciences. A single, generic management theory bleeding the borders between the private and the public sector was thought to be possible. With the general theory, the administrative theory could be focused on governmental organizations. The mid-1940s theorists challenged Wilson and Gulick. The politics-administration dichotomy remained the center of criticism.

1950s to the 1970s

During the 1950s, the United States experienced prolonged prosperity and solidified its place as a world leader. Public Administration experienced a kind of heyday due to the successful war effort and successful post war reconstruction in Western Europe and Japan. Government was popular as was President Eisenhower. In the 1960s and 1970s, government itself came under fire as ineffective, inefficient, and largely a wasted effort. The costly American intervention in Vietnam along with domestic scandals including the bugging of Democratic party headquarters (the 1974 Watergate scandal) are two examples of self-destructive government behavior that alienated citizens.



The costly Vietnam War alienated US citizens from their government (pictured is Operation Arc Light, a US bombing operation)

There was a call by citizens for efficient administration to replace ineffective, wasteful bureaucracy. Public administration would have to distance itself from politics to answer this call and remain

effective. Elected officials supported these reforms. The Hoover Commission, chaired by University of Chicago professor Louis Brownlow, to examine reorganization of government. Brownlow subsequently founded the Public Administration Service (PAS) at the university, an organization which has provided consulting services to all levels of government until the 1970s.

Concurrently, after World War II, the whole concept of public administration expanded to include policy-making and analysis, thus the study of 'administrative policy making and analysis' was introduced and enhanced into the government decision-making bodies. Later on, the human factor became a predominant concern and emphasis in the study of Public Administration. This period witnessed the development and inclusion of other social sciences knowledge, predominantly, psychology, anthropology, and sociology, into the study of public administration (Jeong, 2007). Henceforth, the emergence of scholars such as, Fritz Morstein Marx with his book 'The Elements of Public Administration' (1946), Paul H. Appleby 'Policy and Administration' (1952), Frank Marini 'Towards a New Public Administration' (1971), and others that have contributed positively in these endeavors.

1980s–1990s

In the late 1980s, yet another generation of public administration theorists began to displace the last. The new theory, which came to be called New Public Management, was proposed by David Osborne and Ted Gaebler in their book *Reinventing Government*. The new model advocated the use of private sector-style models, organizational ideas and values to improve the efficiency and service-orientation of the public sector. During the Clinton Administration (1993–2001), Vice President Al Gore adopted and reformed federal agencies using NPM approaches. In the 1990s, new public management became prevalent throughout the bureaucracies of the US, the UK and, to a lesser extent, in Canada. The original public management theories have roots attributed to policy analysis, according to Richard Elmore in his 1986 article published in the "Journal of Policy Analysis and Management".

Some modern authors define NPM as a combination of splitting large bureaucracies into smaller, more fragmented agencies, encouraging competition between different public agencies, and encouraging competition between public agencies and private firms and using economic incentives lines (e.g., performance pay for senior executives or user-pay models). NPM treats individuals as "customers" or "clients" (in the private sector sense), rather than as citizens.

Some critics argue that the New Public Management concept of treating people as "customers" rather than "citizens" is an inappropriate borrowing from the private sector model, because businesses see customers as a means to an end (profit), rather than as the proprietors of government (the owners), opposed to merely the customers of a business (the patrons). In New Public Management, people are viewed as economic units not democratic participants which is the hazard of linking an MBA (business administration, economic and employer-based model) too closely with the public administration (governmental, public good) sector. Nevertheless, the NPM model (one of four described by Elmore in 1986, including the "generic model") is still widely accepted at multiple levels of government (e.g., municipal, state/province, and federal) and in many OECD nations.

In the late 1990s, Janet and Robert Denhardt proposed a new public services model in response to the dominance of NPM. A successor to NPM is digital era governance, focusing on themes of

reintegrating government responsibilities, needs-based holism (executing duties in cursive ways), and digitalization (exploiting the transformational capabilities of modern IT and digital storage). One example of this is openforum.com.au, an Australian non-for-profit eDemocracy project which invites politicians, senior public servants, academics, business people and other key stakeholders to engage in high-level policy debate.

Another new public service model is what has been called New Public Governance, an approach which includes a centralization of power; an increased number, role and influence of partisan-political staff; personal-politicization of appointments to the senior public service; and, the assumption that the public service is promiscuously partisan for the government of the day.

In the mid-1980s, the goal of community programs in the US was often represented by terms such as independent living, community integration, inclusion, community participation, deinstitutionalization, and civil rights. Thus, the same public policy (and public administration) was to apply to all citizens, inclusive of disability. However, by the 1990s, categorical state systems were strengthened in the US (Racino, in press, 2014), and efforts were made to introduce more disability content into the public policy curricula with disability public policy (and administration) distinct fields in their own right. Behaviorists have also dominated "intervention practice" (generally not the province of public administration) in recent years, believing that they are in opposition to generic public policy (termed ecological theory, of the late Urie Brofenbrenner).

Increasingly, public policy academics and practitioners have utilized the theoretical concepts of political economy to explain policy outcomes such as the success or failure of reform efforts and/or the persistence of sub-optimal outcomes.

Core Branches

In academia, the field of public administration consists of a number of sub-fields. Scholars have proposed a number of different sets of sub-fields. One of the proposed models uses five "pillars":

- Organizational theory in public administration is the study of the structure of governmental entities and the many particulars inculcated in them.
- Ethics in public administration serves as a normative approach to decision making.
- Policy analysis serves as an empirical approach to decision making.
- Public budgeting is the activity within a government that seeks to allocate scarce resources among unlimited demands.
- Human resource management is an in-house structure that ensures that public service staffing is done in an unbiased, ethical and values-based manner. The basic functions of the HR system are employee benefits, employee health care, compensation, and many more (e.g., human rights, Americans with Disabilities Act). The executives managing the HR director and other key departmental personnel are also part of the public administration system.

Decision-making Models

Given the array of duties public administrators find themselves performing, the professional ad-

ministrator might refer to a theoretical framework from which he or she might work. Indeed, many public and private administrative scholars have devised and modified decision-making models.

Niskanen's Budget-maximizing

In 1971, Professor William Niskanen proposed a rational choice variation which he called the "budget-maximizing model". He claimed that rational bureaucrats will universally seek to increase the budgets of their units (to enhance their stature), thereby contributing to state growth and increased public expenditure. Niskanen served on President Reagan's Council of Economic Advisors; his model underpinned what has been touted as curtailed public spending and increased privatization. However, budgeted expenditures and the growing deficit during the Reagan administration is evidence of a different reality. A range of pluralist authors have critiqued Niskanen's universalist approach. These scholars have argued that officials tend also to be motivated by considerations of the public interest.

Dunleavy's Bureau-shaping

The bureau-shaping model, a modification of Niskanen, holds that rational bureaucrats only maximize the part of their budget that they spend on their own agency's operations or give to contractors and interest groups. Groups that are able to organize a "flowback" of benefits to senior officials would, according to this theory, receive increased budgetary attention. For instance, rational officials will get no benefit from paying out larger welfare checks to millions of low-income citizens because this does not serve a bureaucrats' goals. Accordingly, one might instead expect a jurisdiction to seek budget increases for defense and security purposes in place programming. If we refer back to Reagan once again, Dunleavy's bureau shaping model accounts for the alleged decrease in the "size" of government while spending did not, in fact, decrease. Domestic entitlement programming was financially de-emphasized for military research and personnel.

Academic Field

University programs preparing students for careers in public administration typically offer the Master of Public Administration (MPA) degree, although in some universities, an MA in Public Administration is awarded. In the United States, the academic field of public administration draws heavily on political science and administrative law. Some MPA programs include economics courses to give students a background in microeconomic issues (markets, rationing mechanisms, etc.) and macroeconomic issues (e.g., national debt). Scholars such as John A. Rohr write of a long history behind the constitutional legitimacy of government bureaucracy. In Europe (notably in Britain and Germany), the divergence of the field from other disciplines can be traced to the 1720s continental university curriculum. Formally, official academic distinctions were made in the 1910s and 1890s, respectively.

The goals of the field of public administration are related to the democratic values of improving equality, justice, security, efficiency and effectiveness of public services in a non-profit venue; business administration, on the other hand, is primarily concerned with expanding market share, generating revenue and earning profit. For a field built on concepts (accountability, governance, decentralization and clientele), these concepts are often ill-defined and typologies often ignore certain aspects of these concepts (Dubois & Fattore 2009).

The more specific term "public management" refers to ordinary, routine or typical management that aims to achieve public good. In some definitions, "public management" refers to private sector, market-driven perspective on the operation of government. This typically involves putting senior executives on performance contracts, rather than tenured positions, instituting pay-for-performance systems for executives, creating revenue-generating agencies and so on. This latter view is often called "new public management" (NPM) by its advocates. New Public Management represents a reform attempt that emphasizes the professional nature of public administration. NPM advocates aim to replace the academic, moral or disciplinary emphasis of traditional public administration with a professional focus. Some theorists advocate a "bright line" differentiation of the professional field from related academic disciplines like political science and sociology; it remains interdisciplinary in nature.

One public administration scholar, Donald Kettl, argues that "...public administration sits in a disciplinary backwater", because "...for the last generation, scholars have sought to save or replace it with fields of study like implementation, public management, and formal bureaucratic theory". Kettl states that "public administration, as a subfield within political science...is struggling to define its role within the discipline". He notes two problems with public administration: it "has seemed methodologically to lag behind" and "the field's theoretical work too often seems not to define it"-indeed, "some of the most interesting recent ideas in public administration have come from outside the field".

Public administration theory is the domain in which discussions of the meaning and purpose of government, the role of bureaucracy in supporting democratic governments, budgets, governance, and public affairs takes place. In recent years, public administration theory has periodically connoted a heavy orientation toward critical theory and postmodern philosophical notions of government, governance, and power. However, many public administration scholars support a classic definition of the term emphasizing constitutionality, public service, bureaucratic forms of organization, and hierarchical government.

Comparative Public Administration

Comparative public administration or CPA is defined as the study of administrative systems in a comparative fashion or the study of public administration in other countries. There have been several issues which have hampered the development of comparative public administration, including: the major differences between Western countries and developing countries; the lack of curriculum on this sub-field in public administration programs; and the lack of success in developing theoretical models which can be scientifically tested. Even though CPA is a weakly formed field as a whole, this sub-field of public administration is an attempt at cross-cultural analysis, a "quest for patterns and regularities of administrative action and behavior." CPA is an integral part to the analysis of public administration techniques. The process of comparison allows for more widely applicable polices to be tested in a variety of situations.

Comparative public administration emerged during the post World War II time period in order to seek international developmental strategies which aided in the containment of Communism during the Cold War. (Riggs 1954, Heady 1960) The developers of this field expanded on a general theory, a research agenda, and generalized "lessons learned". (Riggs 1954, Heady 1960) A prominent figure of Public Administration, Woodrow Wilson, commented on the study by saying, "Like

principles of civil liberty are everywhere fostering like methods of government; and if comparative studies of the ways and means of government should enable us to offer suggestions which will practicably combine openness and vigor in the administration of such governments with ready docility to all serious, well-sustained public criticism, they will have approved themselves worthy to be ranked among the highest and most fruitful of the great departments of political study." As the financial state of the powering countries began to stabilize toward the decline of the Cold War, the field of CPA began to diminish. The resulting decline caused the lack of further expansion of this study making it irrelevant.

Comparative public administration lacks curriculum, which has prevented it from becoming a major field of study. This lack of understanding of the basic concepts that build this field's foundation has ultimately led to its lack of us. For example, Dr. William Waugh, a professor at Georgia State University has stated "Comparative studies are difficult because of the necessity to provide enough information on the sociopolitical context of national administrative structures and processes for readers to understand why there are differences and similarities." He also asserts, "Although there is sizable literature on comparative public administration it is scattered and dated."

Waugh argues that public administration requires an understanding of different administrative structures and a comparison of different public administration models. The literature to build this base of knowledge is scattered and often hard to obtain. The lack or ill-formed use of comparative public administration has been detrimental for many countries, including the United States. Fred Riggs a political scientist, states that "comparisons to the United States also can be problematic, because of the tendency of many American scholars to presume the American organizational structures and processes are models for other nations to emulate, which was a failing of early developmental administrative studies." In this, he claims the misuse and misapplication of comparative public administration has led to it being underdeveloped.

The development and better use comparative public administration could lead to better understanding. In 2002, the National Security Strategy was used in the battle of hearts and minds. They tried to assimilate with an Arab and Islamic audience to push American values and democracy in an attempt to stop terrorism, when in fact the lack of comparison on the public level was ineffective and backfired. The lack of willingness to understand their culture led to more tension in the Middle East. In conclusion of these events there are not enough resources directed to the study of comparative public administration. For a basic understanding of sociopolitical structure of a society or culture is a key component of comparative public administration.

Despite all of its set backs there are examples of the application of well-formed Comparative Public Administration working in the world today. One of which is the comparison on the national level David Clark an author in this field states "In spite of similarities in public management reform rhetoric, it is argued that there is increasing divergence in the philosophy & practice of public service in the two nations, & and these differences reflect regimes that incorporate different ideals of citizenship." This highlights the benefit of proper comparison of public administration. By examining patterns that emerge in international public sectors one can identify similarities and differences in many things including ideals of citizenship on the local level. Although the United States failed use of Comparative Public Administration in the Middle East is noted, they did properly incorporate it domestically. "During the Clinton administration, the focus on residential energy consumption in the United States was elevated to a high level with the inauguration of the

Million Solar Roofs initiative, in which the Department of Energy (DOE) sponsored workshops, developed a pool of existing federal lending and financing options, and worked with partners in the solar and building industries to remove market barriers to strengthen grassroots demand for solar technologies".

This grassroots demand may have come from the comparative knowledge that concluded "In the United States, residential and commercial buildings combined now use 71% of all electricity produced and account for 79% of all electricity expenditures. Annual CO_2 emission attributed to electricity consumption in these U.S. buildings constitute 43% of the country's annual total CO_2 emission, which is approximately equivalent to the total CO_2 emission of Japan, France, and the United Kingdom combined. These levels support the claim of the Intergovernmental Panel on Climate Change that energy use in buildings offer more potential for reducing carbon emission than any other single sector in the United States and abroad.". This example compares CO_2 emission in the U.S. to other countries and through the buildings sector; the U.S. could cut down on CO_2 emission. The field of comparative public administration is often misunderstood for the definition itself is complex and requires layers of understanding. The field will require many more years of collaborative research before it becomes a widely recognized academic study.

Master's Degrees



The Knapp-Sanders Building, the home of the School of Government at the University of North Carolina.

Some public administration programs have similarities to business administration programs, in cases where the students from both the Master's in Public Administration (MPA) and Master's in Business Administration (MBA) programs take many of the same courses. In some programs, the MPA (or MAPA) is more clearly distinct from the MBA, in that the MPA often emphasizes substantially different ethical and sociological criteria that pertain to administering government programs for the public good that have not been key criteria for business managers, who typically aim to maximize profit and/or share price.

The MPA is related to similar graduate-level government studies programs including Master of Arts (MA) programs in public affairs, public policy, and political science. MPA degrees may be more likely to include program emphases on policy analysis techniques or other topical focuses such as the study of international affairs as opposed to MA degrees, which tend to focus on constitutional issues such as separation of powers, administrative law, contracting with government, problems of governance and power, and participatory democracy. Some MPA degrees may

be more oriented towards training students to undertake public service work tasks, whereas some MA programs may have a more academic, theoretical focus. Some universities offer their Masters in public administration as an MA degree (e.g., Carleton University in Ottawa, Canada and the University of Kerala in India).

Some universities offer mid-career Master's programs, sometimes called an MC/MPA, that can be taken part-time (often outside of business hours) by public servants and public service managers who are working full-time. Community programs may offer internships or continuing education credits. One example is the Maxwell School's mid-career Masters at Syracuse University, which was launched by Robert Iversen in the 1970s.

Doctoral Degrees

There are two types of doctoral degrees in public administration: the Doctor of Public Administration (DPA) and the Ph.D. in public administration. The DPA is an applied-research doctoral degree in the field of public administration, focusing on the practice of public administration more than on its theoretical aspects. The DPA requires coursework beyond the Masters level and a thesis, dissertation or other doctoral project. Upon successful completion of the doctoral requirements, the title of "Doctor" is awarded and the post-nominals of D.P.A. can be used. Some universities use the Ph.D. as their doctoral degree in public administration (e.g., Carleton University in Ottawa, Canada and the University Of Kerala in India). The Ph.D. is typically sought by individuals aiming to become professors of public administration or researchers. Individuals pursuing a Ph.D. in public administration often pursue more theoretical dissertation topics than their DPA counterparts.

Notable Scholars

Notable scholars of public administration have come from a range of fields. In the period before public administration existed as its own independent discipline, scholars contributing to the field came from economics, sociology, management, political science, administrative law, and, other related fields. More recently, scholars from public administration and public policy have contributed important studies and theories.

International Organizations

There are a number of international public administration organizations. The Commonwealth Association of Public Administration and Management (CAPAM) is diverse, as it includes the 54 member states of the Commonwealth from India and the UK to Nauru. Its biennial conference brings together ministers of public service, top public officials and leading scholars. The oldest organization is the International Institute of Administrative Sciences (IIAS). Based in Brussels, Belgium, the IIAS is a worldwide platform providing a space for exchanges that promote knowledge and good practices to improve the organization and operation of public administration. The IIAS also aims to ensure that public agencies will be in a position to better respond to the current and future expectations and needs of society. The IIAS has set up four entities: the International Association of Schools and Institutes of Administration (IASIA), the European Group for Public Administration (EGPA), The Latin American Group for Public Administration (LAGPA) and the Asian Group for Public Administration (AGPA). IASIA is an association of organizations and individuals whose activities and interests focus on public administration and management. The

activities of its members include education and training of administrators and managers. It is the only worldwide scholarly association in the field of public management. EGPA, LAGPA and AGPA are the regional sub-entities of the IIAS. Another body, the International Committee of the US-based Network of Schools of Public Policy, Affairs, and Administration (NASPAA), has developed a number of relationships around the world. They include sub regional and National forums like CLAD, INPAE and NISPAcee, APSA, ASPA.

The Center for Latin American Administration for Development (CLAD), based in Caracas, Venezuela, this regional network of schools of public administration set up by the governments in Latin America is the oldest in the region. The Institute is a founding member and played a central role in organizing the Inter-American Network of Public Administration Education (INPAE). Created in 2000, this regional network of schools is unique in that it is the only organization to be composed of institutions from North and Latin America and the Caribbean working in public administration and policy analysis. It has more than 49 members from top research schools in various countries throughout the hemisphere.

NISPAcee is a network of experts, scholars and practitioners who work in the field of public administration in central Europe and Eastern Europe, including the Russian Federation and the Caucasus and Central Asia. The US public administration and political science associations like NASPAA, American Political Science Association (APSA) and American Society of Public Administration (ASPA). These organizations have helped to create the fundamental establishment of modern public administration.

Public Management

"Public management" is an approach to government administration and non-profit administration that resembles and/or draws on private-sector management and business techniques and approaches. These business approaches often aim to maximize efficiency and effectiveness and provide improved customer service. A contrast is drawn with the study of public administration, which emphasizes the social and cultural drivers of government that many contend (e.g. Graham T. Allison and Charles Goodsell) makes it different from the private sector. Studying and teaching about public management are widely practiced in developed nations.

Organizations

Many entities study public management in particular, in various countries, including:

- In the US, the American Society for Public Administration. Indiana University Bloomington
- In Canada, the Institute of Public Administration of Canada, the Observatoire de l'Administation publique, and various projects of the Federation of Canadian Municipalities and Infrastructure Canada
- In the UK, Warwick Business School, the London School of Economics, University College London, the UK local democracy project and London Health Observatory.
- In the Netherlands, The Hague University of Applied Sciences

- In Australia, the Institute of Public Administration Australia.
- In France, the École nationale d›administration and the IMPGT, Institute of Public Management and Territorial Governance (CNFPT) in Aix-en-Provence, Aix-Marseille University.
- In Belgium, the Public Governance Institute, KU Leuven.
- In Germany, the German University of Administrative Sciences Speyer, the Hertie School of Governance, the Bachelor and Master of Politics, Administration & International Relations (PAIR) at the Zeppelin University Friedrichshafen, and the Bachelor and Master of Public Policy & Management and the Executive Public Management Master of University of Potsdam.
- In Switzerland, the University of Geneva and the Swiss Graduate School of Public Administration (IDHEAP).
- In Italy, the SDA Bocconi School of Management, the graduate business school of Bocconi University in Milan, Italy.
- In Cyprus, the Cyprus International Institute of Management or CIIM.
- In Ireland, the Institute of Public Administration, Dublin.
- In South Africa, Regenesys Business School through the Regenesys School of Public Management and MANCOSA.

Comparative public management, through government performance auditing, examines the efficiency and effectiveness of two or more governments.

References

- Jeong Chun Hai @Ibrahim, & Nor Fadzlina Nawi. (2007). Principles of Public Administration: An Introduction. Kuala Lumpur: Karisma Publications. ISBN 978-983-195-253-5.
- Racino, Julie A. (2015). Public administration and disability community services administration in the US. Boca Raton: CRC Press. ISBN 9781466579828.
- Kettl, Donald F. "THE FUTURE OF PUBLIC ADMINISTRATION" (PDF). H-net.org. Retrieved October 25, 2010.
- Public administration. (2010) In Encyclopaedia Britannica. Retrieved August 18, 2010, from Encyclopaedia Britannica Online.

2

Policies Related to Public Administration

Policies are implemented as a protocol. It is a system of principles that helps in guiding decisions of a country or any organization. Some of the examples of policy-making fields are economic policies, educational policies and military policies. This chapter helps the readers in understanding an in-depth understanding of the topic.

Policy

A policy is a deliberate system of principles to guide decisions and achieve rational outcomes. A policy is a statement of intent, and is implemented as a procedure or protocol. Policies are generally adopted by the Board of or senior governance body within an organization where as procedures or protocols would be developed and adopted by senior executive officers. Policies can assist in both *subjective* and *objective* decision making. Policies to assist in subjective decision making would usually assist senior management with decisions that must consider the relative merits of a number of factors before making decisions and as a result are often hard to objectively test e.g. work-life balance policy. In contrast policies to assist in objective decision making are usually operational in nature and can be objectively tested e.g. password policy.

The term may apply to government, private sector organizations and groups, as well as individuals. Presidential executive orders, corporate privacy policies, and parliamentary rules of order are all examples of policy. Policy differs from rules or law. While law can compel or prohibit behaviors (e.g. a law requiring the payment of taxes on income), policy merely guides actions toward those that are most likely to achieve a desired outcome.

Policy or policy study may also refer to the process of making important organizational decisions, including the identification of different alternatives such as programs or spending priorities, and choosing among them on the basis of the impact they will have. Policies can be understood as political, managerial, financial, and administrative mechanisms arranged to reach explicit goals. In public corporate finance, a critical accounting policy is a policy for a firm/company or an industry which is considered to have a notably high subjective element, and that has a material impact on the financial statements.

Impact

Intended Effects

The intended effects of a policy vary widely according to the organization and the context in which they are made. Broadly, policies are typically instituted to avoid some negative effect that has been noticed in the organization, or to seek some positive benefit.

Corporate purchasing policies provide an example of how organizations attempt to avoid negative effects. Many large companies have policies that all purchases above a certain value must be performed through a purchasing process. By requiring this standard purchasing process through policy, the organization can limit waste and standardize the way purchasing is done.

The State of California provides an example of benefit-seeking policy. In recent years, the numbers of hybrid cars in California has increased dramatically, in part because of policy changes in Federal law that provided USD $1,500 in tax credits (since phased out) as well as the use of high-occupancy vehicle lanes to hybrid owners (no loew hybrid vehicles). In this case, the organization (state and/or federal government) created an effect (increased ownership and use of hybrid vehicles) through policy (tax breaks, highway lanes).

Unintended Effects

Policies frequently have side effects or unintended consequences. Because the environments that policies seek to influence or manipulate are typically complex adaptive systems (e.g. governments, societies, large companies), making a policy change can have counterintuitive results. For example, a government may make a policy decision to raise taxes, in hopes of increasing overall tax revenue. Depending on the size of the tax increase, this may have the overall effect of reducing tax revenue by causing capital flight or by creating a rate so high that citizens are deterred from earning the money that is taxed.

The policy formulation process theoretically includes an attempt to assess as many areas of potential policy impact as possible, to lessen the chances that a given policy will have unexpected or unintended consequences.

Policy Cycle

In political science, the policy cycle is a tool used for the analyzing of the development of a policy item. It can also be referred to as a “stagist approach”, “stages heuristic” or “stages approach”. It is thus a rule of thumb rather than the actual reality of how policy is created, but has been influential in how political scientists looked at policy in general. It was developed as a theory from Harold Lasswell’s work.

One version has the following stages:

1. Agenda setting (Problem identification) - The recognition of certain subject as a problem demanding further government attention.
2. Policy Formulation - Involves exploring a variation of options or alternative courses of action available for addressing the problem. (appraisal, dialogue, formulation, and consolidation)
3. Decision-making - Government decides on an ultimate course of action, whether to perpetuate the policy status quo or alter it. (Decision could be ‘positive’, ‘negative’, or ‘no-action’)
4. Implementation - The ultimate decision made earlier will be put into practice.

5. Evaluation - Assesses the effectiveness of a public policy in terms of its perceived intentions and results. Policy actors attempt to determine whether the course of action is a success or failure by examining its impact and outcomes.

An eight step policy cycle is developed in detail in *The Australian Policy Handbook* by Peter Bridgman and Glyn Davis: (now with Catherine Althaus in its 4th and 5th editions)

1. Issue identification
2. Policy analysis
3. Consultation (which permeates the entire process)
4. Policy instrument development
5. Building coordination and coalitions
6. Program Design: Decision making
7. Policy Implementation
8. Policy Evaluation

The Althaus, Bridgman & Davis model is heuristic and iterative. It is intentionally normative and not meant to be diagnostic or predictive. Policy cycles are typically characterized as adopting a classical approach, and tend to describe processes from the perspective of policy decision makers. Accordingly, some postpositivist academics challenge cyclical models as unresponsive and unrealistic, preferring systemic and more complex models. They consider a broader range of actors involved in the policy space that includes civil society organisations, the media, intellectuals, think tanks or policy research institutes, corporations, lobbyists, etc.

Content

Policies are typically promulgated through official written documents. Policy documents often come with the endorsement or signature of the executive powers within an organization to legitimize the policy and demonstrate that it is considered in force. Such documents often have standard formats that are particular to the organization issuing the policy. While such formats differ in form, policy documents usually contain certain standard components including :

- A purpose statement, outlining why the organization is issuing the policy, and what its desired effect or outcome of the policy should be.
- An applicability and scope statement, describing who the policy affects and which actions are impacted by the policy. The applicability and scope may expressly exclude certain people, organizations, or actions from the policy requirements. Applicability and scope is used to focus the policy on only the desired targets, and avoid unintended consequences where possible.
- An effective date which indicates when the policy comes into force. Retroactive policies are rare, but can be found.

- A responsibilities section, indicating which parties and organizations are responsible for carrying out individual policy statements. Many policies may require the establishment of some ongoing function or action. For example, a purchasing policy might specify that a purchasing office be created to process purchase requests, and that this office would be responsible for ongoing actions. Responsibilities often include identification of any relevant oversight and/or governance structures.
- Policy statements indicating the specific regulations, requirements, or modifications to organizational behavior that the policy is creating. Policy statements are extremely diverse depending on the organization and intent, and may take almost any form.

Some policies may contain additional sections, including:

- Background, indicating any reasons, history, and intent that led to the creation of the policy, which may be listed as motivating factors. This information is often quite valuable when policies must be evaluated or used in ambiguous situations, just as the intent of a law can be useful to a court when deciding a case that involves that law.
- Definitions, providing clear and unambiguous definitions for terms and concepts found in the policy document.

Typologies

Theodore J. Lowi, famous American political scientist proposed four types of policy namely distributive, redistributive, regulatory and constituent in his article 'Four systems of Policy, Politics and Choice' and in 'American Business, Public Policy, Case Studies and Political Theory'. Policy addresses the intent of the organization, whether government, business, professional, or voluntary. Policy is intended to affect the 'real' world, by guiding the decisions that are made. Whether they are formally written or not, most organizations have identified policies.

Policies may be classified in many different ways. The following is a sample of several different types of policies broken down by their effect on members of the organization.

Distributive Policies

Distributive policies extend goods and services to members of an organization, as well as distributing the costs of the goods/services amongst the members of the organization. Examples include government policies that impact spending for welfare, public education, highways, and public safety, or a professional organization's benefits plan.

Regulatory Policies

Regulatory policies, or mandates, limit the discretion of individuals and agencies, or otherwise compel certain types of behavior. These policies are generally thought to be best applied when good behavior can be easily defined and bad behavior can be easily regulated and punished through fines or sanctions. An example of a fairly successful public regulatory policy is that of a speed limit.

Constituent Policies

Constituent policies create executive power entities, or deal with laws. Constituent policies also deal with Fiscal Policy in some circumstances.

Miscellaneous Policies

Policies are dynamic; they are not just static lists of goals or laws. Policy blueprints have to be implemented, often with unexpected results. Social policies are what happens 'on the ground' when they are implemented, as well as what happens at the decision making or legislative stage.

When the term policy is used, it may also refer to:

- Official government policy (legislation or guidelines that govern how laws should be put into operation)
- Broad ideas and goals in political manifestos and pamphlets
- A company or organization's policy on a particular topic. For example, the equal opportunity policy of a company shows that the company aims to treat all its staff equally.

The actions the organization actually takes may often vary significantly from stated policy. This difference is sometimes caused by political compromise over policy, while in other situations it is caused by lack of policy implementation and enforcement. Implementing policy may have unexpected results, stemming from a policy whose reach extends further than the problem it was originally crafted to address. Additionally, unpredictable results may arise from selective or idiosyncratic enforcement of policy.

Types of policy analysis include:

- Causal (resp. non-causal)
- Deterministic (resp. stochastic, randomized and sometimes non-deterministic)
- Index
- Memoryless (e.g. non-stationary)
- Opportunistic (resp. non-opportunistic)
- Stationary (resp. non-stationary)

These qualifiers can be combined, so for example you could have a stationary-memoryless-index policy.

Specific Policy Types

- Company Policy
- Communications and Information Policy is under Information policy
- Human resource policies

- Privacy policy
- Public policy
- Defense policy
- Domestic policy
- Economic policy
- Education policy
- Energy policy
- Environmental Policy and National Environmental Policy Act
- Foreign policy
- Forest policy
- Health policy
- Housing policy
- Information policy
- Macroeconomic policy
- Monetary policy
- Plan
- Population policy
- Public policy in law
- Science policy
- Security policy
- Social policy
- Urban policy
- Transportation policy
- Water policy

Other uses of the Term

- In enterprise architecture for systems design, policy appliances are technical control and logging mechanisms to enforce or reconcile policy (systems use) rules and to ensure accountability in information systems.
- In insurance, policies are contracts between insurer and insured used to indemnify (protect) against potential loss from specified perils. While these documents are referred to as policies, they are in actuality a form of contract.

- In gambling, policy is a form of an unsanctioned lottery, where players purport to purchase *insurance* against a chosen number being picked by a legitimate lottery. Or can refer to an ordinary Numbers game
- In artificial intelligence planning and *reinforcement learning*, a policy prescribes a non-empty deliberation (sequence of actions) given a non-empty sequence of states.

Economic Policy

Economic policy refers to the actions that governments take in the economic field. It covers the systems for setting levels of taxation, government budgets, the money supply and interest rates as well as the labor market, national ownership, and many other areas of government interventions into the economy.

Most factors of economic policy can be divided into either fiscal policy, which deals with government actions regarding taxation and spending, or monetary policy, which deals with central banking actions regarding the money supply and interest rates.

Such policies are often influenced by international institutions like the International Monetary Fund or World Bank as well as political beliefs and the consequent policies of parties.

Types of Economic Policy

Almost every aspect of government has an important economic component. A few examples of the kinds of economic policies that exist include:

- Macroeconomic stabilization policy, which attempts to keep the money supply growing at a rate that does not result in excessive inflation, and attempts to smooth out the business cycle.
- Trade policy, which refers to tariffs, trade agreements and the international institutions that govern them.
- Policies designed to create economic growth
    - Policies related to development economics
- Policies dealing with the redistribution of income, property and/or wealth
- As well as: regulatory policy, anti-trust policy, industrial policy and technology-based economic development policy

Macroeconomic Stabilization Policy

Stabilization policy attempts to stimulate an economy out of recession or constrain the money supply to prevent excessive inflation.

- Fiscal policy, often tied to Keynesian economics, uses government spending and taxes to guide the economy.

- Fiscal stance: The size of the deficit or surplus
- Tax policy: The taxes used to collect government income.
- Government spending on just about any area of government

- Monetary policy controls the value of currency by lowering the supply of money to control inflation and raising it to stimulate economic growth. It is concerned with the amount of money in circulation and, consequently, interest rates and inflation.
  - Interest rates, if set by the Government
  - Incomes policies and price controls that aim at imposing non-monetary controls on inflation
  - Reserve requirements which affect the money multiplier

Tools and Goals

Policy is generally directed to achieve particular objectives, like targets for inflation, unemployment, or economic growth. Sometimes other objectives, like military spending or nationalization are important.

These are referred to as the policy goals: the outcomes which the economic policy aims to achieve.

To achieve these goals, governments use policy tools which are under the control of the government. These generally include the interest rate and money supply, tax and government spending, tariffs, exchange rates, labor market regulations, and many other aspects of government.

Selecting Tools and Goals

Government and central banks are limited in the number of goals they can achieve in the short term. For instance, there may be pressure on the government to reduce inflation, reduce unemployment, and reduce interest rates while maintaining currency stability. If all of these are selected as goals for the short term, then policy is likely to be incoherent, because a normal consequence of reducing inflation and maintaining currency stability is increasing unemployment and increasing interest rates.

Demand-side vs. Supply-side Tools

This dilemma can in part be resolved by using microeconomics, supply-side policy to help adjust markets. For instance, unemployment could potentially be reduced by altering laws relating to trade unions or unemployment insurance, as well as by macroeconomic (demand-side) factors like interest rates.

Discretionary Policy vs Policy Rules

For much of the 20th century, governments adopted discretionary policies like demand management designed to correct the business cycle. These typically used fiscal and monetary policy to adjust inflation, output and unemployment.

However, following the stagflation of the 1970s, policymakers began to be attracted to policy rules.

A discretionary policy is supported because it allows policymakers to respond quickly to events. However, discretionary policy can be subject to dynamic inconsistency: a government may say it intends to raise interest rates indefinitely to bring inflation under control, but then relax its stance later. This makes policy non-credible and ultimately ineffective.

A rule-based policy can be more credible, because it is more transparent and easier to anticipate. Examples of rule-based policies are fixed exchange rates, interest rate rules, the stability and growth pact and the Golden Rule. Some policy rules can be imposed by external bodies, for instance the Exchange Rate Mechanism for currency.

A compromise between strict discretionary and strict rule-based policy is to grant discretionary power to an independent body. For instance, the Federal Reserve Bank, European Central Bank, Bank of England and Reserve Bank of Australia all set interest rates without government interference, but do not adopt rules.

Another type of non-discretionary policy is a set of policies which are imposed by an international body. This can occur (for example) as a result of intervention by the International Monetary Fund.

Economic Policy Through History

The first economic problem was how to gain the resources it needed to be able to perform the functions of an early government: the military, roads and other projects like building the Pyramids.

Early governments generally relied on tax in kind and forced labor for their economic resources. However, with the development of money came the first policy choice. A government could raise money through taxing its citizens. However, it could now also debase the coinage and so increase the money supply.

Early civilizations also made decisions about whether to permit and how to tax trade. Some early civilizations, such as Ptolemaic Egypt adopted a closed currency policy whereby foreign merchants had to exchange their coin for local money. This effectively levied a very high tariff on foreign trade.

By the early modern age, more policy choices had been developed. There was considerable debate about mercantilism and other restrictive trade practices like the Navigation Acts, as trade policy became associated with both national wealth and with foreign and colonial policy.

Throughout the 19th Century, monetary standards became an important issue. Gold and silver were in supply in different proportions. Which metal was adopted influenced the wealth of different groups in society.

The First Fiscal Policy

With the accumulation of private capital in the Renaissance, states developed methods of financing deficits without debasing their coin. The development of capital markets meant that a government could borrow money to finance war or expansion while causing less economic hardship.

This was the beginning of modern fiscal policy.

The same markets made it easy for private entities to raise bonds or sell stock to fund private initiatives.

Business Cycles

The business cycle became a predominant issue in the 19th century, as it became clear that industrial output, employment, and profit behaved in a cyclical manner. One of the first proposed policy solutions to the problem came with the work of Keynes, who proposed that fiscal policy could be used actively to ward off depressions, recessions and slumps. The Austrian School of economics argues that central banks create the business cycle.

Education Policy

Education policy are the principles and government policy-making in the educational sphere, as well as the collection of laws and rules that govern the operation of education systems.

Education occurs in many forms for many purposes through many institutions. Examples include early childhood education, kindergarten through to 12th grade, two and four year colleges or universities, graduate and professional education, adult education and job training. Therefore, education policy can directly affect the education people engage in at all ages.

Examples of areas subject to debate in education policy, specifically from the field of schools, include school size, class size, school choice, school privatization, tracking, teacher education and certification, teacher pay, teaching methods, curricular content, graduation requirements, school infrastructure investment, and the values that schools are expected to uphold and model.

Issues in education policy also address problems within higher education. The Pell Institute analyzes the barriers experienced by teachers and students within community colleges and universities. These issues involve undocumented students, sex education, and federal grant aides.

Education policy analysis is the scholarly study of education policy. It seeks to answer questions about the purpose of education, the objectives (societal and personal) that it is designed to attain, the methods for attaining them and the tools for measuring their success or failure. Research intended to inform education policy is carried out in a wide variety of institutions and in many academic disciplines. Important researchers are affiliated with departments of psychology, economics, sociology, and human development, in addition to schools and departments of education or public policy. Examples of education policy analysis may be found in such academic journals as *Education Policy Analysis Archives* and in university policy centers such as the National Education Policy Center housed at the University of Colorado Boulder University of Colorado Boulder.

Education Reform in the United States

Education reform is a topic that is in the mainstream currently in the United States. Over the past 30 years, policy makers have made a steady increase at the state and federal levels of government in their involvement of US schools. Although states hold the constitutional right on education policy, the federal government is advancing their role by building on state and local education pol-

icies. In the state of Texas during the 84th Legislature, there were several education reform bills filed and sponsored by many education reform groups, such as Texans for Education Reform. Law makers want to create more involvement at the local level, and more transparency in our public schools. These groups are being pressured and opposed by teachers' unions saying that accountability and transparency policies are targeting educators, and that they are trying to hold them responsible for the education system.

Health Policy



The headquarters of the World Health Organization in Geneva, Switzerland.

Health policy can be defined as the "decisions, plans, and actions that are undertaken to achieve specific healthcare goals within a society. According to the World Health Organization, an explicit health policy can achieve several things: it defines a vision for the future; it outlines priorities and the expected roles of different groups; and it builds consensus and informs people.

There are many categories of health policies, including personal healthcare policy, pharmaceutical policy, and policies related to public health such as vaccination policy, tobacco control policy or breastfeeding promotion policy. They may cover topics of financing and delivery of healthcare, access to care, quality of care, and health equity.

Background

Health-related policy and its implementation is complex. Conceptual models can help show the flow from health-related policy development to health-related policy and program implementation and to health systems and health outcomes. Policy should be understood as more than a national law or health policy that supports a program or intervention. Operational policies are the rules, regulations, guidelines, and administrative norms that governments use to translate national laws and policies into programs and services. The policy process encompasses decisions made at a national or decentralized level (including funding decisions) that affect whether and how services are delivered. Thus, attention must be paid to policies at multiple levels of the health system and over time to ensure sustainable scale-up. A supportive policy environment will facilitate the scale-up of health interventions.

There are many topics in the politics and evidence that can influence the decision of a government, private sector business or other group to adopt a specific policy. Evidence-based policy relies on

the use of science and rigorous studies such as randomized controlled trials to identify programs and practices capable of improving policy relevant outcomes. Most political debates surround personal health care policies, especially those that seek to reform healthcare delivery, and can typically be categorized as either philosophical or economic. Philosophical debates center around questions about individual rights, ethics and government authority, while economic topics include how to maximize the efficiency of health care delivery and minimize costs.

The modern concept of healthcare involves access to medical professionals from various fields as well as medical technology, such as medications and surgical equipment. It also involves access to the latest information and evidence from research, including medical research and health services research.

In many countries it is left to the individual to gain access to healthcare goods and services by paying for them directly as out-of-pocket expenses, and to private sector players in the medical and pharmaceutical industries to develop research. Planning and production of health human resources is distributed among labour market participants.

Other countries have an explicit policy to ensure and support access for all of its citizens, to fund health research, and to plan for adequate numbers, distribution and quality of health workers to meet healthcare goals. Many governments around the world have established universal health care, which takes the burden of healthcare expenses off of private businesses or individuals through pooling of financial risk. There are a variety of arguments for and against universal healthcare and related health policies. Healthcare is an important part of health systems and therefore it often accounts for one of the largest areas of spending for both governments and individuals all over the world.

Personal Healthcare Policy Options

Philosophy: Right to Health

Many countries and jurisdictions integrate a human rights philosophy in directing their healthcare policies. The World Health Organization reports that every country in the world is party to at least one human rights treaty that addresses health-related rights, including the right to health as well as other rights that relate to conditions necessary for good health. The United Nations' Universal Declaration of Human Rights (UDHR) asserts that medical care is a right of all people:

UDHR Article 25: "Everyone has the right to a standard of living adequate for the health and well-being of himself and of his family, including food, clothing, housing and medical care and necessary social services, and the right to security in the event of unemployment, illness, disability, widowhood, old age or other lack of livelihood in circumstances beyond his control."

In some jurisdictions and among different faith-based organizations, health policies are influenced by the perceived obligation shaped by religious beliefs to care for those in less favorable circumstances, including the sick. Other jurisdictions and non-governmental organizations draw on the principles of humanism in defining their health policies, asserting the same perceived obligation and enshrined right to health. In recent years, the worldwide human rights organization Amnesty International has focused on health as a human right, addressing inadequate access to HIV drugs and women's sexual and reproductive rights including wide disparities in maternal mortality within and across countries. Such increasing attention to health as a basic human right has been welcomed by the leading medical journal *The Lancet*.

There remains considerable controversy regarding policies on who would be paying the costs of medical care for all people and under what circumstances. For example, government spending on healthcare is sometimes used as a global indicator of a government's commitment to the health of its people. On the other hand, one school of thought emerging from the United States rejects the notion of health care financing through taxpayer funding as incompatible with the (considered no less important) right of the physician's professional judgment, and the related concerns that government involvement in overseeing the health of its citizens could erode the right to privacy between doctors and patients. The argument furthers that universal health insurance denies the right of individual patients to dispose of their own income as per their own will.

Another issue in the rights debate is governments' use of legislation to control competition among private medical insurance providers against national social insurance systems, such as the case in Canada's national health insurance program. Laissez-faire supporters argue that this erodes the cost-effectiveness of the health system, as even those who can afford to pay for private healthcare services drain resources from the public system. The issue here is whether investor-owned medical insurance companies or health maintenance organizations are in a better position to act in the best interests of their customers compared to government regulation and oversight. Another claim in the United States perceives government over-regulation of the healthcare and insurance industries as the effective end of charitable home visits from doctors among the poor and elderly.

Economics: Healthcare Financing

Many types of health policies exist focusing on the financing of healthcare services to spread the economic risks of ill health. These include publicly funded health care (through taxation or insurance, also known as single-payer systems), mandatory or voluntary private health insurance, and complete capitalization of personal health care services through private companies, among others. The debate is ongoing on which type of health financing policy results in better or worse quality of healthcare services provided, and how to ensure allocated funds are used effectively, efficiently and equitably.

There are many arguments on both sides of the issue of public versus private health financing policies:

Claims that publicly funded healthcare improves the quality and efficiency of personal health care delivery:

- Government spending on health is essential for the accessibility and sustainability of healthcare services and programmes.
- For those people who would otherwise go without care due to lack of financial means, any quality care is an improvement.
- Since people perceive universal healthcare as *free* (if there is no insurance premium or co-payment), they are more likely to seek preventive care which may reduce the disease burden and overall healthcare costs in the long run.
- Single-payer systems reduce wastefulness by removing the middle man, i.e. private insurance companies, thus reducing the amount of bureaucracy. In particular, reducing the amount of paperwork that medical professionals have to deal with for insurance claims processing allows them to concentrate more on treating patients.

Claims that privately funded healthcare leads to greater quality and efficiencies in personal health care:

- Perceptions that publicly funded healthcare is *free* can lead to overuse of medical services, and hence raise overall costs compared to private health financing.
- Privately funded medicine leads to greater quality and efficiencies through increased access to and reduced waiting times for specialized health care services and technologies.
- Limiting the allocation of public funds for personal healthcare does not curtail the ability of uninsured citizens to pay for their healthcare as out-of-pocket expenses. Public funds can be better rationalized to provide emergency care services regardless of insured status or ability to pay, such as with the Emergency Medical Treatment and Active Labor Act in the United States.
- Privately funded and operated healthcare reduces the requirement for governments to increase taxes to cover healthcare costs, which may be compounded by the inefficiencies among government agencies due to their greater bureaucracy.

Other Health Policy Options

Health policy options extend beyond the financing and delivery of personal health care, to domains such as medical research and health workforce planning, both domestically and internationally.

Medical Research Policy

Medical research can be both the basis for defining evidence-based health policy, and the subject of health policy itself, particularly in terms of its sources of funding. Those in favor of government policies for publicly funded medical research posit that removing profit as a motive will increase the rate of medical innovation. Those opposed argue that it will do the opposite, because removing the incentive of profit removes incentives to innovate and inhibits new technologies from being developed and utilized.

The existence of sound medical research does not necessarily lead to evidence-based policymaking. For example, in South Africa, whose population sets the record for HIV infections, previous government policy limiting funding and access for AIDS treatments met with strong controversy given its basis on a refusal to accept scientific evidence on the means of transmission. A change of government eventually led to a change in policy, with new policies implemented for widespread access to HIV services. Another issue relates to intellectual property, as illustrated by the case of Brazil, where debates have arisen over government policy authorizing the domestic manufacture of antiretroviral drugs used in the treatment of HIV/AIDS in violation of drug patents.

Health Workforce Policy

Some countries and jurisdictions have an explicit policy or strategy to plan for adequate numbers, distribution and quality of health workers to meet healthcare goals, such as to address physician and nursing shortages. Elsewhere, workforce planning is distributed among labour market participants as a laissez-faire approach to health policy. Evidence-based policies for workforce development are typically based on findings from health services research.

Health in Foreign Policy

Many governments and agencies include a health dimension in their foreign policy in order to achieve global health goals. Promoting health in lower income countries has been seen as instrumental to achieve other goals on the global agenda, including:

- Promoting global security – linked to fears of global pandemics, the intentional spread of pathogens, and a potential increase in humanitarian conflicts, natural disasters, and emergencies;
- Promoting economic development – including addressing the economic effect of poor health on development, of pandemic outbreaks on the global market place, and also the gain from the growing global market in health goods and services;
- Promoting social justice – reinforcing health as a social value and human right, including supporting the United Nations' Millennium Development Goals.

Global Health Policy

Global health policy encompasses the global governance structures that create the policies underlying public health throughout the world. In addressing global health, global health policy "implies consideration of the health needs of the people of the whole planet above the concerns of particular nations." Distinguished from both international health policy (agreements among sovereign states) and comparative health policy (analysis of health policy across states), global health policy institutions consist of the actors and norms that frame the global health response.

Military Policy

Military policy (also called defence policy or defense policy) is public policy dealing with international security and the military. It comprises the measures and initiatives that governments do or do not take in relation to decision-making and strategic goals, such as when and how to commit national armed forces.

The Military Policy is used to ensure retention of independence in national development, and alleviation of hardships imposed from hostile and aggressive external actors. The Defence Ministry (or a synonymous organisation) minister is the primary decision-maker for the national military policy.

Purpose

Military policy identifies threats of hostility and aggression based on intelligence analysis, and defines military scope of national security, defense alliances, combat readiness, military organisation of national forces and their use of military technology.

The national military policy defines the national defense strategy, the "when" of committing national armed forces. The national military policy also defines the strategic posture, the "how", towards any possible threats to national territory, its society, environment, and economy, and

defines options available to deal with such threats. The more options a military policy provides to the government, the better it is considered in its formulation. Strategic posture in turn defines the military doctrine of the armed forces. This doctrine may include confronting threats to national interests located outside of the national territory such as shipping lanes. The defense strategy and military doctrine are developed though strategic policy and capability development processes.

Development

A military policy is created through the military policy process of making important organisational decisions, including the identification of priorities and different alternatives such as defence personnel and technology programs or budget priorities, and choosing among them on the basis of the impact they will have on the overall national development. Defence policies can be understood as political, management, financial, administrative and executable mechanisms arranged to reach explicit military goals and objectives.

Applications

Military policy addresses the achievement of its military goals and objectives by making explicit statements about the desired capability in: combat readiness, military organization, political-military relationships (civilian control of the military), the role of the armed forces, command and control, military intelligence and counterintelligence, defence diplomacy, defence capability in terms of (technology, mobility, materiel, and logistics), block obsolescence, professionalism and training, recruiting, social change in the military, standing forces, military reserve forces, and conscriptions.

Military policy differs from rules of engagement determine when, where, and how military force is be used by formations and units.

Policy Studies

Policy studies is the combination of policy analysis and program evaluation. It "involves systematically studying the nature, causes, and effects of alternative public policies, with particular emphasis on determining the policies that will achieve given goals."

Policy Studies also examines the conflicts and conflict resolution that arise from the making of policies in civil society, the private sector, or more commonly, in the public sector (e.g. government).

It is frequently focused on the public sector but is equally applicable to other kinds of organizations (e.g., the not-for-profit sector). Some policy study experts graduate from public policy schools with public policy degrees. Alternatively, experts may have backgrounds in policy analysis, program evaluation, sociology, psychology, philosophy, economics, anthropology, geography, law, political science, social work, environmental planning and public administration.

Traditionally, the field of policy studies focused on domestic policy, with the notable exceptions of foreign and defense policies. However, the wave of economic globalization, which ensued in the late 20th and early 21st centuries, created a need for a subset of policy studies that focuses on

global governance, especially as it relates to issues that transcend national borders such as climate change, terrorism, nuclear proliferation, and economic development. This subset of policy studies, which is often referred to as international policy studies, typically requires mastery of a second language and attention to cross-cultural issues in order to address national and cultural biases. For example, the Monterey Institute of International Studies at Middlebury College offers Master of Arts programs that focus exclusively on international policy through a mix of interdisciplinary and cross-cultural analysis called the "Monterey Way".

Policy Analysis

Policy analysis is a technique used in public administration to enable civil servants to examine and evaluate the available options to implement the goals of elected officials. It has been defined as the process of "determining which of various policies will achieve a given set of goals in light of the relations between the policies and the goals."Policy analysis can be divided into two major fields:

1. Analysis of existing policy, which is analytical and descriptive—i.e., it attempts to explain policies and their development.
2. Analysis for new policy, which is prescriptive—i.e., it is involved with formulating policies and proposals (for example: to improve social welfare).

The areas of interest and the purpose of analysis determines what types of analysis are conducted. A combination of two kinds of policy analyses together with program evaluation would be defined as policy studies. Policy analysis is frequently deployed in the public sector, but is equally applicable to other kinds of organizations, such as nonprofit organizations and non-governmental organizations. Policy analysis has its roots in systems analysis, an approach used by United States Secretary of Defense Robert McNamara in the 1960s.

Approaches

Various approaches to policy analysis exist. The analysis 'for' policy (and/or analysis 'of' policy) is the central approach in social science and educational policy studies. It is linked to two different traditions of policy analysis and research frameworks. The approach of analysis 'for' policy refers to research conducted for actual policy development, often commissioned by policymakers inside the bureaucracy (e.g., senior civil servants) within which the policy is developed. Analysis 'of' policy is more of an academic exercise, conducted by academic researchers, professors and think tank researchers, who are often seeking to understand why a particular policy was developed at a particular time and assess the effects, intended or otherwise, of that policy when it was implemented.

There are three approaches that can be distinguished: the analysis-centric, the policy process, and the meta-policy approach.

Analysis-centric

The analysis-centric (or "analycentric") approach focuses on individual problems and their solu-

tions. Its scope is the micro-scale and its problem interpretation or problem resolution usually involves a technical solution. The primary aim is to identify the most effective and efficient solution in technical and economic terms (e.g. the most efficient allocation of resources).

Policy Process

The policy process approach puts its focal point onto political processes and involved stakeholders; its scope is the broader meso-scale and it interprets problems using a political lens (i.e., the interests and goals of elected officials). It aims at determining what processes, means and policy instruments (e.g., regulation, legislation, subsidy, etc.) are used. As well, it tries to explain the role and influence of stakeholders within the policy process. In the 2010s, "stakeholders" is defined broadly to include citizens, community groups, non-governmental organizations, businesses and even opposing political parties. By changing the relative power and influence of certain groups (e.g., enhancing public participation and consultation), solutions to problems may be identified that have more "buy in" from a wider group. One way of doing this followed a heuristic model called the policy cycle. In its simplest form, the policy cycle, which is often depicted visually as a loop or circle, starts with the identification of the problem, proceeds to an examination of the different policy tools that could be used to respond to this problem, then goes on to the implementation stage, in which one or more policies are put into practice (e.g., a new regulation or subsidy is set in place), and then finally, once the policy has been implemented and run for a certain period, the policy is evaluated. A number of different lenses can be used during evaluation, including looking at a policy's effectiveness, cost-effectiveness, value for money, outcomes or outputs.

Meta-policy

The meta-policy approach is a systems and context approach; i.e., its scope is the macro-scale and its problem interpretation is usually of a structural nature. It aims at explaining the contextual factors of the policy process; i.e., what are the political, economic and socio-cultural factors influencing it. As problems may result because of structural factors (e.g., a certain economic system or political institution), solutions may entail changing the structure itself.

Methodology

Policy analysis uses both qualitative methods and quantitative methods. Qualitative research includes case studies, interviews with community members. Quantitative research includes survey research, statistical analysis (also called data analysis), model building. A common practice is to define the problem and evaluation criteria; identify and evaluate alternatives; and recommend a certain policy accordingly. Promotion of the best agendas are the product of careful "back-room" analysis of policies by a priori assessment and a posteriori evaluation.

Dimensions for Analyzing Policies

There are six dimensions to policy analysis categorized as the effects and implementation of the policy across a period of time. Also known as "Durability" of the policy, which means the capacity in content of the policy to produce visible effective compatible change or results over time with robustness.

Effects

Effectiveness	What effects does the policy have on the targeted problem?
Unintended effects	What are the unintended effects of this policy?
Equity	What are the effects of this policy on different population groups?

Implementation

Cost	What is the financial cost of this policy (some analysts also include tax credits in this analysis)?
Feasibility	Is the policy technically feasible?
Acceptability	Do the relevant policy stakeholders view the policy as acceptable?

The strategic effects dimensions can pose certain limitations due to data collection. But the analytical dimensions of effects directly influences Acceptability. The degree of acceptability is based upon the plausible definitions of actors involved in feasibility. If the feasibility dimension is compromised, it will put the implementation at risk, which will entail additional Cost. Finally Implementation dimensions collectively influence a policy's ability to produce results or impacts.

Five "E" Approach

One approach to policy analysis is the "five E approach", which consists of examining a policy in terms of:

- Effectiveness: How effective ?
- Efficiency: How efficient ?
- Ethical considerations: Ethically sound ?
- Evaluations of alternatives: How good ?
- Establishment of recommendations for positive change: What can be established ?

Evidence Based Models

Many models exist to analyze the development and implementation of public policy. Analysts use these models to identify important aspects of policy, as well as explain and predict policy and its consequences. Each of these models are based upon the types of policies.

Types

- Government (e.g. federal, provincial, municipal)
- Policies adopted within public institutions (e.g. hospitals, child care centers, schools)
- Workplace (e.g. policies that govern employees and employee-manager relations)

Some evidence supported models are:

Governments

Public policy is determined by a range of political institutions, which give policy legitimacy to policy measures. In general, the government applies policy to all citizens and monopolizes the use of force in applying or implementing policy (through government control of law enforcement, court systems, imprisonment and armed forces). The legislature, executive and judicial branches of government are examples of institutions that give policy legitimacy. Many countries also have independent, quasi-independent or arm's length bodies which, while funded by government, are independent from elected officials and political leaders. These organizations may include government commissions, tribunals, regulatory agencies and electoral commissions.

Process Model

Policy creation is a process that typically follows a sequence of steps or stages:

- Identification of a problem (also called "problem definition") and demand for government action. Different stakeholders may define the same issue as different problems. For example, if homeless people are using illegal drugs such as heroin in a city park, some stakeholders may define this as a law enforcement issue (which, in their view, could be best solved if police presence in the park is stepped up and if the individuals using illegal drugs are arrested and punished); on the other hand, other stakeholders may view this as a poverty and public health issue (which, in their view, could be best solved if public health nurses and government medical doctors and substance abuse counsellors were sent to the park to do outreach with the drug-using individuals, and encourage them to voluntarily enter "detoxification" or rehabilitation programs).
- Agenda setting
- Formulation of policy proposals by various parties (e.g., citizen groups, congressional committees, think tanks, interest groups, lobby groups, non-governmental organizations).
- Policy selection/adoption and legal enactment of a selected policy by elected officials and/or houses of representatives. At this stage, policy legitimation is conferred upon the selected policy solution(s).
- Policy implementation, which involves civil servants putting the selected policy option into practice. Depending on the choice made by the executive or legislative branch, this could involve creating new regulation (or removing existing regulations), creating new laws, creating a new government program or service, creating a new subsidy or grant, etc.
- Policy evaluation. After the policy has been in place for a year or several years, civil servants or an independent consulting firm assesses the policy, to see if the goals were achieved, if the policy was implemented effectively, etc.

This model, however, has been criticized for being overly linear and simplistic. In reality, stages of the policy process may overlap or never happen. For example, in some cases, a political Also, this model fails to take into account the multiple factors attempting to influence the process itself as well as each other, and the complexity this entails.

For Public Institutions

One of the most widely used model for Public Institutions are of Herbert A. Simon, the father of rational models. It is also used by private corporations. Though many criticise the model due to characteristics of the model being impractical and lying on unrealistic assumptions. For instance, it is a difficult model to apply in the public sector because social problems can be very complex, ill-defined and interdependent. The problem lies in the thinking procedure implied by the model which is linear and can face difficulties in extraordinary problems or social problems which have no sequences of happenings.

Rational Model

The rational model of decision-making is a process for making sound decisions in policy-making in the public sector. Rationality is defined as "a style of behavior that is appropriate to the achievement of given goals, within the limits imposed by given conditions and constraints". It is important to note the model makes a series of assumptions, such as: 'The model must be applied in a system that is stable'; 'The government is a rational and unitary actor and that its actions are perceived as rational choices'; 'The policy problem is unambiguous'; 'There are no limitations of time or cost'.

Furthermore, in the context of the public sector policy models are intended to achieve maximum social gain. Simon identifies an outline of a step by step mode of analysis to achieve rational decisions. Ian Thomas describes Simon's steps as follows:

1. Intelligence gathering — A comprehensive organization of data; potential problems and opportunities are identified, collected and analyzed.
2. Identifying problems — Accounting for relevant factors.
3. Assessing the consequences of all options — Listing possible consequences and alternatives that could resolve the problem and ranking the probability that each potential factor could materialize in order to give a correct priority to said factor in the analysis.
4. Relating consequences to values — With all policies there will be a set of relevant dimensional values (for example, economic feasibility and environmental protection) and a set of criteria for appropriateness, against which performance (or consequences) of each option being responsive can be judged.
5. Choosing the preferred option — The policy is brought through from fully understanding the problems, opportunities, all the consequences & the criteria of the tentative options and by selecting an optimal alternative with consensus of involved actors.

The model of rational decision-making has also proven to be very useful to several decision making processes in industries outside the public sphere. Nonetheless, there are some who criticize the rational model due to the major problems which can be faced & which tend to arise in practice because social and environmental values can be difficult to quantify and forge consensus around. Furthermore, the assumptions stated by Simon are never fully valid in a real world context.

Further criticism of the rational model include: leaving a gap between planning and implementation, ignoring of the role of people, entrepreneurs, leadership, etc., the insufficiency of technical

competence (i.e. ignoring the human factor), reflecting too mechanical an approach (i.e. the organic nature of organizations), requiring of multidimensional and complex models, generation of predictions which are often wrong (i.e. simple solutions may be overlooked), & incurring of cost (i.e. costs of rational-comprehensive planning may outweigh the cost savings of the policy).

However, Thomas R. Dye, the president of the Lincoln Center for Public Service states the rational model provides a good perspective since in modern society rationality plays a central role and everything that is rational tends to be prized. Thus, it does not seem strange that "we ought to be trying for rational decision-making".

Incremental Policy

An incremental policy model relies on features of incremental decision-making such as: satisfying, organizational drift, bounded rationality, and limited cognition, among others. Such policies are often called "muddling through" & represent a conservative tendency: new policies are only slightly different from old policies. Policy-makers are too short on time, resources, and brains to make totally new policies; as such, past policies are accepted as having some legitimacy. When existing policies have sunk costs which discourage innovation, incrementalism is an easier approach than rationalism, and the policies are more politically expedient because they don't necessitate any radical redistribution of values. Such models necessarily struggle to improve the acceptability of public policy.

Criticisms of such a policy approach include: challenges to bargaining (i.e. not successful with limited resources), downplaying useful quantitative information, obscuring real relationships between political entities, an anti-intellectual approach to problems (i.e. the preclusion of imagination), and a bias towards conservatism (i.e. bias against far-reaching solutions).

For Workplace

There are many contemporary policies relevant to gender and workplace issues. Actors analyze contemporary gender-related employment issues ranging from parental leave and maternity programs, sexual harassment, and work/life balance to gender mainstreaming. It is by the juxtaposition of a variety of research methodologies focused on a common theme the richness of understanding is gained. This integrates what are usually separate bodies of evaluation on the role of gender in welfare state developments, employment transformations, workplace policies, and work experience.

Group Model

This policy is formed as a result of forces and pressures from influential groups. Pressure groups are informally co-opted into the policy making process. Regulatory agencies are captured by those they are supposed to regulate. No one group is dominant all the time on all issues. The group is the bridge between the individual and the administration. The executive is thus pressured by interest groups.

The task of the system is to

- establish the rules of the game

- arrange compromises and balance interests
- enact compromises in policy
- enforce these compromises

Other major types of Policy Analysis:-

a) Empirical, Normative Policy Analysis. b) Retrospective/Prospective Analysis. c) Prescriptive and Descriptive Analysis

Techniques used in Policy Analysis

- Cost Benefit Analysis
- Management by Objectives (MBO)
- Operations Research
- Decision making based on Analytics
- Program Evaluation and Review Technique (PERT) & Critical path Method (CPM)

Evaluation

The success of a policy can be measured by changes in the behavior of the target population and active support from various actors and institutions involved. A public policy is an authoritative communication prescribing an unambiguous course of action for specified individuals or groups in certain situations. There must be an authority or leader charged with the implementation and monitoring of the policy with a sound social theory underlying the program and the target group. Evaluations can explain causal chains and what effects will be produced by program objectives/alternatives.

To obtain compliance of the actors involved, the government can resort to positive sanctions, such as favorable publicity, price supports, tax credits, grants-in-aid, direct services or benefits; declarations; rewards; voluntary standards; mediation; education; demonstration programs; training, contracts; subsidies; loans; general expenditures; informal procedures, bargaining; franchises; sole-source provider awards...etc.

NCCHPP's 10 Steps for Conducting a Policy Evaluation

Policy evaluation is used to examine content, implementation or impact of the policy, which helps to understand the merit, worth and the utility of the policy.

Planning

- Clarify the policy
- Engage stakeholders
- Assess resources and evaluability
- Determine your evaluation questions

- Determine methods and procedures
- Develop evaluation plan

Implementation

- Collect data
- Process data and analyze results

Utilization

- Interpret and disseminate the results
- Apply evaluation findings

Program Evaluation

Program evaluation is a systematic method for collecting, analyzing, and using information to answer questions about projects, policies and programs, particularly about their effectiveness and efficiency. In both the public and private sectors, stakeholders often want to know whether the programs they are funding, implementing, voting for, receiving or objecting to are producing the intended effect. While *program evaluation* first focuses around this definition, important considerations often include how much the program costs per participant, how the program could be improved, whether the program is worthwhile, whether there are better alternatives, if there are *unintended* outcomes, and whether the program goals are appropriate and useful. Evaluators help to answer these questions, but the best way to answer the questions is for the evaluation to be a joint project between evaluators and stakeholders.

The process of evaluation is considered to be a relatively recent phenomenon. However, planned social evaluation has been documented as dating as far back as 2200 BC. Evaluation became particularly relevant in the U.S. in the 1960s during the period of the Great Society social programs associated with the Kennedy and Johnson administrations. Extraordinary sums were invested in social programs, but the impacts of these investments were largely unknown.

Program evaluations can involve both quantitative and qualitative methods of social research. People who do program evaluation come from many different backgrounds, such as sociology, psychology, economics, social work, and public policy. Some graduate schools also have specific training programs for program evaluation.

Doing an Evaluation

Program evaluation may be conducted at several stages during a program's lifetime. Each of these stages raises different questions to be answered by the evaluator, and correspondingly different evaluation approaches are needed. Rossi, Lipsey and Freeman (2004) suggest the following kinds of assessment, which may be appropriate at these different stages:

- Assessment of the need for the program

- Assessment of program design and logic/theory
- Assessment of how the program is being implemented (i.e., is it being implemented according to plan? Are the program's processes maximizing possible outcomes?)
- Assessment of the program's outcome or impact (i.e., what it has actually achieved)
- Assessment of the program's cost and efficiency

Assessing Needs

A needs assessment examines the population that the program intends to target, to see whether the need as conceptualized in the program actually exists in the population; whether it is, in fact, a problem; and if so, how it might best be dealt with. This includes identifying and diagnosing the actual problem the program is trying to address, who or what is affected by the problem, how widespread the problem is, and what are the measurable effects that are caused by the problem. For example, for a housing program aimed at mitigating homelessness, a program evaluator may want to find out how many people are homeless in a given geographic area and what their demographics are. Rossi, Lipsey and Freeman (2004) caution against undertaking an intervention without properly assessing the need for one, because this might result in a great deal of wasted funds if the need did not exist or was misconceived.

Needs assessment involves the processes or methods used by evaluators to describe and diagnose social needs This is essential for evaluators because they need to identify whether programs are effective and they cannot do this unless they have identified what the problem/need is. Programs that do not do a needs assessment can have the illusion that they have eradicated the problem/need when in fact there was no need in the first place. Needs assessment involves research and regular consultation with community stakeholders and with the people that will benefit from the project before the program can be developed and implemented. Hence it should be a bottom-up approach. In this way potential problems can be realized early because the process would have involved the community in identifying the need and thereby allowed the opportunity to identify potential barriers.

The important task of a program evaluator is thus to: First, construct a precise definition of what the problem is. Evaluators need to first identify the problem/need. This is most effectively done by collaboratively including all possible stakeholders, i.e., the community impacted by the potential problem, the agents/actors working to address and resolve the problem, funders, etc. Including buy-in early on in the process reduces potential for push-back, miscommunication, and incomplete information later on.

Second, assess the extent of the problem. Having clearly identified what the problem is, evaluators need to then assess the extent of the problem. They need to answer the 'where' and 'how big' questions. Evaluators need to work out where the problem is located and how big it is. Pointing out that a problem exists is much easier than having to specify where it is located and how rife it is. Rossi, Lipsey & Freeman (2004) gave an example that: a person identifying some battered children may be enough evidence to persuade one that child abuse exists. But indicating how many children it affects and where it is located geographically and socially would require knowledge about abused children, the characteristics of perpetrators and the impact of the problem throughout the political authority in question.

This can be difficult considering that child abuse is not a public behavior, also keeping in mind that estimates of the rates on private behavior are usually not possible because of factors like unreported cases. In this case evaluators would have to use data from several sources and apply different approaches in order to estimate incidence rates. There are two more questions that need to be answered: Evaluators need to also answer the 'how' and 'what' questions The 'how' question requires that evaluators determine how the need will be addressed. Having identified the need and having familiarized oneself with the community evaluators should conduct a performance analysis to identify whether the proposed plan in the program will actually be able to eliminate the need. The 'what' question requires that evaluators conduct a task analysis to find out what the best way to perform would be. For example, whether the job performance standards are set by an organization or whether some governmental rules need to be considered when undertaking the task.

Third, define and identify the target of interventions and accurately describe the nature of the service needs of that population It is important to know what/who the target population is/are – it might be individuals, groups, communities, etc. There are three units of the population: population at risk, population in need and population in demand

- Population at risk: are people with a significant probability of developing the risk e.g. the population at risk for birth control programs are women of child bearing age.
- Population in need: are people with the condition that the program seeks to address; e.g. the population in need for a program that aims to provide ARV's to HIV positive people are people that are HIV positive.
- Population in demand: that part of the population in need that agrees to be having the need and are willing to take part in what the program has to offer e.g. not all HIV positive people will be willing to take ARV's.

Being able to specify what/who the target is will assist in establishing appropriate boundaries, so that interventions can correctly address the target population and be feasible to apply

There are four steps in conducting a needs assessment:

1. Perform a 'gap' analyses

Evaluators need to compare current situation to the desired or necessary situation. The difference or the gap between the two situations will help identify the need, purpose and aims of the program.

2. Identify priorities and importance

In the first step above, evaluators would have identified a number of interventions that could potentially address the need e.g. training and development, organization development etc. These must now be examined in view of their significance to the program's goals and constraints. This must be done by considering the following factors: cost effectiveness (consider the budget of the program, assess cost/benefit ratio), executive pressure (whether top management expects a solution) and population (whether many key people are involved).

3. Identify causes of performance problems and/or opportunities

When the needs have been prioritized the next step is to identify specific problem areas within

the need to be addressed. And to also assess the skills of the people that will be carrying out the interventions.

4. Identify possible solutions and growth opportunities

Compare the consequences of the interventions if it was to be implemented or not.

Needs analysis is hence a very crucial step in evaluating programs because the effectiveness of a program cannot be assessed unless we know what the problem was in the first place.

Assessing Program Theory

The program theory, also called a logic model or impact pathway, is an assumption, implicit in the way the program is designed, about how the program's actions are supposed to achieve the outcomes it intends. This 'logic model' is often not stated explicitly by people who run programs, it is simply assumed, and so an evaluator will need to draw out from the program staff how exactly the program is supposed to achieve its aims and assess whether this logic is plausible. For example, in an HIV prevention program, it may be assumed that educating people about HIV/AIDS transmission, risk and safe sex practices will result in safer sex being practiced. However, research in South Africa increasingly shows that in spite of increased education and knowledge, people still often do not practice safe sex. Therefore, the logic of a program which relies on education as a means to get people to use condoms may be faulty. This is why it is important to read research that has been done in the area. Explicating this logic can also reveal unintended or unforeseen consequences of a program, both positive and negative. The program theory drives the hypotheses to test for impact evaluation. Developing a logic model can also build common understanding amongst program staff and stakeholders about what the program is actually supposed to do and how it is supposed to do it, which is often lacking. Of course, it is also possible that during the process of trying to elicit the logic model behind a program the evaluators may discover that such a model is either incompletely developed, internally contradictory, or (in worst cases) essentially nonexisistent. This decidedly limits the effectiveness of the evaluation, although it does not necessarily reduce or eliminate the program.

Creating a logic model is a wonderful way to help visualize important aspects of programs, especially when preparing for an evaluation. An evaluator should create a logic model with input from many different stake holders. Logic Models have 5 major components: Resources or Inputs, Activities, Outputs, Short-term outcomes, and Long-term outcomes Creating a logic model helps articulate the problem, the resources and capacity that are currently being used to address the problem, and the measurable outcomes from the program. Looking at the different components of a program in relation to the overall short-term and long-term goals allows for illumination of potential misalignments. Creating an actual logic model is particularly important because it helps clarify for all stakeholders: the definition of the problem, the overarching goals, and the capacity and outputs of the program.

Rossi, Lipsey & Freeman (2004) suggest four approaches and procedures that can be used to assess the program theory. These approaches are discussed below.

- Assessment in relation to social needs

This entails assessing the program theory by relating it to the needs of the target population the program is intended to serve. If the program theory fails to address the needs of the target population it will be rendered ineffective even when if it is well implemented.

- Assessment of logic and plausibility

This form of assessment involves asking a panel of expert reviewers to critically review the logic and plausibility of the assumptions and expectations inherent in the program's design. The review process is unstructured and open ended so as to address certain issues on the program design. Rutman (1980), Smith (1989), and Wholly (1994) suggested the questions listed below to assist with the review process.

Are the program goals and objectives well defined?

Are the program goals and objectives feasible?

Is the change process presumed in the program theory feasible?

Are the procedures for identifying members of the target population, delivering service to them, and sustaining that service through completion well defined and suffiient?

Are the constituent components, activities, and functions of the program well defined and sufficient?

Are the resources allocated to the program and its various activities adequate?

- Assessment through comparison with research and practice

This form of assessment requires gaining information from research literature and existing practices to assess various components of the program theory. The evaluator can assess whether the program theory is congruent with research evidence and practical experiences of programs with similar concepts.

- Assessment via preliminary observation

This approach involves incorporating firsthand observations into the assessment process as it provides a reality check on the concordance between the program theory and the program itself. The observations can focus on the attainability of the outcomes, circumstances of the target population, and the plausibility of the program activities and the supporting resources.

These different forms of assessment of program theory can be conducted to ensure that the program theory is sound.

Assessing Implementation

Process analysis looks beyond the theory of what the program is supposed to do and instead evaluates how the program is being implemented. This evaluation determines whether the components identified as critical to the success of the program are being implemented. The evaluation determines whether target populations are being reached, people are receiving the intended services, staff are adequately qualified. Process evaluation is an ongoing process in which repeated measures may be used to evaluate whether the program is being implemented effectively. This problem

is particularly critical because many innovations, particularly in areas like education and public policy, consist of fairly complex chains of action. Many of which these elements rely on the prior correct implementation of other elements, and will fail if the prior implementation was not done correctly. This was conclusively demonstrated by Gene V. Glass and many others during the 1980s. Since incorrect or ineffective implementation will produce the same kind of neutral or negative results that would be produced by correct implementation of a poor innovation, it is essential that evaluation research assess the implementation process itself. Otherwise, a good innovative idea may be mistakenly characterized as ineffective, where in fact it simply had never been implemented as designed.

Assessing the Impact (Effectiveness)

The impact evaluation determines the causal effects of the program. This involves trying to measure if the program has achieved its intended outcomes, i.e. program outcomes.

Program Outcomes

An outcome is the state of the target population or the social conditions that a program is expected to have changed. Program outcomes are the observed characteristics of the target population or social conditions, not of the program. Thus the concept of an outcome does not necessarily mean that the program targets have actually changed or that the program has caused them to change in any way.

There are two kinds of outcomes, namely outcome level and outcome change, also associated with program effect.

- Outcome level refers to the status of an outcome at some point in time.
- Outcome change refers to the difference between outcome levels at different points in time.
- Program effect refers to that portion of an outcome change that can be attributed uniquely to a program as opposed to the influence of some other factor.

Measuring Program Outcomes

Outcome measurement is a matter of representing the circumstances defined as the outcome by means of observable indicators that vary systematically with changes or differences in those circumstances. Outcome measurement is a systematic way to assess the extent to which a program has achieved its intended outcomes. According to Mouton (2009) measuring the impact of a program means demonstrating or estimating the accumulated differentiated proximate and emergent effect, some of which might be unintended and therefore unforeseen.

Outcome measurement serves to help you understand whether the program is effective or not. It further helps you to clarify your understanding of your program. But the most important reason for undertaking the effort is to understand the impacts of your work on the people you serve. With the information you collect, you can determine which activities to continue and build upon, and which you need to change in order to improve the effectiveness of the program.

This can involve using sophisticated statistical techniques in order to measure the effect of the

program and to find causal relationship between the program and the various outcomes. More information about impact evaluation is found under the heading 'Determining Causation'.

Assessing Efficiency

Finally, cost-benefit or cost-efficiency analysis assesses the efficiency of a program. Evaluators outline the benefits and cost of the program for comparison. An efficient program has a lower cost-benefit ratio.

Determining Causation

Perhaps the most difficult part of evaluation is determining whether the program itself is causing the changes that are observed in the population it was aimed at. Events or processes outside of the program may be the real cause of the observed outcome (or the real prevention of the anticipated outcome).

Causation is difficult to determine. One main reason for this is self selection bias. People select themselves to participate in a program. For example, in a job training program, some people decide to participate and others do not. Those who do participate may differ from those who do not in important ways. They may be more determined to find a job or have better support resources. These characteristics may actually be causing the observed outcome of increased employment, not the job training program.

Evaluations conducted with random assignment are able to make stronger inferences about causation. Randomly assigning people to participate or to not participate in the program, reduces or eliminates self-selection bias. Thus, the group of people who participate would likely be more comparable to the group who did not participate.

However, since most programs cannot use random assignment, causation cannot be determined. Impact analysis can still provide useful information. For example, the outcomes of the program can be described. Thus the evaluation can describe that people who participated in the program were more likely to experience a given outcome than people who did not participate.

If the program is fairly large, and there are enough data, statistical analysis can be used to make a reasonable case for the program by showing, for example, that other causes are unlikely.

Reliability, Validity and Sensitivity in Program Evaluation

It is important to ensure that the instruments (for example, tests, questionnaires, etc.) used in program evaluation are as reliable, valid and sensitive as possible. According to Rossi et al. (2004, p. 222), 'a measure that is poorly chosen or poorly conceived can completely undermine the worth of an impact assessment by producing misleading estimates. Only if outcome measures are valid, reliable and appropriately sensitive can impact assessments be regarded as credible'.

Reliability

The reliability of a measurement instrument is the 'extent to which the measure produces the same results when used repeatedly to measure the same thing' (Rossi et al., 2004, p. 218). The more reli-

able a measure is, the greater its statistical power and the more credible its findings. If a measuring instrument is unreliable, it may dilute and obscure the real effects of a program, and the program will 'appear to be less effective than it actually is' (Rossi et al., 2004, p. 219). Hence, it is important to ensure the evaluation is as reliable as possible.

Validity

The validity of a measurement instrument is 'the extent to which it measures what it is intended to measure' (Rossi et al., 2004, p. 219). This concept can be difficult to accurately measure: in general use in evaluations, an instrument may be deemed valid if accepted as valid by the stakeholders (stakeholders may include, for example, funders, program administrators, et cetera).

Sensitivity

The principal purpose of the evaluation process is to measure whether the program has an effect on the social problem it seeks to redress; hence, the measurement instrument must be sensitive enough to discern these potential changes (Rossi et al., 2004). A measurement instrument may be insensitive if it contains items measuring outcomes which the program couldn't possibly effect, or if the instrument was originally developed for applications to individuals (for example standardized psychological measures) rather than to a group setting (Rossi et al., 2004). These factors may result in 'noise' which may obscure any effect the program may have had.

Only measures which adequately achieve the benchmarks of reliability, validity and sensitivity can be said to be credible evaluations. It is the duty of evaluators to produce credible evaluations, as their findings may have far reaching effects. A discreditable evaluation which is unable to show that a program is achieving its purpose when it is in fact creating positive change may cause the program to lose its funding undeservedly.

Steps to Program Evaluation Framework

According to the Center for Disease Control (CDC) there are six steps to a complete program evaluation. The steps described are: engage stakeholder, describe the program, focus the evaluation design, gather credible evidence, justify conclusions, and ensure use and share lessons learned. These steps can happen in a cycle framework to represent the continuing process of evaluation.

Evaluating Collective Impact

Though program evaluation processes mentioned here are appropriate for most programs, highly complex non-linear initiatives, such as those using the collective impact (CI) model, require a dynamic approach to evaluation. Collective impact is "the commitment of a group of important actors from different sectors to a common agenda for solving a specific social problem" and typically involves three stages, each with a different recommended evaluation approach:

- Early phase: CI participants are exploring possible strategies and developing plans for action. Characterized by uncertainty.

Recommended evaluation approach: Developmental evaluation to help CI partners understand the context of the initiative and its development: "Developmental evaluation involves real time

feedback about what is emerging in complex dynamic systems as innovators seek to bring about systems change."

- Middle phase: CI partners implement agreed upon strategies. Some outcomes become easier to anticipate.

Recommended evaluation approach: Formative evaluation to refine and improve upon the progress, as well as continued developmental evaluation to explore new elements as they emerge. Formative evaluation involves "careful monitoring of processes in order to respond to emergent properties and any unexpected outcomes."

- Later phase: Activities achieve stability and are no longer in formation. Experience informs knowledge about which activities may be effective.

Recommended evaluation approach: Summative evaluation "uses both quantitative and qualitative methods in order to get a better understanding of what [the] project has achieved, and how or why this has occurred."

Planning a Program Evaluation

Planning a program evaluation can be broken up into four parts: focusing the evaluation, collecting the information, using the information, and managing the evaluation. Program evaluation involves reflecting on questions about evaluation purpose, what questions are necessary to ask, and what will be done with information gathered. Critical questions for consideration include:

- What am I going to evaluate?
- What is the purpose of this evaluation?
- Who will use this evaluation? How will they use it?
- What questions is this evaluation seeking to answer?
- What information do I need to answer the questions?
- When is the evaluation needed? What resources do I need?
- How will I collect the data I need?
- How will data be analyzed?
- What is my implementation timeline?

Methodological Constraints and Challenges

The Shoestring Approach

The "shoestring evaluation approach" is designed to assist evaluators operating under limited budget, limited access or availability of data and limited turnaround time, to conduct effective evaluations that are methodologically rigorous(Bamberger, Rugh, Church & Fort, 2004). This approach has responded to the continued greater need for evaluation processes that are more rapid and economical under difficult circumstances of budget, time constraints and limited availability of data.

However, it is not always possible to design an evaluation to achieve the highest standards available. Many programs do not build an evaluation procedure into their design or budget. Hence, many evaluation processes do not begin until the program is already underway, which can result in time, budget or data constraints for the evaluators, which in turn can affect the reliability, validity or sensitivity of the evaluation. > The shoestring approach helps to ensure that the maximum possible methodological rigor is achieved under these constraints.

Budget Constraints

Frequently, programs are faced with budget constraints because most original projects do not include a budget to conduct an evaluation (Bamberger et al., 2004). Therefore, this automatically results in evaluations being allocated smaller budgets that are inadequate for a rigorous evaluation. Due to the budget constraints it might be difficult to effectively apply the most appropriate methodological instruments. These constraints may consequently affect the time available in which to do the evaluation (Bamberger et al., 2004). Budget constraints may be addressed by simplifying the evaluation design, revising the sample size, exploring economical data collection methods (such as using volunteers to collect data, shortening surveys, or using focus groups and key informants) or looking for reliable secondary data (Bamberger et al., 2004).

Time Constraints

The most time constraint that can be faced by an evaluator is when the evaluator is summoned to conduct an evaluation when a project is already underway if they are given limited time to do the evaluation compared to the life of the study, or if they are not given enough time for adequate planning. Time constraints are particularly problematic when the evaluator is not familiar with the area or country in which the program is situated (Bamberger et al., 2004). Time constraints can be addressed by the methods listed under budget constraints as above, and also by careful planning to ensure effective data collection and analysis within the limited time space.

Data Constraints

If the evaluation is initiated late in the program, there may be no baseline data on the conditions of the target group before the intervention began (Bamberger et al., 2004). Another possible cause of data constraints is if the data have been collected by program staff and contain systematic reporting biases or poor record keeping standards and is subsequently of little use (Bamberger et al., 2004). Another source of data constraints may result if the target group are difficult to reach to collect data from - for example homeless people, drug addicts, migrant workers, et cetera (Bamberger et al., 2004). Data constraints can be addressed by reconstructing baseline data from secondary data or through the use of multiple methods. Multiple methods, such as the combination of qualitative and quantitative data can increase validity through triangulation and save time and money. Additionally, these constraints may be dealt with through careful planning and consultation with program stakeholders. By clearly identifying and understanding client needs ahead of the evaluation, costs and time of the evaluative process can be streamlined and reduced, while still maintaining credibility.

All in all, time, monetary and data constraints can have negative implications on the validity, reliability and transferability of the evaluation. The shoestring approach has been created to assist

evaluators to correct the limitations identified above by identifying ways to reduce costs and time, reconstruct baseline data and to ensure maximum quality under existing constraints (Bamberger et al., 2004).

Five-tiered Approach

The five-tiered approach to evaluation further develops the strategies that the shoestring approach to evaluation is based upon. It was originally developed by Jacobs (1988) as an alternative way to evaluate community-based programs and as such was applied to a statewide child and family program in Massachusetts, U.S.A. The five-tiered approach is offered as a conceptual framework for matching evaluations more precisely to the characteristics of the programs themselves, and to the particular resources and constraints inherent in each evaluation context. In other words, the five-tiered approach seeks to tailor the evaluation to the specific needs of each evaluation context.

The earlier tiers (1-3) generate descriptive and process-oriented information while the later tiers (4-5) determine both the short-term and the long-term effects of the program. The five levels are organized as follows:

- Tier 1: needs assessment (sometimes referred to as pre-implementation)
- Tier 2: monitoring and accountability
- Tier 3: quality review and program clarification (sometimes referred to as understanding and refining)
- Tier 4: achieving outcomes
- Tier 5: establishing impact

For each tier, purpose(s) are identified, along with corresponding tasks that enable the identified purpose of the tier to be achieved. For example, the purpose of the first tier, Needs assessment, would be to document a need for a program in a community. The task for that tier would be to assess the community's needs and assets by working with all relevant stakeholders.

While the tiers are structured for consecutive use, meaning that information gathered in the earlier tiers is required for tasks on higher tiers, it acknowledges the fluid nature of evaluation. Therefore, it is possible to move from later tiers back to preceding ones, or even to work in two tiers at the same time. It is important for program evaluators to note, however, that a program must be evaluated at the appropriate level.

The five-tiered approach is said to be useful for family support programs which emphasise community and participant empowerment. This is because it encourages a participatory approach involving all stakeholders and it is through this process of reflection that empowerment is achieved.

Methodological Challenges Presented by Language and Culture

The purpose of this section is to draw attention to some of the methodological challenges and dilemmas evaluators are potentially faced with when conducting a program evaluation in a devel-

oping country. In many developing countries the major sponsors of evaluation are donor agencies from the developed world, and these agencies require regular evaluation reports in order to maintain accountability and control of resources, as well as generate evidence for the program's success or failure. However, there are many hurdles and challenges which evaluators face when attempting to implement an evaluation program which attempts to make use of techniques and systems which are not developed within the context to which they are applied. Some of the issues include differences in culture, attitudes, language and political process.

Culture is defined by Ebbutt as a "constellation of both written and unwritten expectations, values, norms, rules, laws, artifacts, rituals and behaviors that permeate a society and influence how people behave socially". Culture can influence many facets of the evaluation process, including data collection, evaluation program implementation and the analysis and understanding of the results of the evaluation. In particular, instruments which are traditionally used to collect data such as questionnaires and semi-structured interviews need to be sensitive to differences in culture, if they were originally developed in a different cultural context. The understanding and meaning of constructs which the evaluator is attempting to measure may not be shared between the evaluator and the sample population and thus the transference of concepts is an important notion, as this will influence the quality of the data collection carried out by evaluators as well as the analysis and results generated by the data.

Language also plays an important part in the evaluation process, as language is tied closely to culture. Language can be a major barrier to communicating concepts which the evaluator is trying to access, and translation is often required. There are a multitude of problems with translation, including the loss of meaning as well as the exaggeration or enhancement of meaning by translators. For example, terms which are contextually specific may not translate into another language with the same weight or meaning. In particular, data collection instruments need to take meaning into account as the subject matter may not be considered sensitive in a particular context might prove to be sensitive in the context in which the evaluation is taking place. Thus, evaluators need to take into account two important concepts when administering data collection tools: lexical equivalence and conceptual equivalence. Lexical equivalence asks the question: how does one phrase a question in two languages using the same words? This is a difficult task to accomplish, and uses of techniques such as back-translation may aid the evaluator but may not result in perfect transference of meaning. This leads to the next point, conceptual equivalence. It is not a common occurrence for concepts to transfer unambiguously from one culture to another. Data collection instruments which have not undergone adequate testing and piloting may therefore render results which are not useful as the concepts which are measured by the instrument may have taken on a different meaning and thus rendered the instrument unreliable and invalid.

Thus, it can be seen that evaluators need to take into account the methodological challenges created by differences in culture and language when attempting to conduct a program evaluation in a developing country.

Utilization Results

There are three conventional uses of evaluation results: persuasive utilization, direct (instrumental) utilization, and conceptual utilization.

Persuasive Utilization

Persuasive utilization is the enlistment of evaluation results in an effort to persuade an audience to either support an agenda or to oppose it. Unless the 'persuader' is the same person that ran the evaluation, this form of utilization is not of much interest to evaluators as they often cannot foresee possible future efforts of persuasion.

Direct (Instrumental) Utilization

Evaluators often tailor their evaluations to produce results that can have a direct influence in the improvement of the structure, or on the process, of a program. For example, the evaluation of a novel educational intervention may produce results that indicate no improvement in students' marks. This may be due to the intervention not having a sound theoretical background, or it may be that the intervention is not conducted as originally intended. The results of the evaluation would hopefully cause to the creators of the intervention to go back to the drawing board to re-create the core structure of the intervention, or even change the implementation processes.

Conceptual Utilization

But even if evaluation results do not have a direct influence in the re-shaping of a program, they may still be used to make people aware of the issues the program is trying to address. Going back to the example of an evaluation of a novel educational intervention, the results can also be used to inform educators and students about the different barriers that may influence students' learning difficulties. A number of studies on these barriers may then be initiated by this new information.

Variables Affecting Utilization

There are five conditions that seem to affect the utility of evaluation results, namely *relevance*, *communication between the evaluators and the users of the results*, *information processing by the users*, *the plausibility of the results*, as well as *the level of involvement or advocacy of the users*.

Guidelines for Maximizing Utilization

Quoted directly from Rossi et al.:

- Evaluators must understand the cognitive styles of decisionmakers
- Evaluation results must be timely and available when needed
- Evaluations must respect stakeholders' program commitments
- Utilization and dissemination plans should be part of the evaluation design
- Evaluations should include an assessment of utilization

Internal Versus External Program Evaluators

The choice of the evaluator chosen to evaluate the program may be regarded as equally important as the process of the evaluation. Evaluators may be internal (persons associated with the program

to be executed) or external (Persons not associated with any part of the execution/implementation of the program). (Division for oversight services,2004). The following provides a brief summary of the advantages and disadvantages of internal and external evaluators adapted from the Division of oversight services (2004), for a more comprehensive list of advantages and disadvantages of internal and external evaluators.

Internal Evaluators

Advantages

- May have better overall knowledge of the program and possess informal knowledge of the program
- Less threatening as already familiar with staff
- Less costly

Disadvantages

- May be less objective
- May be more preoccupied with other activities of the program and not give the evaluation complete attention
- May not be adequately trained as an evaluator.

External Evaluators

Advantages

- More objective of the process, offers new perspectives, different angles to observe and critique the process
- May be able to dedicate greater amount of time and attention to the evaluation
- May have greater expertise and evaluation brain

Disadvantages

- May be more costly and require more time for the contract, monitoring, negotiations etc.
- May be unfamiliar with program staff and create anxiety about being evaluated
- May be unfamiliar with organization policies, certain constraints affecting the program.

Three Paradigms

Positivist

Potter (2006) identifies and describes three broad paradigms within program evaluation . The first, and probably most common, is the positivist approach, in which evaluation can only occur where there are “objective”, observable and measurable aspects of a program, requiring predominantly quantitative evidence. The positivist approach includes evaluation dimensions such as needs

assessment, assessment of program theory, assessment of program process, impact assessment and efficiency assessment (Rossi, Lipsey and Freeman, 2004). A detailed example of the positivist approach is a study conducted by the Public Policy Institute of California report titled "Evaluating Academic Programs in California's Community Colleges", in which the evaluators examine measurable activities (i.e. enrollment data) and conduct quantitive assessments like factor analysis.

Interpretive

The second paradigm identified by Potter (2006) is that of interpretive approaches, where it is argued that it is essential that the evaluator develops an understanding of the perspective, experiences and expectations of all stakeholders. This would lead to a better understanding of the various meanings and needs held by stakeholders, which is crucial before one is able to make judgments about the merit or value of a program. The evaluator's contact with the program is often over an extended period of time and, although there is no standardized method, observation, interviews and focus groups are commonly used. A report commissioned by the World Bank details 8 approaches in which qualitative and quantitative methods can be integrated and perhaps yield insights not achievable through only one method.

Critical-emancipatory

Potter (2006) also identifies critical-emancipatory approaches to program evaluation, which are largely based on action research for the purposes of social transformation. This type of approach is much more ideological and often includes a greater degree of social activism on the part of the evaluator. This approach would be appropriate for qualitative and participative evaluations. Because of its critical focus on societal power structures and its emphasis on participation and empowerment, Potter argues this type of evaluation can be particularly useful in developing countries.

Despite the paradigm which is used in any program evaluation, whether it be positivist, interpretive or critical-emancipatory, it is essential to acknowledge that evaluation takes place in specific socio-political contexts. Evaluation does not exist in a vacuum and all evaluations, whether they are aware of it or not, are influenced by socio-political factors. It is important to recognize the evaluations and the findings which result from this kind of evaluation process can be used in favour or against particular ideological, social and political agendas (Weiss, 1999). This is especially true in an age when resources are limited and there is competition between organizations for certain projects to be prioritised over others (Louw, 1999).

Empowerment Evaluation

Empowerment evaluation makes use of evaluation concepts, techniques, and findings to foster improvement and self-determination of a particular program aimed at a specific target population/program participants. Empowerment evaluation is value oriented towards getting program participants involved in bringing about change in the programs they are targeted for. One of the main focuses in empowerment evaluation is to incorporate the program participants in the conducting of the evaluation process. This process is then often followed by some sort of critical reflection of the program. In such cases, an external/outsider evaluator serves as a consultant/coach/facilitator to the program participants and seeks to understand the program from the perspective of the participants. Once a clear understanding of the participants perspective has been gained appropriate

steps and strategies can be devised (with the valuable input of the participants) and implemented in order to reach desired outcomes.

According to Fetterman (2002) empowerment evaluation has three steps;

- Establishing a mission
- Taking stock
- Planning for the future

Establishing a Mission

The first step involves evaluators asking the program participants and staff members (of the program) to define the mission of the program. Evaluators may opt to carry this step out by bringing such parties together and asking them to generate and discuss the mission of the program. The logic behind this approach is to show each party that there may be divergent views of what the program mission actually is.

Taking Stock

Taking stock as the second step consists of two important tasks. The first task is concerned with program participants and program staff generating a list of current key activities that are crucial to the functioning of the program. The second task is concerned with rating the identified key activities, also known as *prioritization*. For example, each party member may be asked to rate each key activity on a scale from 1 to 10, where 10 is the most important and 1 the least important. The role of the evaluator during this task is to facilitate interactive discussion amongst members in an attempt to establish some baseline of shared meaning and understanding pertaining to the key activities.In addition, relevant documentation (such as financial reports and curriculum information) may be brought into the discussion when considering some of the key activities.

Planning for the Future

After prioritizing the key activities the next step is to plan for the future. Here the evaluator asks program participants and program staff how they would like to improve the program in relation to the key activities listed. The objective is to create a thread of coherence whereby the mission generated (step 1) guides the stock take (step 2) which forms the basis for the plans for the future (step 3). Thus, in planning for the future specific goals are aligned with relevant key activities. In addition to this it is also important for program participants and program staff to identify possible forms of evidence (measurable indicators) which can be used to monitor progress towards specific goals. Goals must be related to the program's activities, talents, resources and scope of capability-in short the goals formulated must be realistic.

These three steps of empowerment evaluation produce the potential for a program to run more effectively and more in touch with the needs of the target population. Empowerment evaluation as a process which is facilitated by a skilled evaluator equips as well as empowers participants by providing them with a 'new' way of critically thinking and reflecting on programs. Furthermore, it empowers program participants and staff to recognize their own capacity to bring about program change through collective action.

Transformative Paradigm

The transformative paradigm is integral in incorporating social justice in evaluation. Donna Mertens, primary researcher in this field, states that the transformative paradigm, "focuses primarily on viewpoints of marginalized groups and interrogating systemic power structures through mixed methods to further social justice and human rights". The transformative paradigm arose after marginalized groups, who have historically been pushed to the side in evaluation, began to collaborate with scholars to advocate for social justice and human rights in evaluation. The transformative paradigm introduces many different paradigms and lenses to the evaluation process, leading it to continually call into question the evaluation process.

Both the American Evaluation Association and National Association of Social Workers call attention to the ethical duty to possess cultural competence when conducting evaluations. Cultural competence in evaluation can be broadly defined as a systemic, response inquiry that is actively cognizant, understanding, and appreciative of the cultural context in which the evaluation takes place; that frames and articulates epistemology of the evaluation endeavor; that employs culturally and contextually appropriate methodology; and that uses stakeholder-generated, interpretive means to arrive at the results and further use of the findings. Many health and evaluation leaders are careful to point out that cultural competence cannot be determined by a simple checklist, but rather it is an attribute that develops over time. The root of cultural competency in evaluation is a genuine respect for communities being studied and openness to seek depth in understanding different cultural contexts, practices and paradigms of thinking. This includes being creative and flexible to capture different cultural contexts, and heightened awareness of power differentials that exist in an evaluation context. Important skills include: ability to build rapport across difference, gain the trust of the community members, and self-reflect and recognize one's own biases.

Paradigms

The paradigms axiology, ontology, epistemology, and methodology are reflective of social justice practice in evaluation. These examples focus on addressing inequalities and injustices in society by promoting inclusion and equality in human rights.

Axiology (Values and Value Judgements)

The transformative paradigm's axiological assumption rests on four primary principles:

- The importance of being culturally respectful
- The promotion of social justice
- The furtherance of human rights
- Addressing inequities

Ontology (Reality)

Differences in perspectives on what is real are determined by diverse values and life experiences. In turn these values and life experiences are often associated with differences in access to privilege,

based on such characteristics as disability, gender, sexual identity, religion, race/ethnicity, national origins, political party, income level, are, language, and immigration or refugee status.

Epistemology (Knowledge)

Knowledge is constructed within the context of power and privilege with consequences attached to which version of knowledge is given privilege. "Knowledge is socially and historically located within a complex cultural context".

Methodology (Systematic Inquiry)

Methodological decisions are aimed at determining the approach that will best facilitate use of the process and findings to enhance social justice; identify the systemic forces that support the status quo and those that will allow change to happen; and acknowledge the need for a critical and reflexive relationship between the evaluator and the stakeholders.

Lenses

While operating through social justice, it is imperative to be able to view the world through the lens of those who experience injustices. Critical Race Theory, Feminist Theory, and Queer/LGBTQ Theory are frameworks for how we think should think about providing justice for marginalized groups. These lenses create opportunity to make each theory priority in addressing inequality.

Critical Race Theory

Critical Race Theory(CRT)is an extension of critical theory that is focused in inequities based on race and ethnicity. Daniel Solorzano describes the role of CRT as providing a framework to investigate and make visible those systemic aspects of society that allow the discriminatory and oppressive status quo of racism to continue.

Feminist Theory

The essence of feminist theories is to "expose the individual and institutional practices that have denied access to women and other oppressed groups and have ignored or devalued women"

Queer/LGBTQ Theory

Queer/LGBTQ theorists question the heterosexist bias that pervades society in terms of power over and discrimination toward sexual orientation minorities. Because of the sensitivity of issues surrounding LGBTQ status, evaluators need to be aware of safe ways to protect such individuals' identities and ensure that discriminatory practices are brought to light in order to bring about a more just society.

Government Requirements

Given the Federal budget deficit, the Obama Administration moved to apply an "evidence-based approach" to government spending, including rigorous methods of program evaluation. The Pres-

ident's 2011 Budget earmarked funding for 19 government program evaluations for agencies such as the Department of Education and the United States Agency for International Development (USAID). An inter-agency group delivers the goal of increasing transparency and accountability by creating effective evaluation networks and drawing on best practices. A six-step framework for conducting evaluation of public health programs, published by the Centers for Disease Control and Prevention (CDC), initially increased the emphasis on program evaluation of government programs in the US. The framework is as follows:

- Engage stakeholders
- Describe the program.
- Focus the evaluation.
- Gather credible evidence.
- Justify conclusions.
- Ensure use and share lessons learned.

CIPP Model of Evaluation

History of the CIPP Model

The CIPP model of evaluation was developed by Daniel Stufflebeam and colleagues in the 1960s. CIPP is an acronym for Context, Input, Process and Product. CIPP is an evaluation model that requires the evaluation of context, input, process and product in judging a programme's value. CIPP is a decision-focused approach to evaluation and emphasises the systematic provision of information for programme management and operation.

CIPP Model

The CIPP framework was developed as a means of linking evaluation with programme decision-making. It aims to provide an analytic and rational basis for programme decision-making, based on a cycle of planning, structuring, implementing and reviewing and revising decisions, each examined through a different aspect of evaluation –context, input, process and product evaluation.

The CIPP model is an attempt to make evaluation directly relevant to the needs of decision-makers during the phases and activities of a programme. Stufflebeam's context, input, process, and product (CIPP) evaluation model is recommended as a framework to systematically guide the conception, design, implementation, and assessment of service-learning projects, and provide feedback and judgment of the project's effectiveness for continuous improvement.

Four Aspects of CIPP Evaluation

These aspects are context, inputs, process, and product. These four aspects of CIPP evaluation assist a decision-maker to answer four basic questions:

- What should we do?

This involves collecting and analysing needs assessment data to determine goals, priorities and objectives. For example, a context evaluation of a literacy program might involve an analysis of the existing objectives of the literacy programme, literacy achievement test scores, staff concerns (general and particular), literacy policies and plans and community concerns, perceptions or attitudes and needs.

- How should we do it?

This involves the steps and resources needed to meet the new goals and objectives and might include identifying successful external programs and materials as well as gathering information.

- Are we doing it as planned?

This provides decision-makers with information about how well the programme is being implemented. By continuously monitoring the program, decision-makers learn such things as how well it is following the plans and guidelines, conflicts arising, staff support and morale, strengths and weaknesses of materials, delivery and budgeting problems.

- Did the programme work?

By measuring the actual outcomes and comparing them to the anticipated outcomes, decision-makers are better able to decide if the program should be continued, modified, or dropped altogether. This is the essence of product evaluation.

Using CIPP in the Different Stages of the Evaluation

The CIPP model is unique as an evaluation guide as it allows evaluators to evaluate the program at different stages, namely: before the program commences by helping evaluators to assess the need and at the end of the program to assess whether or not the program had an effect.

CIPP model allows you to ask formative questions at the beginning of the program, then later gives you a guide of how to evaluate the programs impact by allowing you to ask summative questions on all aspects of the program.

- Context: What needs to be done? Vs. Were important needs addressed?
- Input: How should it be done? Vs. Was a defensible design employed?
- Process: Is it being done? Vs. Was the design well executed?
- Product: Is it succeeding? Vs. Did the effort succeed?

Distributive Tendency

The distributive tendency is the propensity of the United States Congress to lean towards distributive politics, especially to gain political support and credit claim. Through the distributive tendency, Congress' bills evolve over the drafting process to become more broad and reaching with their benefits. Legislation that follows the distributive tendency has benefits that flow to many districts and can come in many forms, though in current day they are often monetary.

The distributive tendency is a form of distributive politics, a political science term that describes the spreading of benefits across different areas, interests, and constituencies in one piece of legislation. The term was "first coined for nineteenth-century land policies, but easily extended to include most contemporary public land and resource policies; rivers and harbors programs; defense procurement and R&D; labor, business, and agricultural 'clientele' services; and the traditional tariff." In fact, during the nineteenth century, a majority of policies devised by the federal government were distributive. To be considered distributive, a piece of legislation should be disaggregable, universal, and omnibus. Distributive politics is in contrast to regulatory and redistributive programs. The distributive tendency is related to distributive politics, distributive benefits, distributive policy, and distributive legislation and is closely linked with logrolling and pork barrel legislation.

Characteristics of Distributive Politics

Disaggregation

According to many, distributive politics must be in some way disaggregable. That is, the legislation must be able to be broken down into multiple benefits dispersed among recipients and "what is being distributed can be dispensed in small units". Lowi says distributive policies "are virtually not policies at all but are highly individualized decisions that only by accumulation can be called a policy."

Universalism

The concept of universalism also defines distributive politics. Universalism refers both to the broad allocation of benefits to recipients and the wide support these legislative measures receive in Congress. In terms of the people's reception of benefits, universal distributive policies benefit wide ranges of people and the "unanimous inclusion of representatives' projects in omnibus-type legislation produced by one committee." Universalism also points to the legislative support needed to pass these distributive measures and the "coalitions of near-unanimous size rather than coalitions of narrower or minimal winning size" that pass distributive legislation. Weingast notes that universalism should not be taken as the sole definition of distributive politics and that "universalism is one principle among many that govern congressional behavior over distributive politics."

Omnibus

Distributive legislation is considered omnibus and combines the small, divisible pieces that cater to many districts. This allocates funds for a collection of independent, local projects, which vary in size, scope, and dollar amount. Oftentimes, pieces of the omnibus legislation are unconnected, so "owing to the unrelatedness of issues in distributive politics, the activities of single participants need not be related but rather can be specialized as the situation warrants it." With omnibus packages, benefits that only serve small populations are more likely to gain majority support for Congressional passage.

Competing Theories

There are several competing theories on the precise definition of distributive politics, as political scientists approach the concept from different angles. The distribution and overall concentration

of benefits and projects is how Lowi defines distributive politics, saying they are those that "can be disaggregated and dispensed unit by small unit, each unit more or less in isolation from other units and from any general rule."

Ferejohn and Rundquist also accept the disaggregation as a main part of defining distribution, but they refine their definition by only including those pieces of legislation that are dispersed geographically. Ferejohn and Rundquist rely on the notion that Congressmen strive only to serve their constituents, who are part of geographically sorted voting districts. Fiorina subscribes to this same idea, noting "Congressmen understand national interest only when it speaks in a local dialect."

The role of targeted populations and recipients of distributive benefits is debated among scholars. Stockman claims that distributive policy is actually less efficient than alternatives, as it creates a widespread blanket of benefits rather than concentrating those benefits on the needy populations. Lowi and Schneider argue that distributive policies are rather more concentrated on those "powerful and positively constructed" groups, such as the elderly, business, veterans, and scientists. These groups are given more benefits because they hold less opposition and controversy and are "met instead with general approval."

Other contributions to the definition of distributive politics emphasize the evolution of policy and how this impacts the creation of a distributive bill. Stockman argues that distributive legislation begins as a narrow bill, and expands to incorporate more projects to gain a broader support base of legislators. Stein strays away from the idea that Congressmen's main motivation for distributing benefits is for constituent support, as he claims there is no way to fully ensure reasons for voting, and "the electoral impact of helping to direct benefits to the district will be muted to the extent that voters are unaware of the benefits and to the extent that voters do not credit their member for securing them."

Overall, these theories all accept the idea that distributive politics must in some way be disaggregable, universal, and omnibus.

Implications

Uncontroversial Passage of Legislation

The combination of multiple projects benefiting multiple districts helps ensure the uncontroversial passage of legislation. In contrast to regulatory or redistributive programs, the benefits from distributive programs benefit every district. This encourages members who might have opposed a particular project, to support the distributive bill because of the benefits of a different included project in her district. A measure proposed in Congress requires so much support by many different people to pass through the legislature that it must be supported in some way by a large numbers of legislators with broad interest bases, contributing to the range of benefits included in distributive legislation and majority approval in Congress. The cost of distributive programs contributies to their uncontroversial passage and is carried by the general public not a specific group of people. This contributes to the difficulty of removing distributive programs and annual fund allocations, as legislators find it more challenging to end a program after it has been initiated and the benefits have reached their districts.

Political Gain

Allocations of distributive programs and particularized benefits are often made strategically in order to cater to a particular group and build and maintain political support for members within their districts. Distributive programs thrive on political gain because "congressmen are motivated by a desire to serve the economic interests of their constituencies." Oftentimes, the benefits are distributed geographically to match voting districts, but distribution is not limited strictly to geographic location. Other interest groups such as senior citizens and environmentalists are influential in the distribution of benefits and the support incentives of Congressmen.

Examples

Examples of Distributive Policies

Modern political scholars argue that distributive policies encompass programs and grants that emphasize the general taxation distributing benefits to narrow constituencies. These include the traditional pork barrel of public works, rivers and harbors projects, highway construction, categorical grants-in-aid, urban renewal, mass transit, sewage treatment plants, model cities, and military procurement. Rivers and harbors legislation during 1889 and 1913 is a representation of distributional practices occurring in the House of Representatives over the appropriations of "oversized coalitions of districts."

Examples of Non-distributive Policies

These distributive policies are distinguished from non-distributive programs in that non-distributive policies are often designed to serve nongeographic constituencies. The most representative example is entitlement programs targeting specific socioeconomic groups in mind, such as "the malnourished (food stamps), the unhealthy (Medicare), the poor (welfare), the retired (social security), the injured worker (workmen's compensation), or the automobile driver (automotive product safety).

Policy Alienation

Policy alienation refers to a framework which examines the experiences of governmental employees with new policies they have to implement. It has been used to describe the experiences of front-line public professionals with new policies. It is defined "as a general cognitive state of psychological disconnection from the policy programme being implemented."

Introduction

A number of examples can clarify the concept of policy alienation. For example, Bottery (1998:40), examining the pressures on professionals stemming from new policies in education and health care in Great Britain, cites a teacher arguing that: "The changes have been outrageous, and have produced a culture of meritocracy and high flyers. There's massive paperwork because the politicians don't believe teachers are to be trusted." This indicates that professionals had difficulties

identifying with the policies they had to implement. A second example refers to the introduction of a new reimbursement policy in mental healthcare in the Netherlands. In one large-scale survey, as many as nine out of ten professionals wanted to abandon this new policy (Palm et al., 2008). Psychologists even went as far as to openly demonstrate on the street against this policy. A major reason for this was that many could not align their professional values with the content of the policy. As one professional noted:

"Within the new healthcare system economic values are dominant. Too little attention is being paid to the content: professionals helping patients. The result is that professionals become more aware of the costs and revenues of their behavior. This comes at the expense of acting according to professional standards."

Overall, a number of studies show an increasing discontent among public professionals toward public policies, although more positive experiences can also be found (Ruiter, 2007). The policy alienation framework was developed to better understand the experiences of front-line public professionals with new policies.

Effects of Policy Alienation

Currently, there is an intense debate concerning professionals in the public sector. Many of the pressures that professionals face are related to the difficulties they have with the policies they have to implement. When implementers are unable to identify with a policy, this can negatively influence policy effectiveness. Furthermore, a high degree of policy alienation can affect the quality of interactions between professionals and citizens, which may eventually influence the output legitimacy of government. The policy alienation framework is used to analyze this topic. It has been shown that policy alienation increases resistance to a new policy, lowers behavioral support for the policy and decreases job satisfaction of public professionals. Hence, it has both influences on the individual professional, as well as on policy effectiveness.

Conceptualization

Alienation broadly refers to a sense of social estrangement, an absence of social support or meaningful social connection. Sociologists, public administration scholars, and other social scientists have used the alienation concept in various studies. As a result, a number of meanings have been attributed to the term. In an attempt to provide clarity, Seeman broke these meanings down into five alienation dimensions: powerlessness, meaninglessness, normlessness, social isolation, and self-estrangement.

Many scholars have used these dimensions to devise operational measures for alienation so that they can examine the concept in a range of settings. Mau, for example, used four dimensions in examining student alienation. Rayce et al., when investigating adolescent alienation, used three of the five dimensions. Further, many other researchers have used Seeman's classification in examining the concept of work alienation. Blauner devised operational measures for three of the dimensions: powerlessness, meaninglessness, and social isolation.

The policy alienation framework was conceptualized based on the works of sociologists such as Hegel, Marx, Seeman, and Blauner. Furthermore, works of public administration scholars were used, particularly on Lipsky (street-level bureaucracy). Like work alienation, policy alienation is

multidimensional, consisting of policy powerlessness and policy meaninglessness dimensions. In the work alienation literature, the dimensions of powerlessness and meaninglessness are also considered very important.

In essence, powerlessness is a person's lack of control over events in their life. In the realm of policy formulation and implementation, policy powerlessness relates to the degree of influence public professionals have over shaping a policy program. Powerlessness can occur when a new policy is drafted without the help of the professionals, by for example not consulting their professionals associations or labor unions. Furthermore, on an operational level professionals can feel powerless when they have to adhere to tight procedures and rules when implementing a policy. This kind of powerlessness may be particularly pronounced in professionals whose expectations of discretion and autonomy contradict notions of bureaucratic control.

The second dimension of policy alienation is meaninglessness. In the realm of policy making and implementation, policy meaninglessness refers to a professional's perception of the contribution that the policy makes to a greater purpose, most notably to society or to their own clients. For instance, a professional can feel that implementing a policy is meaningless, if it does not deliver any apparent beneficial outcomes for society, such as more safety on the streets.

To make the dimensions more specific, five sub-dimensions were identified: strategic, tactical and operational powerlessness, societal and client meaninglessness. This is shown in the table below.

Five Sub-dimensions of Policy Alienation

Sub-dimension	Definition	Example of high scores
Strategic powerlessness	The perceived influence of the professionals on decisions concerning the content of the policy, as is captured in rules and regulations	A professional feeling that the policy is drafted without the help of implementing professionals or professional associations.
Tactical powerlessness	The professionals' perceived influence on decisions concerning the way policy is implemented within their own organization.	Professionals stating that the managers in the organization did not consult them or their colleagues when designing the implementation process for the policy.
Operational powerlessness	The perceived degree of freedom in making choices concerning the sort, quantity and quality of sanctions and rewards on offer when implementing the policy.	Answering 'fully agree' to a survey question on whether the professional feels that their autonomy during the implementation process was lower than it should be.
Societal meaninglessness	The perception of professionals concerning the added value of the policy to socially relevant goals.	Stating in an interview that "I agree with the policy goal of enhancing transparency, but I do not see how this policy helps in achieving this goal."
Client meaninglessness	The professionals' perceptions of the added value of their implementing a policy for their own clients.	A professional who argues that a particular policy seriously impinges on their clients' privacy.

Policy Monitoring

Policy monitoring comprises a range of activities describing and analyzing the development and

implementation of policies, identifying potential gaps in the process, outlining areas for improvement, and holding policy implementers accountable for their activities.

Definition

Monitoring policy development and implementation is an integral component of the policy cycle and can be applied in sectors including agriculture, health, education, and finance. Policy monitoring can improve policy information, collaboration among stakeholders, and the use of evaluation techniques to provide feedback to reframe and revise policies. Waterman and Wood derived policy monitoring from agency theory, describing a process where policymakers monitor the actions of their bureaucratic agents who implement and enforce policies. This monitoring allows policymakers to compensate for their agents' greater knowledge of the policy process, and enables them to be well-informed decision makers. Thus policy monitoring allows policymakers and interested actors to systematically examine the process of creating a policy, implementing it, and evaluating its effects. Policy monitoring activities can be used to collect and analyze data related to the development and implementation of specific policies. It can also help link policies to specific outcomes and help identify and evaluate policy impacts. Policy impacts can include specific changes in behavior (e.g., increased number of people wearing seatbelts), finances (e.g., increased tax revenue), health status or epidemiology (e.g., reduced number of new HIV infections) or other social indicators (e.g., reduced crime rates, reduced levels of pollution). Data from policy monitoring can be used to support advocacy efforts and guide the development of new, timely, and relevant policies. Policy monitoring should also include the identification of operational policy barriers that can be addressed through policy and program reform, and findings can support improved implementation of existing policies.

Challenges

Numerous actors and stakeholders can influence the movement of policy from inception to implementation. Well-maintained documentation and review of all key stakeholders involved in a policy can help advocates for a given policy—such as military reform, water rights, or disability legislation—prepare to address different ideologies, capacities, or interests of key actors. Limiting stakeholder analysis only to government and official policymakers may ignore major groups that can support policy development. Policy monitoring coalitions should agree on what they are monitoring and be succinct in their recommendations to policymakers. Policy initiatives themselves are often controversial, and policy monitoring can be contentious because it shows how well policy implementers and enforcers are doing their jobs. Those conducting policy monitoring should be thorough in their data collection and unbiased in their presentation of facts. Robust trainings on policy monitoring work can help organizations be systematic and effective in their policy monitoring efforts.

Existing Models and Frameworks for Policy and Advocacy Monitoring

PEPFAR

The United States President's Emergency Plan for AIDS Relief (PEPFAR)'s Monitoring Policy Reform tool outlines the progression of policy development related to HIV from problem identification to monitoring and evaluation. The tool supports a relatively simple and uniform monitoring

process which can be applied to any policy area. This tool can guide policy monitoring efforts throughout the policy reform process.

PEPFAR's six stages of the policy reform process:

Stage 1: Identify baseline policy issues by conducting situation assessment

Stage 2: Engagement of stakeholders in developing common policy agenda

Stage 3: Develop policy

Stage 4: Official government endorsement of policy

Stage 5: Implementation of policy

Stage 6: Evaluation of policy implementation (PEPFAR)

Food and Agriculture Organization Working Cycle for Country Approach

The FAO's Food and Agriculture Policy Decision Analysis (FAPDA) is a policy monitoring tool that provides a working cycle technique to identify policy problems and improve analysis of policy issues. By incorporating FAPDA outputs, such as a web-based tool, country policy review, and policy analysis report, policy dialogue can be more systematic and encompass different actors interested in FAPDA data.

```
The cycle includes:

 Phase 1: Preparatory Phase

 Phase 2: Focal Point Training

 Phase 3: Policy Identification

 Phase 4: Quality Control and Validation

 Phase 5: 1st Discussion Focus of Analysis

 Phase 6: Analysis

 Phase 7: 2nd Discussion on Findings (FAO)
```

Gender

Policy monitoring can be performed through different issue-driven lenses, such as gender sensitivity or gender equality. Gender-sensitive policy monitoring analyzes any gender aspects of a policy or policy issue, and considers the impact of the policy on both men and women, as well as its impact on gender relations. For example, a policy that is shown to have improved the welfare of a household may not necessarily affect all household members positively or equally, and may have even exacerbated gender inequity. Gender-sensitive policy monitoring can help advance gender equity and improve policy implementation. Civil society and other stakeholders can use policy monitoring techniques to systematically gather data on the gender aspects of policies and

use these data to influence policymakers to favor gender-equitable health policies¬¬¬—these processes are essential to facilitating gender mainstreaming.

Application

A 2012 study analyzed planned policy interventions across the 22 publicly accessible PEPFAR Partnership Frameworks to understand how the interventions are related to PEPFAR and country or regional priorities. The study found that "policy monitoring by donors, partner country governments, and civil society stakeholders can help measure whether policy interventions are occurring as planned in order to further HIV prevention, care, and treatment and health system goals and, if not, can point to needed changes."

References

- David E. Kelley, "A Life of One's Own: Individual Rights and the Welfare State." Cato Institute, October 1998, ISBN 1-882577-70-1.
- Miller RL; DK Benjamin; DC North (2003). The Economics of Public Issues (13th ed.). Boston: Addison-Wesley. ISBN 0321118731.
- Radin, Beryl (2000). Beyond Machiavelli : Policy Analysis Comes of Age. Georgetown University Press. ISBN 0-87840-773-1.
- Thomas, Ian, ed. (2007). Environmental Policy: Australian Practice in the Context of Theory. Sydney: Federation Press. ISBN 1-86287-603-7.
- Bottery, M. (1998). Professionals and policy: Management strategy in a competitive world. London: Routledge. ISBN 0-304-70157-2.
- Bekkers, V. J. J. M., Edwards, A., Fenger, M., & Dijkstra, G. (2007). Governance and the Democratic Deficit, assessing the legitimacy of governance practices. Ashgate: Aldershot. ISBN 0-7546-4983-0.
- Freidson, E. (2001). Professionalism: The third logic. Cambridge: Cambridge University Press. ISBN 0-226-26203-0.
- Preskill, Hallie; Parkhurst, Marcie; Juster, Jennifer Splansky. "Guide to Evaluating Collective Impact" (PDF). www.fsg.org. FSG, Inc. Retrieved 2014-09-19.
- Kania, John; Kramer, Mark. "Collective Impact". Stanford Social Innovation Review. Stanford Center on Philanthropy and Civil Society at Stanford University. Retrieved 19 September 2014.
- Patton, Michael. "Evaluation Approaches and Techniques". The Evaluators' Institute. George Washington University. Retrieved 2014-09-19.
- Taylor-Powell, Ellen; Steele, Sarah; Douglah, Mohammad. "Planning a Program Evaluation" (PDF). University of Wisconsin Extension. Retrieved September 20, 2014.

3

Understanding Public Policy

Public policies are directed towards administrative branches of a state. It is composed of national constitutional laws and also consists of regulations. The aspects elucidated in the section are military policy, science policy, policy laundering, policy network analysis and public comment. The section elucidates the crucial theories related to public policy.

Public Policy

Public policy is the principled guide to action taken by the administrative executive branches of the state with regard to a class of issues, in a manner consistent with law and institutional customs. The foundation of public policy is composed of national constitutional laws and regulations. Further substrates include both judicial interpretations and regulations which are generally authorized by legislation. Public policy is considered strong when it solves problems efficiently and effectively, serves justice, supports governmental institutions and policies, and encourages active citizenship.

Other scholars define public policy as a system of "courses of action, regulatory measures, laws, and funding priorities concerning a given topic promulgated by a governmental entity or its representatives." Public policy is commonly embodied in "constitutions, legislative acts, and judicial decisions."

In the United States, this concept refers not only to the result of policies, but more broadly to the decision-making and analysis of governmental decisions. As an academic discipline, public policy is studied by professors and students at public policy schools of major universities throughout the country. The U.S. professional association of public policy practitioners, researchers, scholars, and students is the Association for Public Policy Analysis and Management.

Government Actions and Process of Public Policy Making

Public policy making can be characterized as a dynamic, complex, and interactive system through which public problems are identified and countered by creating new public policy or by reforming existing public policy. Public problems can originate in endless ways and require different policy responses (such as regulations, subsidies, quotas, and laws) on the local, national, or international level.

Public policy making is a continuous process that has many feedback loops. Verification and evaluation are essential to the functioning of this system. The public problems that influence public policy making can be of economic, social, or political nature. Each system is influenced by different public problems and thus requires different public policy.

In public policy making, numerous individuals and interest groups compete and collaborate to influence policymakers to act in a particular way. The large set of actors in the public policy process,

such as politicians, civil servants, lobbyists, domain experts, and industry representatives, use a variety of tactics and tools to advance their aims, including advocating their positions publicly, attempting to educate supporters and opponents, and mobilizing allies on a particular issue. Many actors can be important in the public policy process, but government officials ultimately choose public policy in response to the public issue or problem at hand. In doing so, government officials are expected to meet public sector ethics and take the needs of all stakeholders into account.

Since societies have changed in the past decades the public policy making system changed too. Today, public policy making is increasingly goal-oriented, aiming for measurable results and goals, and decision-centric, focusing on decisions that must be taken immediately. Furthermore, mass communications and technological changes have caused the public policy system to become more complex and interconnected. The changes pose new challenges to the current public policy systems and pressure them to evolve in order to remain effective and efficient.

Academic Discipline

As an academic discipline, public policy brings in elements of many social science fields and concepts, including economics, sociology, political economy, program evaluation, policy analysis, and public management, all as applied to problems of governmental administration, management, and operations. At the same time, the study of public policy is distinct from political science or economics, in its focus on the application of theory to practice. While the majority of public policy degrees are master's and doctoral degrees, there are several universities also offer undergraduate education in public policy.

Traditionally, the academic field of public policy focused on domestic policy. However, the wave of economic globalization which occurred in the late 20th and early 21st centuries created a need for a subset of public policy that focuses on global governance, especially as it relates to issues that transcend national borders such as climate change, terrorism, nuclear proliferation, and economic development. Consequently, many traditional public policy schools had to tweak their curricula to adjust to this new policy landscape, as well as developed whole new ones.

Engineering and Public Policy

Engineering and Public Policy, informally known as EPP, is an interdisciplinary academic department within the Carnegie Mellon College of Engineering. EPP combines technical analysis with social science and policy analysis, in order to address problems in which knowledge of technical details is critical to decision making. EPP is one of three departments in United States universities that pioneered academic degree programs to address the profound societal changes brought about by technology.

History

What is now known as EPP began in 1971 as Engineering and Public Affairs (EP&A), an undergraduate double major program jointly developed by the College of Engineering and the School of Urban and Public Affairs (now the Heinz College). Washington University in St. Louis began offering a master's in Technology and Human Affairs in 1971, which was discontinued in 1993. In 1976, the School of Engineering at Massachusetts Institute of Technology (MIT) began offering a

master's degree through its Technology and Policy Program. Of the several academic programs now offered in technology and public policy, EPP and the Engineering Systems Division in MIT's School of Engineering are the most similar.

The primary purpose of the E&PA program was to train undergraduate engineering students to work at the interface of the social and engineering sciences, through use of an interdisciplinary curriculum based equally on social analysis and engineering analysis. Students received a Bachelor of Science degree from one of the traditional engineering departments plus E&PA.

Planning for the program began in the spring of 1969, initiated by the late Everard M. Williams, head of the Department of Electrical Engineering. Early development and implementation of the undergraduate program began in 1970, led by faculty members Herbert Toor (then head of Chemical Engineering and later dean of Engineering), Robert Dunlap and Gordon Lewis. Dunlap and Gordon Lewis co-directed the program, which was announced in April 1971. The Alfred P. Sloan Foundation provided support between 1971 and 1975.

In 1976 the College of Engineering advanced the program to departmental status, and changed its name to Engineering and Public Policy. The establishment of EPP was the first new accredited engineering department at Carnegie Mellon in nearly 75 years.

M. Granger Morgan, who was recruited in 1974 to a joint appointment with the Department of Electrical Engineering, was appointed head of the new EPP department in 1977, and was given responsibility to coordinate the development of an EPP graduate program. Morgan stepped down as department head in 2014, and continues both his research and teaching responsibilities at CMU. Douglas C. Sicker, a professor in the Department of Computer Science at the University of Colorado at Boulder, was appointed head of EPP in August 2014.

Education

The department runs highly regarded undergraduate and graduate programs. The undergraduate level includes a double major degree program which grants a joint degree between EPP and any of the five traditional engineering departments (Chemical, Civil, Electrical and Computer, Mechanical, and Materials Science) or the School of Computer Science (SCS).

EPP offers a minor in Technology and Policy (T&P) for students not in Engineering or SCS. The department also offers a 5th-year master's degree for students who complete an EPP major or T&P minor, as well as a master's program in Engineering & Technology Innovation Management (ETIM).

The graduate program in Engineering and Public Policy educates technically skilled men and women at the doctoral level to be leaders in policy-focused research in which a deep understanding of technology is relevant to decision-making. As part of the Ph.D., students take additional courses in engineering and science, quantitative methods, social sciences and policy analysis.

Faculty

The department has approximately 40 faculty, including 50-50 joint appointments with all five traditional engineering departments and several social science units. Jointly appointed EPP faculty regularly involve more traditional disciplinary colleagues in research collaborations.

Based on distinguished and continuing achievements, several EPP faculty have been elected to the United States National Academies, including M. Granger Morgan, National Academy of Science; Baruch Fischhoff and Lester Lave, Institute of Medicine; and Alfred Blumstein, Herbert Toor (emeritus) and Robert White (emeritus), National Academy of Engineering.

EPP's faculty are widely published, frequently serve on government committees and provide expert testimony to lawmakers and regulators on an array of topics, from energy and the environment to consumer safety. In 2010, EPP professor Jon Peha was on sabbatical serving as Chief Technologist at the Federal Communications Commission. EPP professor David Farber also served as FCC Chief Technologist from January 2000 to June 2001.

Research

EPP works in four major research areas on problems that involve the interaction of technology with society:

1. Energy and environment (including climate);
2. Risk analysis and communication;
3. Information and communication technology policy;
4. Management of technical innovation and R&D policy.

Across these four focal areas, the department addresses issues in technology and organizations, and in technology and economic development, focusing in particular on India and China. EPP also develops new software tools for the support of policy analysis and research, and studies issues in engineered systems and security.

EPP has spearheaded a dozen large collaborative research efforts, including the National Science Foundation's Climate and Energy Decision Making Center; Climate Decision Making Center; Carnegie Mellon Electricity Industry Center; Green Design Institute; Center for the Study & Improvement of Regulation; Center for Integrated Study of the Human Dimensions of Global Change; Integrated Environmental Control Model technology development; CCSReg Project, to develop regulation for carbon capture and sequestration (CCS); RenewElec, which addresses the problems of integrating variable and intermittent renewable generation into the electric power system; and Cylab Usable Privacy and Security Laboratory.

Washington, D.C. Office

In June 1997, EPP opened an office in Washington, D.C. to expand interaction between EPP students and faculty and relevant policy organizations in Washington. It serves as a base of operations for EPP participation in the policymaking processes of the U.S. Congress, federal agencies, and other Washington institutions.

Foreign Policy

A country's foreign policy, also called foreign relations or foreign affairs -policy, consists of self-in-

terest strategies chosen by the state to safeguard its national interests and to achieve goals within its international relations milieu The approaches are strategically employed to interact with other countries. The study of such strategies is called foreign policy analysis. In recent times, due to the deepening level of globalization and transnational activities, the states will also have to interact with non-state actors. The aforementioned interaction is evaluated and monitored in attempts to maximize benefits of multilateral international cooperation. Since the national interests are paramount, foreign policies are designed by the government through high-level decision making processes. National interests accomplishment can occur as a result of peaceful cooperation with other nations, or through exploitation. Usually, creating foreign policy is the job of the head of government and the foreign minister (or equivalent). In some countries the legislature also has considerable effects. Foreign policies of countries have varying rates of change and scopes of intent, which can be affected by factors that change the perceived national interests or even affect the stability of the country itself. The foreign policy of one country can have profund and lasting impact on many other countries and on the course of international relations as a whole, such as the Monroe Doctrine conflicting with the mercantilist policies of 19th century European countries and the goals of independence of newly formed Central American and South American countries.

History

The ancient Greek philosopher Aristotle described humans as social animals. Therefore, friendships and relations have existed between humans since the beginning of human interaction. As the organization developed in human affairs, relations between people also organized. Foreign policy thus goes back to primitive times. The inception in human affairs of foreign relations and the need for foreign policy to deal with them is as old as the organization of human life in groups. Before writing, most of these relations were carried out by word of mouth and left little direct archaeological evidence.

The literature from ancient times, the Bible, the Homeric poems, the histories of Herodotus and Thucydides, and many others, show an accumulation of experience in dealing with foreigners. Ancient Chinese and Indian writings give much evidence of thought concerned with the management of relations between peoples in the form of diplomatic correspondence between rulers and officials of different states and within systems of multi-tiered political relations such as the Han dynasty and its subordinate kings, the more powerful of which conducted their own limited foreign relations as long as those did not interfere with their primary obligations to the central government, treatises by Chanakya and other scholars, and the preserved text of ancient treaties, as well as frequent references by known ancient writers to other, even older sources which have since been lost or remain in fragmentary form only.

Meaning

According to Business Dictionary.com, foreign policy is plan of action adopted by one nation in regards to its diplomatic dealings with other countries. Foreign policy is established as a systemic way to deal with issues that may arise with other countries. In the modern era, no country can afford to live in isolation in this age of interdependence.

Twentieth Century

Global wars were fought three times in the twentieth century. Consequently, international rela-

tions became a public concern as well as an important field of study and research. After the Second World War and during the 1960s, many researchers in the U.S. particularly, and from other countries in common, brought forth a wealth of research work and theory. This work was done for international relations and not for foreign policy as such. Gradually, various theories began to grow around the international relations, international systems and international politics but the need for a theory of foreign policy, that is the starting point in each sovereign state, continued to receive negligible attention. The reason was that the states used to keep their foreign policies under official secrecy and it was not considered appropriate for public, as it is considered today, to know about these policies. This iron-bound secrecy is an essential part for the framework of foreign policy formulation.

World War II and its devastation posed a great threat and challenge for humanity which revealed to everyone the importance of international relations. Though foreign policy formulation continued to remain a closely guarded process at the national level, wider access to governmental records and greater public interest provided more data from which academic work placed international relations in a structured framework of political science. Graduate and post-graduate courses developed. Research was encouraged, and gradually, international relations became an academic discipline in universities throughout the world.

The subject of whether or not constructive attempts at involvement by citizens benefits the disciplines of the "art," or whether or not such disciplines as intercultural and interpersonal communications and others may play a significant part in the future of international relations could be a subject for further study by interested individuals/groups and is encouraged at the educational level.

Writers researching foreign policy in the 20th century were unaware of whether or not agencies who most closely dealt with foreign policy kept logs of statistical experience not unlike the actuarial statistics kept by organizations of the insurance industry assessing the risk and danger involved (e.g. when situation "C" happened before, and subject included instances of "E" and "L", how was it handled and what was the result? When were peaceful and amicable results leading to better relations ever obtained through considered action and what was that action?).

The writers who worked with the foreign policy can be divided in two groups:

1. World war writers who treat international politics and foreign policy as an indifferent, single field of study.
2. Writers who recognize foreign policy as a source rather than the substance of international politics and bring it under study as a subject.

(The second group restricts its work to foreign policy making.)

The works of second group comes closer to the theory of foreign policy but there is no attempt to formulate a basic theory of foreign policy. Hans Morgenthau's works on principal elements of foreign policy seem to have covered the most ground.

Need for a General Theory of Foreign Policy

McGowan and Shapiro, in their work on comparative study of foreign policy of different countries, felt that the lack of a basic theory of foreign policy was particularly disabling, and pointed out the

harmful effect of the absence of a general theory of foreign policy on the foreign policy literature.

The most fundamental question that arises here is: why do we lack theories of foreign policy? Or why do we need general theory of foreign policy?

The absence of a general theory in this field leads to some serious consequences. Without theory:

- We cannot explain the relationships we discover; we can make predictions only about the foreign policy behavior.
- We will have to depend on luck and educative guesses to come up with worthwhile research hypothesis.
- Research will become an ad-hoc or unplanned research, with no justification provided for the selection of cases—no system and no consistency.
- A field without theory is hardly an area of disciplined scientific inquiry.
- A diplomat will be likely to have a more complex estimate or knowledge of other governments. His or her estimate, however, will certainly be simplistic and heavily influenced by his or her own perceptual blinders, leading to faulty (or biased) policy judgments.

A theoretical framework of foreign policy is needed to analyze the day-to-day interactions in international relations and to compare individual foreign policies. The focus is primarily on the policies of state actors with defined territories and jurisdictional boundaries, and less so on non-state actors, except in the context of how they impact national government decisions and policies. The formal field of study of international relations is itself fairly recent and a specific subset of international relations such as foreign policy analysis does not receive wide attention as a field of scientific study, as opposed to the widespread use of terms like 'foreign policy' and 'foreign policy expert' in news media and general discussions about government when such experts may have more extensive backgrounds in fields other than foreign policy analysis. The organization Foreign Policy Interrupted recognized the gender disparity in foreign policy expert representation, and is amplifying the number of female voices in foreign policy media coverage. Government officials involved in making foreign policy often perceive risk in giving away information to about their policy making processes and do not discuss the subject, as control of information is itself often a part of foreign policy.

The vast record of empirical data and research is given academic attention to fit it into the framework of a general theory of foreign policy.

The second group of writers has made contributions in its development in many ways:

- Collation of systematic empirical studies with a view to articulating general pro-positions pertaining to state behavior.
- Analysis of foreign policy making with an emphasis on the process itself and the determinants that influence foreign policy.
- Development of a scientific approach to and model for foreign policy analysis such as the rational actor model, domestic-public model, etc.
- Studies undertaken to prepare world order models.

Science Policy

Science policy is concerned with the allocation of resources for the conduct of science towards the goal of best serving the public interest. Topics include the funding of science, the careers of scientists, and the translation of scientific discoveries into technological innovation to promote commercial product development, competitiveness, economic growth and economic development. Science policy focuses on knowledge production and role of knowledge networks, collaborations and the complex distributions of expertise, equipment and know-how. Understanding the processes and organizational context of generating novel and innovative science and engineering ideas is a core concern of science policy. Science policy topics include weapons development, health care and environmental monitoring.

Science policy thus deals with the entire domain of issues that involve science. A large and complex web of actors influences the development of science and engineering that includes government science policy makers, private firms (including both national and multi-national firms), social movements, media, non-governmental organizations, universities, and other research institutions. In addition, science policy is increasingly international as defined by the global operations of firms and research institutions as well as by the collaborative networks of non-governmental organizations and of the nature of scientific inquity itself.

History

State policy has influenced the funding of public works and science for thousands of years, dating at least from the time of the Mohists, who inspired the study of logic during the period of the Hundred Schools of Thought, and the study of defensive fortifications during the Warring States period in China. General levies of labor and grain were collected to fund great public works in China, including the accumulation of grain for distribution in times of famine, for the building of levees to control flooding by the great rivers of China, for the building of canals and locks to connect rivers of China, some of which flowed in opposite directions to each other, and for the building of bridges across these rivers. These projects required a civil service, the scholars, some of whom demonstrated great mastery of hydraulics.

In Italy, Galileo noted that individual taxation of minute amounts could fund large sums to the State, which could then fund his research on the trajectory of cannonballs, noting that “each individual soldier was being paid from coin collected by a general tax of pennies and farthings, while even a million of gold would not suffice to pay the entire army.”

In Great Britain, Lord Chancellor Sir Francis Bacon had a formative effect on science policy with his identification of “experiments of .. light, more penetrating into nature [than what others know]”, which today we call the crucial experiment. Governmental approval of the Royal Society recognized a scientific community which exists to this day. British prizes for research spurred the development of an accurate, portable chronometer, which directly enabled reliable navigation and sailing on the high seas, and also funded Babbage’s computer.

The professionalization of science, begun in the nineteenth century, was partly enabled by the creation of scientific organizations such as the National Academy of Sciences, the Kaiser Wilhelm

Institute, and State funding of universities of their respective nations. In the United States, a member of the National Academy of Sciences can sponsor a Direct Submission for publication in the *Proceedings of the National Academy of Sciences*. *PNAS* serves as a channel to recognize research of importance to at least one member of the National Academy of Sciences.

Public policy can directly affect the funding of capital equipment, intellectual infrastructure for industrial research, by providing tax incentives to those organizations who fund research. Vannevar Bush, director of the office of scientific research and development for the U.S. government in July 1945, wrote "Science is a proper concern of government" Vannevar Bush directed the forerunner of the National Science Foundation, and his writings directly inspired researchers to invent the hyperlink and the computer mouse. The DARPA initiative to support computing was the impetus for the Internet Protocol stack. In the same way that scientific consortiums like CERN for high-energy physics have a commitment to public knowledge, access to this public knowledge in physics led directly to CERN's sponsorship of development of the World Wide Web and standard Internet access for all.

Philosophies of Science Policy

Basic Versus Applied Research

The programs that are funded are often divided into four basic categories: basic research, applied research, development, and facilities and equipment. Translational research is a newer concept that seeks to bridge the gap between basic science and practical applications.

Basic science attempts to stimulate breakthroughs. Breakthroughs often lead to an explosion of new technologies and approaches. Once the basic result is developed, it is widely published; however conversion into a practical product is left for the free market. However, many governments have developed risk-taking research and development organizations to take basic theoretical research over the edge into practical engineering. In the U.S., this function is performed by DARPA.

On the other hand, technology development is a policy in which engineering, the application of science, is supported rather than basic science. The emphasis is usually given to projects that increase important strategic or commercial engineering knowledge. The most extreme success story is doubtless the Manhattan Project that developed nuclear weapons. Another remarkable success story was the "X-vehicle" studies that gave the US a lasting lead in aerospace technologies.

These exemplify two disparate approaches: The Manhattan Project was huge, and spent unblinkingly on the most risky alternative approaches. The project members believed that failure would result in their enslavement or destruction by Nazi Germany. Each X-project built an aircraft whose only purpose was to develop a particular technology. The plan was to build a few cheap aircraft of each type, fly a test series, often to the destruction of an aircraft, and never design an aircraft for a practical mission. The only mission was technology development.

A number of high-profile technology developments have failed. The US Space Shuttle failed to meet its cost or flight schedule goals. Most observers explain the project as over constrained: the cost goals too aggressive, the technology and mission too underpowered and undefined.

The Japanese fifth generation computer systems project met every technological goal, but failed to

produce commercially important artificial intelligence. Many observers believe that the Japanese tried to force engineering beyond available science by brute investment. Half the amount spent on basic research rather might have produced ten times the result.

Utilitarian Versus Monumental Science Policy

Utilitarian policies prioritize scientific projects that significantly reduce suffering for larger numbers of people. This approach would mainly consider the numbers of people that can be helped by a research policy. Research is more likely to be supported when it costs less and has greater benefits. Utilitarian research often pursues incremental improvements rather than dramatic advancements in knowledge, or break-through solutions, which are more commercially viable/feasible.

In contrast, monumental science is a policy in which science is supported for the sake of a greater understanding of the universe, rather than for specific short-term practical goals. This designation covers both large projects, often with large facilities, and smaller research that does not have obvious practical applications and are often overlooked. While these projects may not always have obvious practical outcomes, they provide education of future scientists, and advancement of scientific knowledge of lasting worth about the basic building blocks of science.

Practical outcomes do result from many of these "monumental" science programs. Sometimes these practical outcomes are foreseeable and sometimes they are not. A classic example of a monumental science program focused towards a practical outcome is the Manhattan project. An example of a monumental science program that produces unexpected practical outcome is the laser. Coherent light, the principle behind lasing, was first predicted by Einstein in 1916, but not created until 1954 by Charles H. Townes with the maser. The breakthrough with the maser led to the creation of the laser in 1960 by Theodore Maiman. The delay between the theory of coherent light and the production of the laser was partially due to the assumption that it would be of no practical use.

Scholastic Conservation

This policy approach prioritizes efficiently teaching all available science to those who can use it, rather than investing in new science. In particular, the goal is not to *lose* any existing knowledge, and to find new practical ways to apply the available knowledge. The classic success stories of this method occurred in the 19th century U.S. land-grant universities, which established a strong tradition of research in practical agricultural and engineering methods. More recently, the Green Revolution prevented mass famine over the last thirty years. The focus, unsurprisingly, is usually on developing a robust curriculum and inexpensive practical methods to meet local needs.

Science Policy by Country

Most developed countries usually have a specific national body overseeing national science (including technology and innovation) policy. In the case developing countries many follow the same fashion. Many governments of developed countries provide considerable funds (primarily to universities) for scientific research (in fields such as physics and geology) as well as social science research (in fields such as economics and history). Much of this is not intended to provide concrete results that may be commercialisable, although research in scientific fields may lead to results that

have such potential. Most university research is aimed at gaining publication in peer reviewed academic journals.

A funding body is an organisation that provides research funding in the form of research grants or scholarships. Research councils are the funding bodies that are government-funded agencies engaged in the support of research in different disciplines and postgraduate funding. Funding from research councils is typically competitive. As a general rule, more funding is available in science and engineering disciplines than in the arts and social sciences.

Australia

In Australia, the two main research councils are the Australian Research Council and the National Health and Medical Research Council.

Canada

In Canada, the three main research councils are the Social Sciences and Humanities Research Council, the Natural Sciences and Engineering Research Council, and the Canadian Institutes of Health Research. Additional research funding agencies include the Canada Foundation for Innovation, Genome Canada, the Networks of Centres of Excellence partnerships between university, government and industry, the Minister of Research and Innovation (Ontario), and the Michael Smith Foundation for Health Research (MSFHR) .

Brazil

In Brazil, two important research agencies are the National Council for Scientific and Technological Development (CNPq, Portuguese: Conselho Nacional de Desenvolvimento Científico e Tecnológico), an organization of the Brazilian federal government under the Ministry of Science and Technology, and São Paulo Research Foundation (FAPESP, Portuguese: Fundação de Amparo à Pesquisa do Estado de São Paulo), a public foundation located in the state of São Paulo, Brazil .

European Union

The science policy of the European Union is carried out through the European Research Area, which is a system that integrates the scientific resources of member nations and acts as a “common market” for research and innovation purpose. The European Union’s executive body, the European Commission, has a Directorate-General for Research; which is responsible for the Union’s science policy. In addition, the Joint Research Centre provides independent scientific and technical advice to the European Commission and Member States of the European Union (EU) in support of EU policies. There is also the recently established European Research Council, the first European Union funding body set up to support investigator-driven research.

There are also European science agencies that operate independently of the European Union, such as the European Science Foundation, European Space Agency, and the European Higher Education Area; which are created by the Bologna process.

On science policy and on the European Research Area is grounded the European environmental

research and innovation policy, which addresses global challenges of pivotal importance for the well-being of the European citizens within the context of sustainable development and environmental protection. Research and innovation in Europe is financially supported by the programme Horizon 2020, which is also open to participation worldwide.

Germany

German research funding agencies include the Deutsche Forschungsgemeinschaft, which covers both science and humanities.

India

Research funding by the Government of India comes from a number of sources. For basic science and technology research, these include the Council for Scientific and Industrial Research (CSIR), Department of Science and Technology (DST), and University Grants Commission (UGC). For medical research, these include the Indian Council for Medical Research (ICMR), CSIR, DST and Department of Biotechnology (DBT). For applied research, these include the CSIR, DBT and Science and Engineering Research Council (SERC).

Other funding authorities are the Defence Research Development Organisation (DRDO), the Indian Council of Agricultural Research (ICAR), the Indian Space Research Organisation (ISRO), the Department of Ocean Development (DOD), the Indian Council for Social Science Research (ICSSR), and the Ministry of Environment and Forests (MEF) etc.

Ireland

Irish funding councils include the Irish Research Council (IRC) and the Science Foundation Ireland. The prior Irish Research Council for Science, Engineering and Technology (IRCSET) and the Irish Research Council for the Humanities and Social Sciences (IRCHSS) were merged to form the IRC in March 2012.

The Netherlands

Dutch research funding agencies include Nederlandse Organisatie voor Wetenschappelijk Onderzoek (NWO) and Agentschap NL .

Pakistan

The Government of Pakistan has mandated that a certain percentage of gross revenue generated by all telecom service providers be allocated to development and research of information and communication technologies. The National ICT R&D Fund was established in January 2007 by Ministry of IT, Government of Pakistan with the vision to transform Pakistan's economy into a knowledge-based economy by promoting efficient, sustainable and effective ICT initiatives through synergic development of industrial and academic resources.

Switzerland

Swiss research funding agencies include the Swiss National Science Foundation (SNSF) , the in-

novation promotion agency CTI (CTI/KTI) , Ressortforschung des Bundes , and Eidgenössische Stiftungsaufsicht .

United Kingdom

In the United Kingdom, there are seven grant-awarding Research Councils:

- Arts and Humanities Research Council (AHRC)
- Biotechnology and Biological Sciences Research Council (BBSRC)
- Economic and Social Research Council (ESRC)
- Engineering and Physical Sciences Research Council (EPSRC)
- Medical Research Council (MRC)
- Natural Environment Research Council (NERC)
- Particle Physics and Astronomy Research Council (PPARC)
- Science and Technology Facilities Council (STFC)

United States

The United States has a long history of government support specially for science and technology. Science policy in the United States is the responsibility of many organizations throughout the federal government. Much of the large-scale policy is made through the legislative budget process of enacting the yearly federal budget. Further decisions are made by the various federal agencies which spend the funds allocated by Congress, either on in-house research or by granting funds to outside organizations and researchers.

Research funding agencies in the United States are spread among many different departments, which include:

- Defense Advanced Research Projects Agency (DARPA)
- United States Department of Energy Office of Science
- National Institutes of Health: biomedical research
- National Science Foundation: fundamental research and education in all the non-medical fields of science and engineering.
- Office of Naval Research

Policy Laundering

Policy laundering is the disguising of the origins of political decisions, laws, or international treaties. The term is based on the similar money laundering.

Hiding Responsibility for a Policy or Decision

One common method for policy laundering is the use of international treaties which are formulated in secrecy. Afterwards it is not possible to find out who opted for which part of the treaty. Each person can claim that it was not them who demanded a certain paragraph but that they had to agree to the overall "compromise".

Examples that could be considered as "policy laundering" are WIPO or the Anti-Counterfeiting Trade Agreement (ACTA).

Harmonization is the process through which a common set of policies are established across jurisdictions to remove irregularities. Regulations can change in any direction, however: regulations may be pushed to the lowest common denominator; but may equally benefit from the 'California effect', where one regulator pushes for the highest standards, setting models for others to follow. Harmonization requires further interrogation, however. In their review of global business regulation, Braithwaite and Drahos find that some countries (notably the U.S. and the UK) push for certain regulatory standards in international bodies and then bring those regulations home under the requirement of harmonization and the guise of multilateralism; this is what we refer to as policy laundering.

—Ian Hosein, 2004

Hiding the Real Objective of a Policy

One manifestation of policy laundering is claiming a different underlying objective for a policy than is actually the case. The usual reason for politicians following this approach is that the real objective is unpopular with the public. The usual process is to conflate the issue being addressed with an unrelated matter of great public concern. The intervention pursued is presented as addressing an issue of great public concern rather than the underlying objective.

Circumventing the Regular Approval Process

Yet another manifestation of policy laundering is to implement legal policy which a subset of legislators desire but would normally not be able to obtain approval through regular means.

ACTA is legislation laundering on an international level of what would be very difficult to get through most Parliaments.

—Stavros Lambrinidis, Member of European Parliament, S and D, Greece

An example of policy laundering where law was enacted and enforced despite both state and federal courts declaring the law unconstitutional is the *Missouri v. Holland* case. At that time, Congress attempted to protect migratory birds by statutory law. However, both state and federal courts declared that law unconstitutional. Not to be denied, authorized parties subsequently negotiated and ratified a treaty with Canada to achieve the same purpose. Once the treaty was in place, Congress then passed the Migratory Bird Treaty Act of 1918 to enforce the treaty. In *Missouri v. Holland*, the United States Supreme Court upheld that the new law was constitutional in order to support the treaty.

It has been suggested that policy laundering has become common political practice in areas related to terrorism and the erosion of civil liberties. In the air-travel industry, an example of policy

laundering might be the requirement for passengers to show photographic identification. This was presented as addressing security concerns, but from the airline's perspective the measure had the important effect of ending unauthorised resale by passengers of unused tickets.

Policy Network Analysis

Policy network analysis is a field of research in political science focusing on the links and interdependence between government's sections and other societal actors, aiming to understand the policy-making process and public policy outcomes.

Definition of Policy Networks

Although the number of definitions is almost as large as the number of approaches of analysis, Rhodes aims to offer a minimally exclusive starting point: "Policy networks are sets of formal institutional and informal linkages between governmental and other actors structured around shared if endlessly negotiated beliefs and interests in public policy making and implementation."

Possible Typologies of Policy Networks

As Thatcher notes, policy network approaches initially aimed to model specific forms of state-interest group relations, without giving exhaustive typologies.

Policy Communities vs. Issue Networks

The most widely used paradigm of the 1970s and 1980s only analyzed two specific types of policy networks: policy communities and issue networks. Justifications of the usage of these concepts were deducted from empirical case studies.

Policy Communities in which you refer to relatively slowly changing networks defining the context of policy-making in specific policy segments. The network links are generally perceived as the relational ties between bureaucrats, politicians and interest groups. The main characteristic of policy communities – compared to issue networks – is that the boundaries of the networks are more stable and more clearly defined. This concept was studied in the context of policy-making in the United Kingdom.

In contrast, issue networks – a concept established in literature about United States government - refer to a looser system, where a relatively large number of stakeholders are involved. Non-government actors in these networks usually include not only interest group representatives but also professional or academic experts. An important characteristic of issue network is that membership is constantly changing, interdependence is often asymmetric and – compared to policy communities – it is harder to identify dominant actors.

Other Possible Typologies

New typological approaches appeared in the early 1990s and late 1980s with the aim of grouping policy networks into a system of mutually exclusive and commonly exhaustive categories. One possible logic of typology is based on the degree of integration, membership size and distribution of

resources in the network. This categorization - perhaps most importantly represented by R. A. W. Rhodes - allows to complement policy communities and issue networks with categories like professional network, intragovernmental network and producer network. Other approaches identify categories based distinct patterns of state-interest group relations. Patterns include corporatism and pluralism, iron triangles, subgovernment and clientelism while the differentiation is based membership, stability and sectorality.

Roles of Policy Network Analysis

As the field of policy network analysis grew since the late 20th century, scholar developed competing descriptive, theoretical and prescriptive accounts - each type gives different specific content for the term policy network and uses different research methodologies as well.

Descriptive Usage

For several authors, policy networks describe specific forms of government policy-making. The three most important forms are interest intermediation, interorganizational analysis and governance.

Interest Intermediation

An approach developed from the literature on US pluralism, policy networks are often analyzed in order to identify the most important actors influencing governmental decision-making. From this perspective, a network-based assessment is useful to describe power positions, the structure of oligopoly in political markets and the institutions of interest negotiation.

Interorganizational Analysis

Another branch of descriptive literature – emerged from the study of European politics – aims to understand the interdependency in decision-making between formal political institutions and the corresponding organizational structures. This viewpoint emphasizes the importance of overlapping organizational responsibilities and the distribution of power in shaping specific policy outcomes.

Governance

A third direction of descriptive scholarship is to describe general patterns of policy-making – the formal institutions of power-sharing between government, independent state bodies and the representatives of employer and labor interests.

Theoretical Usage

The two most important theoretical approaches aiming to understand and explain actor's behavior in policy networks are the following: power dependence and rational choice.

Power Dependence

In power dependence models, policy networks are understood as mechanism of exchanging re-

sources between organizations in the networks. The dynamic of exchange is determined by the comparative value of resources (f.e. legal, political or financial in nature) and individual capacities to deploy them in order create better bargaining positions and achieve higher degrees of autonomy.

Rational Choice

In policy network analysis, theorists complement standard rational choice arguments with the insights of new institutionalism. This "actor-centered institutionalism" is used to describe policy networks as structural arrangements between relatively stable sets of public and private players. Rational choice theorists identify links between network actors as channels to exchange multiple goods (f.e. knowledge, resources and information).

Prescriptive Usage

The prescriptive literature on policy networks focuses on the phenomenon's role in constraining or enabling certain governmental action. From this viewpoint, networks are seen as central elements to of the realm of policy-making at least partially defining the desirability of status quo – thus a possible target of reform initiatives. The three most common network management approaches are the following: instrumental (a focus on altering dependency relation), institutional (a focus on rules, incentives and culture) and interactive (a focus on communication and negotiation).

New Directions and Debates

As Rhodes points it out, there is a long-lasting debate in the field about general theories predicting the emergence of specific networks and corresponding policy outcomes depending on specific conditions. No theories succeeded in achieving this level of generality yet and some scholars even doubt the possibility of it. Other debates are focusing on describing and theorizing change in policy network. While some political scientists state that this might not be possible, some scholars made efforts towards the understanding of policy network dynamics. One example is the advocacy coalition framework which aims to analyze the effect of commonly represented beliefs (in coalitions) on policy outcomes.

Public Comment

Public comment is a specific term of art used by various government agencies in the United States, a constitutional democratic republic, in several circumstances. It is sometimes called "*vox populi*". Generally these circumstances are open public meetings of government bodies which set aside time for oral public comments, or comments, usually upon documents. Such documents may either be reports such as Draft Environmental Impact Reports (DEIR's) or new regulations. There is typically a notice which is posted on the web and mailed to more or less ad hoc lists of interested parties known to the government agencies. If there is to be a change of regulations, there will be a formal notice of proposed rulemaking.

The basis for public comment is found in general political theory of constitutional democracy as

originated during and after the French Enlightenment, particularly by Rousseau. This basis was elaborated in the American Revolution, and various thinkers such as Franklin, Jefferson and Thomas Paine are associated with the rejection of tyrannical, closed government decision making in favor of open government. The tradition of the New England Town Hall is believed to be rooted in this early American movement, and the distillation of formal public comment in official proceedings is a direct application of this format in the workings of public administration itself.

Overview: The Two Types of Public Comment

Public comment embedded in actual meetings is typical of meetings convened by legislative or executive bodies; judicial units do not have public comment, but rather testimony from witnesses and procedural statements from attorneys. Public units such as city councils or county legislative bodies are typical examples of legislative public comment hearing bodies. Note that comment may be written, oral, or electronic.

There are two types of comment period. One is when comment goes to a specific agenda item. Secondly there is a class of public comment which pertains to items which are not on the agenda for that day. However, it is necessary that comments be restricted to matters within the jurisdiction of the government body.

This latter requirement is seldom enforced except in those unusual cases in which commentators have set themselves at odds with policy makers and have been designated as a nuisance. In such cases, there are usually more explicit reasons given for restricting the rights of such speakers, however most undesirable comments tend to be outside the scope of legislative jurisdiction. The above distinction between agenda-item public comment and what is called "General Public Comment" pertains both to legislative type bodies as well as executive agencies. These are typically commissions, committees or boards. There are typically public comment periods during meetings of agencies such as city councils, county boards, and agencies which are concerned with matters such as water quality, fish and game, sewer runoff management and transportation. Time limits frequently range from one to five minutes for unscheduled presentations. It is not typical to require that the person commenting be a resident, a registered voter, a qualified elector, or even a citizen, simply that they be present and able to speak.

A whole different class of public comment is requested by agencies which are seeking input on draft policy documents such as Environmental Impact Reports which provide information which may be used in policy determinations by their own agency and other agencies at various levels of government.Typically there is a notice of completion of the draft which is posted in the newspaper, on the web, and is mailed to known interested parties who may be designated as "stakeholders" or simply "interested parties". A public comment period is established and comments which are received by the cutoff date become part of the official public record. In some cases, there is a statutory mandate that those comments be replied to or incorporated in some fashion into the Final document.

Oral Public Comment at Public Meetings

Comments provided at public meetings may be oral or written and not infrequently utilize audio visual aids such as thumbdrives, CD's or overhead projectors (transparencies or opaque material).

They may include video clips. A laser pointer, such as used by professional presenters, is useful but seldom utilized except by scheduled presenters on preset agendas, who are often credentialed professionals hired by the government agency to produce reports or provide consultation.

Public comment in some cases includes remarks from experts or public officials with some role in the issue at stake, but at a different time or level of process. Typically these kinds of comments may be ad hoc, not solicited by the governing agency which is conducting the hearing. There may be informal expectation that such a party may comment, but if it is an interested agency then there will be prior notification and a larger chunk of time may be allowed to such presenters. Surprisingly, however, these knowledgeable high level speakers, including office holders, often are limited to the same time constriction and queing requirements as all other public commentors. They simply wait in line, their name is called when their speaker slip happens to come to the top of the pile, and they are subject to being cut off after their two minutes or three minutes are up.This equalization between expert and lay commentator is an example of social leveling which occurs in democratic process and which is often harshly criticized by elitist theorists such as Machiavellians, fascists, communist technocrats and other conservative social thinkers.

Persons preparing public comment often think about and express the value of the constitutional protection and a certain level of gratitude for the opportunity to speak. Such expressions are considered good etiquette the first few times a speaker presents to a board, and it is also common to state one's background, credentials, or interest. Persons who speak frequently to a particular agency become better known and typically refrain from repeating such formalities to excess, and may go directly into their substantive testimony.

Variation of Official Attitude Toward Public Meeting Comment

In constitutional democracies which permit public comment, meeting facilitators can be relaxed, friendly and informal, allowing for errors on the part of public speakers such as exceeding allowable time. In some cases they are strict in enforcement of rules and may make somewhat hostile remarks to speakers. This attitude may be a result of prior episodes in which public commenters may have expressed accusations or hostility to seated officials. Frequently, such remarks result in warnings and may escalate to the point that the meeting chair may not recognize the public speaker and refuse to allow access to the microphone. Less frequently, speakers who are out of order are ordered to leave, escorted out of the building, or, rarely, placed under arrest for trespass or other charges. However, most government agencies in the United States are reluctant to resort to such measures, which may be viewed as restricting free speech protection of the US and various state constitutions. They may also result in litigation and in some cases do. For instance, Robert Norse filed suit against the City of Santa Cruz when he made a Nazi style straight arm salute to the Santa Cruz City Council as a protest for council not permitting one additional public speaker who had not put in a speaker's slip and would have exceeded the amount of time allowed for public comment. The suit, typical of a possible consequence of not permitting public comment, is based upon Title 42 Section 1983 of the US Code, and alleges that city council violated his First Amendment right to free speech by having him arrested for refusing to leave as ordered in response to his gesture.

Some states and regions may differ widely in their policies and procedures with regard to public comment, ranging from the extremes of anarchist collectives in twentieth century Spain, in which many routine decisions were made by workers councils, to dictatorships in which making a

comment on the performance of government officials can be proscribed by law as tantamount to slander or provoking insurrection. In such systems, even the very idea of exposure to risk of prosecution deters the flow of information needed for the system's self rationalization process, resulting in stifled innovation, accumulated inefficiencies, decline of group morale and trust levels, with eventual system collapse.

Liberalized systems also typically proscribe slander, fabrications and personal attacks, however defined, and public commenters are discouraged from engaging in back and forth discussion with board or committee members. Comments which are directed from the floor towards persons who have the floor are generally classified as heckling.

Public Comment in Authoritarian Systems

Authoritarian systems generally tend to take a dim view of public comment. In the writings of Benito Mussolini, he expressed the view that fascism offers "free" speech, but only to persons who were "qualified" to have an opinion. Similarly, in the historical development of Nazism, public commentators at official NSDAP rallies were not infrequently beaten by the mob, or, if there were large numbers supporting the adverse commentator, brawls broke out. today's People's Republic of China, public comment on government policy is considered inappropriate, and may result in long prison terms for persons such as Wei Jin Sheng.

Public Comment as an Aid to Editing of Government Publications

As indicated above, there is a separate and distinct form of public comment, in the US, does not occur at meetings but is solicited in written or electronic form prior to a set deadline. This type of comment may pertain to an intended action, such as permit issuance, or the classification of a particular species of plant or animal as endangered. Other instances occur with regard to publication of draft environmental impact reports, which comments are then answered and may be reflected in subsequent revisions to the document. These public comments are often posted on the web in advance of the deadline, which provides commentators with an opportunity to view the remarks of others before committing themselves in writing.

This type of comment process may be mandated in legislation or in regulations enforcing statutes such as the National Environmental Protection Act (NEPA) or California's Cxxxx Environmental Quality Act (CEQA). Triggering events may include development proposals, mandated master plan updates or discovery of an endangered species. The NIH requested and received massive public comment pertaining to its own openness to its generally sophisticated public, and they did a thorough job of analyzing the voluminous submissions which is posted on their website.

A government portal which may be useful allows review of comments and opportunity for making comment and can be searched by keyword. The keyword search crosses different government agencies and has drop-downs permitting a boolean exclusion algorithm narrowing the focus between alternative choices such as documents, rules, notice of proposed rule changes, etcetera.

References

- Heclo, Hugh (1978), "Issue networks and the executive establishment", in King, Anthony, The new American political system, Washington: American Enterprise Institute for Public Policy Research, pp. 87–124,

ISBN 9780844733159.

- Marsh, David; Rhodes, R.A.W. (1992). Policy networks in British government. Oxford Oxford New York: Clarendon Press Oxford University Press. ISBN 9780198278528.
- Rhodes, R.A.W. (1999). Control and power in central-local government relations (revised ed.). Aldershot, Hants, England Brookfield, Vermont: Ashgate. ISBN 9781840147780.
- Hall, Peter A.; Soskice, David W. (2001). Varieties of capitalism : the institutional foundations of comparative advantage. Oxford England New York: Oxford University Press. ISBN 9780199247752.
- Kickert, Walter J.M.; Klijn, Erik-Hans; Koppenjan, Joop F.M. (1997). Managing complex networks strategies for the public sector. London Thousand Oaks, California: Sage. ISBN 9781446217658.
- "Characteristics of Successful Public Policy". Norwich University Public Administration. Norwich University Public Administration. Retrieved 24 November 2014.

4

Public Administration Practices

Human resources is the workforce of any organization or any business. The aspects explained are organizational theory, policy analysis, budget, ethics and budget. The chapter strategically encompasses and incorporates the practices of public administration, providing a complete understanding.

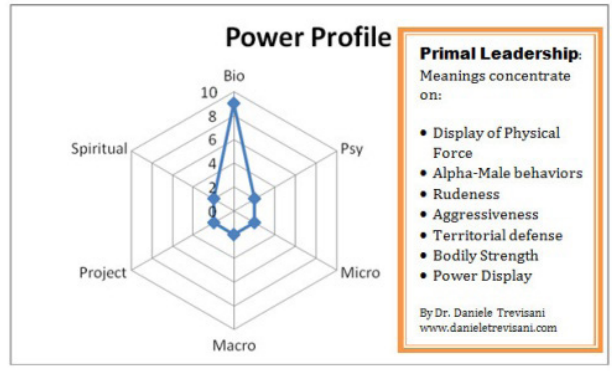
Human Resources

Human resources are the people who make up the workforce of an organization, business sector, or economy. "Human capital" is sometimes used synonymously with "human resources", although human capital typically refers to a more narrow view (i.e., the knowledge the individuals embody and economic growth). Likewise, other terms sometimes used include "manpower", "talent", "labour", "personnel", or simply "people".

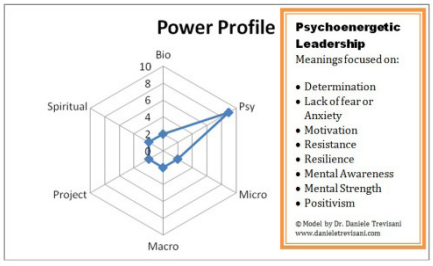
A human-resources department (HR department) of an organization performs human resource management, overseeing various aspects of employment, such as compliance with labour law and employment standards, administration of employee benefits, and some aspects of recruitment and dismissal.

Definition of Staffing or Personnel Management

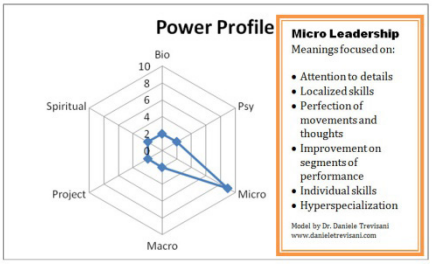
Staffing is a process of hiring and or positioning in an organization. According to the Exa-Factors Staffing Process (6 factors model) developed by the European researcher Daniele Trevisani, staffing can be considered "the process of identifying and selecting the specific role-energies that the organization requires in order to be effective", this implies that staffing should take into account the degree of "energy" required by any given role according to six specific variables, which can also be used to graphically profile staffing concepts:



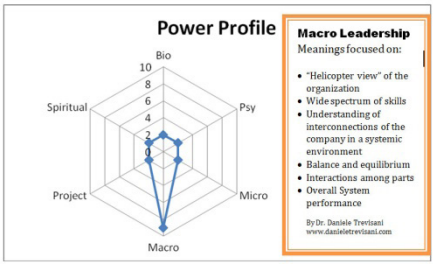
Profile's traits: power, authority, dominance, aggressiveness, often shifts to fear or punishment as motivational tools



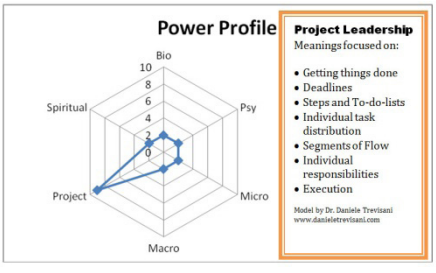
Profile's traits: motivation, psychological energies, resilience, emotional strength, sensitivity



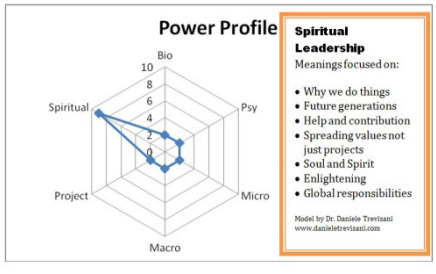
Profile's traits: narrowed and precise technical skills, risk of being unaware of the whole system view



Profile's traits: good big-picture, understanding of system's dynamics



Profile's traits: focused on deadlines, structure, steps, delegation, timing



Profile's traits: focused on vision, spiritual fulfillment, humanistic needs, self and other's improvement, causes and long term view, values, mission, visionary perspective, ability to inspire

1. body strength and bodily kinesthetic requirements (different positions require a different

set of body characteristics, such as physical strength and endurance for construction workers, or highly kinesthetic precision for surgeons),

2. motivational energy (degree of motivation required in the role-performances, from medium such as in clerical jobs, to extreme such as in special forces or agonistic sports),
3. micro-skills set (degree of ability into specific sets of knowledge that define a role),
4. macro-skills set (e.g. for a general manager, knowledge of logistics, marketing, procurement, sales, finance, and HR, while for a teacher, beyond the specific teaching area, teaching and pedagogical skills become a part of the macro-skills set),
5. project-management skills (to what extent the personnel should be required as dependent from external orders or dispositions, or able to define by him/herself the steps, deadlines and phases necessary to achieve any given objective),
6. spiritual values, moral values, wisdom, inspirational skills (at which extent the role can be or become a role-model, what do we expect from him/her as role behaviors connected to values and immaterial/intangible assets).

This approach enables the graphic depiction for the "shape" of a staffing need, in order to facilitate understanding of the global view for the role and hiring processes.

Human Resources Activities

A Human Resources Manager has several functions in a company:

- Determine needs of the staff.
- Determine to use temporary staff or hire employees to fill these needs.
- Recruit and train the best employees.
- Supervise the work.
- Manage employee relations, unions and collective bargaining.
- Prepare employee records and personal policies.
- Ensure high performance.
- Manage employee payroll, benefits and compensation.
- Ensure equal opportunities.
- Deal with discrimination.
- Deal with performance issues.
- Ensure that human resources practices conform to various regulations.
- Push the employees' motivation.

Managers need to develop their interpersonal skills to be effective. Organisations behaviour focuses on how to improve factors that make organisations more effective.

Origins

Pioneering economist John R. Commons used the term "human resource" in his 1893 book *The Distribution of Wealth* but did not further build upon it. The term "human resource" was subsequently in use during the 1910s and 1920s as was the notion that workers could be seen as a kind of capital asset. Among scholars the first use of "human resources" in its modern form was in a 1958 report by economist E. Wight Bakke. The term began to become more developed in the 19th century due to misunderstandings between the employers and employees.

The Term in Practice

From the corporate objective, employees have been traditionally viewed as assets to the enterprise, whose value is enhanced by further learning and development, referred to as human resource development.

In regard to how individuals respond to the changes in a labour market, the following must be understood:

- Skills and qualifications: as industries move from manual to more managerial professions so does the need for more highly skilled staff. If the market is "tight" (i.e. not enough staff for the jobs), employers must compete for employees by offering financial rewards, community investment, etc.
- Geographical spread: how far is the job from the individual? The distance to travel to work should be in line with remuneration, and the transportation and infrastructure of the area also influence who applies for a position.
- Occupational structure: the norms and values of the different careers within an organization. Mahoney 1989 developed 3 different types of occupational structure, namely, craft (loyalty to the profession), organization career path (promotion through the firm) and unstructured (lower/unskilled workers who work when needed).
- Generational difference: different age categories of employees have certain characteristics, for example, their behavior and their expectations of the organization.

Concerns about the Terminology

One major concern about considering people as assets or resources is that they will be commoditized, objectified and abused. Some analysis suggests that human beings are not "commodities" or "resources", but are creative and social beings in a productive enterprise. The 2000 revision of ISO 9001, in contrast, requires identifying the processes, their sequence and interaction, and to define and communicate responsibilities and authorities. In general, heavily unionised nations such as France and Germany have adopted and encouraged such approaches. Also, in 2001, the International Labour Organization decided to revisit and revise its 1975 Recommendation 150 on Human Resources Development, resulting in its "Labour is not a commodity" principle. One view of these trends is that a strong social consensus on political economy and a good social welfare system facilitate labour mobility and tend to make the entire economy more productive, as labour can develop skills and experience in various ways, and move from one enterprise to another with little controversy or difficulty in adapting.

Another important controversy regards labour mobility and the broader philosophical issue with usage of the phrase "human resources". Governments of developing nations often regard developed nations that encourage immigration or "guest workers" as appropriating human capital that is more rightfully part of the developing nation and required to further its economic growth. Over time, the United Nations have come to more generally support the developing nations' point of view, and have requested significant offsetting "foreign aid" contributions so that a developing nation losing human capital does not lose the capacity to continue to train new people in trades, professions, and the arts.

Human Resources Development

Human resources play an important part of developing and making a company or organization at the beginning or making a success at the end, due to the labour provided by employees. Human resources is intended to show how to have better employment relations in the workforce. Also, to bring out the best work ethic of the employees and therefore making a move to a better working environment.

Human Resources Planning

Administration and operations used to be the two role areas of HR. The strategic planning component came into play as a result of companies recognizing the need to consider HR needs in goals and strategies. HR directors commonly sit on company executive teams because of the HR planning function. Numbers and types of employees and the evolution of compensation systems are among elements in the planning role. Various factors affecting Human Resource planning Organizational Structure, Growth, Business Location, Demographic changes, environmental uncertainties, expansion etc. Additionally, this area encompasses the realm of talent management.

Organizational Theory

Organizational theory is approaches to organizational analysis. Theories of organizations include rational system perspective, division of labor, modernization theory, bureaucratic theory, and contingency theory.

In a rational organization system, there are two significant parts: Specificity of Goals and Formalization. The division of labor is the specialization of individual labor roles, associated with increasing output and trade. Modernization theorist Frank Dobbin states "modern institutions are transparently purposive and that we are in the midst an evolutionary progression towards more efficient forms". Max Weber's conception of bureaucracy is characterized by the presence of impersonal positions that are earned and not inherited, rule-governed decision-making, professionalism, chain of command, defined responsibility, and bounded authority. The contingency theory holds that an organization must try to maximize performance by minimizing the effects of varying environmental and internal constraints.

Dwight Waldo noted in a review of field work in 1978: "Organization theory is characterized by vogues, heterogeneity, claims and counterclaims", and even greater differentiation in theory and

practice have developed since then. Organization theory certainly cannot be described as an orderly progression of ideas, or a unified body of knowledge in which each development builds carefully on and extends the one before it. Rather, developments in theory and prescriptions for practice show disagreement about the purposes and uses of a theory of organization, the issues to which it should address itself (such as supervisory style and organizational culture), and the concepts and variables that should enter into such a theory.

Rise of Organizations

Organizations are defined as social units of people that are structured and managed to meet a need, or to pursue collective goals.

Organizations in the United States are said to have risen within a variety of social and historical contexts. Several of those factors are credited with making organizations viable and necessary options for citizens, and they built on one another to bring organizations to the level of importance that they have as of 2015.

In 1820 about 20% of the United States population depended on a wage income. That percentage increased to 90% by 1950. Generally, by 1950, farmers and craftsmen were the only people not dependent on working for someone else. Prior to that time, most people were able to survive by hunting and farming their own food, making their own supplies, and remaining almost fully self-sufficient. As transportation became more efficient and technologies developed, self-sufficiency became an economically poor choice. As in the Lowell Textile Mills, various machines and processes were developed for each step of the production process, thus making mass production a cheaper and faster alternative to individual production. In addition, as the population grew and transportation improved, the pre-organizational system struggled to support the needs of the market. These conditions made for a wage-dependent population that sought out jobs in growing organizations, leading to a shift away from individual and family production.

In addition to a shift to wage dependence, externalities from industrialization also created a perfect opportunity for the rise of organizations. Various negative effects such as pollution, workplace accidents, crowded cities, and unemployment became rising concerns. Rather than small groups such as families and churches being able to control these problems as they had in the past, new organizations and systems were required. These organizations were less personal, more distant, and more centralized, but what they lacked in locality they made up for in efficiency. Along with wage dependency and externalities, the growth of industry also played a large role in the development of organizations. Markets that were quickly growing needed workers urgently, so a need developed for organizational structures to guide and support those new workers. Some of the first New England factories initially relied on the daughters of farmers; later, as the economy changed, they began to gain workers from the former farming classes, and finally, from European immigrants. Many Europeans left their homes for the promises of US industry, and about 60% of those immigrants stayed in the country. They became a permanent class of workers in the economy, which allowed factories to increase production and produce more than they had before. With this large growth came the need for organizations and for leadership that was not previously needed in small businesses and firms.

Overall, the historical and social context in which organizations arose in the United States allowed

not only for the development of organizations, but also for their spread and growth. Wage dependency, externalities, and growth of industries all played into the change from individual, family, and small-group production and regulation to large organizations and structure.

Although the decline in small business might not seem to explain the way in which the development of organizations leads to increased aggregate economic return, it exemplifies the competitive nature of capitalism. As organizations develop, they devour smaller organizations that cannot keep up and allow for the evolution of innovative management and production techniques, which can then be used by other larger companies. The development of organizations demands more highly skilled workers as they continue to grow. It also builds precautionary measures on cutting-edge technology. It increases the need for specialization and accounts of functionalism in various organizations and their respective societies. Through much advancement in the interaction of capitalistic bureaucracies, the development of organizations has driven contemporary firms to thrive in modern society.

Competing Theories of Organization

As organizations were implemented over time, many people experimented as to which organizational theory was best. These theories of organizations include Bureaucracy, Rationalization (Scientific Management), and the Division of Labor. Each theory provides distinct advantages and disadvantages when implemented.

Weber's ideal of bureaucracy

- Official Jurisdiction on all areas is ordered by rules or laws already implemented.
- There is an office hierarchy; a system of super- and sub-ordination in which lower offices are supervised by higher ones.
- The management of the modern office is based upon written rules, which are preserved in their original form.
- Office management requires training and specialization.
- When the office is developed/established it requires the full working capacity of individuals.
- Rules are stable and can be learned. Knowledge of these rules can be viewed as expertise within the bureaucracy (these allow for the management of society)

When a bureaucracy is implemented, they can provide accountability, responsibility, control, and consistency. The hiring of employees will be an impersonal and equal system.

Although the classical perspective encourages efficiency, it is often criticized as ignoring human needs. Also, it rarely takes into consideration human error or the variability of work performances (since each worker is different).

In the case of the Space Shuttle *Challenger* disaster, NASA managers overlooked the possibility of human error.

Rational System Perspective

In a rational organization system, there are two significant parts: Specificity of Goals and For-

malization. Goal specification provides guidelines for specific tasks to be completed along with a regulated way for resources to be allocated. Formalization is a way to standardize organizational behavior. As a result, there will be stable expectations, which create the rational organizational system.

- Scientific Management: Taylor analyzed how to maximize the amount of output with the least amount of input. This was Taylor's attempt to rationalize the individual worker.

1. Divide work between managers and workers
2. Provide incentive system (based on performance)
3. Scientifically trained workers
4. Create a science for each individual's responsibilities
5. Make sure work is done on time/efficiently

There are problems that arose out of scientific management. One is that the standardization leads workers to rebel against mundanes. Another is that workers may reject the incentive system because they are required to constantly work at their optimum level, an expectation that may be unrealistic.

Division of Labor

The division of labor is the specialization of individual labor roles. It is often associated with increasing output and trade. According to Adam Smith, the division of labor is efficient due to three reasons: occupational specialization, saving from not changing tasks, and machines taking the place of human labor. Occupational specialization leads to increased productivity and distinct skill. Also, Smith argued that human and physical capital must be similar or matched; if the skill of workers were matched with technological improvements, there would be a major increase in productivity.

Although the division of labor is often viewed as inevitable in a capitalistic society, there are several specific problems that may arise. They include a lack of creativity, monotony, and lack of mobility. Creativity will naturally suffer due the monotonous atmosphere that the division of labor creates. Doing the same routines may not be for everyone. Also, employees aren't familiar with other parts of the job. They cannot assist employers of different parts of the system.

Modernization Theory

Modernization "began when a nation's rural population started moving from the countryside to cities" (Shah 3). It deals with the cessation of traditional methods in order to pursue more contemporary effective methods of organization. Urbanization is an inevitable characteristic of society because the formation of industries and factories induces profit maximization. It is fair to assume that along with the increase in population, as a result of the subsequent urbanization, is the demand for an intelligent and educated labor force (Shah 3). Following the 1950s, Western culture utilized the effects of mass media coverage to communicate their good fortune attributed to modernization. The coverage promoted "psychic mobility" among the social class and increased the aspirations of many hopefuls in developing economic countries (Shah 4). Under this theory, any country could modernize by using Western civilization as a template.

Although this theory of modernization seemed to pride itself on only the benefits, countries in the Middle East saw this movement in a new light. Middle Eastern countries believed that the media coverage of modernization implied that the more "traditional" societies have not "risen to a higher level of technological development" (Shah 6). Consequently, they believed a movement that benefits those who have the monetary resources to modernize technological development would discriminate against the minorities and poor masses (Shah 6). Thus, they were reluctant to modernize because of the economic gap it would create between the rich and the poor.

The growth of modernization took place beginning in the 1950s. For the ensuing decade, people analyzed the diffusion of technological innovations within Western society and the communication that helped it disperse globally ("Modernization theory"). This first "wave" as it became known had some significant ramifications. First, economic development was enhanced from the spread of new technological techniques. And second, modernization supported a more educated society (as mentioned above), and thus a more qualified labor force ("Modernization Theory"). The second wave took place between the years 1960 and 1970. This period was labeled anti-modernization, because it saw the push of innovations of Western society onto developing countries as an exertion of dominance ("modernization theory"). It refuted the concept of relying heavily on mass media for the betterment of society. The last wave of modernization theory, which took place in the 1990s, depicts impersonality (Perrow 737). As uses of newspapers, TVs, and radios become more prevalent, the need for direct contact, a concept traditional organizations took pride in, diminishes. Thus, organizational interactions become more distant ("Modernization Theory").

According to Frank Dobbin, the modern worldview is the idea that "modern institutions are transparently purposive and that we are in the midst an evolutionary progression towards more efficient forms (138)." This phrase epitomizes the goal of modern firms, bureaucracies, and organizations to maximize efficiency. The key to achieving this goal is through scientific discoveries and innovations (Dobbin 139). Dobbin discusses the outdated role of culture in organizations. "New Institutionalists" explored the significance of culture in the modern organization (Dobbin 117). However, the rationalist worldview counters the use of cultural values in organizations, stating, "transcendental economic laws exist, that existing organizational structures must be functional under the parameters of those laws, [and] that the environment will eliminate organizations that adopt non-efficient solutions" (Dobbin 138). These laws govern the modern organizations and lead them in the direction that will maximize profits efficiently. Thus, the modernity of organizations is to generate maximum profit, through the uses of mass media, technological innovations, and social innovations in order to effectively allocate resources for the betterment of the global economy.

Classical Perspective

The classical perspective emerges from the Industrial Revolution and centers on theories of efficiency. There are two subtopics under the classical perspective: the scientific management and bureaucracy theory.

Efficiency and Teleological Arguments in Weberian Bureaucracy

Max Weber believed that an ideal bureaucracy consists of six specific characteristics: hierarchy of command, impersonality, written rules of conduct, advancement based on achievement, specialized division of labor, and efficiency. This ultimate characteristic of Weberian bureaucracy, which

states that bureaucracies are very efficient, is controversial and by no means accepted by all sociologists. There are certainly both positive and negative consequences to bureaucracy, and strong arguments for both the efficiency and inefficiency of bureaucracies.

While Max Weber's work was published in the late 1800s and early 1900s, before his death in 1920, his work is still referenced today in the field of sociology. Weber's theory of bureaucracy claims that it is extremely efficient, and even goes as far as to claim that bureaucracy is the most efficient form of organization. Weber claimed that bureaucracies are necessary to ensure the continued functioning of society, which has become drastically more modern and complex in the past century. Furthermore, he claimed that without the structured organization of bureaucracy, our complex society would be much worse off, because society would act in an inefficient and wasteful way. He saw bureaucracies as organizations driven towards certain goals, which they could carry out efficiently. In addition, within an organization that operates under bureaucratic standards, the members will be better off due to the heavy regulation and detailed structure. Not only does bureaucracy make it much more difficult for arbitrary and unfair personal favors to be carried out, it also means that promotions and hiring will generally be done completely by merit.

Weber most definitely saw bureaucracies as goal-driven, efficient organizations, but one must not come to the quick and incorrect conclusion that he saw no downfalls to bureaucracy. He recognized that there are constraints within the bureaucratic system. First of all, he realized that bureaucracies were ruled by very few people with very large amounts of unregulated power. This tends to lead to a situation of oligarchy, whereby a limited number of officials become the political and economic power. Furthermore, Weber considered further bureaucratization to be an "inescapable fate", because it is supposedly superior to and more efficient than other forms of organization. Weber's analysis of bureaucracies led him to believe that they are too inherently limiting to individual human freedom and he feared that people would begin to be too controlled by bureaucracies. His rationale comes from the knowledge that the strict methods of administration and legitimate forms of authority associated with bureaucracy act to eliminate human freedom.

Regardless of whether or not bureaucracies should be considered positively efficient or too efficient to the extent that they become negative, Weberian bureaucracy tends to offer a teleological argument. A theory, in this case bureaucracy, is considered to be teleological if it involves aiming at specific goals. Weber claimed that bureaucracies are goal-oriented organizations, which use their efficiency and rational principles to reach their goals. A teleological analysis of businesses leads to the inclusion of all involved stakeholders in decision-making. The teleological view of Weberian bureaucracy postulates that all actors in an organization have various ends or goals, and attempt to find the most efficient way to achieve these goals.

Scientific Management

The scientific management theory was introduced by Frederick Winslow Taylor to encourage production efficiency and productivity. Taylor argues that inefficiencies could be controlled through managing production as a science. Taylor defines scientific management as "concerned with knowing exactly what you want men to do and then see in that they do it in the best and cheapest way." According to Taylor, scientific management affects both workers and employers, and stresses the control of the labour force by management.

The Principles of Scientific Management

Taylor identifies four inherent principles of the scientific management theory.

1. The creation of a scientific method of measurement that replaces the "rule-of-thumb" method
2. Emphasis placed on the training of workers by management
3. Co-operation between manager and workers to ensure the principles are being met
4. Equal division of labour between managers and workers

Bureaucratic Theory

The scholar most closely associated with Bureaucratic theory is Max Weber. In *Economy and Society*, his seminal book published in 1922, Weber articulates the necessary conditions and descriptive features of bureaucracy. An organization governed under Weber's conception of bureaucracy is characterized by the presence of impersonal positions that are earned and not inherited, rule-governed decision-making, professionalism, chain of command, defined responsibility, and bounded authority.

Weber begins his discussion of bureaucracy by introducing the concept of 'jurisdictional areas': institutions governed by a specific set of rules or laws. In a 'jurisdictional area' regular activities are assigned as official duties, the authority to assign these duties is distributed through a set of rules, and duties are fulfilled continuously by qualified individuals. These elements make up a bureaucratic agency in the case of the state and a bureaucratic enterprise in the private economy.

There are several additional features that comprise a Weberian bureaucracy:

- It is possible to find the utilization of hierarchical subordination in all bureaucratic structures. This means that higher-level offices supervise lower level offices.
- In bureaucracies, personal possessions are kept separate from the monies of the agency or the enterprise.
- People who work within a bureaucracy are usually trained in the appropriate field of specialization.
- Bureaucratic officials are expected to contribute their full working capacity to the organization.
- Positions within a bureaucratic organization must follow a specific set of general rules.

Weber argued that in bureaucracy, taking on a position or office signifies an assumption of a specific duty necessary for the organization. This conception is distinct from historical working relationships in which a worker served a specific ruler, not an institution.

The hierarchical nature of bureaucracies allows employees to demonstrate achieved social status. When an office holder is elected instead of appointed, that person is no longer a purely bureaucratic figure. He derives his power 'from below' instead of 'from above'. When a high-ranking officer selects officials, they are more likely to be chosen for reasons related to the benefit of the

superior than the competency of the new hire. When high-skilled employees are necessary for the bureaucracy and public opinion shapes decision-making, competent officers are more likely to be selected.

According to Weber, if 'tenure for life' is legally guaranteed, an office becomes perceived as less prestigious than a position that can be replaced at any time. If 'tenure for life' or a 'right to the office' develops, there is a decrease in career opportunities for ambitious new hires and overall technical efficiency becomes less guaranteed.

In a bureaucracy, salaries are provided to officials. The amount is determined on the basis of rank and helps to signify the desirability of a position. Bureaucratic positions also exist as part of stable career tracks that reward office-holders for seniority.

Weber argues that the development of a 'money economy' is the "normal precondition for the unchanged survival, if not the establishment, of pure bureaucratic administrations". Since bureaucracy requires sustained revenues from taxation or private profits in order to be maintained, a money economy is the most rational way to ensure its continued existence.

Weber posits that officials in a bureaucracy have a property right to their office and attempts at exploitation by a superior means the abandonment of bureaucratic principles. He articulates that providing a status incentive to inferior officers helps them to maintain self-respect and fully participate in hierarchical frameworks. Michel Crozier reexamined Weber's theory in 1964 and determined that bureaucracy is flawed because hierarchy causes officers to engage in selfish power struggles that damage the efficiency of the organization.

Criticism of the Weber's Theory of Bureaucracy

Weber's theories were purposed to set a stage for other organizations to follow, and the characteristics are so ideal that they may be impossible for any actual organization to succeed. He wanted to come up with a set of guidelines that would favor both efficiency and, most importantly, conditions that would make the workers top priority. It was common for earlier theorists to distort Weber's views, and today, people still make the same mistakes as they did when Weber's views first came into play. He has always been critiqued for the branches of his ideas that don't work in reality, but the point of his theory was not to actually create an organization, but to create an ideal model for other organizations to follow.

One big misconception that people have had in the past is a question of Weber's morality due to their oversimplification of his characteristics of a pure bureaucracy. "There is dangerous risk of oversimplification in making Weber seem cold and heartless to such a degree that an efficiently-run Nazi death camp might appear admirable" (Bureaucracy Theory). In reality, Weber believed that by using human logic in his system, organizations could achieve improvement of human condition in various workplaces. Complexity in an organization yields the highest success, therefore simplifying it leads to the illusions of over-authority and intense hierarchical power that are inaccurate of Weber's beliefs.

Another critique of Weber's theory is the argument of efficiency. Highest efficiency, in theory, can be attained through pure work with no regard for the workers (for example, long hours with little pay), which is why oversimplification can be dangerous. If we were to take one characteristic focus-

ing on efficiency, it would seem like Weber is promoting unhealthy work conditions, when in fact, he wanted the complete opposite. Taking all of the characteristics together will produce the ideal organization, but since a pure bureaucracy is nearly impossible to obtain, efficiency takes the back seat in his beliefs. Though his theories include characteristics of a highly efficient organization, these characteristics are only meant to set a model for other organizations to follow, and if all the other conditions are not perfect, the organization is not pure.

With this said, the characteristics of Weber's theory have to all be perfect for a bureaucracy to function at its highest potential. "Think of the concept as a bureau or desk with drawers in it, which seems to call out to you, demanding that everything must fit in its place" (Bureaucracy Theory). If one object in the drawer does not fit properly, the entire drawer becomes untidy, which is exactly the case in Weber's theory; if one characteristic is not fulfilled the rest of them are unable to work in unison, leaving the organization performing below its full potential.

One characteristic that was meant to better workplace conditions was his rule that "Organization follows hierarchical principle – subordinates follow orders or superiors, but have right of appeal (in contrast to more diffuse structure in traditional authority)" (Bureaucracy (Weber)). In other words, everyone in a company or any sort of work environment has the opportunity and right to disagree or to speak up if they are unhappy with something rather than not voice their opinion in fear of losing their job. Open communication is a very important part of Weber's ideal bureaucracy, and is practiced today. Because of the communication it may not be the most efficient, but Weber would argue that improved human conditions are more important than efficiency.

It is hard to critique Weber's theories strictly because of the fact that they are theories; they are nearly impossible to perform in real life, and therefore difficult to verify. They are merely a set of guidelines that make up bureaucracy, which today many believe is the best way to run organizations in all aspects.

Neoclassical Perspective

The Neoclassical perspective began with the Hawthorne studies in the 1920s. This approach gave emphasis to "affective and socio-psychological aspects of human behavior in organizations." The human relations movement was a movement which had the primary concerns of concentrating on topics such as morale, leadership.

Hawthorne Study

A number of sociologists and psychologists made major contributions to the study of the neoclassical perspective, which is also known as the human relations school of thought. Elton Mayo and his colleagues were the most important contributors to this study because of their famous Hawthorne study from the "Hawthorne plant of the Western Electric Company between 1927 and 1932."

The Hawthorne study suggested that employees have social and psychological needs along with economic needs in order to be motivated to complete their assigned tasks. This theory of management was a product of the strong opposition against "the Scientific and universal management process theory of Taylor and Fayol." This theory was a response to the way employees were treated in companies and how they were deprived of their needs and ambitions.

In November 1924, a team of researcher – professors from the renowned Harvard Business school of USA began investigating into the human aspects of work and working conditions at the Hawthorne plant of Western Electric Company, Chicago. The company was producing bells and other electric equipments for the telephone industry. Prominent Professors included in the research team were Elton Mayo (Psychologist), Roethlisberger and Whilehead (Sociologist), and William Dickson (Company representative). The team conducted four separate experimental and behavioural studies over a seven-year period. These were:

1. '*Illumination Experiments (1924–27) to find out the effect of illumination on worker's productivity.*'
2. '*Relay Assembly Test Room experiment (1927–28) to find out the effect of changes in number of work hour and related working condition on worker productivity.*'
3. '*Experiment in interviewing Working: In 1928, a number of researchers went directly to workers, kept the variables of previous experiment aside, and talked about what was, in their opinion, important to them. Around 20,000 workers were interviewed over a period of two years. The interviews enabled the researchers to discover a rich and intriguing world that previously remained undiscovered and unexamined within the Hawthorne studies undertaken so far. The discovery of the informal organisation and its relationship to the formal organization was the landmark of experiments in interviewing workers. These experiment led to a richer understanding of the social, interpersonal dynamics of people at work.*'
4. '*Bank wiring Room Experiments (1931–32) to find out social system of an organization.*'

Results of the Hawthorne Studies

The Hawthorne studies helped conclude that "a human/social element operated in the workplace and that productivity increases were as much an outgrowth of group dynamics as of managerial demands and physical factors." The Hawthorne studies also concluded that although financial motives were important, social factors are just as important in defining the worker-productivity.

Hawthorne Effect was the improvement of productivity between the employees, it was characterized by:

- The satisfactory interrelationships between the coworkers.
- It classifies personnel as social beings and proposes that sense of belonging in the workplace is important to increase productivity levels in the workforce.
- An effective management understood the way people interacted and behaved within the group.
- The management attempts to improve the interpersonal skills through motivations, leading, communication and counseling.
- This study encourages managers to acquire minimal knowledge of behavioral sciences to be able to understand and improve the interactions between employees.

Criticism of the Hawthorne Study

Critics believed that Mayo gave a lot of importance to the social side of the study rather than addressing the needs of an organization. Also, they believed that the study takes advantage of employees because it influences their emotions by making it seem as if they are satisfied and content, however it is merely a tool that is being used to further advance the productivity of the organization.

Modern Organizational Theory

There was a wave of scholarly attention to organizational theory in the 1950s, which from some viewpoints held the field to still be in its infancy. A 1959 symposium held by the Foundation for Research on Human Behavior in Ann Arbor, Michigan, was published as *Modern Organization Theory*. Among a group of eminent organizational theorists active in during this decade were E. Wight Bakke, Chris Argyris, James G. March, Rensis Likert, Jacob Marschak, Anatol Rapoport, and William Foote Whyte.

Polyphonic Organizations

The scholar most closely associated with the research about polyphonic organizations is de:Niels Åkerstrøm Andersen\. Niels Andersen believes that modern organizations have exploded beyond their original organizational boundaries. For many years, private companies have automatically been understood as part of the economy in the same way that political parties are considered a part of politics and museums are considered a part of art. Today, concepts are linked together, according to Niels Andersen, is this called the polyphonic organizational-movement. This claim was first made back in 1963 by Richard M. Cyert and James G. March in the book "A behavioral theory of the firm". They said that organizations rarely operate with only one value, according to Cyert and March, do organizations actually often operate with more values in their everyday behavior. Niels Andersen elaborate on this assertion in many of his publications.

The Theory of the Polyphonic Organization

Niels Andersen's research about polyphonic organization arise out of his understanding of the society as functionally differentiated. The society is divided into a number of countless communication systems (social systems) with their own values and commutative code. Niels Andersen is inspired by the German sociologist Nicklas Nicklas Luhmann and his theory about social systems. The core element of Luhmann's theory, pivots around the problem of the contingency of the meaning. In other words, the system theory becomes a theory of communication and how meaning is created within different social systems.

Niels Anders uses the elements of Luhmann's system theory to describe the differentiation of the society and connect that to the evolution of the modern organization. According to Andersen is the society functionally differentiated into a wide range of systems with their own binary code. The binary codes set some distinctions between a positive and negative value and divide the world in two halves. The understanding of the world is made throughout one side of the binary code. Andersen says, that an organizational system always communicates and create meaning through a function system (binary code). In other words, an organization can only communicate through

one side of one binary code at the same time. Throughout history have organizations always used several codes in their communication, but they have always had a primary codification. Andersen call this type of organization a homophonic organization. The homophonic organization is no longer excised in today's society. According to Andersen, do we today have polyphonic organizations. The polyphonic organizations have emerged as a result of the way that the function systems have exploded beyond their organizational forms. A polyphonic organization is an organization that is connected to several function systems without a predefined primary function system (multiple binary codifications). In other words, the polyphonic organization is an organization that describes itself through many codes.

Andersen addresses how it can be difficult for companies to plan their communication and action because they have to mediate between many codes at the same time. There is no longer a predicted hierarchy of codes and therefore no connection between organizations and specific communication. This can also create management challenges for companies because they have to take more factors into account compared earlier. Andersen's view on polyphonic organizations provides a new way to critical examine modern organization and their communication decisions.

Environmental Perspective

Contingency Theory

The contingency theory views organization design as "a constrained optimization problem," meaning that an organization must try to maximize performance by minimizing the effects of varying environmental and internal constraints. Contingency theory claims there is no best way to organize a corporation, to lead a company, or to make decisions. An organizational, leadership, or decision making style that is effective in some situations, may not be successful in other situations. The optimal organization, leadership, or decision making style depends upon various internal and external constraints (factors).

Factors

Some examples of such constraints (factors) include:

- The size of the organization
- How the firm adapts itself to its environment
- Differences among resources and operations activities

1. Contingency on the Organization

In the contingency theory on the organization, it states that there is no universal or one best way to manage an organization. Secondly, the organizational design and its subsystems must "fit" with the environment and lastly, effective organizations must not only have a proper "fit" with the environment, but also between its subsystems.

2. Contingency Theory of Leadership

In the contingency theory of leadership, the success of the leader is a function of various factors in

the form of subordinate, task, and/ or group variables. The following theories stress using different styles of leadership appropriate to the needs created by different organizational situations. Some of these theories are:

The contingency theory: The contingency model theory, developed by Fred Fiedler, explains that group performance is a result of interaction between the style of the leader and the characteristics of the environment in which the leader works.

The Hersey–Blanchard situational theory: This theory is an extension of Blake and Mouton's Managerial Grid and Reddin's 3-D Management style theory. This model expanded the notion of relationship and task dimensions to leadership, and readiness dimension.

3. Contingency theory of Decision-making

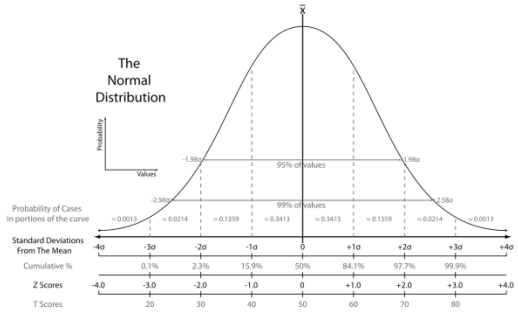
The effectiveness of a decision procedure depends upon a number of aspects of the situation:

- The importance of the decision quality and acceptance.
- The amount of relevant information possessed by the leader and subordinates.
- The amount of disagreement among subordinates with respect to their alternatives.

Criticism

It has been argued that the contingency theory implies that a leader switch is the only method to correct any problems facing leadership styles in certain organizational structures. In addition, the contingency model itself has been questioned in its credibility.

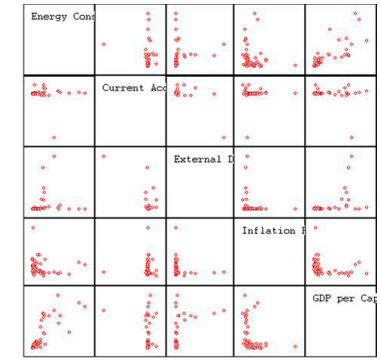
Statistics



More probability density is found as one gets closer to the expected (mean) value in a normal distribution. Statistics used in standardized testing assessment are shown. The scales include *standard deviations, cumulative percentages, percentile equivalents, Z-scores, T-scores, standard nines,* and *percentages in standard nines.*

Statistics is the study of the collection, analysis, interpretation, presentation, and organization of data. In applying statistics to, e.g., a scientific, industrial, or social problem, it is conventional to

begin with a statistical population or a statistical model process to be studied. Populations can be diverse topics such as "all people living in a country" or "every atom composing a crystal". Statistics deals with all aspects of data including the planning of data collection in terms of the design of surveys and experiments.



Scatter plots are used in descriptive statistics to show the observed relationships between different variables.

Some popular definitions are:

- Merriam-Webster dictionary defines statistics as "classified facts representing the conditions of a people in a state – especially the facts that can be stated in numbers or any other tabular or classified arrangement".
- Statistician Sir Arthur Lyon Bowley defines statistics as "Numerical statements of facts in any department of inquiry placed in relation to each other".

When census data cannot be collected, statisticians collect data by developing specific experiment designs and survey samples. Representative sampling assures that inferences and conclusions can safely extend from the sample to the population as a whole. An experimental study involves taking measurements of the system under study, manipulating the system, and then taking additional measurements using the same procedure to determine if the manipulation has modified the values of the measurements. In contrast, an observational study does not involve experimental manipulation.

Two main statistical methodologies are used in data analysis: descriptive statistics, which summarizes data from a sample using indexes such as the mean or standard deviation, and inferential statistics, which draws conclusions from data that are subject to random variation (e.g., observational errors, sampling variation). Descriptive statistics are most often concerned with two sets of properties of a *distribution* (sample or population): *central tendency* (or *location*) seeks to characterize the distribution's central or typical value, while *dispersion* (or *variability*) characterizes the extent to which members of the distribution depart from its center and each other. Inferences on mathematical statistics are made under the framework of probability theory, which deals with the analysis of random phenomena.

A standard statistical procedure involves the test of the relationship between two statistical data sets, or a data set and a synthetic data drawn from idealized model. A hypothesis is proposed for the statistical relationship between the two data sets, and this is compared as an alternative to an idealized null hypothesis of no relationship between two data sets. Rejecting or disproving the null

hypothesis is done using statistical tests that quantify the sense in which the null can be proven false, given the data that are used in the test. Working from a null hypothesis, two basic forms of error are recognized: Type I errors (null hypothesis is falsely rejected giving a "false positive") and Type II errors (null hypothesis fails to be rejected and an actual difference between populations is missed giving a "false negative"). Multiple problems have come to be associated with this framework: ranging from obtaining a sufficient sample size to specifying an adequate null hypothesis.

Measurement processes that generate statistical data are also subject to error. Many of these errors are classified as random (noise) or systematic (bias), but other types of errors (e.g., blunder, such as when an analyst reports incorrect units) can also be important. The presence of missing data and/or censoring may result in biased estimates and specific techniques have been developed to address these problems.

Statistics can be said to have begun in ancient civilization, going back at least to the 5th century BC, but it was not until the 18th century that it started to draw more heavily from calculus and probability theory. Statistics continues to be an area of active research, for example on the problem of how to analyze Big data.

Scope

Statistics is a mathematical body of science that pertains to the collection, analysis, interpretation or explanation, and presentation of data, or as a branch of mathematics. Some consider statistics to be a distinct mathematical science rather than a branch of mathematics. While many scientific investigations make use of data, statistics is concerned with the use of data in the context of uncertainty and decision making in the face of uncertainty.

Mathematical Statistics

Mathematical statistics is the application of mathematics to statistics, which was originally conceived as the science of the state — the collection and analysis of facts about a country: its economy, land, military, population, and so forth. Mathematical techniques used for this include mathematical analysis, linear algebra, stochastic analysis, differential equations, and measure-theoretic probability theory.

Overview

In applying statistics to a problem, it is common practice to start with a population or process to be studied. Populations can be diverse topics such as "all persons living in a country" or "every atom composing a crystal".

Ideally, statisticians compile data about the entire population (an operation called census). This may be organized by governmental statistical institutes. Descriptive statistics can be used to summarize the population data. Numerical descriptors include mean and standard deviation for continuous data types (like income), while frequency and percentage are more useful in terms of describing categorical data (like race).

When a census is not feasible, a chosen subset of the population called a sample is studied. Once a sample that is representative of the population is determined, data is collected for the sample

members in an observational or experimental setting. Again, descriptive statistics can be used to summarize the sample data. However, the drawing of the sample has been subject to an element of randomness, hence the established numerical descriptors from the sample are also due to uncertainty. To still draw meaningful conclusions about the entire population, inferential statistics is needed. It uses patterns in the sample data to draw inferences about the population represented, accounting for randomness. These inferences may take the form of: answering yes/no questions about the data (hypothesis testing), estimating numerical characteristics of the data (estimation), describing associations within the data (correlation) and modeling relationships within the data (for example, using regression analysis). Inference can extend to forecasting, prediction and estimation of unobserved values either in or associated with the population being studied; it can include extrapolation and interpolation of time series or spatial data, and can also include data mining.

Data Collection

Sampling

When full census data cannot be collected, statisticians collect sample data by developing specific experiment designs and survey samples. Statistics itself also provides tools for prediction and forecasting the use of data through statistical models. To use a sample as a guide to an entire population, it is important that it truly represents the overall population. Representative sampling assures that inferences and conclusions can safely extend from the sample to the population as a whole. A major problem lies in determining the extent that the sample chosen is actually representative. Statistics offers methods to estimate and correct for any bias within the sample and data collection procedures. There are also methods of experimental design for experiments that can lessen these issues at the outset of a study, strengthening its capability to discern truths about the population.

Sampling theory is part of the mathematical discipline of probability theory. Probability is used in mathematical statistics to study the sampling distributions of sample statistics and, more generally, the properties of statistical procedures. The use of any statistical method is valid when the system or population under consideration satisfies the assumptions of the method. The difference in point of view between classic probability theory and sampling theory is, roughly, that probability theory starts from the given parameters of a total population to deduce probabilities that pertain to samples. Statistical inference, however, moves in the opposite direction—inductively inferring from samples to the parameters of a larger or total population.

Experimental and Observational Studies

A common goal for a statistical research project is to investigate causality, and in particular to draw a conclusion on the effect of changes in the values of predictors or independent variables on dependent variables. There are two major types of causal statistical studies: experimental studies and observational studies. In both types of studies, the effect of differences of an independent variable (or variables) on the behavior of the dependent variable are observed. The difference between the two types lies in how the study is actually conducted. Each can be very effective. An experimental study involves taking measurements of the system under study, manipulating the system, and then taking additional measurements using the same procedure to determine if the manipulation

has modified the values of the measurements. In contrast, an observational study does not involve experimental manipulation. Instead, data are gathered and correlations between predictors and response are investigated. While the tools of data analysis work best on data from randomized studies, they are also applied to other kinds of data – like natural experiments and observational studies – for which a statistician would use a modified, more structured estimation method (e.g., Difference in differences estimation and instrumental variables, among many others) that produce consistent estimators.

Experiments

The basic steps of a statistical experiment are:

1. Planning the research, including finding the number of replicates of the study, using the following information: preliminary estimates regarding the size of treatment effects, alternative hypotheses, and the estimated experimental variability. Consideration of the selection of experimental subjects and the ethics of research is necessary. Statisticians recommend that experiments compare (at least) one new treatment with a standard treatment or control, to allow an unbiased estimate of the difference in treatment effects.
2. Design of experiments, using blocking to reduce the influence of confounding variables, and randomized assignment of treatments to subjects to allow unbiased estimates of treatment effects and experimental error. At this stage, the experimenters and statisticians write the *experimental protocol* that will guide the performance of the experiment and which specifies the *primary analysis* of the experimental data.
3. Performing the experiment following the experimental protocol and analyzing the data following the experimental protocol.
4. Further examining the data set in secondary analyses, to suggest new hypotheses for future study.
5. Documenting and presenting the results of the study.

Experiments on human behavior have special concerns. The famous Hawthorne study examined changes to the working environment at the Hawthorne plant of the Western Electric Company. The researchers were interested in determining whether increased illumination would increase the productivity of the assembly line workers. The researchers first measured the productivity in the plant, then modified the illumination in an area of the plant and checked if the changes in illumination affected productivity. It turned out that productivity indeed improved (under the experimental conditions). However, the study is heavily criticized today for errors in experimental procedures, specifically for the lack of a control group and blindness. The Hawthorne effect refers to finding that an outcome (in this case, worker productivity) changed due to observation itself. Those in the Hawthorne study became more productive not because the lighting was changed but because they were being observed.

Observational Study

An example of an observational study is one that explores the association between smoking and lung cancer. This type of study typically uses a survey to collect observations about the area of

interest and then performs statistical analysis. In this case, the researchers would collect observations of both smokers and non-smokers, perhaps through a cohort study, and then look for the number of cases of lung cancer in each group. A case-control study is another type of observational study in which people with and without the outcome of interest (e.g. lung cancer) are invited to participate and their exposure histories are collected.

Types of Data

Various attempts have been made to produce a taxonomy of levels of measurement. The psychophysicist Stanley Smith Stevens defined nominal, ordinal, interval, and ratio scales. Nominal measurements do not have meaningful rank order among values, and permit any one-to-one transformation. Ordinal measurements have imprecise differences between consecutive values, but have a meaningful order to those values, and permit any order-preserving transformation. Interval measurements have meaningful distances between measurements defined, but the zero value is arbitrary (as in the case with longitude and temperature measurements in Celsius or Fahrenheit), and permit any linear transformation. Ratio measurements have both a meaningful zero value and the distances between different measurements defined, and permit any rescaling transformation.

Because variables conforming only to nominal or ordinal measurements cannot be reasonably measured numerically, sometimes they are grouped together as categorical variables, whereas ratio and interval measurements are grouped together as quantitative variables, which can be either discrete or continuous, due to their numerical nature. Such distinctions can often be loosely correlated with data type in computer science, in that dichotomous categorical variables may be represented with the Boolean data type, polytomous categorical variables with arbitrarily assigned integers in the integral data type, and continuous variables with the real data type involving floating point computation. But the mapping of computer science data types to statistical data types depends on which categorization of the latter is being implemented.

Other categorizations have been proposed. For example, Mosteller and Tukey (1977) distinguished grades, ranks, counted fractions, counts, amounts, and balances. Nelder (1990) described continuous counts, continuous ratios, count ratios, and categorical modes of data.

The issue of whether or not it is appropriate to apply different kinds of statistical methods to data obtained from different kinds of measurement procedures is complicated by issues concerning the transformation of variables and the precise interpretation of research questions. “The relationship between the data and what they describe merely reflects the fact that certain kinds of statistical statements may have truth values which are not invariant under some transformations. Whether or not a transformation is sensible to contemplate depends on the question one is trying to answer” (Hand, 2004, p. 82).

Terminology and Theory of Inferential Statistics

Statistics, Estimators and Pivotal Quantities

Consider independent identically distributed (IID) random variables with a given probability distribution: standard statistical inference and estimation theory defines a random sample as the

random vector given by the column vector of these IID variables. The population being examined is described by a probability distribution that may have unknown parameters.

A statistic is a random variable that is a function of the random sample, but *not a function of unknown parameters*. The probability distribution of the statistic, though, may have unknown parameters.

Consider now a function of the unknown parameter: an estimator is a statistic used to estimate such function. Commonly used estimators include sample mean, unbiased sample variance and sample covariance.

A random variable that is a function of the random sample and of the unknown parameter, but whose probability distribution *does not depend on the unknown parameter* is called a pivotal quantity or pivot. Widely used pivots include the z-score, the chi square statistic and Student's t-value.

Between two estimators of a given parameter, the one with lower mean squared error is said to be more efficient. Furthermore, an estimator is said to be unbiased if its expected value is equal to the true value of the unknown parameter being estimated, and asymptotically unbiased if its expected value converges at the limit to the true value of such parameter.

Other desirable properties for estimators include: UMVUE estimators that have the lowest variance for all possible values of the parameter to be estimated (this is usually an easier property to verify than efficiency) and consistent estimators which converges in probability to the true value of such parameter.

This still leaves the question of how to obtain estimators in a given situation and carry the computation, several methods have been proposed: the method of moments, the maximum likelihood method, the least squares method and the more recent method of estimating equations.

Null Hypothesis and Alternative Hypothesis

Interpretation of statistical information can often involve the development of a null hypothesis which is usually (but not necessarily) that no relationship exists among variables or that no change occurred over time.

The best illustration for a novice is the predicament encountered by a criminal trial. The null hypothesis, H_0, asserts that the defendant is innocent, whereas the alternative hypothesis, H_1, asserts that the defendant is guilty. The indictment comes because of suspicion of the guilt. The H_0 (status quo) stands in opposition to H_1 and is maintained unless H_1 is supported by evidence "beyond a reasonable doubt". However, "failure to reject H_0" in this case does not imply innocence, but merely that the evidence was insufficient to convict. So the jury does not necessarily *accept* H_0 but *fails to reject* H_0. While one can not "prove" a null hypothesis, one can test how close it is to being true with a power test, which tests for type II errors.

What statisticians call an alternative hypothesis is simply an hypothesis that contradicts the null hypothesis.

Error

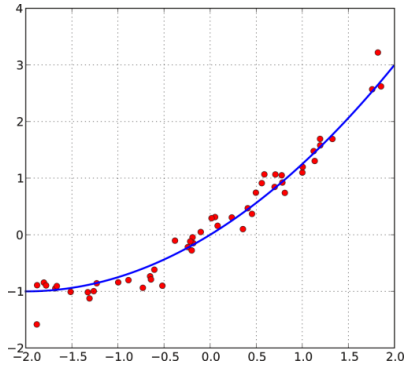
Working from a null hypothesis, two basic forms of error are recognized:

- Type I errors where the null hypothesis is falsely rejected giving a “false positive”.
- Type II errors where the null hypothesis fails to be rejected and an actual difference between populations is missed giving a “false negative”.

Standard deviation refers to the extent to which individual observations in a sample differ from a central value, such as the sample or population mean, while Standard error refers to an estimate of difference between sample mean and population mean.

A statistical error is the amount by which an observation differs from its expected value, a residual is the amount an observation differs from the value the estimator of the expected value assumes on a given sample (also called prediction).

Mean squared error is used for obtaining efficient estimators, a widely used class of estimators. Root mean square error is simply the square root of mean squared error.



A least squares fit: in red the points to be fitted, in blue the fitted line.

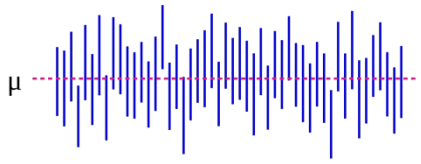
Many statistical methods seek to minimize the residual sum of squares, and these are called “methods of least squares” in contrast to Least absolute deviations. The latter gives equal weight to small and big errors, while the former gives more weight to large errors. Residual sum of squares is also differentiable, which provides a handy property for doing regression. Least squares applied to linear regression is called ordinary least squares method and least squares applied to nonlinear regression is called non-linear least squares. Also in a linear regression model the non deterministic part of the model is called error term, disturbance or more simply noise. Both linear regression and non-linear regression are addressed in polynomial least squares, which also describes the variance in a prediction of the dependent variable (y axis) as a function of the independent variable (x axis) and the deviations (errors, noise, disturbances) from the estimated (fitted) curve.

Measurement processes that generate statistical data are also subject to error. Many of these errors are classified as random (noise) or systematic (bias), but other types of errors (e.g., blunder, such as when an analyst reports incorrect units) can also be important. The presence of missing data and/or censoring may result in biased estimates and specific techniques have been developed to address these problems.

Interval estimation

Most studies only sample part of a population, so results don’t fully represent the whole population. Any estimates obtained from the sample only approximate the population value. Confidence

intervals allow statisticians to express how closely the sample estimate matches the true value in the whole population. Often they are expressed as 95% confidence intervals. Formally, a 95% confidence interval for a value is a range where, if the sampling and analysis were repeated under the same conditions (yielding a different dataset), the interval would include the true (population) value in 95% of all possible cases. This does *not* imply that the probability that the true value is in the confidence interval is 95%. From the frequentist perspective, such a claim does not even make sense, as the true value is not a random variable. Either the true value is or is not within the given interval. However, it is true that, before any data are sampled and given a plan for how to construct the confidence interval, the probability is 95% that the yet-to-be-calculated interval will cover the true value: at this point, the limits of the interval are yet-to-be-observed random variables. One approach that does yield an interval that can be interpreted as having a given probability of containing the true value is to use a credible interval from Bayesian statistics: this approach depends on a different way of interpreting what is meant by "probability", that is as a Bayesian probability.



Confidence intervals: the red line is true value for the mean in this example, the blue lines are random confidence intervals for 100 realizations.

In principle confidence intervals can be symmetrical or asymmetrical. An interval can be asymmetrical because it works as lower or upper bound for a parameter (left-sided interval or right sided interval), but it can also be asymmetrical because the two sided interval is built violating symmetry around the estimate. Sometimes the bounds for a confidence interval are reached asymptotically and these are used to approximate the true bounds.

Significance

Statistics rarely give a simple Yes/No type answer to the question under analysis. Interpretation often comes down to the level of statistical significance applied to the numbers and often refers to the probability of a value accurately rejecting the null hypothesis (sometimes referred to as the p-value).

The standard approach is to test a null hypothesis against an alternative hypothesis. A critical region is the set of values of the estimator that leads to refuting the null hypothesis. The probability of type I error is therefore the probability that the estimator belongs to the critical region given that null hypothesis is true (statistical significance) and the probability of type II error is the probability that the estimator doesn't belong to the critical region given that the alternative hypothesis is true. The statistical power of a test is the probability that it correctly rejects the null hypothesis when the null hypothesis is false.

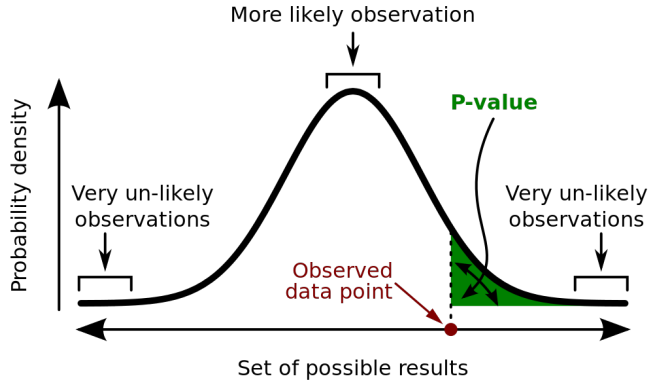
Referring to statistical significance does not necessarily mean that the overall result is significant in real world terms. For example, in a large study of a drug it may be shown that the drug has a statistically significant but very small beneficial effect, such that the drug is unlikely to help the patient noticeably.

Important:

Pr (observation | hypothesis) ≠ Pr (hypothesis | observation)

The probability of observing a result given that some hypothesis is true is *not equivalent* to the probability that a hypothesis is true given that some result has been observed.

Using the p-value as a "score" is committing an egregious logical error: **the transposed conditional fallacy.**



A **p-value** (shaded green area) is the probability of an observed (or more extreme) result assuming that the null hypothesis is true.

In this graph the black line is probability distribution for the test statistic, the critical region is the set of values to the right of the observed data point (observed value of the test statistic) and the p-value is represented by the green area.

While in principle the acceptable level of statistical significance may be subject to debate, the p-value is the smallest significance level that allows the test to reject the null hypothesis. This is logically equivalent to saying that the p-value is the probability, assuming the null hypothesis is true, of observing a result at least as extreme as the test statistic. Therefore, the smaller the p-value, the lower the probability of committing type I error.

Some problems are usually associated with this framework:

- A difference that is highly statistically significant can still be of no practical significance, but it is possible to properly formulate tests to account for this. One response involves going beyond reporting only the significance level to include the *p*-value when reporting whether a hypothesis is rejected or accepted. The p-value, however, does not indicate the size or importance of the observed effect and can also seem to exaggerate the importance of minor differences in large studies. A better and increasingly common approach is to report confidence intervals. Although these are produced from the same calculations as those of hypothesis tests or *p*-values, they describe both the size of the effect and the uncertainty surrounding it.
- Fallacy of the transposed conditional, aka prosecutor's fallacy: criticisms arise because the hypothesis testing approach forces one hypothesis (the null hypothesis) to be favored, since what is being evaluated is probability of the observed result given the null hypothesis and not probability of the null hypothesis given the observed result. An alternative to this

approach is offered by Bayesian inference, although it requires establishing a prior probability.

- Rejecting the null hypothesis does not automatically prove the alternative hypothesis.
- As everything in inferential statistics it relies on sample size, and therefore under fat tails p-values may be seriously mis-computed.

Examples

Some well-known statistical tests and procedures are:

- Analysis of variance (ANOVA)
- Chi-squared test
- Correlation
- Factor analysis
- Mann–Whitney *U*
- Mean square weighted deviation (MSWD)
- Pearson product-moment correlation coefficient
- Regression analysis
- Spearman's rank correlation coefficient
- Student's *t*-test
- Time series analysis
- Conjoint Analysis

Misuse

Misuse of statistics can produce subtle, but serious errors in description and interpretation—subtle in the sense that even experienced professionals make such errors, and serious in the sense that they can lead to devastating decision errors. For instance, social policy, medical practice, and the reliability of structures like bridges all rely on the proper use of statistics.

Even when statistical techniques are correctly applied, the results can be difficult to interpret for those lacking expertise. The statistical significance of a trend in the data—which measures the extent to which a trend could be caused by random variation in the sample—may or may not agree with an intuitive sense of its significance. The set of basic statistical skills (and skepticism) that people need to deal with information in their everyday lives properly is referred to as statistical literacy.

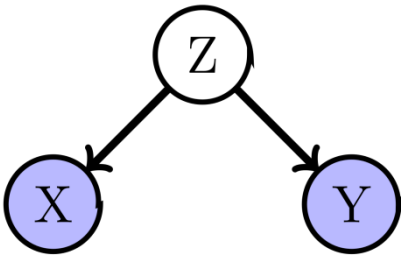
There is a general perception that statistical knowledge is all-too-frequently intentionally misused by finding ways to interpret only the data that are favorable to the presenter. A mistrust and misunderstanding of statistics is associated with the quotation, "There are three kinds of lies: lies,

damned lies, and statistics". Misuse of statistics can be both inadvertent and intentional, and the book *How to Lie with Statistics* outlines a range of considerations. In an attempt to shed light on the use and misuse of statistics, reviews of statistical techniques used in particular fields are conducted (e.g. Warne, Lazo, Ramos, and Ritter (2012)).

Ways to avoid misuse of statistics include using proper diagrams and avoiding bias. Misuse can occur when conclusions are overgeneralized and claimed to be representative of more than they really are, often by either deliberately or unconsciously overlooking sampling bias. Bar graphs are arguably the easiest diagrams to use and understand, and they can be made either by hand or with simple computer programs. Unfortunately, most people do not look for bias or errors, so they are not noticed. Thus, people may often believe that something is true even if it is not well represented. To make data gathered from statistics believable and accurate, the sample taken must be representative of the whole. According to Huff, "The dependability of a sample can be destroyed by [bias]... allow yourself some degree of skepticism."

To assist in the understanding of statistics Huff proposed a series of questions to be asked in each case:

- Who says so? (Does he/she have an axe to grind?)
- How does he/she know? (Does he/she have the resources to know the facts?)
- What's missing? (Does he/she give us a complete picture?)
- Did someone change the subject? (Does he/she offer us the right answer to the wrong problem?)
- Does it make sense? (Is his/her conclusion logical and consistent with what we already know?)



The confounding variable problem: *X* and *Y* may be correlated, not because there is causal relationship between them, but because both depend on a third variable *Z*. *Z* is called a confounding factor.

Misinterpretation: Correlation

The concept of correlation is particularly noteworthy for the potential confusion it can cause. Statistical analysis of a data set often reveals that two variables (properties) of the population under consideration tend to vary together, as if they were connected. For example, a study of annual income that also looks at age of death might find that poor people tend to have shorter lives than affluent people. The two variables are said to be correlated; however, they may or may not be the cause of one another. The correlation phenomena could be caused by a third, previously unconsidered phenomenon, called a lurking variable or confounding variable. For this reason, there is no way to immediately infer the existence of a causal relationship between the two variables.

History of Statistical Science

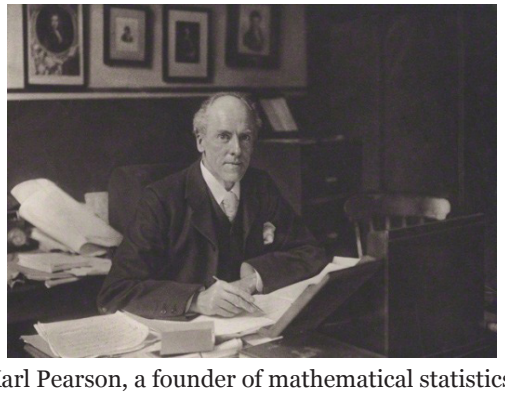


Gerolamo Cardano, the earliest pioneer on the mathematics of probability.

Statistical methods date back at least to the 5th century BC.

Some scholars pinpoint the origin of statistics to 1663, with the publication of *Natural and Political Observations upon the Bills of Mortality* by John Graunt. Early applications of statistical thinking revolved around the needs of states to base policy on demographic and economic data, hence its *stat-* etymology. The scope of the discipline of statistics broadened in the early 19th century to include the collection and analysis of data in general. Today, statistics is widely employed in government, business, and natural and social sciences.

Its mathematical foundations were laid in the 17th century with the development of the probability theory by Gerolamo Cardano, Blaise Pascal and Pierre de Fermat. Mathematical probability theory arose from the study of games of chance, although the concept of probability was already examined in medieval law and by philosophers such as Juan Caramuel. The method of least squares was first described by Adrien-Marie Legendre in 1805.



Karl Pearson, a founder of mathematical statistics.

The modern field of statistics emerged in the late 19th and early 20th century in three stages. The first wave, at the turn of the century, was led by the work of Francis Galton and Karl Pearson, who transformed statistics into a rigorous mathematical discipline used for analysis, not just in science, but in industry and politics as well. Galton's contributions included introducing the concepts of

standard deviation, correlation, regression analysis and the application of these methods to the study of the variety of human characteristics – height, weight, eyelash length among others. Pearson developed the Pearson product-moment correlation coefficient, defined as a product-moment, the method of moments for the fitting of distributions to samples and the Pearson distribution, among many other things. Galton and Pearson founded *Biometrika* as the first journal of mathematical statistics and biostatistics (then called biometry), and the latter founded the world's first university statistics department at University College London.

Ronald Fisher coined the term null hypothesis during the Lady tasting tea experiment, which "is never proved or established, but is possibly disproved, in the course of experimentation".

The second wave of the 1910s and 20s was initiated by William Gosset, and reached its culmination in the insights of Ronald Fisher, who wrote the textbooks that were to define the academic discipline in universities around the world. Fisher's most important publications were his 1918 seminal paper *The Correlation between Relatives on the Supposition of Mendelian Inheritance*, which was the first to use the statistical term, variance, his classic 1925 work *Statistical Methods for Research Workers* and his 1935 *The Design of Experiments*, where he developed rigorous design of experiments models. He originated the concepts of sufficiency, ancillary statistics, Fisher's linear discriminator and Fisher information. In his 1930 book *The Genetical Theory of Natural Selection* he applied statistics to various biological concepts such as Fisher's principle). Nevertheless, A. W. F. Edwards has remarked that it is "probably the most celebrated argument in evolutionary biology". (about the sex ratio), the Fisherian runaway, a concept in sexual selection about a positive feedback runaway affect found in evolution.

The final wave, which mainly saw the refinement and expansion of earlier developments, emerged from the collaborative work between Egon Pearson and Jerzy Neyman in the 1930s. They introduced the concepts of "Type II" error, power of a test and confidence intervals. Jerzy Neyman in 1934 showed that stratified random sampling was in general a better method of estimation than purposive (quota) sampling.

Today, statistical methods are applied in all fields that involve decision making, for making accurate inferences from a collated body of data and for making decisions in the face of uncertainty based on statistical methodology. The use of modern computers has expedited large-scale statistical computations, and has also made possible new methods that are impractical to perform manually. Statistics continues to be an area of active research, for example on the problem of how to analyze Big data.

Applications

Applied Statistics, Theoretical Statistics and Mathematical Statistics

"Applied statistics" comprises descriptive statistics and the application of inferential statistics. *Theoretical statistics* concerns both the logical arguments underlying justification of approaches to statistical inference, as well encompassing *mathematical statistics*. Mathematical statistics includes not only the manipulation of probability distributions necessary for deriving results related to methods of estimation and inference, but also various aspects of computational statistics and the design of experiments.

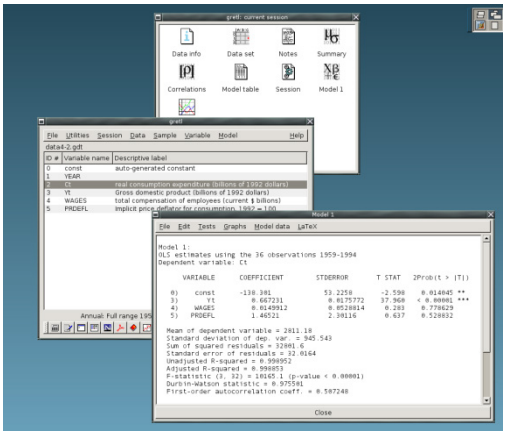
Machine Learning and Data Mining

There are two applications for machine learning and data mining: data management and data analysis. Statistics tools are necessary for the data analysis.

Statistics in Society

Statistics is applicable to a wide variety of academic disciplines, including natural and social sciences, government, and business. Statistical consultants can help organizations and companies that don't have in-house expertise relevant to their particular questions.

Statistical Computing



gretl, an example of an open source statistical package

The rapid and sustained increases in computing power starting from the second half of the 20th century have had a substantial impact on the practice of statistical science. Early statistical models were almost always from the class of linear models, but powerful computers, coupled with suitable numerical algorithms, caused an increased interest in nonlinear models (such as neural networks) as well as the creation of new types, such as generalized linear models and multilevel models.

Increased computing power has also led to the growing popularity of computationally intensive methods based on resampling, such as permutation tests and the bootstrap, while techniques such as Gibbs sampling have made use of Bayesian models more feasible. The computer revolution has implications for the future of statistics with new emphasis on "experimental" and "empirical" statistics. A large number of both general and special purpose statistical software are now available.

Statistics Applied to Mathematics or the Arts

Traditionally, statistics was concerned with drawing inferences using a semi-standardized methodology that was "required learning" in most sciences. This has changed with use of statistics in non-inferential contexts. What was once considered a dry subject, taken in many fields as a degree-requirement, is now viewed enthusiastically. Initially derided by some mathematical purists, it is now considered essential methodology in certain areas.

- In number theory, scatter plots of data generated by a distribution function may be trans-

formed with familiar tools used in statistics to reveal underlying patterns, which may then lead to hypotheses.

- Methods of statistics including predictive methods in forecasting are combined with chaos theory and fractal geometry to create video works that are considered to have great beauty.
- The process art of Jackson Pollock relied on artistic experiments whereby underlying distributions in nature were artistically revealed. With the advent of computers, statistical methods were applied to formalize such distribution-driven natural processes to make and analyze moving video art.
- Methods of statistics may be used predicatively in performance art, as in a card trick based on a Markov process that only works some of the time, the occasion of which can be predicted using statistical methodology.
- Statistics can be used to predicatively create art, as in the statistical or stochastic music invented by Iannis Xenakis, where the music is performance-specific. Though this type of artistry does not always come out as expected, it does behave in ways that are predictable and tunable using statistics.

Specialized Disciplines

Statistical techniques are used in a wide range of types of scientific and social research, including: biostatistics, computational biology, computational sociology, network biology, social science, sociology and social research. Some fields of inquiry use applied statistics so extensively that they have specialized terminology. These disciplines include:

- Actuarial science (assesses risk in the insurance and finance industries)
- Applied information economics
- Astrostatistics (statistical evaluation of astronomical data)
- Biostatistics
- Business statistics
- Chemometrics (for analysis of data from chemistry)
- Data mining (applying statistics and pattern recognition to discover knowledge from data)
- Data science
- Demography
- Econometrics (statistical analysis of economic data)
- Energy statistics
- Engineering statistics
- Epidemiology (statistical analysis of disease)
- Geography and Geographic Information Systems, specifically in Spatial analysis

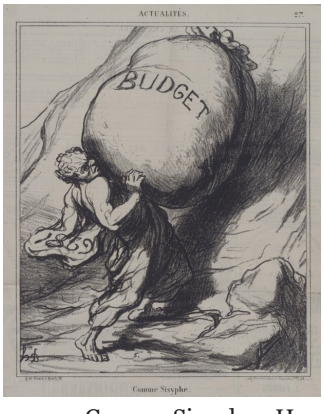
- Image processing
- Medical Statistics
- Political Science
- Psychological statistics
- Reliability engineering
- Social statistics
- Statistical Mechanics

In addition, there are particular types of statistical analysis that have also developed their own specialised terminology and methodology:

- Bootstrap / Jackknife resampling
- Multivariate statistics
- Statistical classification
- Structured data analysis (statistics)
- Structural equation modelling
- Survey methodology
- Survival analysis
- Statistics in various sports, particularly baseball - known as Sabermetrics - and cricket

Statistics form a key basis tool in business and manufacturing as well. It is used to understand measurement systems variability, control processes (as in statistical process control or SPC), for summarizing data, and to make data-driven decisions. In these roles, it is a key tool, and perhaps the only reliable tool.

Budget



Brooklyn Museum - Comme Sisyphe - Honoré Daumier

A budget is a quantitative expression of a plan for a defined period of time. It may include planned sales volumes and revenues, resource quantities, costs and expenses, assets, liabilities and cash flows. It expresses strategic plans of business units, organizations, activities or events in measurable terms.

A budget is the sum of money allocated for a particular purpose and the summary of intended expenditures along with proposals for how to meet them

Etymology

A budget (derived from old French word *bougette*, purse) is a quantified financial plan for a forthcoming accounting period.

A budget is an important concept in microeconomics, which uses a budget line to illustrate the trade-offs between two or more goods. In other terms, a budget is an organizational plan stated in monetary terms.

Purpose

Budget helps to aid the planning of acTual operations by forcing managers to consider how the conditions might change and what steps should be taken now and by encouraging managers to consider problems before they arise. It also helps co-ordinate the activities of the organization by compelling managers to examine relationships between their own operation and those of other departments. Other essentials of budget include:

- To control resources
- To communicate plans to various responsibility center managers.
- To motivate managers to strive to achieve budget goals.
- To evaluate the performance of managers
- To provide visibility into the company's performance
- For accountability

In summary, the purpose of budgeting tools:

1. Tools provide a forecast of revenues and expenditures, that is, construct a model of how a business might perform financially if certain strategies, events and plans are carried out.
2. Tools enable the actual financial operation of the business to be measured against the forecast.
3. Lastly, tools establish the cost constraint for a project, program, or operation.

Corporate Budget

The budget of a company is often compiled annually, but may not be a finished budget, usually requiring considerable effort, is a plan for the short-term future, typically allows hundreds or even thousands of people in various departments (operations, human resources, IT, etc.) to list their expected revenues and expenses in the final budget.

If the actual figures delivered through the budget period come close to the budget, this suggests that the managers understand their business and have been successfully driving it in the intended direction. On the other hand, if the figures diverge wildly from the budget, this sends an 'out of control' signal, and the share price could suffer. Campaign planners incur two types of cost in any campaign: the first is the cost of human resource necessary to plan and execute the campaign. the second type of expense that campaign planners incur is the hard cost of the campaign itself.

Event Management Budget

A budget is a fundamental tool for an event director to predict with a reasonable accuracy whether the event will result in a profit, a loss or will break-even. A budget can also be used as a pricing tool.

There are two basic approaches or philosophies, when it comes to budgeting. One approach is telling you on mathematical models, and the other on people.

The first school of thought believes that financial models, if properly constructed, can be used to predict the future. The focus is on variables, inputs and outputs, drivers and the like. Investments of time and money are devoted to perfecting these models, which are typically held in some type of financial spreadsheet application.

The other school of thought holds that it's not about models, it's about people. No matter how sophisticated models can get, the best information comes from the people in the business. The focus is therefore in engaging the managers in the business more fully in the budget process, and building accountability for the results. The companies that adhere to this approach have their managers develop their own budgets. While many companies would say that they do both, in reality the investment of time and money falls squarely in one approach or the other.

Government Budget

The budget of a government is a summary or plan of the intended revenues and expenditures of that government. There are three types of government budget : the operating or current budget, the capital or investment budget, and the cash or cash flow budget.

United Kingdom

The budget is prepared by the Treasury team led by the Chancellor of the Exchequer and is presented to Parliament by the Chancellor of the Exchequer on Budget Day. It is customary for the Chancellor to stand on the steps of Number 11 Downing Street with his or her team for the media to get photographic shots of the Red Box, immediately prior to them going to the House of Commons. Once presented in the House of Commons it is debated and then voted on. Minor changes may be made however with the budget being written and presented by the party with the majority in the House of Commons (the Government), the Whips will ensure that is it passed as written by the Chancellor.

United States

The federal budget is prepared by the Office of Management and Budget, and submitted to Congress for consideration. Invariably, Congress makes many and substantial changes. Nearly all American states are required to have balanced budgets, but the federal government is allowed to run deficits.

India

The budget is prepared by the Budget Division Department of Economic Affairs of the Ministry of Finance annually. This includes supplementary excess grants and when a proclamation by the President as to failure of Constitutional machinery is in operation in relation to a State or a Union Territory, preparation of the Budget of such State. The railway budget is presented separately by the Ministry of Railways. Thus budget is presented in two categories: The General Budget and The Railway Budget

Philippines

The Philippine budget is considered the most complicated in the world, incorporating multiple approaches in one single budget system: line-item (budget execution), performance (budget accountability), and zero-based budgeting. The Department of Budget and Management (DBM) prepares the National Expenditure Program and forwards it to the Committee on Appropriations of the House of Representative to come up with a General Appropriations Bill (GAB). The GAB will go through budget deliberations and voting; the same process occurs when the GAB is transmitted to the Philippine Senate.

After both houses of Congress approves the GAB, the President signs the bill into a General Appropriations Act (GAA); also, the President may opt to veto the GAB and have it returned to the legislative branch or leave the bill unsigned for 30 days and lapse into law. There are two types of budget bill veto: the line-item veto and the veto of the whole budget.

Personal or Family Budget

In a personal or family budget all sources of income (inflows) are identified and expenses (outflows) are planned with the intent of matching outflows to inflows (making ends meet). In consumer theory, the equation restricting an individual or household to spend no more than its total resources is often called the budget constraint.

Elements of a personal or family budget usually include, fixed expenses, monthly payments, insurance, entertainment, and savings.

There are many informational sites and software available for use in personal and family budgeting.

Types of Budget

- Sales budget – an estimate of future sales, often broken down into both units and currency. It is used to create company sales goals.
- Production budget - an estimate of the number of units that must be manufactured to meet the sales goals. The production budget also estimates the various costs involved with manufacturing those units, including labor and material. Created by product oriented companies.
- Capital budget - used to determine whether an organization's long-term investments such as new machinery, replacement machinery, new plants, new products, and research development projects are worth pursuing.

- Cash flow/cash budget – a prediction of future cash receipts and expenditures for a particular time period. It usually covers a period in the short-term future. The cash flow budget helps the business determine when income will be sufficient to cover expenses and when the company will need to seek outside financing.
- Marketing budget – an estimate of the funds needed for promotion, advertising, and public relations in order to market the product or service.
- Project budget – a prediction of the costs associated with a particular company project. These costs include labour, materials, and other related expenses. The project budget is often broken down into specific tasks, with task budgets assigned to each. A cost estimate is used to establish a project budget.
- Revenue budget – consists of revenue receipts of government and the expenditure met from these revenues. Tax revenues are made up of taxes and other duties that the government levies.
- Expenditure budget – includes spending data items.

Ethics

Ethics or moral philosophy is a branch of philosophy that involves systematizing, defending, and recommending concepts of right and wrong conduct. The branch of philosophy axiology comprises the sub-branches of ethics and aesthetics, each concerned with values.

As a branch of philosophy, ethics investigates the questions "What is the best way for people to live?" and "What actions are right or wrong in particular circumstances?" In practice, ethics seeks to resolve questions of human morality, by defining concepts such as good and evil, right and wrong, virtue and vice, justice and crime. As a field of intellectual enquiry, moral philosophy also is related to the fields of moral psychology, descriptive ethics, and value theory.

Three major areas of study within ethics recognised today are:

1. Meta-ethics, concerning the theoretical meaning and reference of moral propositions, and how their truth values (if any) can be determined
2. Normative ethics, concerning the practical means of determining a moral course of action
3. Applied ethics, concerning what a person is obligated (or permitted) to do in a specific situation or a particular domain of action

Defining Ethics

Rushworth Kidder states that "standard definitions of *ethics* have typically included such phrases as 'the science of the ideal human character' or 'the science of moral duty'". Richard William Paul and Linda Elder define ethics as "a set of concepts and principles that guide us in determining what

behavior helps or harms sentient creatures". The *Cambridge Dictionary of Philosophy* states that the word ethics is "commonly used interchangeably with 'morality' ... and sometimes it is used more narrowly to mean the moral principles of a particular tradition, group or individual." Paul and Elder state that most people confuse ethics with behaving in accordance with social conventions, religious beliefs and the law and don't treat ethics as a stand-alone concept.

The word "ethics" in English refers to several things. It can refer to philosophical ethics or moral philosophy—a project that attempts to use reason in order to answer various kinds of ethical questions. As the English philosopher Bernard Williams writes, attempting to explain moral philosophy: "What makes an inquiry a philosophical one is reflective generality and a style of argument that claims to be rationally persuasive." And Williams describes the content of this area of inquiry as addressing the very broad question, "how one should live" Ethics can also refer to a common human ability to think about ethical problems that is not particular to philosophy. As bioethicist Larry Churchill has written: "Ethics, understood as the capacity to think critically about moral values and direct our actions in terms of such values, is a generic human capacity." Ethics can also be used to describe a particular person's own idiosyncratic principles or habits. For example: "Joe has strange ethics."

The English word ethics is derived from an Ancient Greek word *êthikos*, which means "relating to one's character". The Ancient Greek adjective *êthikos* is itself derived from another Greek word, the noun *êthos* meaning "character, disposition".

Meta-ethics

Meta-ethics asks how we understand, know about, and what we mean when we talk about what is right and what is wrong. An ethical question fixed on some particular practical question—such as, "Should I eat this particular piece of chocolate cake?"—cannot be a meta-ethical question. A meta-ethical question is abstract and relates to a wide range of more specific practical questions. For example, "Is it ever possible to have secure knowledge of what is right and wrong?" would be a meta-ethical question.

Meta-ethics has always accompanied philosophical ethics. For example, Aristotle implies that less precise knowledge is possible in ethics than in other spheres of inquiry, and he regards ethical knowledge as depending upon habit and acculturation in a way that makes it distinctive from other kinds of knowledge. Meta-ethics is also important in G.E. Moore's *Principia Ethica* from 1903. In it he first wrote about what he called *the naturalistic fallacy*. Moore was seen to reject naturalism in ethics, in his Open Question Argument. This made thinkers look again at second order questions about ethics. Earlier, the Scottish philosopher David Hume had put forward a similar view on the difference between facts and values.

Studies of how we know in ethics divide into cognitivism and non-cognitivism; this is similar to the contrast between descriptivists and non-descriptivists. Non-cognitivism is the claim that when we judge something as right or wrong, this is neither true nor false. We may for example be only expressing our emotional feelings about these things. Cognitivism can then be seen as the claim that when we talk about right and wrong, we are talking about matters of fact.

The ontology of ethics is about value-bearing things or properties, i.e. the kind of things or stuff

referred to by ethical propositions. Non-descriptivists and non-cognitivists believe that ethics does not need a specific ontology, since ethical propositions do not refer. This is known as an anti-realist position. Realists on the other hand must explain what kind of entities, properties or states are relevant for ethics, how they have value, and why they guide and motivate our actions.

Normative Ethics

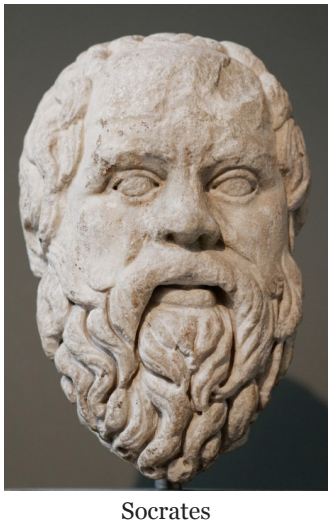
Normative ethics is the study of ethical action. It is the branch of ethics that investigates the set of questions that arise when considering how one ought to act, morally speaking. Normative ethics is distinct from meta-ethics because it examines standards for the rightness and wrongness of actions, while meta-ethics studies the meaning of moral language and the metaphysics of moral facts. Normative ethics is also distinct from descriptive ethics, as the latter is an empirical investigation of people's moral beliefs. To put it another way, descriptive ethics would be concerned with determining what proportion of people believe that killing is always wrong, while normative ethics is concerned with whether it is correct to hold such a belief. Hence, normative ethics is sometimes called prescriptive, rather than descriptive. However, on certain versions of the meta-ethical view called moral realism, moral facts are both descriptive and prescriptive at the same time.

Traditionally, normative ethics (also known as moral theory) was the study of what makes actions right and wrong. These theories offered an overarching moral principle one could appeal to in resolving difficult moral decisions.

At the turn of the 20th century, moral theories became more complex and are no longer concerned solely with rightness and wrongness, but are interested in many different kinds of moral status. During the middle of the century, the study of normative ethics declined as meta-ethics grew in prominence. This focus on meta-ethics was in part caused by an intense linguistic focus in analytic philosophy and by the popularity of logical positivism.

In 1971 John Rawls published *A Theory of Justice*, noteworthy in its pursuit of moral arguments and eschewing of meta-ethics. This publication set the trend for renewed interest in normative ethics.

Virtue Ethics



Socrates

Virtue ethics describes the character of a moral agent as a driving force for ethical behavior, and is used to describe the ethics of Socrates, Aristotle, and other early Greek philosophers. Socrates (469–399 BC) was one of the first Greek philosophers to encourage both scholars and the common citizen to turn their attention from the outside world to the condition of humankind. In this view, knowledge bearing on human life was placed highest, while all other knowledge were secondary. Self-knowledge was considered necessary for success and inherently an essential good. A self-aware person will act completely within his capabilities to his pinnacle, while an ignorant person will flounder and encounter difficulty. To Socrates, a person must become aware of every fact (and its context) relevant to his existence, if he wishes to attain self-knowledge. He posited that people will naturally do what is good, if they know what is right. Evil or bad actions are the result of ignorance. If a criminal was truly aware of the intellectual and spiritual consequences of his actions, he would neither commit nor even consider committing those actions. Any person who knows what is truly right will automatically do it, according to Socrates. While he correlated knowledge with virtue, he similarly equated virtue with joy. The truly wise man will know what is right, do what is good, and therefore be happy.

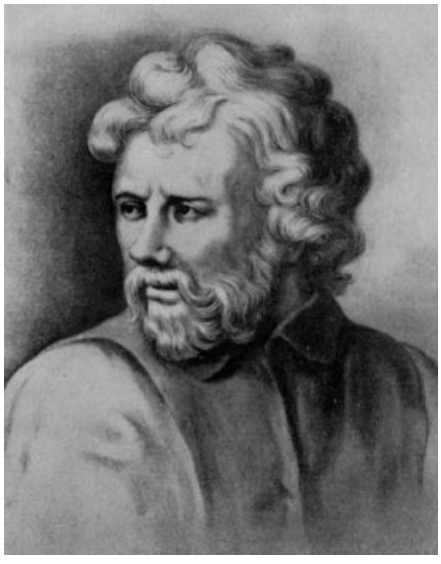
Aristotle (384–323 BC) posited an ethical system that may be termed "self-realizationism". In Aristotle's view, when a person acts in accordance with his nature and realizes his full potential, he will do good and be content. At birth, a baby is not a person, but a potential person. To become a "real" person, the child's inherent potential must be realized. Unhappiness and frustration are caused by the unrealized potential of a person, leading to failed goals and a poor life. Aristotle said, "Nature does nothing in vain." Therefore, it is imperative for people to act in accordance with their nature and develop their latent talents in order to be content and complete. Happiness was held to be the ultimate goal. All other things, such as civic life or wealth, are merely means to the end. Self-realization, the awareness of one's nature and the development of one's talents, is the surest path to happiness.

Aristotle asserted that man had three natures: vegetable (physical/metabolism), animal (emotional/appetite) and rational (mental/conceptual). Physical nature can be assuaged through exercise and care, emotional nature through indulgence of instinct and urges, and mental through human reason and developed potential. Rational development was considered the most important, as essential to philosophical self-awareness and as uniquely human. Moderation was encouraged, with the extremes seen as degraded and immoral. For example, courage is the moderate virtue between the extremes of cowardice and recklessness. Man should not simply live, but live well with conduct governed by moderate virtue. This is regarded as difficult, as virtue denotes doing the right thing, to the right person, at the right time, to the proper extent, in the correct fashion, for the right reason.

Stoicism

The Stoic philosopher Epictetus posited that the greatest good was contentment and serenity. Peace of mind, or Apatheia, was of the highest value; self-mastery over one's desires and emotions leads to spiritual peace. The "unconquerable will" is central to this philosophy. The individual's will should be independent and inviolate. Allowing a person to disturb the mental equilibrium is in essence offering yourself in slavery. If a person is free to anger you at will, you have no control over your internal world, and therefore no freedom. Freedom from material attachments is also

necessary. If a thing breaks, the person should not be upset, but realize it was a thing that could break. Similarly, if someone should die, those close to them should hold to their serenity because the loved one was made of flesh and blood destined to death. Stoic philosophy says to accept things that cannot be changed, resigning oneself to existence and enduring in a rational fashion. Death is not feared. People do not "lose" their life, but instead "return", for they are returning to God (who initially gave what the person is as a person). Epictetus said difficult problems in life should not be avoided, but rather embraced. They are spiritual exercises needed for the health of the spirit, just as physical exercise is required for the health of the body. He also stated that sex and sexual desire are to be avoided as the greatest threat to the integrity and equilibrium of a man's mind. Abstinence is highly desirable. Epictetus said remaining abstinent in the face of temptation was a victory for which a man could be proud.



Epictetus

Contemporary Virtue Ethics

Modern virtue ethics was popularized during the late 20th century in large part as a response to G. E. M. Anscombe's "Modern Moral Philosophy". Anscombe argues that consequentialist and deontological ethics are only feasible as universal theories if the two schools ground themselves in divine law. As a deeply devoted Christian herself, Anscombe proposed that either those who do not give ethical credence to notions of divine law take up virtue ethics, which does not necessitate universal laws as agents themselves are investigated for virtue or vice and held up to "universal standards", or that those who wish to be utilitarian or consequentialist ground their theories in religious conviction. Alasdair MacIntyre, who wrote the book *After Virtue*, was a key contributor and proponent of modern virtue ethics, although MacIntyre supports a relativistic account of virtue based on cultural norms, not objective standards. Martha Nussbaum, a contemporary virtue ethicist, objects to MacIntyre's relativism, among that of others, and responds to relativist objections to form an objective account in her work "Non-Relative Virtues: An Aristotelian Approach". *Complete Conduct Principles for the 21st Century* blended the Eastern virtue ethics and the Western virtue ethics, with some modifications to suit the 21st Century, and formed a part of contemporary virtue ethics.

Hedonism

Hedonism posits that the principal ethic is maximizing pleasure and minimizing pain. There are several schools of Hedonist thought ranging from those advocating the indulgence of even momentary desires to those teaching a pursuit of spiritual bliss. In their consideration of consequences, they range from those advocating self-gratification regardless of the pain and expense to others, to those stating that the most ethical pursuit maximizes pleasure and happiness for the most people.

Cyrenaic Hedonism

Founded by Aristippus of Cyrene, Cyrenaics supported immediate gratification or pleasure. "Eat, drink and be merry, for tomorrow we die." Even fleeting desires should be indulged, for fear the opportunity should be forever lost. There was little to no concern with the future, the present dominating in the pursuit for immediate pleasure. Cyrenaic hedonism encouraged the pursuit of enjoyment and indulgence without hesitation, believing pleasure to be the only good.

Epicureanism

Epicurean ethics is a hedonist form of virtue ethics. Epicurus "presented a sustained argument that pleasure, correctly understood, will coincide with virtue". He rejected the extremism of the Cyrenaics, believing some pleasures and indulgences to be detrimental to human beings. Epicureans observed that indiscriminate indulgence sometimes resulted in negative consequences. Some experiences were therefore rejected out of hand, and some unpleasant experiences endured in the present to ensure a better life in the future. To Epicurus the *summum bonum*, or greatest good, was prudence, exercised through moderation and caution. Excessive indulgence can be destructive to pleasure and can even lead to pain. For example, eating one food too often will cause a person to lose taste for it. Eating too much food at once will lead to discomfort and ill-health. Pain and fear were to be avoided. Living was essentially good, barring pain and illness. Death was not to be feared. Fear was considered the source of most unhappiness. Conquering the fear of death would naturally lead to a happier life. Epicurus reasoned if there was an afterlife and immortality, the fear of death was irrational. If there was no life after death, then the person would not be alive to suffer, fear or worry; he would be non-existent in death. It is irrational to fret over circumstances that do not exist, such as one's state in death in the absence of an afterlife.

State Consequentialism

State consequentialism, also known as Mohist consequentialism, is an ethical theory that evaluates the moral worth of an action based on how much it contributes to the basic goods of a state. The *Stanford Encyclopedia of Philosophy* describes Mohist consequentialism, dating back to the 5th century BC, as "a remarkably sophisticated version based on a plurality of intrinsic goods taken as constitutive of human welfare". Unlike utilitarianism, which views pleasure as a moral good, "the basic goods in Mohist consequentialist thinking are ... order, material wealth, and increase in population". During Mozi's era, war and famines were common, and population growth was seen as a moral necessity for a harmonious society. The "material wealth" of Mohist consequentialism refers to basic needs like shelter and clothing, and the "order" of Mohist consequentialism refers

to Mozi's stance against warfare and violence, which he viewed as pointless and a threat to social stability.

Stanford sinologist David Shepherd Nivison, in *The Cambridge History of Ancient China*, writes that the moral goods of Mohism "are interrelated: more basic wealth, then more reproduction; more people, then more production and wealth ... if people have plenty, they would be good, filial, kind, and so on unproblematically." The Mohists believed that morality is based on "promoting the benefit of all under heaven and eliminating harm to all under heaven". In contrast to Bentham's views, state consequentialism is not utilitarian because it is not hedonistic or individualistic. The importance of outcomes that are good for the community outweigh the importance of individual pleasure and pain.

Consequentialism/Teleology

Consequentialism refers to moral theories that hold that the consequences of a particular action form the basis for any valid moral judgment about that action. Thus, from a consequentialist standpoint, a morally right action is one that produces a good outcome, or consequence. This view is often expressed as the aphorism *"The ends justify the means"*.

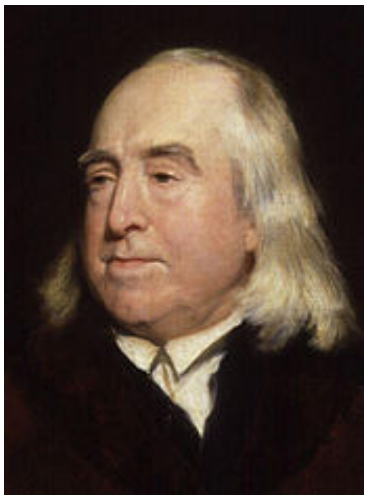
The term "consequentialism" was coined by G. E. M. Anscombe in her essay "Modern Moral Philosophy" in 1958, to describe what she saw as the central error of certain moral theories, such as those propounded by Mill and Sidgwick. Since then, the term has become common in English-language ethical theory.

The defining feature of consequentialist moral theories is the weight given to the consequences in evaluating the rightness and wrongness of actions. In consequentialist theories, the consequences of an action or rule generally outweigh other considerations. Apart from this basic outline, there is little else that can be unequivocally said about consequentialism as such. However, there are some questions that many consequentialist theories address:

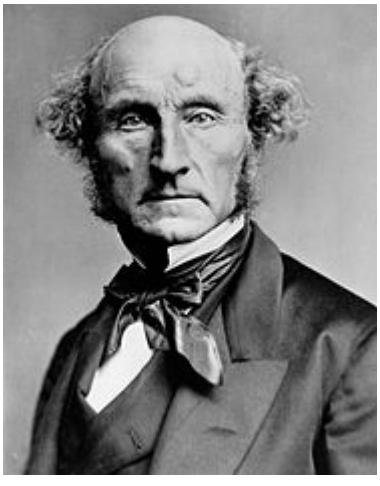
- What sort of consequences count as good consequences?
- Who is the primary beneficiary of moral action?
- How are the consequences judged and who judges them?

One way to divide various consequentialisms is by the types of consequences that are taken to matter most, that is, which consequences count as good states of affairs. According to utilitarianism, a good action is one that results in an increase in a positive effect, and the best action is one that results in that effect for the greatest number. Closely related is eudaimonic consequentialism, according to which a full, flourishing life, which may or may not be the same as enjoying a great deal of pleasure, is the ultimate aim. Similarly, one might adopt an aesthetic consequentialism, in which the ultimate aim is to produce beauty. However, one might fix on non-psychological goods as the relevant effect. Thus, one might pursue an increase in material equality or political liberty instead of something like the more ephemeral "pleasure". Other theories adopt a package of several goods, all to be promoted equally. Whether a particular consequentialist theory focuses on a single good or many, conflicts and tensions between different good states of affairs are to be expected and must be adjudicated.

Utilitarianism



Jeremy Bentham



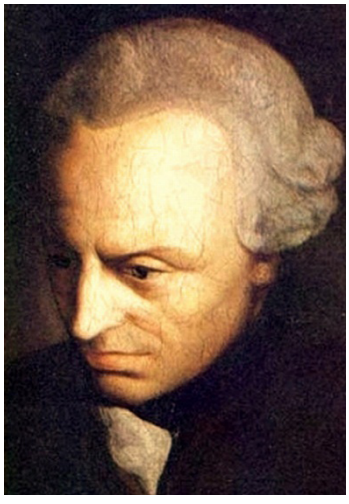
John Stuart Mill

Utilitarianism is an ethical theory that argues the proper course of action is one that maximizes a positive effect, such as "happiness", "welfare", or the ability to live according to personal preferences. Jeremy Bentham and John Stuart Mill are influential proponents of this school of thought. In *A Fragment on Government* Bentham says 'it is the greatest happiness of the greatest number that is the measure of right and wrong' and describes this as a fundamental axiom. In *An Introduction to the Principles of Morals and Legislation* he talks of 'the principle of utility' but later prefers "the greatest happiness principle".

Utilitarianism is the paradigmatic example of a consequentialist moral theory. This form of utilitarianism holds that what matters is the aggregate positive effect of everyone and not only of any one person. John Stuart Mill, in his exposition of utilitarianism, proposed a hierarchy of pleasures, meaning that the pursuit of certain kinds of pleasure is more highly valued than the pursuit of other pleasures. Other noteworthy proponents of utilitarianism are neuroscientist Sam Harris, author of The Moral Landscape, and moral philosopher Peter Singer, author of, amongst other works, Practical Ethics.

There are two types of utilitarianism, act utilitarianism and rule utilitarianism. In act utilitarianism the principle of utility is applied directly to each alternative act in a situation of choice. The right act is then defined as the one which brings about the best results (or the least amount of bad results). In rule utilitarianism the principle of utility is used to determine the validity of rules of conduct (moral principles). A rule like promise-keeping is established by looking at the consequences of a world in which people broke promises at will and a world in which promises were binding. Right and wrong are then defined as following or breaking those rules.

Deontology



Immanuel Kant

Deontological ethics or deontology is an approach to ethics that determines goodness or rightness from examining acts, or the rules and duties that the person doing the act strove to fulfill. This is in contrast to consequentialism, in which rightness is based on the consequences of an act, and not the act by itself. In deontology, an act may be considered right even if the act produces a bad consequence, if it follows the *rule* that "one should do unto others as they would have done unto them", and even if the person who does the act lacks virtue and had a bad intention in doing the act. According to deontology, people have a *duty* to act in a way that does those things that are inherently good as acts ("truth-telling" for example), or follow an objectively obligatory rule (as in rule utilitarianism). For deontologists, the ends or consequences of people's actions are not important in and of themselves, and people's intentions are not important in and of themselves.

Immanuel Kant's theory of ethics is considered deontological for several different reasons. First, Kant argues that to act in the morally right way, people must act from duty (*deon*). Second, Kant argued that it was not the consequences of actions that make them right or wrong but the motives (maxime) of the person who carries out the action. Kant's argument that to act in the morally right way, one must act from duty, begins with an argument that the highest good must be both good in itself, and good without qualification. Something is 'good in itself' when it is intrinsically good, and 'good without qualification' when the addition of that thing never makes a situation ethically worse. Kant then argues that those things that are usually thought to be good, such as intelligence, perseverance and pleasure, fail to be either intrinsically good or good without qualification. Plea-

sure, for example, appears to not be good without qualification, because when people take pleasure in watching someone suffer, they make the situation ethically worse. He concludes that there is only one thing that is truly good:

Nothing in the world—indeed nothing even beyond the world—can possibly be conceived which could be called good without qualification except a *good will*.

Pragmatic Ethics

Associated with the pragmatists, Charles Sanders Peirce, William James, and especially John Dewey, pragmatic ethics holds that moral correctness evolves similarly to scientific knowledge: socially over the course of many lifetimes. Thus, we should prioritize social reform over attempts to account for consequences, individual virtue or duty (although these may be worthwhile attempts, provided social reform is provided for).

Role Ethics

Role ethics is an ethical theory based on family roles. Unlike virtue ethics, role ethics is not individualistic. Morality is derived from a person's relationship with their community. Confucian ethics is an example of role ethics. Confucian roles center around the concept of filial piety or *xiao*, a respect for family members. According to Roger Ames and Henry Rosemont, "Confucian normativity is defined by living one's family roles to maximum effect." Morality is determined through a person's fulfillment of a role, such as that of a parent or a child. Confucian roles are not rational, and originate through the *xin*, or human emotions.

Anarchist Ethics

Anarchist ethics is an ethical theory based on the studies of anarchist thinkers. The biggest contributor to the anarchist ethics is the Russian zoologist, geographer, economist and political activist Peter Kropotkin. The anarchist ethics is a big and vague field which can depend upon different historical situations and different anarchist thinkers, but as Peter Kropotkin explains, "any "bourgeois" or "proletarian" ethics rests, after all, on the common basis, on the common ethnological foundation, which at times exerts a very strong influence on the principles of the class or group morality." Still, most of the anarchist ethics schools are based on three fundamental ideas, which are: "solidarity, equality and justice". Kropotkin argues that Ethics is evolutionary and is inherited as a sort of a social instinct through History, and by so, he rejects any religious and transcendental explanation of ethics. Kropotkin suggests that the principle of equality which lies at the basis of anarchism is the same as the Golden rule:

This principle of treating others as one wishes to be treated oneself, what is it but the very same principle as equality, the fundamental principle of anarchism? And how can any one manage to believe himself an anarchist unless he practices it? We do not wish to be ruled. And by this very fact, do we not declare that we ourselves wish to rule nobody? We do not wish to be deceived, we wish always to be told nothing but the truth. And by this very fact, do we not de- clare that we ourselves do not wish to deceive anybody, that we promise to always tell the truth, nothing but the truth, the whole truth? We do not wish to have the fruits of our labor stolen from us. And by that very fact, do we not declare that we respect the fruits of others' labor? By what right indeed can we demand that

we should be treated in one fashion, reserving it to ourselves to treat others in a fashion entirely different? Our sense of equality revolts at such an idea.

Postmodern Ethics

The 20th century saw a remarkable expansion and evolution of critical theory, following on earlier Marxist Theory efforts to locate individuals within larger structural frameworks of ideology and action.

Antihumanists such as Louis Althusser and Michel Foucault and structuralists such as Roland Barthes challenged the possibilities of individual agency and the coherence of the notion of the 'individual' itself. As critical theory developed in the later 20th century, post-structuralism sought to problematize human relationships to knowledge and 'objective' reality. Jacques Derrida argued that access to meaning and the 'real' was always deferred, and sought to demonstrate via recourse to the linguistic realm that "there is nothing outside context" ("*il n'y a pas de hors-texte*" is often mistranslated as "there is nothing outside the text"); at the same time, Jean Baudrillard theorised that signs and symbols or simulacra mask reality (and eventually the absence of reality itself), particularly in the consumer world.

Post-structuralism and postmodernism argue that ethics must study the complex and relational conditions of actions. A simple alignment of ideas of right and particular acts is not possible. There will always be an ethical remainder that cannot be taken into account or often even recognized. Such theorists find narrative (or, following Nietzsche and Foucault, genealogy) to be a helpful tool for understanding ethics because narrative is always about particular lived experiences in all their complexity rather than the assignment of an idea or norm to separate and individuated actions.

Zygmunt Bauman says Postmodernity is best described as Modernity without illusion, the illusion being the belief that humanity can be repaired by some ethic principle. Postmodernity can be seen in this light as accepting the messy nature of humanity as unchangeable.

David Couzens Hoy states that Emmanuel Levinas's writings on the face of the Other and Derrida's meditations on the relevance of death to ethics are signs of the "ethical turn" in Continental philosophy that occurred in the 1980s and 1990s. Hoy describes post-critique ethics as the "obligations that present themselves as necessarily to be fulfilled but are neither forced on one or are enforceable".

Hoy's post-critique model uses the term *ethical resistance*. Examples of this would be an individual's resistance to consumerism in a retreat to a simpler but perhaps harder lifestyle, or an individual's resistance to a terminal illness. Hoy describes Levinas's account as "not the attempt to use power against itself, or to mobilize sectors of the population to exert their political power; the ethical resistance is instead the resistance of the powerless".

Hoy concludes that

The ethical resistance of the powerless others to our capacity to exert power over them is therefore what imposes unenforceable obligations on us. The obligations are unenforceable precisely because of the other's lack of power. That actions are at once obligatory and at the same time unenforceable is what put them in the category of the ethical. Obligations that were enforced would,

by the virtue of the force behind them, not be freely undertaken and would not be in the realm of the ethical.

In present-day terms the powerless may include the unborn, the terminally sick, the aged, the insane, and non-human animals. It is in these areas that ethical action in Hoy's sense will apply. Until legislation or the state apparatus enforces a moral order that addresses the causes of resistance these issues will remain in the ethical realm. For example, should animal experimentation become illegal in a society, it will no longer be an ethical issue on Hoy's definition. Likewise one hundred and fifty years ago, not having a black slave in America would have been an ethical choice. This later issue has been absorbed into the fabric of an enforceable social order and is therefore no longer an ethical issue in Hoy's sense.

Applied Ethics

Applied ethics is a discipline of philosophy that attempts to apply ethical theory to real-life situations. The discipline has many specialized fields, such as engineering ethics, bioethics, geoethics, public service ethics and business ethics.

Specific Questions

Applied ethics is used in some aspects of determining public policy, as well as by individuals facing difficult decisions. The sort of questions addressed by applied ethics include: "Is getting an abortion immoral?" "Is euthanasia immoral?" "Is affirmative action right or wrong?" "What are human rights, and how do we determine them?" "Do animals have rights as well?" and "Do individuals have the right of self determination?"

A more specific question could be: "If someone else can make better out of his/her life than I can, is it then moral to sacrifice myself for them if needed?" Without these questions there is no clear fulcrum on which to balance law, politics, and the practice of arbitration—in fact, no common assumptions of all participants—so the ability to formulate the questions are prior to rights balancing. But not all questions studied in applied ethics concern public policy. For example, making ethical judgments regarding questions such as, "Is lying always wrong?" and, "If not, when is it permissible?" is prior to any etiquette.

People in-general are more comfortable with dichotomies (two opposites). However, in ethics the issues are most often multifaceted and the best proposed actions address many different areas concurrently. In ethical decisions the answer is almost never a "yes or no", "right or wrong" statement. Many buttons are pushed so that the overall condition is improved and not to the benefit of any particular faction.

Particular Fields of Application

Bioethics

Bioethics is the study of controversial ethics brought about by advances in biology and medicine. Bioethicists are concerned with the ethical questions that arise in the relationships among life sciences, biotechnology, medicine, politics, law, and philosophy. It also includes the study of the

more commonplace questions of values ("the ethics of the ordinary") that arise in primary care and other branches of medicine.

Bioethics also needs to address emerging biotechnologies that affect basic biology and future humans. These developments include cloning, gene therapy, human genetic engineering, astroethics and life in space, and manipulation of basic biology through altered DNA, RNA and proteins,e.g.- "three parent baby,where baby is born from genetically modified embryos, would have DNA from a mother, a father and from a female donor. Correspondingly, new bioethics also need to address life at its core. For example, biotic ethics value organic gene/protein life itself and seek to propagate it. With such life-centered principles, ethics may secure a cosmological future for life.

Business Ethics

Business ethics (also corporate ethics) is a form of applied ethics or professional ethics that examines ethical principles and moral or ethical problems that arise in a business environment, including fields like Medical ethics. It applies to all aspects of business conduct and is relevant to the conduct of individuals and entire organizations.

Business ethics has both normative and descriptive dimensions. As a corporate practice and a career specialization, the field is primarily normative. Academics attempting to understand business behavior employ descriptive methods. The range and quantity of business ethical issues reflects the interaction of profit-maximizing behavior with non-economic concerns. Interest in business ethics accelerated dramatically during the 1980s and 1990s, both within major corporations and within academia. For example, today most major corporations promote their commitment to non-economic values under headings such as ethics codes and social responsibility charters. Adam Smith said, "People of the same trade seldom meet together, even for merriment and diversion, but the conversation ends in a conspiracy against the public, or in some contrivance to raise prices." Governments use laws and regulations to point business behavior in what they perceive to be beneficial directions. Ethics implicitly regulates areas and details of behavior that lie beyond governmental control. The emergence of large corporations with limited relationships and sensitivity to the communities in which they operate accelerated the development of formal ethics regimes.

Machine Ethics

In *Moral Machines: Teaching Robots Right from Wrong*, Wendell Wallach and Colin Allen conclude that issues in machine ethics will likely drive advancement in understanding of human ethics by forcing us to address gaps in modern normative theory and by providing a platform for experimental investigation. The effort to actually program a machine or artificial agent to behave as though instilled with a sense of ethics requires new specificity in our normative theories, especially regarding aspects customarily considered common-sense. For example, machines, unlike humans, can support a wide selection of learning algorithms, and controversy has arisen over the relative ethical merits of these options. This may reopen classic debates of normative ethics framed in new (highly technical) terms.

Military Ethics

Military ethics are concerned with questions regarding the application of force and the ethos of the

soldier and are often understood as applied professional ethics. Just war theory is generally seen to set the background terms of military ethics. However individual countries and traditions have different fields of attention.

Military ethics involves multiple subareas, including the following among others:

1. what, if any, should be the laws of war.
2. justification for the initiation of military force.
3. decisions about who may be targeted in warfare.
4. decisions on choice of weaponry, and what collateral effects such weaponry may have.
5. standards for handling military prisoners.
6. methods of dealing with violations of the laws of war.

Political Ethics

Political ethics (also known as political morality or public ethics) is the practice of making moral judgements about political action and political agents.

Public Sector Ethics

Public sector ethics is a set of principles that guide public officials in their service to their constituents, including their decision-making on behalf of their constituents. Fundamental to the concept of public sector ethics is the notion that decisions and actions are based on what best serves the public's interests, as opposed to the official's personal interests (including financial interests) or self-serving political interests.

Publication Ethics

Publication ethics is the set of principles that guide the writing and publishing process for all professional publications. In order to follow the set of principles, authors should verify that the publication does not contain plagiarism or publication bias. As a way to avoid misconduct in research these principles can also be applied to experiments which are referenced or analyzed in publications by ensuring the data is recorded, honestly and accurately.

Plagiarism is the failure to give credit to another author's work or ideas, when it is used in the publication. It is the obligation of the editor of the journal to ensure the article does not contain any plagiarism before it is published. If a publication which has already been published is proven to contain plagiarism, then the editor of the journal can proceed to have the article retracted.

Publication bias occurs when the publication is one-sided or "prejudiced against results". In best practice, an author should try to include information from all parties involved, or affected by the topic. If an author is prejudiced against certain results, than it can "lead to erroneous conclusions being drawn."

Misconduct in research can occur when information from an experiment is falsely recorded or altered. Falsely recorded information occurs when the researcher "fakes" information or data, which

was not used when conducting the actual experiment. By faking the data, the researcher can alter the results from the experiment to better fit the hypothesis they originally predicted. When conducting medical research, it is important to honor the healthcare rights of a patient by protecting their anonymity in the publication.

Relational Ethics

Relational ethics are related to an ethics of care. They are used in qualitative research, especially ethnography and autoethnography. Researchers who employ relational ethics value and respect the connection between themselves and the people they study, and "between researchers and the communities in which they live and work" (Ellis, 2007, p. 4). Relational ethics also help researchers understand difficult issues such as conducting research on intimate others that have died and developing friendships with their participants. Relational ethics in close personal relationships form a central concept of contextual therapy.

Moral Psychology

Moral psychology is a field of study that began as an issue in philosophy and that is now properly considered part of the discipline of psychology. Some use the term "moral psychology" relatively narrowly to refer to the study of moral development. However, others tend to use the term more broadly to include any topics at the intersection of ethics and psychology (and philosophy of mind). Such topics are ones that involve the mind and are relevant to moral issues. Some of the main topics of the field are moral responsibility, moral development, moral character (especially as related to virtue ethics), altruism, psychological egoism, moral luck, and moral disagreement.

Evolutionary Ethics

Evolutionary ethics concerns approaches to ethics (morality) based on the role of evolution in shaping human psychology and behavior. Such approaches may be based in scientific fields such as evolutionary psychology or sociobiology, with a focus on understanding and explaining observed ethical preferences and choices.

Descriptive Ethics

Descriptive ethics is on the less philosophical end of the spectrum, since it seeks to gather particular information about how people live and draw general conclusions based on observed patterns. Abstract and theoretical questions that are more clearly philosophical—such as, "Is ethical knowledge possible?"—are not central to descriptive ethics. Descriptive ethics offers a value-free approach to ethics, which defines it as a social science rather than a humanity. Its examination of ethics doesn't start with a preconceived theory, but rather investigates observations of actual choices made by moral agents in practice. Some philosophers rely on descriptive ethics and choices made and unchallenged by a society or culture to derive categories, which typically vary by context. This can lead to situational ethics and situated ethics. These philosophers often view aesthetics, etiquette, and arbitration as more fundamental, percolating "bottom up" to imply the existence of, rather than explicitly prescribe, theories of value or of conduct. The study of descriptive ethics may include examinations of the following:

- Ethical codes applied by various groups. Some consider aesthetics itself the basis of ethics—and a personal moral core developed through art and storytelling as very influential in one's later ethical choices.
- Informal theories of etiquette that tend to be less rigorous and more situational. Some consider etiquette a simple negative ethics, i.e., where can one evade an uncomfortable truth without doing wrong? One notable advocate of this view is Judith Martin ("Miss Manners"). According to this view, ethics is more a summary of common sense social decisions.
- Practices in arbitration and law, e.g., the claim that ethics itself is a matter of balancing "right versus right", i.e., putting priorities on two things that are both right, but that must be traded off carefully in each situation.
- Observed choices made by ordinary people, without expert aid or advice, who vote, buy, and decide what is worth valuing. This is a major concern of sociology, political science, and economics.

References

- Chance, Beth L.; Rossman, Allan J. (2005). "Preface". Investigating Statistical Concepts, Applications, and Methods (PDF). Duxbury Press. ISBN 978-0-495-05064-3.
- Leonard J. Brooks, Paul Dunn (2009-03-31). Business & Professional Ethics for Directors, Executives & Accountants. Cengage Learning. p. 149.ISBN 978-0-324-59455-3
- Trevisani, Daniele (2016). Communication for Leadership: Coaching Leadership Skills (2 ed.). Ferrara: Medialab Research. p. 21. ISBN 978-1-329-59007-6.
- Lakshmikantham,, ed. by D. Kannan,... V. (2002). Handbook of stochastic analysis and applications. New York: M. Dekker. ISBN 0824706609.
- Everitt, Brian (1998). The Cambridge Dictionary of Statistics. Cambridge, UK New York: Cambridge University Press. ISBN 0521593468.
- Drennan, Robert D. (2008). "Statistics in archaeology". In Pearsall, Deborah M. Encyclopedia of Archaeology. Elsevier Inc. pp. 2093–2100. ISBN 978-0-12-373962-9.
- Anderson, D.R.; Sweeney, D.J.; Williams, T.A. (1994) Introduction to Statistics: Concepts and Applications, pp. 5–9. West Group. ISBN 978-0-314-03309-3
- O'Sullivan, Arthur; Sheffrin, Steven M. (2003). Economics: Principles in Action. Upper Saddle River, New Jersey 07458: Pearson Prentice Hall. p. 502. ISBN 0-13-063085-3.

5

Essential Elements of Public Administration

The essential elements of public administration are administrative discretion, politics-administration dichotomy, advocacy, advocacy evaluation and state building. The term administration is usually used in context of governments. Public administration is understood in confluence with the major topics that have been explained in the following section.

Administration (Government)

The term administration, as used in the context of government, differs according to jurisdiction.

United States

In American usage, the term refers to the executive branch under a specific president (or governor, mayor, or other local executive), for example: the "Obama administration." It can also mean an executive branch agency headed by an administrator: these agencies tend to have a regulatory function as well as an administrative function. On occasion, people in the United States will use the term to refer to the time a given person was president, *e.g.* "they have been married since the Carter administration."

The term "administration" has been used to denote the executive branch in presidential systems of government.

Europe

Usage in Europe varies by country, but most typically the term 'administration' refers to managerial functions in general, which may include local governments, or the hierarchy of national and local government, that applies to a town or district. More specifically, it may refer to public administration, the business of administering public policy as determined by government. However, outside France and Romania, this usage of the word is uncommon.

For the American sense of the word, most countries (be they English-speaking or not) use the term *government* instead, referring to the "administration" of Tony Blair as the "Blair government". This is also true of the non-European members of the Commonwealth of Nations. An older, chiefly Commonwealth usage, is the term "ministry", as in Blair Ministry, which is still in official and academic use in Britain, Australia and Canada to refer the terms of prime ministers.

Depending on the type of government, the word coalition may be used for a specific government. In the Netherlands, cabinet is the most used term (as in the fourth Balkenende cabinet), although 'coalition' or 'government' are also used when one does not refer to a specific coalition (note that the two terms have slightly different meanings).

Administrative Discretion



La Discrétion 1820s "Discretion" Artist: Claude-Marie Dubufe c. 1820–1827

In public administration, administrative discretion refers to the flexible exercising of judgment and decision making allowed to public administrators Regulatory agencies have the power to exercise this type of discretion in their day-to-day activities, and there have been cases where regulatory agencies have abused this power. Administrative law can help these agencies get on the path of following regulations, serve the public, and in turn, a reflection of the public's values and beliefs.

There's a need for administrative discretion because the public's interest could be at risk if several agencies were not following laws and regulations. Administrative discretion is important because without it, it could lead to arbitrary and unreasonable use of such discretion, which may lead to destruction of basic principles of administrative law. Although this type of discretion isn't laid out in the job-description of a bureaucrat/public servant, it is necessary because citizens use these bureaucratic institutions every day; such as the D.M.V. , public schooling, and numerous others. Street-Level Bureaucrats have to deal with the provision of service as well as translating vaguely worded mandates into specific cohesive and comprehensive language to organize protocol.

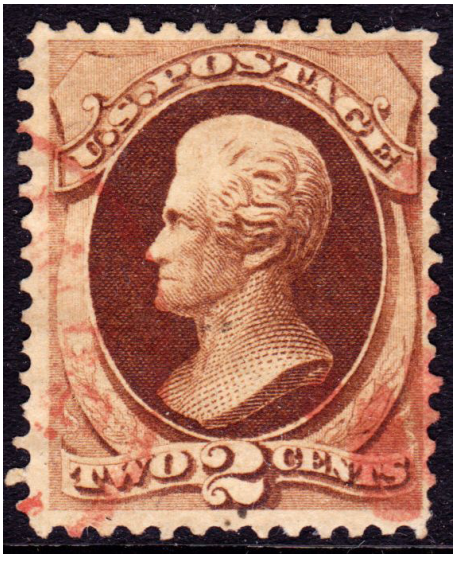
Administrative discretion allows agencies to use professional expertise and judgment when making decisions or performing official duties, as opposed to only adhering to strict regulations or statuses. For example, a public official has administrative discretion when he or she has the freedom to make a choice among potential courses of action. The failure to exercise reasonable judgment or discretion is abuse of discretion.

"I think that in our system of government, where law ends, tyranny need not begin. Where law ends, discretion begins, and the exercise of discretion may mean either beneficence or tyranny, either justice or injustice, either reasonableness or arbitrariness."—Kenneth Culp Davis

History

The idea of administrative discretion dates back as far as the time of widely known Greek philos-

opher Socrates in his quest to lay the foundation for philosophical ethics. Socrates determined a general ranking of "universal morals" in order to piece together certain criterion that could test what course of action to take in any immediate situation. He assigned value orders as well as certain "means to ends" that would determine alternatives for ethical philosophical generalization. In doing so, Socrates was creating the first type of basis for administrative discretion.



Andrew Jackson 1873 Postage Stamp—US Postal Service

When Andrew Jackson took office in 1829, the country was going through radical changes—the scale of government grew extensively which caused the need for an increase in the administrative activity. Jackson brought the bureaucratization of administration. He appointed his close friends to office to work in administered processes. This was known as the "spoils system", in which was a system was in place where presidential administrations had the power of hiring or firing federal workers; this brought a constant change in demands and routines for personnel. Of his additions to the administrative discretion and of bureaucracy as we know it today, one in particular, the creation of The Patent Reform Act of 1836 brought about the creation of new offices and adjudicatory administrative boards. Although, perhaps unknowingly, Jackson brought a new age to administrative discretion. Another president who has come in contact with administrative discretion is Madison. Known as Madison's Managers, drafted in 1787, some argue that early public administration literature had it right.

After Jackson, many presidents followed suit of his example—appointing members to administrative processes. In some cases, officials appointed by the presidents abused their powers in administration. There were attempts to control administrative discretion throughout the 19th century, but those attempts overall, failed. Political appointees believed they indeed were law themselves—Jesse Hoyt and his successor Samuel Swartwout for example, notoriously did not comply with the rule to return funds they had collected on behalf of the Federal Government. However, within the 20th century, substantial changes occurred that better formed the concept of administrative discretion as we know it today.

Franklin Roosevelt's New Deal brought much needed relief to the public by implementing welfare programs in a dire time of crisis. There was a type of bureaucratic "sprawl": this era saw the cre-

ation of numerous agencies and boards. The birth of such a large bureaucracy, not only helped in aiding the public, but Roosevelt's programs also answered important question of who would be part of the bureaucracy and govern future welfare programs. The New Deal emphasized the importance of administrative discretion in government and their processes by expanding the staff of the White House and creating new managerial techniques for the executive.

The Administrative Procedure Act of 1946 was created to govern the internal procedures of administrative agencies and how those agencies interact with the public. The act came about after the Attorney General appointed a committee to investigate the need for procedural reform. The notion of the time (not too far off-base of popular public notion today) was that various agencies were created by Congress over a long period of time in a piece-mail, haphazard manner. The view was that there was no uniformity in the chaotic bodies to administer anything. The 1946 act places policies on agencies' rule-making, adjudications, and licensing behavior. The intention was to make sure that the public is protected and safe, with secured proper entitlements.

Examples of Administrative Discretion in Law



Compiègne Justice

Goldberg v. Kelly—In this 1970 case, City officials were administrating and terminating public assistance benefits under the federally assisted program of Aid to Families with Dependent Children (AFDC) and/or under New York State's Home Relief Program in New York City. The problem arose as residents receiving financial aid claimed that the New York City officials overseeing and administering these programs terminated their aid without notifying them or holding a hearing. Recipients alleged that this was unconstitutional on the Administration's part because it denying them due process of law guaranteed under the Due Process Clause in the Fourteenth Amendment (Case Briefs). In this case, Administrative Discretion resulted in individualized parameters of what was deemed necessary to convey a termination of aid, instead of a federal standard. The Holding of Chief Justice Warren Burger and the court sided with the appellants' view: a full hearing of evidence is required before a recipient can be denied/deprived of certain types of government benefits. In other words, a recipient must receive some sort of notice should their aid be changed/terminated; whether in writing or orally.

Industrial Union Department v. American Petroleum Institute--In this 1980, Under the Occupational Safety and Health Act of 1970 (or OSHA), The Secretary of Labor was required to explicitly state exposure risks/limits at the lowest level of carcinogens that won't impair viability of the industries regulated. However, this failed to happen. The Secretary did not say or record anywhere that exposure to the substance benzene at 10 ppm (parts per million) would cause leukemia and exposure to 1 ppm would not (Oyez cases). The holding of the Supreme Court, under Justice Warren Burger, concluded that there was a statute for a requirement of significant risk, and the Secretary and agency had failed to uphold the statue of workers' health at risks. In this case, Administrative Discretion under the Secretary of Labor had not understood the "extent feasible" .

Citizens To Preserve Overton Park, Inc. v Volpe--In this 1971 case, in Memphis, Tennessee, a group of citizens claimed that The Secretary of Transportation made the decision to have construction of a highway where Overton Park was located and violated statutes enacted by the congress. The court holding under justice Burger upheld the "feasible and prudent" clause: wherein an alternative exists to circumvent building the proposed highway through the park. Furthermore, the Secretary's decision to use federal money for the highway did not comply with the Department of Transportation Act of 1966.

The IRS Tea Party Controversy: The IRS must exercise discretion in administering the tax law. The IRS oversees a vast system that affects nearly everyone. Since the law is complex and often difficult to interpret, the IRS must draw fine lines in order to properly interpret, apply, and enforce the law. The IRS claims it gave extra scrutiny to Tea Party-affiliated groups based solely on the name and goals of the groups. The IRS asked those groups invasive questions that were not normally asked of other groups: about their donor lists, affiliations and contacts with the media .

Administrative Discretion in Criminal Law Enforcement-- When a government official of law enforcement uses their own sense of ethical discretion such as not to or to invoke in criminal process. There are two major situational motivations of police discretion; whether police response is internally invoked or citizen initiated and whether it is a law enforcement of order maintenance situation. The two situational motivations combine to create four types of discretionary situations for law enforcement officials. The four different situations are proactive and reactive law enforcement and proactive and reactive order maintenance.

Modern Day Administrative Discretion

In today's administrative discretion, some issues affect the way organizations function and the way the public feels towards administrations/agencies as a whole. In this way public administrators are seen as "moral agents"; they are given the task to exercise discretion, and reflect the society's values. In theory, the public expects administrators to be the exemplary role models of society and follow laws and regulations.

In reality, some do not think the administrators play fair and the public feels distrusts towards them. In a poll done by Gallup.com, the public showed an increase in the mistrust in government. People were asked if corruption was widespread throughout the government. The results recorded from 2006 to 2013 rose significantly; from 56% to 79%. The public may know little to nothing about the administration or their responsibilities, yet approval is very low. Some attribute this mistrust to a lack of transparency, where corruption can occur. The lack of transparency can mean

that an administration is not completely honest, secretly keeping hidden agendas: withholding information from public view. It can also simply mean that the administration does not attempt to make their information easy to access or understand for the public.

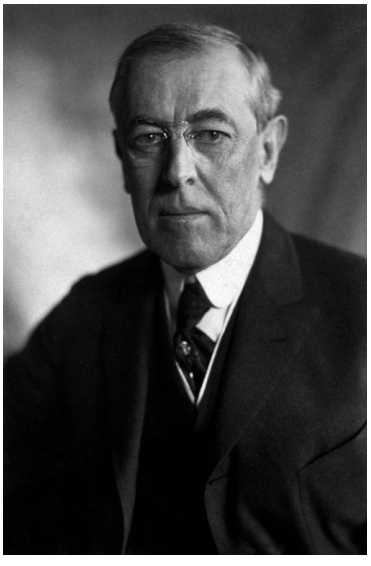


Shimer College dialogue transparency 2010 "We want dialogue and transparency."

Politics-Administration Dichotomy

The Politics-administration dichotomy is a theory that constructs the boundaries of public administration and asserts the normative relationship between elected officials and administrators in a democratic society. The phrase *politics-administration dichotomy* itself does not appear to have a known inventor, even after exhaustive research, the combination of words that make up the phrase was first found in public administration literature from the 1940s with no clear originator.

History



Portrait of Woodrow Wilson 1919

Woodrow Wilson is credited with the politics-administration dichotomy via his theories on public administration in his 1887 essay, "The Study of Administration". Wilson came up with a theory that politics and administration are inherently different and should be approached as such. Wilson wrote in his essay in regards to public administration: "The field of administration is a field of busi-

ness. It is removed from the hurry and strife of politics.... Administration lies outside the proper sphere of politics. Administrative questions are not political questions. Although politics sets the tasks for administration, it should not be suffered to manipulate its offices." With these words, Wilson started a debate that has been going on for decades and continues to this day. The politics-administration dichotomy is an important concept in the field of public administration and shows no signs of going away because it deals with the policy-makers role as an administrator and the balancing act that is the relationship between politics and administration. This essay is considered to be the first source to be analyzed and studied in the public administration field. Wilson was primarily influenced by Richard Ely and Herbert Adams who taught at Johns Hopkins University.

Perceived Advantages

Woodrow Wilson's politics-administration dichotomy can potentially be substantial in sustaining a strong productive government. The complexity, difficulty level and ample multiplication of governmental functions can be seen as a main component in the cause to implement the politics-administration dichotomy. Due to Wilson's lack of faith in republican self-government and the overwhelming amount of "selfish, ignorant, timid, stubborn, or foolish" persons whom the "bulk of can vote," this model provides a solution that would counteract the majority of the incumbent voters. By employing the elite philosophical leaders to improve, shape, condition and sway public opinion, politics-administration dichotomy, if carried out in an unselfish manner leaves little to no room for error.

Woodrow Wilson's model created one of the first concepts of checks and balances, which is one of the most predominant systems of democratic accountability used to shape the United States government. Nevertheless "separating the will of the people from politics" could be extremely beneficial and institutionally separating administration from politics could prove valuable in sustaining government accountability. Politics-administration dichotomy also leads to political neutrality. The blurring of "politics" and "policy" has led to the advocations to dismiss "partisan politics" rather than "policy politics." The importance of neutrality in politics and policy are established within the politics-administration dichotomy.

Criticism

Standard definition is too narrow . If politics includes all of what we know as policy making, then the dichotomy would bar administrators, presumably including city managers, from participation. The dichotomy of policy and administration was a conceptual distinction underlying a theory of democratic accountability. It was not intended to guide behavior, it was intended as a behavioral prescription directed against contemporary practices of machine politics. The strict definition is the model. It is not conceptually possible to have a one way dichotomy that keeps elected official out of administration but allows administrators to be active in policy. The dichotomy model standing alone is an aberration.

Arguably the father of American political administration, Wilson, in his essay 'The Study of Administration', suggested that in order to have objectivity and progress, the administration must be separate from politics ... The political/administration dichotomy aimed to separate the power between political leaders and the merit-based appointment of professional permanent civil servants in the administrative state ... At the turn of the 20th century, the field focused on making

the bureaucracy more effective ... The field's basic premise was to take a business-like approach to government and its activities.

By Wilson making the statement, "Government should be run like a business," he thereby opened up many loop holes for the capitalist society to exploit the government for things they didn't actually have. This statement ends in a very dangerous uncharted territory for people now. Based on the fact government could be run like a business. The concept "everyone has a boss" with creating the business like mindset running our country it makes everyone have to answer to someone (higher on the totem pole) than the other, it creates a sense of working for your job when you are supposed to be working for the people whom you represent. So now, instead of implementing policy to help the people, administrators and politicians are more concerned about who is funding/appointing than they are worried about the common man. That isn't just the biggest problem for Politic administration Dichotomy it is a huge problem for the sustainability of our government and the world.

Advocacy

Advocacy is an activity by an individual or group which aims to influence decisions within political, economic, and social systems and institutions. Advocacy can include many activities that a person or organization undertakes including media campaigns, public speaking, commissioning and publishing research or conducting exit poll or the filing of an amicus brief. Lobbying (often by lobby groups) is a form of advocacy where a direct approach is made to legislators on an issue which plays a significant role in modern politics. Research has started to address how advocacy groups in the Unites States and Canada are using social media to facilitate civic engagement and collective action.

An advocate is someone who provides advocacy support to people who need it.

Forms

There are several forms of advocacy, each representing a different approach in a way to initiate changes in the society. One of the most popular forms is social justice advocacy.

The initial definition does not encompass the notions of power relations, people's participation and a vision of a just society as promoted by social justice advocates. For them, advocacy represents the series of actions taken and issues highlighted to change the "what is" into a "what should be", considering that this "what should be" is a more decent and a more just society (ib., 2001.). Those actions, which vary with the political, economic and social environment in which they are conducted, have several points in common (ib., 2001.). They:

- Question the way policy is administered
- Participate in the agenda setting as they raise significant issues
- Target political systems "because those systems are not responding to people's needs"
- Are inclusive and engaging

- Propose policy solutions
- Open up space for public argumentation.

Some of the other forms of advocacy include:

- Budget advocacy: Budget advocacy is another aspect of advocacy that ensures proactive engagement of Civil Society Organizations with the government budget to make the government more accountable to the people and promote transparency. Budget advocacy also enables citizens and social action groups to compel the government to be more alert to the needs and aspirations of people in general and the deprived sections of the community.
- Bureaucratic advocacy: people considered "experts" have more chance to succeed at presenting their issues to decision-makers. They use bureaucratic advocacy to influence the agenda, however at a slower pace.
- Express versus issue advocacy: These two types of advocacy when grouped together usually refers to a debate in the United States whether a group is expressly making their desire known that voters should cast ballots in a particular way, or whether a group has a long term issue that isn't campaign and election season specific.
- Health advocacy: Health advocacy supports and promotes patient's health care rights as well as enhance community health and policy initiatives that focus on the availability, safety and quality of care.
- Ideological advocacy: in this approach, groups fight, sometimes during protests, to advance their ideas in the decision-making circles.
- Interest-group advocacy: lobbying is the main tool used by interest groups doing mass advocacy. It is a form of action that does not always succeed at influencing political decision-makers as it requires resources and organization to be effective.
- Legislative advocacy: legislative advocacy is the "reliance on the state or federal legislative process" as part of a strategy to create change.
- Mass advocacy: is any type of action taken by large groups (petitions, demonstrations, etc.)
- Media advocacy: is "the strategic use of the mass media as a resource to advance a social or public policy initiative" (Jernigan and Wright, 1996.) In Canada for example, the Manitoba Public Insurance campaigns illustrate how media advocacy was used to fight alcohol and tobacco-related health issues. We can also consider the role of health advocacy and the media in "the enactment of municipal smoking bylaws in Canada between 1970 and 1995."
- Special Education Advocacy: is advocacy with a " specific focus on the educational rights of students with disabilities."

Different contexts in which advocacy is used:

- In a legal/law context: An 'advocate' is the title of a specific person who is authorized/appointed (in some way) to speak on behalf of a person in a legal process.
- In a political context: An 'advocacy group' is an organized collection of people who seek to

influence political decisions and policy, without seeking election to public office.

- In a social care context: Both terms (and more specific ones such as 'independent advocacy') are used in the UK in the context of a network of interconnected organisations and projects which seek to benefit people who are in difficulty (primarily in the context of disability and mental health).
- In the context of inclusion: Citizen Advocacy organisations (citizen advocacy programmes) seek to cause benefit by reconnecting people who have become isolated. Their practice was defined in two key documents: CAPE, and Learning from Citizen Advocacy Programs.

Aims

Advocacy in all its forms seeks to ensure that people, particularly those who are most vulnerable in society, are able to:

- Have their voice heard on issues that are important to them.
- Defend and safeguard their rights.
- Have their views and wishes genuinely considered when decisions are being made about their lives.

Advocacy is a process of supporting and enabling people to:

- Express their views and concerns.
- Access information and services.
- Defend and promote their rights and responsibilities.
- Explore choices and options

Use of the Internet

Groups involved in advocacy work have been using the Internet to accomplish organizational goals. It has been argued that the Internet helps to increase the speed, reach and effectiveness of advocacy-related communication as well as mobilization efforts, suggesting that social media are beneficial to the advocacy community.

Topics

People advocate for a large number and variety of topics. Some of these are clear-cut social issues that are universally agreed to be problematic and worth solving, such as human trafficking. Others—such as abortion—are much more divisive and inspire strongly-held opinions on both sides. There may never be a consensus on this latter type of issues, but intense advocacy is likely to remain. In the United States, any issue of widespread debate and deeply-divided opinion can be referred to as a social issue. The Library of Congress has assembled an extensive list of social issues in the United States, ranging from vast ones like abortion to same-sex marriage to smaller ones like hacking and academic cheating.

Topics that appear to involve advancing a certain positive ideal are often known as causes. A particular cause may be very expansive in nature—for instance, increasing liberty or fixing a broken political system. For instance 2008, U.S. presidential candidate Barack Obama utilized such a meaning when he said, "This was the moment when we tore down barriers that have divided us for too long; when we rallied people of all parties and ages to a common cause." Change.org and Causes are two popular websites that allow people to organize around a common cause.

Topics upon which there is universal agreement that they need to be solved include for example: human trafficking, poverty, water and sanitation as a human right.

"Social issues" as referred to in the United States also include topics (also known as "causes") intended by their advocates to advance certain ideals (such as equality) include: civil rights, LGBT rights, women's rights, environmentalism, and veganism.

Transnational Advocacy

Advocates and advocacy groups represent a wide range of categories and support several issues as listed on worldadvocacy.com. The Advocacy Institute, a US-based global organization, is dedicated to strengthening the capacity of political, social, and economic justice advocates to influence and change public policy.

The phenomenon of globalization draws a special attention to advocacy beyond countries' borders. The core existence of networks such as World Advocacy or the Advocacy Institute demonstrates the increasing importance of transnational advocacy and international advocacy. Transnational advocacy networks are more likely to emerge around issues where external influence is necessary to ease the communication between internal groups and their own government. Groups of advocates willing to further their mission also tend to promote networks and to meet with their internal counterparts to exchange ideas.

Transnational advocates spend time with a local interest groups in order to better understand their views and wishes.

Advocacy Evaluation

Advocacy evaluation, also called public policy advocacy design, monitoring, and evaluation, evaluates the progress or outcomes of advocacy, such as changes in public policy. This is different from policy analysis, which generally looks at the results of the policy, or mainstream program evaluation, which assesses whether programs or direct services have been successful. Advocacy strives to influence a program or policy either directly or indirectly; therefore, the influence is being evaluated, rather than the results of that influence. Advocacy evaluators seek to understand the extent to which advocacy efforts have contributed to the advancement of a goal or policy. They do this in order to learn what works, what does not, and what works better in order to achieve advocacy goals and improve future efforts.

Goals of Advocacy (Dependent Variables)

In order to evaluate something, one must know the goals of the program/activity, in this case - ad-

vocacy efforts. Policy advocacy evaluation focuses on the contribution towards achieving policy, and not on the results of that policy. Policy advocacy evaluators look at these dependent variables (many of which interrelate significantly with movement in the policy cycle):

Intermediate Goal Examples:

- Increased awareness of constituents about the need for policy (Problem Identification -> Agenda Setting)
- Change in rate of key-words use by politicians, sometimes starting from 0 (Problem Identification -> Agenda Setting)
- Increase in ratio of policy being implemented according to the adopted legislation (Adoption->Implementation)
- Developed capacity of advocacy actor or network of actors to conduct advocacy efforts

Ultimate Goals

- Policy change itself in the desired direction (of the policy cycle). This is the highest level intermediate outcome, and as an inherent best practice, is the goal of most policy advocacy efforts. Policy Advocacy works to move a policy through the policy cycle.

Distinct Challenges of Advocacy Evaluation

- Contribution vs. attribution: Since multiple actors campaign simultaneously for and against any given policy, it is difficult to ascertain attribution. Evaluating contributions is preferred in this case as it allows multiple actors to influence the degree of success.
- Long term nature of advocacy: Since many advocacy goals are long term, measuring impact can be a challenge. Instead, outcomes, interim progress, and intermediary goals are the preferred measures of influence.
- Shifting strategies: Since the context that advocates work within is ever-changing, advocates adapt their strategies, which creates a difficult environment in which to monitor progress.
- Complexity and theories of change: logic models and theories of change for advocacy campaigns are inherently complex; for example: protests+lobbying+media campaigns -> contribution to policy change. These kinds of theories of change have so many layers, nuances, and uncontrollable factors to them that intra and inter organizational agreement is difficult, making strategic planning, and evaluation all the more challenging.

Typology of Policy Advocacy

Direct Advocacy (Directly trying to influence policy makers):

- Lobbying (also known as direct lobbying) is the act of attempting to influence decisions made by government officials, most often legislators or members of regulatory agencies. Various people or groups, from private-sector individuals or corporations, fellow legislators or government officials, or advocacy groups use lobbying.

Indirect Advocacy (Indirectly influencing policymakers by getting their constituents to advocate):

- Grassroots lobbying (also known as indirect lobbying) is a form of lobbying that focuses on raising awareness of a particular cause at the local level, with the intention of reaching the legislature and making a difference in the decision-making process. Grassroots lobbying is an approach that separates itself from direct lobbying through the act of asking the public to contact legislators and government officials concerning the issue at hand, as opposed to conveying the message to the legislators directly.
- Activism consists of intentional efforts to promote or prevent social, political, economic, or environmental change. Activism can take a wide range of forms including, from writing letters to newspapers or politicians, political campaigning, economic activism such as boycotts or preferentially patronizing businesses, rallies, street marches, strikes, sit-ins, and hunger strikes.
- Astroturfing supports political, organizational, or corporate agendas, and is designed to give the appearance of a "grassroots" movement. The goal of such campaigns is to disguise the efforts of a political and/or commercial entity as an independent public reaction to some political entity—a politician, political group, product, service, or event.

State-Building

Over the past two decades, state-building has developed into becoming an integral part and even a specific approach to peacebuilding by the international community. Observers across the political and academic spectra have come to see the state-building approach as the preferred strategy to peacebuilding in a number of high-profile conflicts, including the Israeli-Palestinian, Bosnia, Iraq, and Afghanistan. According to the political scientist Anders Persson, internationally-led state-building is based on three dimensions: a security dimension, a political dimension and an economic dimension. Of these three, security is almost always considered the first priority.

The general argument in the academic literature on state-building is that without security, other tasks of state-building are not possible. Consequently, when state-building as an approach to peacebuilding is employed in conflict and post-conflict societies, the first priority is to create a safe environment in order to make wider political and economic development possible. So far, the results of using the statebuilding approach to peacebuilding have been mixed, and in many places, such as in the Balkans, Afghanistan and Iraq, the initial high expectations set by the international community have not been met. The literature on state-building has always been very clear in that building states has historically been a violent process and the outcomes in the above-mentioned cases and many others confirm the destabilizing and often violent nature of statebuilding.

Definition

There are two main theoretical approaches to definitions of state-building.

First, state-building is seen by some theorists as an activity undertaken by external actors (foreign countries) attempting to build, or re-build, the institutions of a weaker, post-conflict or failing

state. This 'exogenous' or International Relations school views state-building as the activity of one country in relation to another, usually following some form of intervention (such as a UN peace-keeping operation).

The second, developmental, theory followed a set of principles developed by the OECD in 2007 on support to conflict affected states which identified `statebuilding' as an area for development assistance. The result saw work commissioned by donor countries on definitions, knowledge and practice in state-building,this work has tended to draw heavily on political science. It has produced definitions that view state-building as an indigenous, national process driven by state-society relations. This view believes that countries cannot do state-building outside their own borders, they can only influence, support or hinder such processes. Illustrations of this approach include a think-piece commissioned for OECD and a research study produced by the Overseas Development Institute.

The developmental view was expressed in a number of papers commissioned by development agencies. These papers tend to argue that state-building is primarily a `political' process rather than just a question of technical capacity enhancements and sees state-building as involving a threefold dynamic of: political (usually elite) deals, the prioritization of core government functions and the willingness to respond to public expectations. A further important influence on thinking on states affected by conflict was the World Bank's 2011 World Development Report, which avoided the language of state-building while addressing some related themes.

Across the two streams of theory and writing there is a broader consensus that lessons on how to support state-building processes have not yet been fully learned. Some believe that supporting state-building requires the fostering of legitimate and sustainable state institutions, but many accept that strategies to achieve this have not yet been fully developed. Little of the post-conflict support to state-building undertaken so far has been entirely successful. From an exogenous perspective it can be argued that sustained focus on supporting state-building has tended to happen in states frequently characterized by brutalized civilian populations, destroyed economies, institutions, infrastructure, and environments, widely accessible small arms, large numbers of disgruntled soldiers to be demobilized and reintegrated, and ethnically or religiously divided peoples. These obstacles are compounded by the fundamental difficulty of grafting democratic and human rights values onto countries with different political, cultural, and religious heritages. Pluralizing societies is theoretical in its viability for immediate political and economic stability and expediency; ideological overtones can be met with opposition within host nations and issues of self-determination and external state trusteeship and stewarding of nascent insti-tutional reform, or its creation, could damage a tenuous post-conflict national self-identity.

Both schools of thinking have generated critiques and studies seeking to test the propositions made. A more developmental approach with an emphasis on composite state-building processes, would have implications for donor programmes, diplomacy and peace-keeping. Some research has tried to test some of the ideas involved and at least one donor agency issued a guidance note for its own programmes. Important critiques were developed by NGOs such as Conciliation Resources and The Asia Foundation, focused primarily on Whaites proposition that a `political settlement' drives state-building. There have also been attempts to test out the thesis by looking at individual areas of state provision, particularly the area of healthcare. Further research on state society relations has also been undertaken by groups including the Secure Livelihoods Research Consortium and the Crisis States Research Centre.

While some development papers have tried to argue that state-building takes place in all countries and that much can be learnt from successful state-building there is a tendency to narrow the discussion to the most problematic contexts. As a result, much of the literature on state-building is preoccupied with post conflict issues. Critiques common to both schools include inadequate strategy and a lack of coordination, staffing weaknesses, and that funding is insufficient or poorly timed. Moreover, it is increasingly recog-nized that many of the tasks sought to be achieved are extremely complex and there is little clarity on how to best proceed. For instance, it is extremely difficult to provide security in a conflictual environment, or to disarm, demobilize and reintegrate armies successfully. It remains practically impossible to address vast unemployment in states where the economy is destroyed and there is high illiteracy, or to strengthen the rule of law in a society where it has collapsed. Moreover, the unintended negative consequences of international aid are more and more evident. These range from distortion of the economy to skewing relationship of accountability by the political elite to-wards internationals rather than domestic population.

The United Nations Research Institute for Social Development (UNRISD) determined that basic state capacities are to

i. Assist in the acquisition of new technologies

ii. Mobilize and channel resources to productive sectors

iii. Enforce standards and regulations

iv. Establish social pacts

v. Fund deliver and regulate services and social programmes

States must be able to create the

1. Political Capacity to address the extent to which the necessary coalitions or political settlements can be built
2. Resource Mobilization Capacity to generate resources for investment and social development
3. Allocate Resources To Productive And Welfare-Enhancing Sectors

When developing this infrastructure a state can meet several roadblocks including policy capture from powerful segments of the population, opposition from interest groups, and ethnic and religious division. Developing countries have tried to implement different forms of government established in advanced democracies. However, these initiatives have not been fully successful. Scholars have looked back at the development of Europe to determine the key factors that helped create bureaucracies that were sustainable throughout the centuries.

Application of Predatory Theory to State Building

When studying the development of European states, Charles Tilly identified that European countries engaged in four activities:

1. war making - eliminating or neutralizing their own rivals
2. state making - eliminating or neutralizing their rivals inside their own territory
3. protection - eliminating or neutralizing the enemies of their clients
4. extraction - acquiring the means of carrying out the first three activities.

Out of these four activities, war making was the main stimulus to increasing the level of taxation, thus increasing the capacity of the state to extract resources otherwise known as fiscal capacity. The increased capacity of the state to extract taxes from its citizens while facing external threats prompted Jeffrey Herbst to propose that allowing failed states to dissolve or engage in war to re-create the process endured by European countries. The process of extraction in exchange for protection was further argued by economic historian Frederic Lane. Lane argued that "governments are in the business of selling protection... whether people want it or not." Furthermore, Lane argued that a monopoly was best equipped to produce and control violence. This, he argued, was due to the fact that competition within a monopoly raised costs, and that producing violence renders larger economies of scale. Although the logic was consistent with the predatory theory of the state in early modern Europe, Herbst's point of view was criticized by several scholars including Richard Joseph who were concerned that the application of predatory theory was an excessive approach of Darwinism. Many have disregarded the limited view of this theory and have instead extended it to include strong external threats of any kind. External threats to the state produce stronger institutional capacities to extract resources from the state.

In harnessing this increased capacity, Centeno describes the state as a machine that requires a "driver" that is able to use the increased capacity to expand influence and power of government. The driver can be state personnel, a dominant class, or a charismatic individual. Without these drivers, the political and military machine of the state has no direction to follow and therefore, without this direction, war and the increased resources extracted from war can not be used for growth. On the other hand, internal wars, i.e. civil wars, have a negative effect on extraction of a state. Internal rivals to the state decrease the state's capacity to unify and extract from its citizens. Rivals usually will bargain with the state to lower their tax burden, gain economic or political privileges.

Differentiating "Nation-building", Military Intervention, Regime Change

Some commentators have used the term "nation-building" interchangeably with "state-building" (e.g. Rand report on America's role in nation-building). However, in both major schools of theory the state is the focus of thinking rather than the "nation" (*nation* conventionally refers to the population itself, as united by identity history, culture and language). The issues debated related to the structures of the state (and its relationship to society) and as result state-building is the more broadly accepted term. In political science 'nation-building' usually has a quite distinct meaning, defined as the process of encouraging a sense of national identity within a given group of people, a definition that relates more to socialisation than state capacity.

Similarly, state-building (nation-building) has at times been conflated with military intervention or regime change. This derives in part from the military actions in Germany and Japan in World

War II and resulting states, and became especially prevalent following the military interventions in Afghanistan (October 2001) and Iraq (March 2003). However, the conflation of these two concepts has been highly controversial, and has been used by opposing ideological and political forces to attempt to justify, or reject as an illegal military occupation, the actions in Iraq and Afghanistan. Hence, regime change by outside intervention should be differentiated from state-building.

Peace Building Versus State Building

State building does not automatically guarantee peace building, a term denoting actions that identify and support structures that strengthen and solidify peace in order to prevent a relapse into conflict. Whilst they have traditionally been considered two individual concepts with a complex relationship giving rise to dilemmas and necessitating trade-offs, as Grävingholt, Gänzle and Ziaja argue, the two actually representative two diverging perspectives on the same issue: a shaky social peace and a breakdown of political order. Whilst the OECD emphasises that peace-building and state-building are not the same, it does recognise the nexus between them and the re-inforcement of one component has on the other: 'peace-building is primarily associated with post-conflict environments, and state-building is likely to be a central element of it in order to institutionalise peace'. Paris' model including the peace-building and state-building is one of the better known ones. He advocates an Internationalisation Before Liberalisation (IBL) approach, arguing that peace-building must be geared towards building liberal and effective states, thus 'avoiding the pathologies of liberalization, while placing war-shattered states on a long-term path to democracy and market-oriented economics'.

Despite the advantages of incorporating peace-building and state-building in the same model, applicational limitations should be recognised. In practice, foreign and security policy making still largely treat them as separate issues. Moreover, academics often approach the subjects from different angles. Heathershaw and Lambach caution that in practice, interventions that attempt the ambitious goals that Paris (amongst others) sets out may be coercive and driven by a 'the end justifies the means' outlook. This concern is acute in United Nations peacekeeping missions for there have been instances where peace-builders aspire not only to go a step further and eradicate the causes of violence, which are oftentimes not agree upon by the parties to the conflict, but also to invest 'post-conflict societies with various qualities, including democracy in order to reduce the tendency toward arbitrary power and give voice to all segments of society; the rule of law in order to reduce human rights violations; a market economy free from corruption in order to discourage individuals from believing that the surest path to fortune is by capturing the state; conflict management tools; and a culture of tolerance and respect'. Such ambitious goals are questionable when the United Nations has been seen to struggle in high-profile conflict-ridden situations such as Darfur and the Democratic Republic of the Congo. Where it has accomplished a degree of stability such as in Haiti and Liberia, it endures pressure 'to transition from heavy and costly security-oriented peacekeeping operations to lighter, peace-building-oriented missions'. Introducing state-building to mandates is controversial not only because this would entail extra costs and commitments but also because 'the expansion of peacekeeping into these areas has de facto extended the authority of the Security Council, with political, financial, institutional, and bureaucratic implications that have yet to be fully addressed'.

Due to the inherently political nature of state building, interventions to build the state can hinder

peace, increasing group tensions and sparking off further conflict. The strength of the consensus that has emerged stressing that 'a minimally functioning state is essential to maintain peace', ignores the complications that poor legitimacy and inclusion can lead to in the future, undermining the whole process. For instance, while the Guatemala Peace Accords were considered successful, 'the formal substance of these agreements has not altered power structures that have been in place for decades (if not centuries) in any substantial manner. The underlying (informal) understanding among elites – that their privileges and hold on power are not to be touched – appears to remain'. Therefore, while the Accords may be deemed successful because they prevented the outbreak of war, this 'success' was tainted by the implications made by a subsequent report published by the Commission of Historical Clarification in February 1999. In it 'particular insti-tutions were singled out as responsible for extensive human rights abuses. State institutions were attributed responsibility for 93% of these, and the guerrilla forces 3%. In unexpectedly strong language, the report described Guatemalan governmental policy at the height of the war as a policy of genocide'. The reinforcement of these state institutions as part of the peace-building process taints it by association.

Efforts to "appease" or 'buy off' certain interest groups in the interest of peace may undermine state-building exercises, as may power sharing exercises that could favour the establishment of a political settlement over effective state institutions. Such political settlements could also enshrine power and authority with certain factions within the military, allowing them to carve up state resources to the detriment of state building exercises.

Sometimes peace building efforts bypass the state in an effort bring peace and development more quickly, for example, it was found that many NGOs in the Democratic Republic of Congo were building schools without involving the state. The state also may be part of the problem and over-reliance on the state by international actors can worsen security inside the country.

Conversely, state corruption can mean that state building efforts serve only one ethnic, religious or other minority group, exacerbating tensions that could escalate towards violence. State building can also assist predatory states to strengthen their institutions, reinforcing abusive authority and further fueling grievances and popular resistance.

In practice, however, there remains confusion over the differences between state building and peace building. The UN's High-Level Panel on Threats, Challenges and Change stated that "along with establishing security, the core task of peace building is to build effective public institutions that, through negotiations with civil society, can establish a consensual framework for governance with the rule of law". Additionally, a 2004 UN study found that a number of UN officials felt that the establishment of effective and legitimate state institutions was a key indicator of a successful peace operation.

Market-Oriented Aid

Aid is an important part to the development dialogue. In the 1980s and 1990s due to a series of economic crises and unsuccessful attempts in intervention programs in Africa, Latin America, and Eastern Europe, the international community shifted towards a market-oriented model of foreign aid. Donor countries believed that a reduction in the size and the reach of the state could provide a more efficient outcome. However, the success of East Asia, East Europe, Brazil, and India has

suggested even market economies require a capable state to grow sustainably. Moreover, international donors became concerned over seriously malfunctioning states in the 1990s, i.e. Sierra Leone and Afghanistan.

State Structures within the Concept of State-building

The term "state" can be used to mean both a geographic sovereign political entity with a permanent population, a defined territory, a government, and the capacity to enter into relations with the other states, as defined under international law, as well as a set of social institutions claiming a monopoly of the legitimate use of force within a given territory (Max Weber, 1919).

For the purposes of state-building in environments of instability, the sub-structures of states can be defined as a political regime (or system of government), a governance framework (or constitution), and a set of state institutions (or organizations) such as the armed forces, the parliament, and the justice system. State capacity refers to the strength and capability of the state institutions. Nation conventionally refers to the population itself, as united by identity, history, culture and language.

Authoritarian Regime

Governments that have implemented the top-down method present the idea that there is a great external threat that can diminish the capabilities of a state and its citizens. The perceived threat creates an incentive that focuses policy, make elites cooperate, and facilitates the adoption of a nationalistic ideology. In an authoritarian government, political, military, and ideological power is concentrated to be conducive to policy continuation. The bureaucracies implemented are well trained, well paid, and highly competitive in recruitment and promotion. Economically successful states in East Asia have taken on programs to create infrastructure, subsidize the farming sector, provide credit, support spending on targeted research, and invest in health and education. However, most governments are non-developmental and unstable. Furthermore, even when countries have tried to pursue authoritarian strategies that have worked, specifically Brazil, a divided military, regional oligarchs in power, and vast disparities in inequality delegitimized the regime.

Democratic Regime

A democratic regime engages citizens more actively than a top-down government. It respects the right of citizen to contest policies. Successful democracies developed political capacities by nurturing active citizenship, maintaining electoral competitiveness that gave value to the votes of the poor, fostered political parties that were strongly oriented towards equality, and had strong party-social movement ties.

Approaches to State Building

While many specific techniques exist for creating a successful state building strategy, three specific approaches have been identified by the recent 2010 UNRISD report. These three approaches would all fall under the endogenous school of thinking, and are: Good Governance, New Public Management, and Decentralization.

Good Governance

Good governance is a very broadly used term for successful ways a government can create public institutions that protect people's rights. There has been a shift in good governance ideals, and as Kahn states, "The dominant 'good governance' paradigm identifies a series of capabilities that, it argues are necessary governance capabilities for a market-friendly state. These include, in particular, the capabilities to protect stable property rights, enforce the rule of law, effectively implement anti-corruption policies and achieve government accountability." This good governance paradigm is a market enhancing process which emerged in the 1990s. This approach involves enforcing the rule of law, creating stronger property rights, and reducing corruption. By focusing on improving these three traits, a country can improve its market efficiency. There is a theoretical cycle of market failure which explains how a lack of property rights and strong corruption, among other problems, leads to market failure:

- The cycle starts with economic stagnation, which can enhance and expose the inefficiencies of a weak government and rule of law that cannot effectively respond to the problem.
- Because a government is unaccountable or weak, small interest groups can use the government for their specific interests, resulting in rent seeking and corruption.
- Corruption and rent seeking from interest groups will lead to weak property rights that prevent citizens and smaller businesses from the assurance that their property is safe under national law. Also the corruption will result in welfare-reducing interventions.
- These weak property rights and welfare-reducing interventions lead to high transaction cost markets.
- High transaction cost markets lead back to economic stagnation.

While it is understood that improving rule of law and reducing corruption are important methods to increasing the stability and legitimacy of a government, it is not certain whether this approach is a good basis for a state building approach. Researchers have looked at this approach by measuring property rights, regulatory quality, corruption, and voice and accountability. There was little correlation found between increasing property rights and growth rates per capita GDP.

New Public Management

In response to the unsuccessful attempts to strengthen government administrations, developing countries began to adopt market-oriented managerial reforms under the pressure of the IMF and the World Bank. New Public Management approach first emerged in New Zealand and the United Kingdom in the 1980s. New Public management uses market like reforms within the public sector to provide the government with the necessary power to implement a development plan on the economy while also using competitive market-based techniques to enhance public sector production. It changed public sector employment practices from career tenure positions towards limited-term contracts for senior staff, locally determined pay, and performance-related pay. Secondly, the provision of government services shifted towards contracts, franchising, vouchers, and user charges in an effort to promote efficiency in service provision to citizens.

In this type of government, large bureaucracies within a ministry (the principal) no longer main-

tain their hierarchical structure but rather are composed of operational arms of ministries that perform the role of an individual agent. The strategy has been more prominent in liberal market-driven policy regimes like New Zealand, United Kingdom, and the United States. Continental Europe has been more resistant to implementing this type of policy. In developing countries, the implementation of these types of infrastructure has been difficult because the markets for the delivery of services are imperfect and increase the danger of regulatory capture by companies. For successful implementation, governments must have the infrastructure to measure reliable performance indicators and the capacity to regulate the behavior of private providers.

Decentralization

In reference to state building approaches decentralization is beneficial because "It seeks to reduce rent-seeking behavior and inefficient resource allocation associated with centralized power by dispersing such power to lower levels of government, where the poor are likely to exercise influence and a variety of actors may participate in the provision of services.".

Limitations to decentralization are the reduction of the meritocratic basis can limit the states capacity to serve citizens, limited control of the fiscal funds at the local level can prevent effectiveness, and substantial inequalities in fiscal capacity among different regions can create ineffective redistribution of resources. Therefore, for these policies to work there must be coordination efforts to ensure that growth-oriented and redistributive strategies initiated at the central government are implemented regionally. Furthermore, government elites must be in favor of low-income groups and grass root groups should be able to engage with local authorities during policy making.

Examples of State-building

Latin America

In the 21st century, it became economically and politically difficult for Latin American countries to increase revenues, which led states to turn to debt for the necessary resources to pay for war. As a result, Latin American countries did not establish the same tax basis that their European counterparts did. This can be explained by the predatory theory. Studies on the extraction of tax revenues have demonstrated that both external and internal rivals affect the ability of a state to develop and extract resources from its citizens. Interstate rivals had a positive effect on the state's capacity to extract resources while intrastate rivals had a negative effect on state building.

Africa

Tilly's theory that external threats strengthen the state's capacity to extract taxes from its citizens can be applied to developing countries in Africa. The presence of both external state rivals and internal ethnic rivals prompted states to increase their extraction of taxes from citizens while internal political rivals failed to affect the extraction of taxes. The leaders in power try to maintain their position by catering to the majority ethnic group and increase taxes to gain the resources to diminish threats from minority ethnic groups. Thus, the presence of internal ethnic rivals creates the capacity to significantly increase the tax ratio.

Drawing on Charles Tilly's theory of European state formation, a number of scholars have suggest-

ed that in focusing on internal rivalries, rather than challenging colonial borders, rulers were "less likely to see their economies as a resource to be nurtured than as an object of periodic plunder—the analogy to Olson's (1993) roving bandits should be clear" (Thies, 2004: 58). In the absence of external threats, rulers thus had no impetus to replicate the patterns described by Tilly—war making, coercion, resource extraction—that were crucial to the process of centralization of power in the state in Europe.

For example, in *States and Power in Africa*, Jeffrey Herbst explains that "domestic security threats, of the type African countries face so often, may force the state to increase revenue; however, civil conflicts result in fragmentation and considerable hostility among different segments of the population", undermining the state's ability to rally the population's support for the "national project" (2000: 126). In a later article, he argues war in Europe lead to strong states and that without war African states will remain weak. In Europe, external threats allowed states to tax, increase taxation, and forge a national identity. Additionally, the states that were invaded and taken over by stronger countries were militarily and politically weak. African states are poor, have weak governments, and are fragmented among ethnic or regional lines. In principle these weak African states should be susceptible to external threats, but this is not the case. In Africa, Herbst notes there are rarely conflicts between states, and if there are, war does not threaten the existence of the state. For example, in 1979 the Uganda-Tanzania War, Tanzania invaded Uganda to overthrow Idi Amin. But after Tanzania overthrew Amin, they left the country. Although African states do not have interstate war, Herbst argues they need it to reform the tax structure and build a national identity. Herbst concludes that war in Africa is likely to occur when African leaders realize that their economic reforms and efforts to build a national identity do not work and in desperation will start wars to build the states that their countries need.

Several researchers have emphasized that the internal violence seen in Africa was characteristic to early modern European politics and this type of structure may resolve to produce a higher level of political order. This controversial claim has been criticized by a number of scholars for its "excessively Darwinian", overly deterministic and euro-centric understanding of the process of state formation.

Palestine

The Palestine Liberation Organization (PLO) claims sovereignty over the Palestinian Territories, as well as representative status over the Palestinian people. However, it does not have sole jurisdiction over the areas it claims. In addition, many of those it aims to represent currently reside elsewhere, most notably in neighbouring Arab countries such as Jordan, Lebanon, and Syria. Nonetheless, the PLO and other Palestinian organisations have historically made great efforts to install institutions commonly associated with states in the Palestinian territories as well as in countries with large numbers of Palestinian residents. Examples include Jordan after the Six-Day War, where the installation of parallel structures of power and mechanisms for taxation and education led to largely independent Palestinian enclaves which formed a threat to the power and legitimacy of the monarchy, and Lebanon, where a similar process exacerbated ethnic and religious tensions.

Despite the break-down of the Oslo process and the ongoing construction of Israeli settlements, the Palestinian National Authority continues to engage in state-building activities in its territories and refers to the "State of Palestine" in official documents since 2013. In 2003, UN Resolution 1515

was passed, calling for the "establishment of an independent, democratic and viable Palestinian state". Despite this official acknowledgement of the legitimacy of PNA state building by the international community, an Overseas Development Institute report has found international assistance to have been "sporadic and fragmented". Beside the lack in consistent outside support, the report identified key challenges to Palestinian state-building at the international level, including the lack of horizon on Final Status negotiations, failed peace negotiations, the tightening of the occupation, and the weak economic base, in addition to profound challenges at the domestic level, including:

- a lack of an internal political settlement
- weak linkages between ruling authorities and society at large
- weakened social cohesion
- gender inequality
- weak civil society
- lack of capacity of formal PNA institutions
- (perceived) securitization of authority across the occupied Palestinian territory

A number of scholars have questioned whether the Palestinian Authority was ever in a position to build a viable state. Edward Said, Neve Gordon and Sara Roy among others have argued that the PNA was designed as an "occupation subcontractor", only strengthening the power asymmetries between occupier and occupied. Another strand of analysis, associated with Jamil Hilal and Mushtaq Khan (2004), portrays the PNA as a "transitional client quasi-state", stuck in a situation where core functions of the state remain in the hands of the Israeli state. They identify structural issues within the Oslo process and disunity and corruption prevalent among the Palestinian elite as key reasons for the failure of the Palestinian state-building efforts.

References

- Chandler, David; Sisk, Timothy D. (2013-09-02). Routledge Handbook of International Statebuilding. Routledge. ISBN 9781135940010.
- UNICEF (2010). Advocacy toolkit - A guide to influencing decisions that improve children's lives (PDF). UNICEF. p. 144. Retrieved 11 February 2016.
- "Herbst, J.: States and Power in Africa: Comparative Lessons in Authority and Control. (Second edition) (eBook, Paperback and Hardcover)". press.princeton.edu. Retrieved 2016-01-24.
- Rocha Menocal, Alina (2011). "The Palestinian State-building Agenda" (PDF). Overseas Development Institute. Overseas Development Institute. Retrieved 24 January 2016.
- Shapiro, M. (1983). Administrative Discretion: The Next Stage. The Yale Law Journal, 92(8), 1487–1522. Retrieved March 9, 2015.
- "Urban-imagination: The political/administrative dichotomy". heydeesmeet.blogspot.com. Retrieved 2014-02-09.
- Obar, Jonathan. "Canadian Advocacy 2.0: A Study of Social Media Use by Social Movement Groups and Activists in Canada". Retrieved 27 April 2013.
- Link, Arthur S. (December 9, 1968). "Woodrow Wilson and the Study of Administration". American Philosophical Society. 112 (6): 431–433. Retrieved 19 November 2013.

6

Forms of Government and Administration

Democracy is a form of government where the citizens exercise their powers by directly choosing their representatives. It is also known as the rule of the majority. Dictatorship, oligarchy, autocracy, monarchy, totalitarianism and republic are the other forms of government that have been explained in the following chapter.

Democracy

Democracy, in modern usage, is a system of government in which the citizens exercise power directly or elect representatives from among themselves to form a governing body, such as a parliament. Democracy is sometimes referred to as "rule of the majority"." Democracy was originally conceived in Classical Greece, where political representatives were chosen by a jury from amongst the male citizens: rich and poor.



A woman casts her vote in the second round of the 2007 French presidential election

According to political scientist Larry Diamond, democracy consists of four key elements: (a) A political system for choosing and replacing the government through free and fair elections; (b) The active participation of the people, as citizens, in politics and civic life; (c) Protection of the human rights of all citizens, and (d) A rule of law, in which the laws and procedures apply equally to all citizens.

In the 5th century BC, to denote the political systems then existing in Greek city-states, notably Athens, the term is an antonym to aristocracy, meaning "rule of an elite". While theoretically these definitions are in opposition, in practice the distinction has been blurred historically. The political system of Classical Athens, for example, granted democratic citizenship to free men and excluded slaves and women from political participation. In virtually all democratic governments throughout ancient and modern history, democratic citizenship consisted of an elite class until full enfranchisement was won for all adult citizens in most modern democracies through the suffrage movements of the 19th and 20th centuries. The English word dates to the 16th century, from the older Middle French and Middle Latin equivalents.

Democracy contrasts with forms of government where power is either held by an individual, as in an absolute monarchy, or where power is held by a small number of individuals, as in an oligarchy. Nevertheless, these oppositions, inherited from Greek philosophy, are now ambiguous because contemporary governments have mixed democratic, oligarchic, and monarchic elements. Karl Popper defined democracy in contrast to dictatorship or tyranny, thus focusing on opportunities for the people to control their leaders and to oust them without the need for a revolution.

Characteristics

No consensus exists on how to define democracy, but legal equality, political freedom and rule of law have been identified as important characteristics. These principles are reflected in all eligible citizens being equal before the law and having equal access to legislative processes. For example, in a representative democracy, every vote has equal weight, no unreasonable restrictions can apply to anyone seeking to become a representative, and the freedom of its eligible citizens is secured by legitimised rights and liberties which are typically protected by a constitution. Other uses of "democracy" include that of direct democracy.

One theory holds that democracy requires three fundamental principles: (1) upward control, i.e. sovereignty residing at the lowest levels of authority, (2) political equality, and (3) social norms by which individuals and institutions only consider acceptable acts that reflect the first two principles of upward control and political equality.

The term "democracy" is sometimes used as shorthand for liberal democracy, which is a variant of representative democracy that may include elements such as political pluralism; equality before the law; the right to petition elected officials for redress of grievances; due process; civil liberties; human rights; and elements of civil society outside the government. Roger Scruton argues that democracy alone cannot provide personal and political freedom unless the institutions of civil society are also present.

In some countries, notably in the United Kingdom which originated the Westminster system, the dominant principle is that of parliamentary sovereignty, while maintaining judicial independence. In the United States, separation of powers is often cited as a central attribute. In India, parliamentary sovereignty is subject to the Constitution of India which includes judicial review. Though the term "democracy" is typically used in the context of a political state, the principles also are applicable to private organisations.

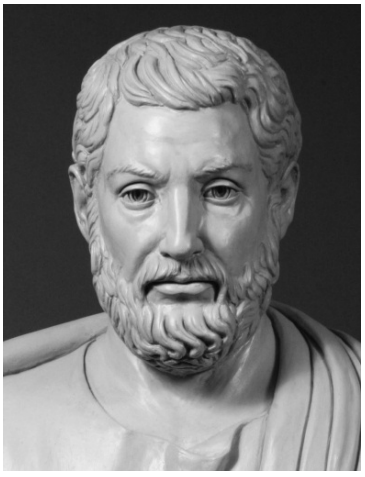
Majority rule is often listed as a characteristic of democracy. Hence, democracy allows for political minorities to be oppressed by the "tyranny of the majority" in the absence of legal protections of individual or group rights. An essential part of an "ideal" representative democracy is competitive elections that are substantively and procedurally "fair," i.e., just and equitable. In some countries, freedom of political expression, freedom of speech, and freedom of the press are considered important to ensure that voters are well informed enabling them to vote according to their own interests.

It has also been suggested that a basic feature of democracy is the capacity of all voters to participate freely and fully in the life of their society. With its emphasis on notions of social contract and the collective will of all the voters, democracy can also be characterised as a form of political col-

lectivism because it is defined as a form of government in which all eligible citizens have an equal say in lawmaking.

While representative democracy is sometimes equated with the republican form of government, the term "republic" classically has encompassed both democracies and aristocracies. Many democracies are constitutional monarchies, such as the United Kingdom.

History



Cleisthenes, "father of Athenian democracy", modern bust

Ancient Origins

The term "democracy" first appeared in ancient Greek political and philosophical thought in the city-state of Athens during classical antiquity. Led by Cleisthenes, Athenians established what is generally held as the first democracy in 508–507 BC. Cleisthenes is referred to as "the father of Athenian democracy."

Etymology: the word comes from *demos*, "common people" and *kratos*, strength.

Athenian democracy took the form of a direct democracy, and it had two distinguishing features: the random selection of ordinary citizens to fill the few existing government administrative and judicial offices, and a legislative assembly consisting of all Athenian citizens. All eligible citizens were allowed to speak and vote in the assembly, which set the laws of the city state. However, Athenian citizenship excluded women, slaves, foreigners, non-landowners, and males under 20 years old.

Of the estimated 200,000 to 400,000 inhabitants of Athens, there were between 30,000 and 60,000 citizens. The exclusion of large parts of the population from the citizen body is closely related to the ancient understanding of citizenship. In most of antiquity the benefit of citizenship was tied to the obligation to fight war campaigns.

Athenian democracy was not only *direct* in the sense that decisions were made by the assembled people, but also the *most direct* in the sense that the people through the assembly, boule and courts of law controlled the entire political process and a large proportion of citizens were involved

constantly in the public business. Even though the rights of the individual were not secured by the Athenian constitution in the modern sense (the ancient Greeks had no word for "rights"), the Athenians enjoyed their liberties not in opposition to the government but by living in a city that was not subject to another power and by not being subjects themselves to the rule of another person.

Range voting appeared in Sparta as early as 700 BC. The Apella was an assembly of the people, held once a month, in which every male citizen of age 30 and above could participate. In the Apella, Spartans elected leaders and cast votes by range voting and shouting. Aristotle called this "childish", as compared with the stone voting ballots used by the Athenians. Sparta adopted it because of its simplicity, and to prevent any bias voting, buying, or cheating that was predominant in the early democratic elections.

Even though the Roman Republic contributed significantly to many aspects of democracy, only a minority of Romans were citizens with votes in elections for representatives. The votes of the powerful were given more weight through a system of gerrymandering, so most high officials, including members of the Senate, came from a few wealthy and noble families. In addition, the Roman Republic was the first government in the western world to have a Republic as a nation-state, although it didn't have much of a democracy. The Romans invented the concept of classics and many works from Ancient Greece were preserved. Additionally, the Roman model of governance inspired many political thinkers over the centuries, and today's modern representative democracies imitate more the Roman than the Greek models because it was a state in which supreme power was held by the people and their elected representatives, and which had an elected or nominated leader. Other cultures, such as the Iroquois Nation in the Americas between around 1450 and 1600 AD also developed a form of democratic society before they came in contact with the Europeans. This indicates that forms of democracy may have been invented in other societies around the world.

Middle Ages

During the Middle Ages, there were various systems involving elections or assemblies, although often only involving a small part of the population. These included:

- the Frostating in Norway,
- the Althing in Iceland,
- the Løgting in the Faeroe Islands,
- Scandinavian Things,
- the election of Uthman in the Rashidun Caliphate,
- the South Indian Kingdom of the Chola in the state of Tamil Nadu in the Indian Subcontinent had an electoral system at 920 A.D., about 1100 years ago,
- Carantania, old Slavic/Slovenian principality, the Ducal Inauguration from 7th to 15th century,
- the upper-caste election of the Gopala in the Bengal region of the Indian Subcontinent,
- the Holy Roman Empire's Hoftag and Imperial Diets (mostly Nobles and Clergy),

- Frisia in the 10th-15th Century (Weight of vote based on landownership)
- the Polish–Lithuanian Commonwealth (10% of population),
- certain medieval Italian city-states such as Venice, Genoa, Florence, Pisa, Lucca, Amalfi, Siena and San Marino
- the tuatha system in early medieval Ireland,
- the Veche in Novgorod and Pskov Republics of medieval Russia,
- The States in Tirol and Switzerland,
- the autonomous merchant city of Sakai in the 16th century in Japan,
- Volta-Nigeric societies such as Igbo.
- the Mekhk-Khel system of the Nakh peoples of the North Caucasus, by which representatives to the Council of Elders for each teip (clan) were popularly elected by that teip's members.
- The 10th Sikh Guru Gobind Singh ji (Nanak X) established the world's first Sikh democratic republic state ending the aristocracy on day of 1st Vasakh 1699 and Gurbani as sole constitution of this Sikh republic on the Indian subcontinent.

Most regions in medieval Europe were ruled by clergy or feudal lords.

The Kouroukan Fouga divided the Mali Empire into ruling clans (lineages) that were represented at a great assembly called the *Gbara*. However, the charter made Mali more similar to a constitutional monarchy than a democratic republic. A little closer to modern democracy were the Cossack republics of Ukraine in the 16th and 17th centuries: Cossack Hetmanate and Zaporizhian Sich. The highest post – the Hetman – was elected by the representatives from the country's districts.



Magna Carta, 1215, England

The Parliament of England had its roots in the restrictions on the power of kings written into Magna Carta (1215), which explicitly protected certain rights of the King's subjects and implicitly supported what became the English writ of habeas corpus, safeguarding individual freedom against unlawful imprisonment with right to appeal. The first representative national assembly in England was Simon de Montfort's Parliament in 1265. The emergence of petitioning is some of the earliest evidence of parliament being used as a forum to address the general grievances of ordinary people. However, the power to call parliament remained at the pleasure of the monarch.

Modern Era

Early Modern Period

During the early modern period, the power of the Parliament of England continually increased. Passage of the Petition of Right in 1628 and Habeas Corpus Act in 1679 established certain liberties and remain in effect. The idea of a political party took form with groups freely debating rights to political representation during the Putney Debates of 1647. After the English Civil Wars (1642–1651) and the Glorious Revolution of 1688, the Bill of Rights was enacted in 1689, which codified certain rights and liberties, and is still in effect. The Bill set out the requirement for regular elections, rules for freedom of speech in Parliament and limited the power of the monarch, ensuring that, unlike much of Europe at the time, royal absolutism would not prevail.

In North America, representative government began in Jamestown, Virginia, with the election of the House of Burgesses (forerunner of the Virginia General Assembly) in 1619. English Puritans who migrated from 1620 established colonies in New England whose local governance was democratic and which contributed to the democratic development of the United States; although these local assemblies had some small amounts of devolved power, the ultimate authority was held by the Crown and the English Parliament. The Puritans (Pilgrim Fathers), Baptists, and Quakers who founded these colonies applied the democratic organisation of their congregations also to the administration of their communities in worldly matters.

18th and 19th Centuries



The establishment of universal male suffrage in France in 1848 was an important milestone in the history of democracy

The first Parliament of Great Britain was established in 1707, after the merger of the Kingdom of England and the Kingdom of Scotland under the Acts of Union. Although the monarch increasingly became a figurehead, only a small minority actually had a voice; Parliament was elected by only a few percent of the population (less than 3% as late as 1780). During the Age of Liberty in Sweden (1718-1772), civil rights were expanded and power shifted from the monarch to parliament. The taxed peasantry was represented in parliament, although with little influence, but commoners without taxed property had no suffrage.

The creation of the short-lived Corsican Republic in 1755 marked the first nation in modern history to adopt a democratic constitution (all men and women above age of 25 could vote). This Corsican

Constitution was the first based on Enlightenment principles and included female suffrage, something that was not granted in most other democracies until the 20th century.

In the American colonial period before 1776, and for some time after, often only adult white male property owners could vote; enslaved Africans, most free black people and most women were not extended the franchise. On the American frontier, democracy became a way of life, with more widespread social, economic and political equality. Although not described as a democracy by the founding fathers, they shared a determination to root the American experiment in the principles of natural freedom and equality.

The American Revolution led to the adoption of the United States Constitution in 1787, the oldest surviving, still active, governmental codified constitution. The Constitution provided for an elected government and protected civil rights and liberties for some, but did not end slavery nor extend voting rights in the United States beyond white male property owners (about 6% of the population). The Bill of Rights in 1791 set limits on government power to protect personal freedoms but had little impact on judgements by the courts for the first 130 years after ratification.

In 1789, Revolutionary France adopted the Declaration of the Rights of Man and of the Citizen and, although short-lived, the National Convention was elected by all males in 1792. However, in the early 19th century, little of democracy - as theory, practice, or even as word - remained in the North Atlantic world.

During this period, slavery remained a social and economic institution in places around the world. This was particularly the case in the United States, and especially in the last fifteen slave states that kept slavery legal in the American South until the Civil War. A variety of organisations were established advocating the movement of black people from the United States to locations where they would enjoy greater freedom and equality.

The United Kingdom's Slave Trade Act 1807 banned the trade across the British Empire, which was enforced internationally by the Royal Navy under treaties Britain negotiated with other nations. As the voting franchise in the U.K. was increased, it also was made more uniform in a series of reforms beginning with the Reform Act 1832. In 1833, the United Kingdom passed the Slavery Abolition Act which took effect across the British Empire.

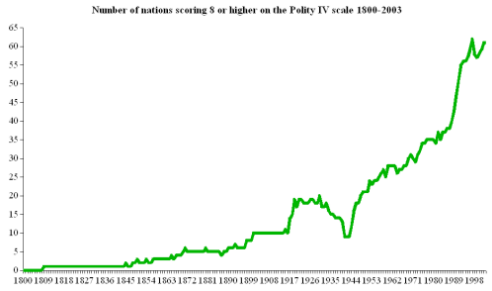
Universal male suffrage was established in France in March 1848 in the wake of the French Revolution of 1848. In 1848, several revolutions broke out in Europe as rulers were confronted with popular demands for liberal constitutions and more democratic government.

In the 1860 United States Census, the slave population in the United States had grown to four million, and in Reconstruction after the Civil War (late 1860s), the newly freed slaves became citizens with a nominal right to vote for men. Full enfranchisement of citizens was not secured until after the African-American Civil Rights Movement (1955–1968) gained passage by the United States Congress of the Voting Rights Act of 1965.

20th and 21st Centuries

20th-century transitions to liberal democracy have come in successive "waves of democracy",

variously resulting from wars, revolutions, decolonisation, and religious and economic circumstances. World War I and the dissolution of the Ottoman and Austro-Hungarian empires resulted in the creation of new nation-states from Europe, most of them at least nominally democratic.



The number of nations 1800–2003 scoring 8 or higher on Polity IV scale, another widely used measure of democracy

In the 1920s democracy flourished and women's suffrage advanced, but the Great Depression brought disenchantment and most of the countries of Europe, Latin America, and Asia turned to strong-man rule or dictatorships. Fascism and dictatorships flourished in Nazi Germany, Italy, Spain and Portugal, as well as non-democratic governments in the Baltics, the Balkans, Brazil, Cuba, China, and Japan, among others.

World War II brought a definitive reversal of this trend in western Europe. The democratisation of the American, British, and French sectors of occupied Germany (disputed), Austria, Italy, and the occupied Japan served as a model for the later theory of government change. However, most of Eastern Europe, including the Soviet sector of Germany fell into the non-democratic Soviet bloc.

The war was followed by decolonisation, and again most of the new independent states had nominally democratic constitutions. India emerged as the world's largest democracy and continues to be so. Countries that were once part of the British Empire often adopted the British Westminster system.

By 1960, the vast majority of country-states were nominally democracies, although most of the world's populations lived in nations that experienced sham elections, and other forms of subterfuge (particularly in Communist nations and the former colonies.)

A subsequent wave of democratisation brought substantial gains toward true liberal democracy for many nations. Spain, Portugal (1974), and several of the military dictatorships in South America returned to civilian rule in the late 1970s and early 1980s (Argentina in 1983, Bolivia, Uruguay in 1984, Brazil in 1985, and Chile in the early 1990s). This was followed by nations in East and South Asia by the mid-to-late 1980s.

Economic malaise in the 1980s, along with resentment of Soviet oppression, contributed to the collapse of the Soviet Union, the associated end of the Cold War, and the democratisation and liberalisation of the former Eastern bloc countries. The most successful of the new democracies were those geographically and culturally closest to western Europe, and they are now members or candidate members of the European Union.

The liberal trend spread to some nations in Africa in the 1990s, most prominently in South Africa.

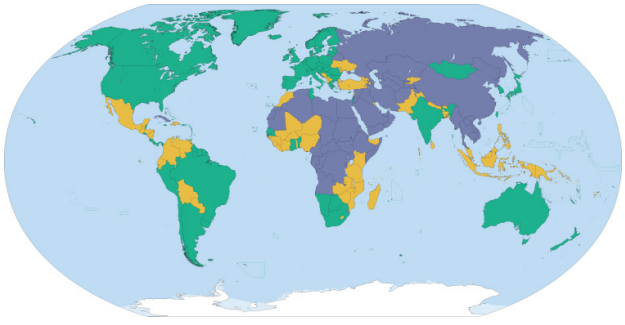
Some recent examples of attempts of liberalisation include the Indonesian Revolution of 1998, the Bulldozer Revolution in Yugoslavia, the Rose Revolution in Georgia, the Orange Revolution in Ukraine, the Cedar Revolution in Lebanon, the Tulip Revolution in Kyrgyzstan, and the Jasmine Revolution in Tunisia.

According to Freedom House, in 2007 there were 123 electoral democracies (up from 40 in 1972). According to *World Forum on Democracy*, electoral democracies now represent 120 of the 192 existing countries and constitute 58.2 percent of the world's population. At the same time liberal democracies i.e. countries Freedom House regards as free and respectful of basic human rights and the rule of law are 85 in number and represent 38 percent of the global population.

In 2007 the United Nations declared September 15 the International Day of Democracy.

India is the world's largest democracy consisting of a population of 1.24 billion. The electorate added up to 714 million for the 2009 national election.

Measurement of Democracy



Country ratings from Freedom House's *Freedom in the World 2016* survey, concerning the state of world freedom in 2015.

Free (86) Partly Free (59) Not Free (50)



Countries designated «electoral democracies" in Freedom House's 2015 survey "Freedom in the World", covering the year 2014.

Several freedom indices are used to measure democracy:

- *Freedom in the World* published each year since 1972 by the U.S.-based Freedom House ranks countries by political rights and civil liberties that are derived in large measure from the Universal Declaration of Human Rights. Countries are assessed as *free*, *partly free*, or *unfree*.

- *Worldwide Press Freedom Index* is published each year since 2002 (except that 2011 was combined with 2012) by France-based Reporters Without Borders. Countries are assessed as having a *good situation*, a *satisfactory situation*, *noticeable problems*, a *difficult situation*, or a *very serious situation*.
- *Freedom of the Press* published each year since 1980 by Freedom House.
- The *Index of Freedom in the World* is an index measuring classical civil liberties published by Canada's Fraser Institute, Germany's Liberales Institute, and the U.S. Cato Institute. It is not currently included in the table below.
- The *CIRI Human Rights Data Project* measures a range of human, civil, women's and workers rights. It is now hosted by the University of Connecticut. It was created in 1994. In its 2011 report, the U.S. was ranked 38th in overall human rights.
- The *Democracy Index*, published by the U.K.-based Economist Intelligence Unit, is an assessment of countries' democracy. Countries are rated to be either *Full Democracies*, *Flawed Democracies*, *Hybrid Regimes*, or *Authoritarian regimes*. Full democracies, flawed democracies, and hybrid regimes are considered to be democracies, and the authoritarian nations are considered to be dictatorial. The index is based on 60 indicators grouped in five different categories.
- The U.S.-based *Polity data series* is a widely used data series in political science research. It contains coded annual information on regime authority characteristics and transitions for all independent states with greater than 500,000 total population and covers the years 1800–2006. Polity's conclusions about a state's level of democracy are based on an evaluation of that state's elections for competitiveness, openness and level of participation. Data from this series is not currently included in the table below. The Polity work is sponsored by the Political Instability Task Force (PITF) which is funded by the U.S. Central Intelligence Agency. However, the views expressed in the reports are the authors' alone and do not represent the views of the US Government.
- MaxRange, a dataset defining level of democracy and institutional structure(regime-type) on a 100-graded scale where every value represents a unique regime type. Values are sorted from 1-100 based on level of democracy and political accountability. MaxRange defines the value corresponding to all states and every month from 1789 to 2015 and updating. MaxRange is created and developed by Max Range, and is now associated with the university of Halmstad, Sweden.

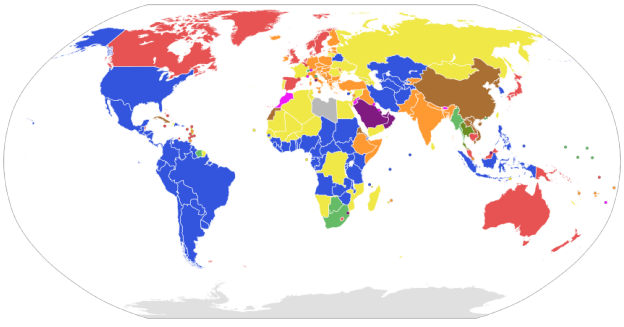
Types of Democracies

Democracy has taken a number of forms, both in theory and practice. Some varieties of democracy provide better representation and more freedom for their citizens than others. However, if any democracy is not structured so as to prohibit the government from excluding the people from the legislative process, or any branch of government from altering the separation of powers in its own favour, then a branch of the system can accumulate too much power and destroy the democracy.

Several states constitutionally deemed to be multiparty republics are broadly described by

outsiders as authoritarian states. This map presents only the *de jure* form of govern-ment, and not the *de facto* degree of democracy.

The following kinds of democracy are not exclusive of one another: many specify details of aspects that are independent of one another and can co-exist in a single system.



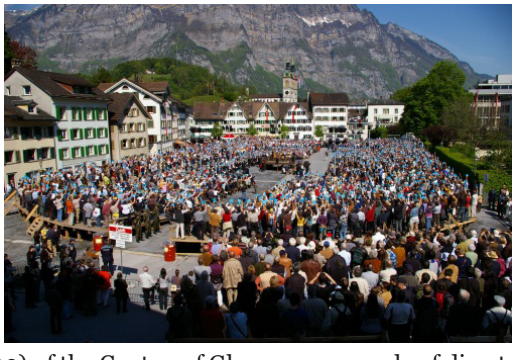
World's states coloured by form of government

Presidential republics	Semi-presidential republics
Republics with an executive president dependent on a parliament	Parliamentary republics
Parliamentary constitutional monarchies	Constitutional monarchies in which the monarch personally exercises power
Absolute monarchies	One-party states
Countries where constitutional provisions for government have been suspended	Countries which do not fit any of the above systems

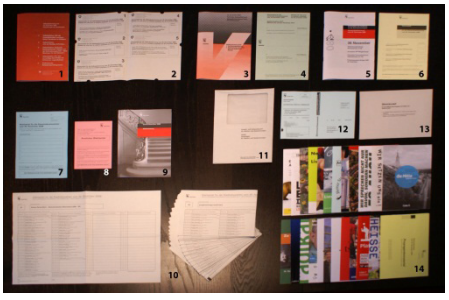
Basic Forms

Several variants of democracy exist, but there are two basic forms, both of which concern how the whole body of all eligible citizens executes its will. One form of democracy is direct democracy, in which all eligible citizens have active participation in the political decision making, for example voting on policy initiatives directly. In most modern democracies, the whole body of eligible citizens remain the sovereign power but political power is exercised indirectly through elected representatives; this is called a representative democracy.

Direct



A Landsgemeinde (in 2009) of the Canton of Glarus, an example of direct democracy in Switzerland



In Switzerland, without needing to register, every citizen receives ballot papers and information brochures for each vote (and can send it back by post). Switzerland has a direct democracy system and votes are organised about four times a year.

Direct democracy is a political system where the citizens participate in the decision-making personally, contrary to relying on intermediaries or representatives. The use of a lot system, a characteristic of Athenian democracy, is unique to direct democracies. In this system, important governmental and administrative tasks are performed by citizens picked from a lottery. A direct democracy gives the voting population the power to:

1. Change constitutional laws,
2. Put forth initiatives, referendums and suggestions for laws,
3. Give binding orders to elective officials, such as revoking them before the end of their elected term, or initiating a lawsuit for breaking a campaign promise.

Within modern-day representative governments, certain electoral tools like referendums, citizens' initiatives and recall elections are referred to as forms of direct democracy. Direct democracy as a government system currently exists in the Swiss cantons of Appenzell Innerrhoden and Glarus, and kurdish cantons of Rojava.

Representative

Representative democracy involves the election of government officials by the people being represented. If the head of state is also democratically elected then it is called a democratic republic. The most common mechanisms involve election of the candidate with a majority or a plurality of the votes. Most western countries have representative systems.

Representatives may be elected or become diplomatic representatives by a particular district (or constituency), or represent the entire electorate through proportional systems, with some using a combination of the two. Some representative democracies also incorporate elements of direct democracy, such as referendums. A characteristic of representative democracy is that while the representatives are elected by the people to act in the people's interest, they retain the freedom to exercise their own judgement as how best to do so. Such reasons have driven criticism upon representative democracy, pointing out the contradictions of representation mechanisms' with democracy.

Parliamentary

Parliamentary democracy is a representative democracy where government is appointed by, or

can be dismissed by, representatives as opposed to a "presidential rule" wherein the president is both head of state and the head of government and is elected by the voters. Under a parliamentary democracy, government is exercised by delegation to an executive ministry and subject to ongoing review, checks and balances by the legislative parliament elected by the people.

Parliamentary systems have the right to dismiss a Prime Minister at any point in time that they feel he or she is not doing their job to the expectations of the legislature. This is done through a Vote of No Confidence where the legislature decides whether or not to remove the Prime Minister from office by a majority support for his or her dismissal. In some countries, the Prime Minister can also call an election whenever he or she so chooses, and typically the Prime Minister will hold an election when he or she knows that they are in good favour with the public as to get re-elected. In other parliamentary democracies extra elections are virtually never held, a minority government being preferred until the next ordinary elections. An important feature of the parliamentary democracy is the concept of the "loyal opposition". The essence of the concept is that the second largest political party (or coalition) opposes the governing party (or coalition), while still remaining loyal to the state and its democratic principles.

Presidential

Presidential Democracy is a system where the public elects the president through free and fair elections. The president serves as both the head of state and head of government controlling most of the executive powers. The president serves for a specific term and cannot exceed that amount of time. Elections typically have a fixed date and aren't easily changed. The president has direct control over the cabinet, specifically appointing the cabinet members.

The president cannot be easily removed from office by the legislature, but he or she cannot remove members of the legislative branch any more easily. This provides some measure of separation of powers. In consequence however, the president and the legislature may end up in the control of separate parties, allowing one to block the other and thereby interfere with the orderly operation of the state. This may be the reason why presidential democracy is not very common outside the Americas, Africa, and Central and Southeast Asia.

A semi-presidential system is a system of democracy in which the government includes both a prime minister and a president. The particular powers held by the prime minister and president vary by country.

Hybrid or Semi-direct

Some modern democracies that are predominantly representative in nature also heavily rely upon forms of political action that are directly democratic. These democracies, which combine elements of representative democracy and direct democracy, are termed *hybrid democracies*, *semi-direct democracies* or *participatory democracies*. Examples include Switzerland and some U.S. states, where frequent use is made of referendums and initiatives.

The Swiss confederation is a semi-direct democracy. At the federal level, citizens can propose changes to the constitution (federal popular initiative) or ask for a referendum to be held on any law voted by the parliament. Between January 1995 and June 2005, Swiss citizens voted 31 times,

to answer 103 questions (during the same period, French citizens participated in only two referendums). Although in the past 120 years less than 250 initiatives have been put to referendum. The populace has been conservative, approving only about 10% of the initiatives put before them; in addition, they have often opted for a version of the initiative rewritten by government.

In the United States, no mechanisms of direct democracy exists at the federal level, but over half of the states and many localities provide for citizen-sponsored ballot initiatives (also called "ballot measures", "ballot questions" or "propositions"), and the vast majority of states allow for referendums. Examples include the extensive use of referendums in the US state of California, which is a state that has more than 20 million voters.

In New England, Town meetings are often used, especially in rural areas, to manage local government. This creates a hybrid form of government, with a local direct democracy and a state government which is representative. For example, most Vermont towns hold annual town meetings in March in which town officers are elected, budgets for the town and schools are voted on, and citizens have the opportunity to speak and be heard on political matters.

Variants

Constitutional Monarchy



Queen Elizabeth II, a constitutional monarch

Many countries such as the United Kingdom, Spain, the Netherlands, Belgium, Scandinavian countries, Thailand, Japan and Bhutan turned powerful monarchs into constitutional monarchs with limited or, often gradually, merely symbolic roles. For example, in the predecessor states to the United Kingdom, constitutional monarchy began to emerge and has continued uninterrupted since the Glorious Revolution of 1688 and passage of the Bill of Rights 1689.

In other countries, the monarchy was abolished along with the aristocratic system (as in France, China, Russia, Germany, Austria, Hungary, Italy, Greece and Egypt). An elected president, with or without significant powers, became the head of state in these countries.

Élite upper houses of legislatures, which often had lifetime or hereditary tenure, were common

in many nations. Over time, these either had their powers limited (as with the British House of Lords) or else became elective and remained powerful (as with the Australian Senate).

Republic

The term *republic* has many different meanings, but today often refers to a representative democracy with an elected head of state, such as a president, serving for a limited term, in contrast to states with a hereditary monarch as a head of state, even if these states also are representative democracies with an elected or appointed head of government such as a prime minister.

The Founding Fathers of the United States rarely praised and often criticised democracy, which in their time tended to specifically mean direct democracy, often without the protection of a constitution enshrining basic rights; James Madison argued, especially in *The Federalist* No. 10, that what distinguished a *democracy* from a *republic* was that the former became weaker as it got larger and suffered more violently from the effects of faction, whereas a republic could get stronger as it got larger and combats faction by its very structure.

What was critical to American values, John Adams insisted, was that the government be "bound by fixed laws, which the people have a voice in making, and a right to defend." As Benjamin Franklin was exiting after writing the U.S. constitution, a woman asked him "Well, Doctor, what have we got—a republic or a monarchy?". He replied "A republic—if you can keep it."

Liberal Democracy

A liberal democracy is a representative democracy in which the ability of the elected representatives to exercise decision-making power is subject to the rule of law, and moderated by a constitution or laws that emphasise the protection of the rights and freedoms of individuals, and which places constraints on the leaders and on the extent to which the will of the majority can be exercised against the rights of minorities.

In a liberal democracy, it is possible for some large-scale decisions to emerge from the many individual decisions that citizens are free to make. In other words, citizens can "vote with their feet" or "vote with their dollars", resulting in significant informal government-by-the-masses that exercises many "powers" associated with formal government elsewhere.

Socialist

Socialist thought has several different views on democracy. Social democracy, democratic socialism, and the dictatorship of the proletariat (usually exercised through Soviet democracy) are some examples. Many democratic socialists and social democrats believe in a form of participatory, industrial, economic and/or workplace democracy combined with a representative democracy.

Within Marxist orthodoxy there is a hostility to what is commonly called "liberal democracy", which they simply refer to as parliamentary democracy because of its often centralised nature. Because of their desire to eliminate the political elitism they see in capitalism, Marxists, Leninists and Trotskyists believe in direct democracy implemented through a system of communes (which are sometimes called soviets). This system ultimately manifests itself as council democracy and begins with workplace democracy.

Democracy cannot consist solely of elections that are nearly always fictitious and managed by rich landowners and professional politicians.

—Che Guevara, Speech, Uruguay, 1961

Anarchist

Anarchists are split in this domain, depending on whether they believe that a majority-rule is tyrannic or not. The only form of democracy considered acceptable to many anarchists is direct democracy. Pierre-Joseph Proudhon argued that the only acceptable form of direct democracy is one in which it is recognised that majority decisions are not binding on the minority, even when unanimous. However, anarcho-communist Murray Bookchin criticised individualist anarchists for opposing democracy, and says "majority rule" is consistent with anarchism.

Some anarcho-communists oppose the majoritarian nature of direct democracy, feeling that it can impede individual liberty and opt in favour of a non-majoritarian form of consensus democracy, similar to Proudhon's position on direct democracy. Henry David Thoreau, who did not self-identify as an anarchist but argued for "a better government" and is cited as an inspiration by some anarchists, argued that people should not be in the position of ruling others or being ruled when there is no consent.

Anarcho-capitalists, voluntaryists and other right-anarchists oppose institutional democracy as they consider it in conflict with widely held moral values and ethical principles and their conception of individual rights. The *a priori* Rothbardian argument is that the state is a coercive institution which necessarily violates the non-aggression principle (NAP). Some right-anarchists also criticise democracy on *a posteriori* consequentialist grounds, in terms of inefficiency or disability in bringing about maximisation of individual liberty. They maintain the people who participate in democratic institutions are foremost driven by economic self-interest.

Sortition

Sometimes called "democracy without elections", sortition chooses decision makers via a random process. The intention is that those chosen will be representative of the opinions and interests of the people at large, and be more fair and impartial than an elected official. The technique was in widespread use in Athenian Democracy and Renaissance Florence and is still used in modern jury selection.

Consociational

A consociational democracy allows for simultaneous majority votes in two or more ethno-religious constituencies, and policies are enacted only if they gain majority support from both or all of them.

Consensus Democracy

A consensus democracy, in contrast, would not be dichotomous. Instead, decisions would be based on a multi-option approach, and policies would be enacted if they gained sufficient support, either in a purely verbal agreement, or via a consensus vote - a multi-option preference vote. If the threshold of support were at a sufficiently high level, minorities would be as it were protected automatically. Furthermore, any voting would be ethno-colour blind.

Supranational

Qualified majority voting is designed by the Treaty of Rome to be the principal method of reaching decisions in the European Council of Ministers. This system allocates votes to member states in part according to their population, but heavily weighted in favour of the smaller states. This might be seen as a form of representative democracy, but representatives to the Council might be appointed rather than directly elected.

Inclusive

Inclusive democracy is a political theory and political project that aims for direct democracy in all fields of social life: political democracy in the form of face-to-face assemblies which are confederated, economic democracy in a stateless, moneyless and marketless economy, democracy in the social realm, i.e. self-management in places of work and education, and ecological democracy which aims to reintegrate society and nature. The theoretical project of inclusive democracy emerged from the work of political philosopher Takis Fotopoulos in "Towards An Inclusive Democracy" and was further developed in the journal *Democracy & Nature* and its successor *The International Journal of Inclusive Democracy*.

The basic unit of decision making in an inclusive democracy is the demotic assembly, i.e. the assembly of demos, the citizen body in a given geographical area which may encompass a town and the surrounding villages, or even neighbourhoods of large cities. An inclusive democracy today can only take the form of a confederal democracy that is based on a network of administrative councils whose members or delegates are elected from popular face-to-face democratic assemblies in the various demoi. Thus, their role is purely administrative and practical, not one of policy-making like that of representatives in representative democracy.

The citizen body is advised by experts but it is the citizen body which functions as the ultimate decision-taker . Authority can be delegated to a segment of the citizen body to carry out specific duties, for example to serve as members of popular courts, or of regional and confederal councils. Such delegation is made, in principle, by lot, on a rotation basis, and is always recallable by the citizen body. Delegates to regional and confederal bodies should have specific mandates.

Participatory Politics

A Parpolity or Participatory Polity is a theoretical form of democracy that is ruled by a Nested Council structure. The guiding philosophy is that people should have decision making power in proportion to how much they are affected by the decision. Local councils of 25–50 people are completely autonomous on issues that affect only them, and these councils send delegates to higher level councils who are again autonomous regarding issues that affect only the population affected by that council.

A council court of randomly chosen citizens serves as a check on the tyranny of the majority, and rules on which body gets to vote on which issue. Delegates may vote differently from how their sending council might wish, but are mandated to communicate the wishes of their sending council. Delegates are recallable at any time. Referendums are possible at any time via votes of most lower-level councils, however, not everything is a referendum as this is most likely a waste of time. A parpolity is meant to work in tandem with a participatory economy.

Cosmopolitan

Cosmopolitan democracy, also known as *Global democracy* or *World Federalism*, is a political system in which democracy is implemented on a global scale, either directly or through representatives. An important justification for this kind of system is that the decisions made in national or regional democracies often affect people outside the constituency who, by definition, cannot vote. By contrast, in a cosmopolitan democracy, the people who are affected by decisions also have a say in them.

According to its supporters, any attempt to solve global problems is undemocratic without some form of cosmopolitan democracy. The general principle of cosmopolitan democracy is to expand some or all of the values and norms of democracy, including the rule of law; the non-violent resolution of conflicts; and equality among citizens, beyond the limits of the state. To be fully implemented, this would require reforming existing international organisations, e.g. the United Nations, as well as the creation of new institutions such as a World Parliament, which ideally would enhance public control over, and accountability in, international politics.

Cosmopolitan Democracy has been promoted, among others, by physicist Albert Einstein, writer Kurt Vonnegut, columnist George Monbiot, and professors David Held and Daniele Archibugi. The creation of the International Criminal Court in 2003 was seen as a major step forward by many supporters of this type of cosmopolitan democracy.

Creative Democracy

Creative Democracy is advocated by American philosopher John Dewey. The main idea about Creative Democracy is that democracy encourages individual capacity building and the interaction among the society. Dewey argues that democracy is a way of life in his work of "Creative Democracy: The Task Before Us" and an experience built on faith in human nature, faith in human beings, and faith in working with others. Democracy, in Dewey's view, is a moral ideal requiring actual effort and work by people; it is not an institutional concept that exists outside of ourselves. "The task of democracy", Dewey concludes, "is forever that of creation of a freer and more humane experience in which all share and to which all contribute".

Non-governmental

Aside from the public sphere, similar democratic principles and mechanisms of voting and representation have been used to govern other kinds of groups. Many non-governmental organisations decide policy and leadership by voting. Most trade unions and cooperatives are governed by democratic elections. Corporations are controlled by shareholders on the principle of one share, one vote. An analogous system, that fuses elements of democracy with sharia law, has been termed *islamocracy*.

Aristotle

Aristotle contrasted rule by the many (democracy/polity), with rule by the few (oligarchy/aristocracy), and with rule by a single person (tyranny or today autocracy/absolute monarchy). He also thought that there was a good and a bad variant of each system (he considered democracy to be the degenerate counterpart to polity).

For Aristotle the underlying principle of democracy is freedom, since only in a democracy the citizens can have a share in freedom. In essence, he argues that this is what every democracy should make its aim. There are two main aspects of freedom: being ruled and ruling in turn, since everyone is equal according to number, not merit, and to be able to live as one pleases.

But one factor of liberty is to govern and be governed in turn; for the popular principle of justice is to have equality according to number, not worth, ... And one is for a man to live as he likes; for they say that this is the function of liberty, inasmuch as to live not as one likes is the life of a man that is a slave.

—Aristotle, Politics 1317b (Book 6, Part II)

Rationale

Among modern political theorists, there are three contending conceptions of the fundamental rationale for democracy: *aggregative democracy, deliberative democracy,* and *radical democracy*.

Aggregative

The theory of *aggregative democracy* claims that the aim of the democratic processes is to solicit citizens' preferences and aggregate them together to determine what social policies society should adopt. Therefore, proponents of this view hold that democratic participation should primarily focus on voting, where the policy with the most votes gets implemented.

Different variants of aggregative democracy exist. Under *minimalism*, democracy is a system of government in which citizens have given teams of political leaders the right to rule in periodic elections. According to this minimalist conception, citizens cannot and should not "rule" because, for example, on most issues, most of the time, they have no clear views or their views are not well-founded. Joseph Schumpeter articulated this view most famously in his book *Capitalism, Socialism, and Democracy*. Contemporary proponents of minimalism include William H. Riker, Adam Przeworski, Richard Posner.

According to the theory of direct democracy, on the other hand, citizens should vote directly, not through their representatives, on legislative proposals. Proponents of direct democracy offer varied reasons to support this view. Political activity can be valuable in itself, it socialises and educates citizens, and popular participation can check powerful elites. Most importantly, citizens do not really rule themselves unless they directly decide laws and policies.

Governments will tend to produce laws and policies that are close to the views of the median voter – with half to their left and the other half to their right. This is not actually a desirable outcome as it represents the action of self-interested and somewhat unaccountable political elites competing for votes. Anthony Downs suggests that ideological political parties are necessary to act as a mediating broker between individual and governments. Downs laid out this view in his 1957 book *An Economic Theory of Democracy*.

Robert A. Dahl argues that the fundamental democratic principle is that, when it comes to binding collective decisions, each person in a political community is entitled to have his/her interests be given equal consideration (not necessarily that all people are equally satisfied by the collective

decision). He uses the term polyarchy to refer to societies in which there exists a certain set of institutions and procedures which are perceived as leading to such democracy. First and foremost among these institutions is the regular occurrence of free and open elections which are used to select representatives who then manage all or most of the public policy of the society. However, these polyarchic procedures may not create a full democracy if, for example, poverty prevents political participation. Similarly, Ronald Dworkin argues that "democracy is a substantive, not a merely procedural, ideal."

Deliberative

Deliberative democracy is based on the notion that democracy is government by deliberation. Unlike aggregative democracy, deliberative democracy holds that, for a democratic decision to be legitimate, it must be preceded by authentic deliberation, not merely the aggregation of preferences that occurs in voting. *Authentic deliberation* is deliberation among decision-makers that is free from distortions of unequal political power, such as power a decision-maker obtained through economic wealth or the support of interest groups. If the decision-makers cannot reach consensus after authentically deliberating on a proposal, then they vote on the proposal using a form of majority rule.

Radical

Radical democracy is based on the idea that there are hierarchical and oppressive power relations that exist in society. Democracy's role is to make visible and challenge those relations by allowing for difference, dissent and antagonisms in decision making processes.

Criticism



Protests

Inefficiencies

Some economists have criticized the efficiency of democracy. They base this on their premise of the irrational voter. Their argument is that voters are highly uninformed about many political issues, especially relating to economics, and have a strong bias about the few issues on which they are fairly knowledgeable. A common example often quoted to substantiate this point is the high economic development achieved by China (a non-democratic country) as compared to India (a democratic country).

Popular Rule as a Façade

The 20th-century Italian thinkers Vilfredo Pareto and Gaetano Mosca (independently) argued that democracy was illusory, and served only to mask the reality of elite rule. Indeed, they argued that elite oligarchy is the unbendable law of human nature, due largely to the apathy and division of the masses (as opposed to the drive, initiative and unity of the elites), and that democratic institutions would do no more than shift the exercise of power from oppression to manipulation. As Louis Brandeis once professed, "We may have democracy, or we may have wealth concentrated in the hands of a few, but we can't have both."

Mob Rule

Plato's *The Republic* presents a critical view of democracy through the narration of Socrates: "Democracy, which is a charming form of government, full of variety and disorder, and dispensing a sort of equality to equals and unequaled alike." In his work, Plato lists 5 forms of government from best to worst. Assuming that *the Republic* was intended to be a serious critique of the political thought in Athens, Plato argues that only Kallipolis, an aristocracy led by the unwilling philosopher-kings (the wisest men), is a just form of government.

James Madison critiqued direct democracy (which he referred to simply as "democracy") in Federalist No. 10, arguing that representative democracy—which he described using the term "republic"—is a preferable form of government, saying: "... democracies have ever been spectacles of turbulence and contention; have ever been found incompatible with personal security or the rights of property; and have in general been as short in their lives as they have been violent in their deaths." Madison offered that republics were superior to democracies because republics safeguarded against tyranny of the majority, stating in Federalist No. 10: "the same advantage which a republic has over a democracy, in controlling the effects of faction, is enjoyed by a large over a small republic".

Political Instability

More recently, democracy is criticised for not offering enough political stability. As governments are frequently elected on and off there tends to be frequent changes in the policies of democratic countries both domestically and internationally. Even if a political party maintains power, vociferous, headline grabbing protests and harsh criticism from the mass media are often enough to force sudden, unexpected political change. Frequent policy changes with regard to business and immigration are likely to deter investment and so hinder economic growth. For this reason, many people have put forward the idea that democracy is undesirable for a developing country in which economic growth and the reduction of poverty are top priorities.

This opportunist alliance not only has the handicap of having to cater to too many ideologically opposing factions, but it is usually short lived since any perceived or actual imbalance in the treatment of coalition partners, or changes to leadership in the coalition partners themselves, can very easily result in the coalition partner withdrawing its support from the government.

Fraudulent Elections

In representative democracies, it may not benefit incumbents to conduct fair elections. A study

showed that incumbents who rig elections stay in office 2.5 times as long as those who permit fair elections. Democracies in countries with high per capita income have been found to be less prone to violence, but in countries with low incomes the tendency is the reverse. Election misconduct is more likely in countries with low per capita incomes, small populations, rich in natural resources, and a lack of institutional checks and balances. Sub-Saharan countries, as well as Afghanistan, all tend to fall into that category.

Governments that have frequent elections tend to have significantly more stable economic policies than those governments who have infrequent elections. However, this trend does not apply to governments where fraudulent elections are common.

Opposition

Democracy in modern times has almost always faced opposition from the previously existing government, and many times it has faced opposition from social elites. The implementation of a democratic government within a non-democratic state is typically brought about by democratic revolution.

Post-Enlightenment ideologies such as fascism, nazism, and neo-fundamentalism oppose democracy on different grounds, generally citing that the concept of democracy as a constant process is flawed and detrimental to a preferable course of development.

Development

Several philosophers and researchers have outlined historical and social factors seen as supporting the evolution of democracy. *Cultural factors* like Protestantism influenced the development of democracy, rule of law, human rights and political liberty (the faithful elected priests, religious freedom and tolerance has been practiced).

Other commentators have mentioned the influence of *wealth* (e.g. S. M. Lipset, 1959). In a related theory, Ronald Inglehart suggests that improved living-standards can convince people that they can take their basic survival for granted, leading to increased emphasis on self-expression values, which is highly correlated to democracy.

Carroll Quigley concludes that the characteristics of weapons are the main predictor of democracy: Democracy tends to emerge only when the best weapons available are easy for individuals to buy and use. By the 1800s, guns were the best personal weapons available, and in America, almost everyone could afford to buy a gun, and could learn how to use it fairly easily. Governments couldn't do any better: it became the age of mass armies of citizen soldiers with guns Similarly, Periclean Greece was an age of the citizen soldier and democracy.

Recent theories stress the relevance of *education* and of *human capital* - and within them of *cognitive ability* to increasing tolerance, rationality, political literacy and participation. Two effects of education and cognitive ability are distinguished: a cognitive effect (competence to make rational choices, better information-processing) and an ethical effect (support of democratic values, freedom, human rights etc.), which itself depends on intelligence.

Evidence that is consistent with conventional theories of why democracy emerges and is sustained

has been hard to come by. Recent statistical analyses have challenged modernisation theory by demonstrating that there is no reliable evidence for the claim that democracy is more likely to emerge when countries become wealthier, more educated, or less unequal. Neither is there convincing evidence that increased reliance on oil revenues prevents democratisation, despite a vast theoretical literature on "the Resource Curse" that asserts that oil revenues sever the link between citizen taxation and government accountability, seen as the key to representative democracy. The lack of evidence for these conventional theories of democratisation have led researchers to search for the "deep" determinants of contemporary political institutions, be they geographical or demographic.

In the 21st century, democracy has become such a popular method of reaching decisions that its application beyond politics to other areas such as entertainment, food and fashion, consumerism, urban planning, education, art, literature, science and theology has been criticised as "the reigning dogma of our time". The argument suggests that applying a populist or market-driven approach to art and literature (for example), means that innovative creative work goes unpublished or unproduced. In education, the argument is that essential but more difficult studies are not undertaken. Science, as a truth-based discipline, is particularly corrupted by the idea that the correct conclusion can be arrived at by popular vote. However, more recently, theorists have also advanced the concept epistemic democracy to assert that democracy actually does a good job tracking the truth.

Robert Michels asserts that although democracy can never be fully realised, democracy may be developed automatically in the act of striving for democracy: "The peasant in the fable, when on his death-bed, tells his sons that a treasure is buried in the field. After the old man's death the sons dig everywhere in order to discover the treasure. They do not find it. But their indefatigable labor improves the soil and secures for them a comparative well-being. The treasure in the fable may well symbolise democracy."

Dr. Harald Wydra, in his book *Communism and The Emergence of Democracy* (2007), maintains that the development of democracy should not be viewed as a purely procedural or as a static concept but rather as an ongoing "process of meaning formation". Drawing on Claude Lefort's idea of the empty place of power, that "power emanates from the people [...] but is the power of nobody", he remarks that democracy is reverence to a symbolic mythical authority as in reality, there is no such thing as the people or *demos*. Democratic political figures are not supreme rulers but rather temporary guardians of an empty place. Any claim to substance such as the collective good, the public interest or the will of the nation is subject to the competitive struggle and times of for gaining the authority of office and government. The essence of the democratic system is an empty place, void of real people which can only be temporarily filled and never be appropriated. The seat of power is there, but remains open to constant change. As such, what "democracy" is or what is "democratic" progresses throughout history as a continual and potentially never ending process of social construction.

In 2010 a study by a German military think-tank analyzed how peak oil might change the global economy. The study raises fears for the survival of democracy itself. It suggests that parts of the population could perceive the upheaval triggered by peak oil as a general systemic crisis. This would create "room for ideological and extremist alternatives to existing forms of government".

Representative Democracy

Representative democracy (also indirect democracy, representative republic, or psephocracy) is

a type of democracy founded on the principle of elected officials representing a group of people, as opposed to direct democracy. Nearly all modern Western-style democracies are types of representative democracies; for example, the United Kingdom is a crowned republic and Ireland is a parliamentary republic.



Countries designated «electoral democracies» in Freedom House›s 2015 survey «Freedom in the World», covering the year 2014.

Representative democracy is often presented as the most efficient form of democracy possible in mass societies. It arguably allows for efficient ruling by a sufficiently small number of people on behalf of the larger number. Government efficiency can be judged based on metric of cost effectiveness and time effectiveness. Representatives voting on behalf of the people allows for a monetary benefit as there is lessened use of polling stations, vote counters, etc. The government is generally responsible for paying for the wages of the representatives and would have to cover the substantial cost of a direct democracy. This system of governance is also time efficient as decisions can be made by a select few, knowledgable group of legislators rather than the entire country's population. Representative democracy has been conceptually associated with and historically instantiated by the political system known as "representative government", which was born in the 18th century with the French and American revolutions. It is a system in which people elect their lawmakers (representatives), who are then held accountable to them for their activity within government.

It is an element of both the parliamentary system or presidential system of government and is typically used in a lower chamber such as the House of Commons (UK) or Dáil Éireann (Ireland), and may be curtailed by constitutional constraints such as an upper chamber. It has been described by some political theorists including Robert A Dahl, Gregory Houston and Ian Liebenberg as polyarchy. In it the power is in the hands of the elected representatives who are elected by the people in elections.

Powers of Representatives

Representatives are elected by the public, as in national elections for the national legislature. Elected representatives may hold the power to select other representatives, presidents, or other officers of the government or of the legislature, as the Prime Minister in the latter case. (indirect representation).

The power of representatives is usually curtailed by a constitution (as in a constitutional democracy or a constitutional monarchy) or other measures to balance representative power:

- An independent judiciary, which may have the power to declare legislative acts unconstitutional (e.g. constitutional court, supreme court).

- The constitution may also provide for some deliberative democracy (e.g., Royal Commissions) or direct popular measures (e.g., initiative, referendum, recall elections). However, these are not always binding and usually require some legislative action—legal power usually remains firmly with representatives.
- In some cases, a bicameral legislature may have an "upper house" that is not directly elected, such as the Canadian Senate, which was in turn modeled on the British House of Lords.

Theorists such as Edmund Burke believe that part of the duty of a representative was not simply to communicate the wishes of the electorate but also to use their own judgement in the exercise of their powers, even if their views are not reflective of those of a majority of voters:

...it ought to be the happiness and glory of a representative to live in the strictest union, the closest correspondence, and the most unreserved communication with his constituents. Their wishes ought to have great weight with him; their opinion, high respect; their business, unremitted attention. It is his duty to sacrifice his repose, his pleasures, his satisfactions, to theirs; and above all, ever, and in all cases, to prefer their interest to his own. But his unbiassed opinion, his mature judgment, his enlightened conscience, he ought not to sacrifice to you, to any man, or to any set of men living. These he does not derive from your pleasure; no, nor from the law and the constitution. They are a trust from Providence, for the abuse of which he is deeply answerable. Your representative owes you, not his industry only, but his judgment; and he betrays, instead of serving you, if he sacrifices it to your opinion.

History

The Roman Republic was the first government in the western world to have a representative government, despite taking the form of a direct government in the Roman assemblies. The Roman model of governance inspired many political thinkers over the centuries, and today's modern representative democracies imitate more the Roman than the Greek models because it was a state in which supreme power was held by the people and their elected representatives, and which had an elected or nominated leader. Representative democracy is a form of democracy in which people vote for representatives who then vote on policy initiatives as opposed to a direct democracy, a form of democracy in which people vote on policy initiatives directly. A European medieval tradition of selecting representatives from the various estates (classes, but not as we know them today) to advise/control monarchs led to relatively wide familiarity with representative systems inspired by Roman systems.

In Britain, Simon de Montfort is remembered as one of the fathers of representative government for holding two famous parliaments. The first, in 1258, stripped the King of unlimited authority and the second, in 1265, included ordinary citizens from the towns. Later, in the 17th century, the Parliament of England pioneered some of the ideas and systems of liberal democracy culminating in the Glorious Revolution and passage of the Bill of Rights 1689.

The American Revolution led to the creation of a new Constitution of the United States in 1787. The 'Three-Fifths Compromise' allowed the southern slaveholders to consolidate power and maintain slavery in America for another eighty years, but through the expansion of voting rights and liberties over subsequent decades and centuries the elected government became responsible to the will of the people.

In 1789, Revolutionary France adopted the Declaration of the Rights of Man and of the Citizen and, although short-lived, the National Convention was elected by all males in 1792.

Representative democracy came into particular general favour in post-industrial revolution nation states where large numbers of citizens evinced interest in politics, but where technology and population figures remained unsuited to direct democracy. As noted above, Edmund Burke in his speech to the electors of Bristol classically analysed their operation in Britain and the rights and duties of an elected representative.

Globally, a majority of the world's people live in representative democracies including constitutional monarchies and republics with strong representative branches.

Research on Representation *Per Se*

Separate but related, and very large, bodies of research in political philosophy and social science investigate how and how well elected representatives, such as legislators, represent the interests or preferences of one or another constituency.

Criticisms

In his book *Political Parties*, written in 1911, Robert Michels argues that most representative systems deteriorate towards an oligarchy or particracy. This is known as the iron law of oligarchy. Representative democracies which are stable have been analysed by Adolf Gasser and compared to the unstable representative democracies in his book "Gemeindefreiheit als Rettung Europas" which was published in 1943 (first edition in German) and a second edition in 1947 (in German). Adolf Gasser stated the following requirements for a representative democracy in order to remain stable, unaffected by the iron law of oligarchy:

- Society has to be built up from bottom to top. As a consequence, society is built up by people, who are free and have the power to defend themselves with weapons.
- These free people join or form local communities. These local communities are independent, which includes financial independence, and they are free to determine their own rules.
- Local communities join together into a higher unit e.g. a canton.
- There is no hierarchical bureaucracy.
- There is competition between these local communities e.g. on services delivered or on taxes.

A drawback to this type of government is that elected officials are not required to fulfill promises made before their election and are able to promote their own self-interests once elected, providing a incohesive system of governance. Legislators are also under scrutiny as the system of majority-won legislators voting for issues for the a large group of people fosters inequality among the marginalized.

Proposed Solutions

The system of stochocracy has been proposed as an improved system compared to the system of representative democracy, where representatives are elected. Stochocracy aims to at least reduce

this degradation by having all representatives appointed by lottery instead of by voting. Therefore, this system is also called lottocracy. The system was proposed by the writer Roger de Sizif in 1998 in his book *La Stochocratie*. Choosing officeholders by lot was also the standard practice in ancient Athenian democracy. The rationale behind this practice was to avoid lobbying and electioneering by economic oligarchs.

The system of deliberative democracy is a mix between a majority ruled system and a consensus-based system. It allows for representative democracies or direct democracies to coexist with its system of governance, providing an initial advantage. It is a system which allows for legislators to discuss the issues in a productive manner trying to reach a consensus. If the group cannot reach a consensus then a majority-wins vote must be taken.

Dictatorship

Dictatorship is a form of government where a group of countries (or Country) is ruled by one person or political entity, and exercised through various mechanisms to ensure that the entity's power remains strong.

A dictatorship is a type of authoritarianism, in which politicians regulate nearly every aspect of the public and private behavior of citizens. Dictatorship and totalitarianism societies generally employ political propaganda to decrease the influence of proponents of alternative governing systems.

In the 19th and 20th centuries, traditional monarchies gradually declined and disappeared. Dictatorship and constitutional democracy emerged as the world's two major forms of government.

History

Between the two world wars, four types of dictatorships have been described: constitutional, communist (nominally championing "dictatorship of the proletariat"), counterrevolutionary, and fascist, and many have questioned the distinctions among these prototypes. Since World War II a broader range of dictatorships have been recognized including Third World dictatorships, theocratic or religious dictatorships and dynastic or family-based dictatorships.

Roman Empire

In the Roman Empire, a Roman dictator was the incumbent of a political office of legislate of the Roman Republic. Roman dictators were allocated absolute power during times of emergency. Their power was originally neither arbitrary nor unaccountable, being subject to law and requiring retrospective justification. There were no such dictatorships after the beginning of the 2nd century BCE, and later dictators such as Sulla and the Roman Emperors exercised power much more personally and arbitrarily.

19th Century Latin America Caudillo

After the collapse of Spanish colonial rule, various dictators came to power in many liberated countries. Often leading a private army, these Caudillo or self-appointed political-military leaders,

attacked weak national governments once they control a regional political and economic powers, with examples such as Antonio López de Santa Anna in Mexico and Juan Manuel de Rosas in Argentina. Such dictators have been also referred to as "personalismo".

The wave of military dictatorships in Latin America in the second half of the twentieth century left a particular mark on Latin American culture. In Latin American literature, the dictator novel challenging dictatorship and *caudillismo*, is a significant genre. There are also many films depicting Latin American military dictatorships.

Stalinism and Fascism in the 20th Century Dictatorships



Adolf Hitler (right) and Benito Mussolini (left). Hitler's policies and orders resulted in the death of about 11 million noncombatants .

In the first half of the 20th century, Stalinist and fascist dictatorship regimes appeared in a variety of scientifically and technologically advanced countries, which are distinct from the dictatorship in Latin America and the post-colonial dictatorships in Africa and Asia. Leading examples of modern totalitarian dictatorship include:.

- Adolf Hitler's Nazi Germany, Benito Mussolini's Italy, and other fascist dictatorships;
- Joseph Stalin's Soviet Union, and other Stalinist and Soviet-style communist dictatorships that appeared after World War II in Central Europe, Eastern Europe, China and other countries.

Dictatorships of Africa and Asia after World War II

After World War II, dictators established themselves in the several new states of Africa and Asia, often at the expense or failure of the constitutions inherited from the colonial powers. These constitutions often failed to work without a strong middle class or work against the preexisting autocratic rule. Some elected presidents and prime ministers captured power by suppressing the opposition and installing one-party rule, and some established military dictatorships through army. Whatever their form, these dictatorships had an adverse impact on economic growth and

the quality of political institutions. Dictators who stayed in office for a long time period found it increasingly difficult to carry out sound economic policies.



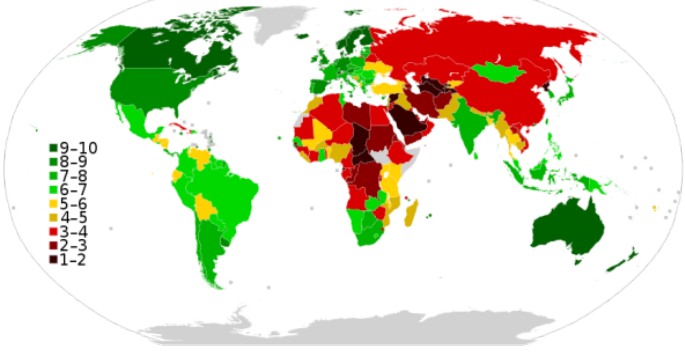
Mobutu Sese Seko, Zaire's longtime dictator.

The often-cited exploitative dictator is the regime of Mobutu Sese Seko, who ruled Zaire from 1965 to 1997, embezzling over $5 billion from his country.

Democratization

The global dynamics of democratization has been a central question for political scientists. The Third Wave Democracy was said to turn some dictatorships into democracies. .

Measuring Dictatorships



Democracy Index by the Economist Intelligence Unit, 2015. Countries that are red are more authoritarian, and dark red are most often dictatorships.

The conceptual and methodological differences in the political science literature exist with regards to measuring and classifying regimes into dictatorships and/or democracies, with prominent examples such as Freedom House, Polity IV and Democracy-Dictatorship Index, and their validity and reliability being discussed.

Roughly two research approaches exist: (1) the minimalist approach focuses on whether a country has continued elections that are competitive, and (2) the substantive approach expands the concept of democracy to include human rights, freedom of the press, the rule of law, etc. The DD index

is seen as an example of the minimalist approach, whereas the Polity data series, relatively more substantive.

Types

The most general term is despotism, a form of government in which a single entity rules with absolute power. That entity may be an individual, as in an autocracy, or it may be a group, as in an oligarchy. Despotism can mean tyranny (dominance through threat of punishment and violence), or absolutism; or dictatorship (a form of government in which the ruler is an absolute dictator, not restricted by a constitution, laws or opposition, etc.). Dictatorship may take the form of authoritarianism or totalitarianism.

Dictatorship is 'a form of government in which absolute power is concentrated in a dictator or a small clique' or 'a government organization or group in which absolute power is so concentrated', whereas democracy, with which the concept of dictatorship is often compared, is defined by most people as a form of government where those who govern are selected through contested elections. Authoritarian dictatorships are those where there is little political mobilization and "a small group exercises power within formally ill-defined limits but actually quite predictable ones". Totalitarian dictatorships involve a "single party led by a single powerful individual with a powerful secret police and a highly developed ideology." Here, the government has "total control of mass communications and social and economic organizations". Hannah Arendt labelled totalitarianism a new and extreme form of dictatorship involving "atomized, isolated individuals" in which ideology plays a leading role in defining how the entire society should be organized. Juan Linz argues that the distinction between an authoritarian regime and a totalitarian one is that while an authoritarian one seeks to suffocate politics and political mobilization (depoliticization), a totalitarian one seeks to control politics and political mobilization.



Antonio López de Santa Anna wearing Mexican military uniforms

Classification

Dictatorships may be classified in a number of ways, such as:

- Military dictatorship
    - "arbitrator" and "ruler" types may be distinguished; arbitrator regimes are professional, civilian-oriented, willing to give up power once problems have been resolved, and support the existing social order; "ruler" types view civilians as incompetent and have no intention of returning power to them, are politically organized, and have a coherent ideology
- Civil-military dictatorship
    - An example is the Civic-military dictatorship of Uruguay (1973–85)
- One-party state
    - "weak" and "strong" versions may be distinguished; in weak one-party states, "at least one other actor eclipses the role of the party (like a single individual, the military, or the president)." Joseph Stalin era in Soviet Union and Mao Zedong era in China can be given as example.
- Personalist
- Hybrid
    - Some combination of the types above.

Origins of Power

- Family dictatorship - inheriting power through family ties
- Military dictatorship - through military force or coup d'etat. In Latin America, military dictatorships were often ruled by committees known as military juntas.
- Constitutional dictatorship - dictatorial powers provided for by constitutional means (often as a provision in case of emergency)
- Self-coup - by suspending existing democratic mechanisms after attaining office by constitutional means.

Stable Dictatorship

A stable dictatorship is a dictatorship that is able to remain in power for long periods. The stable dictatorship theory concerning the Soviet Union held that after the succession crisis following Joseph Stalin's death, the victorious leader assumed the status of a Stalinist dictator without Stalin's terror apparatus. Chile and Paraguay were considered to be stable dictatorships in the 1970s. It has been argued that stable dictatorships behave differently than unstable dictatorships. For instance, Maria Brouwer opines that "expansionary policies can fail and undermine the authority of the leader. Stable dictators, would therefore, be inclined to refrain from military aggression. This applies to imperial China, Byzantium and Japan, which refrained from expanding their empire at some point in time. Emerging dictators, by contrast, want to win the people's support by promising them riches from appropriating domestic or foreign wealth. They have not much to lose from failure, whereas success could elevate them to positions of wealth and power."

Theories of Dictatorship

Emergence out of Anomy

Mancur Olson suggests that the emergence of dictatorships can be linked to the concept of "roving bandits", individuals in an atomic system that move from place to place extracting wealth from individuals. These bandits provide a disincentive for investment and production. Olson states that a community of individuals would be better served if that bandit were to establish himself as a stationary bandit in order to monopolize theft in the form of taxes. Thus, a potential dictator will have greater incentive in providing security for a given community from which he is extracting from and conversely, the people from whom he extracts are more likely to produce because they will be unconcerned with potential theft by other bandits.

Oligarchy

Oligarchy is a form of power structure in which power effectively rests with a small number of people. These people might be distinguished by nobility, wealth, family ties, education or corporate, religious or military control. Such states are often controlled by a few prominent families who typically pass their influence from one generation to the next, but inheritance is not a necessary condition for the application of this term.

Throughout history, oligarchies have often been tyrannical, relying on public obedience or oppression to exist. Aristotle pioneered the use of the term as a synonym for rule by the rich, for which another term commonly used today is plutocracy.

Especially during the fourth century BC, after the restoration of democracy from oligarchical coups, the Athenians used the drawing of lots for selecting government officers in order to counteract what the Athenians saw as a tendency toward oligarchy in government if a professional governing class were allowed to use their skills for their own benefit. They drew lots from large groups of adult volunteers that pick selection technique for civil servants performing judicial, executive, and administrative functions (*archai*, *boulē*, and *hēliastai*). They even used lots for posts, such as judges and jurors in the political courts (*nomothetai*), which had the power to overrule the Assembly.

Examples

Russian Federation

Since the collapse of the Soviet Union in December 1991, privately owned Russia-based multinational corporations, including producers of petroleum, natural gas, and metal have, in the view of some analysts, led to the rise of Russian oligarchs.

United States

Some contemporary authors have characterized current conditions in the United States as oligarchic in nature. Simon Johnson wrote that "the reemergence of an American financial oligarchy is

quite recent", a structure which he delineated as being the "most advanced" in the world. Jeffrey A. Winters wrote that "oligarchy and democracy operate within a single system, and American politics is a daily display of their interplay." The top 1% of the US population by wealth in 2007 had a larger share of total income than at any time since 1928. In 2011, according to PolitiFact and others, the top 400 wealthiest Americans "have more wealth than half of all Americans combined."

In 1998, Bob Herbert of *The New York Times* referred to modern American plutocrats as "The Donor Class" (list of top donors) and defined the class, for the first time, as "a tiny group – just one-quarter of 1 percent of the population – and it is not representative of the rest of the nation. But its money buys plenty of access."

French economist Thomas Piketty states in his 2013 book, *Capital in the Twenty-First Century,* that "the risk of a drift towards oligarchy is real and gives little reason for optimism about where the United States is headed."

A study conducted by political scientists Martin Gilens of Princeton University and Benjamin Page of Northwestern University was released in April 2014, which stated that their "analyses suggest that majorities of the American public actually have little influence over the policies our government adopts." The study analyzed nearly 1,800 policies enacted by the US government between 1981 and 2002 and compared them to the expressed preferences of the American public as opposed to wealthy Americans and large special interest groups. It found that wealthy individuals and organizations representing business interests have substantial political influence, while average citizens and mass-based interest groups have little to none. The study did concede that "Americans do enjoy many features central to democratic governance, such as regular elections, freedom of speech and association, and a widespread (if still contested) franchise." Gilens and Page do not characterize the US as an "oligarchy" per se; however, they do apply the concept of "civil oligarchy" as used by Jeffrey Winters with respect to the US. Winters has posited a comparative theory of "oligarchy" in which the wealthiest citizens – even in a "civil oligarchy" like the United States – dominate policy concerning crucial issues of wealth- and income-protection.

Gilens says that average citizens only get what they want if wealthy Americans and business-oriented interest groups also want it; and that when a policy favored by the majority of the American public is implemented, it is usually because the economic elites did not oppose it. Other studies have questioned the Page and Gilens study.

In a 2015 interview, former President Jimmy Carter stated that the United States is now "an oligarchy with unlimited political bribery", due to the *Citizens United* ruling, which effectively removed limits on donations to political candidates.

In Fiction

A well-known fictional oligarchy is represented by the Inner Party in George Orwell's novel *Nineteen Eighty-Four*. The socialists in the Jack London novel *The Iron Heel* fight a rebellion against the oligarchy ruling in the United States. In the *Ender's Quartet*, by Orson Scott Card - specifically *Speaker for the Dead*, *Xenocide*, and *Children of The Mind* - there is an oligarchy of the Starways Congress which rules by controlling communication by the Ansible. The nation Panem, controlled by its capitol, in *The Hunger Games* trilogy is also a form of oligarchy, as is the nation of Tear

(ruled by a group of high lords, until the appointment of High Lord Darlin as King of Tear) in Robert Jordan's *The Wheel of Time*.

Autocracy

An autocracy is a system of government in which supreme power is concentrated in the hands of one person, whose decisions are subject to neither external legal restraints nor regularized mechanisms of popular control (except perhaps for the implicit threat of a coup d'état or mass insurrection). Absolute monarchy and dictatorship are the main historical forms of autocracy. In very early times, the term "autocrat" was coined as a favorable feature of the ruler, having some connection to the concept of "lack of conflicts of interests".

History and Etymology

In the Medieval Greek language, the term *Autocrates* was used for anyone holding the title *emperor*, regardless of the actual power of the monarch. Some historical Slavic monarchs, such as Russian tsars and emperors, included the title *Autocrat* as part of their official styles, distinguishing them from the constitutional monarchs elsewhere in Europe.

Comparison with other forms of Government

Both totalitarianism and military dictatorship are often identified with, but need not be, an autocracy. Totalitarianism is a system where the state strives to control every aspect of life and civil society. It can be headed by a supreme dictator, making it autocratic, but it can also have a collective leadership such as a commune, junta, or single political party.

In an analysis of militarized disputes between two states, if one of the states involved was an autocracy the chance of violence occurring doubled.

Maintenance

Because autocrats need a power structure to rule, it can be difficult to draw a clear line between historical autocracies and oligarchies. Most historical autocrats depended on their nobles, the military, the priesthood or other elite groups. Some autocracies are rationalized by assertion of divine right.

Historical Examples

The Roman Empire: In 27 B.C., Augustus founded the Roman Empire following the end of the Republic of Rome. Augustus officially kept the Roman Senate while effectively consolidating all of the real power in himself. Rome was peaceful and prosperous until the dictatorial rule of Commodus starting in 161 A.D. The third century saw invasions from the barbarians as well as economic decline. Both Diocletian and Constantine ruled as totalitarian leaders, strengthening the control of the emperor. The empire grew extremely large, and was ruled by a tetrarchy, instituted by Diocletian. Eventually, it was split into two halves: the Western (Roman) and the Eastern (Byzantine).

The Western Roman Empire fell in 476 after civic unrest, further economic decline, and invasions led to the surrender of Romulus Augustus to Odoacer, a German king.

Monarchy

A monarchy is a form of government in which a group, usually a family called the dynasty, embodies the country's national identity and one of its members, called the monarch, exercises a role of sovereignty. The actual power of the monarch may vary from purely symbolical (crowned republic) to partial and restricted (*constitutional* monarchy) to completely autocratic (*absolute* monarchy). Traditionally and in most cases, the monarch's post is inherited and lasts until death or abdication, but there are also elective monarchies where the monarch is elected. Each of these has variations: in some elected monarchies only those of certain pedigrees are, whereas many hereditary monarchies impose requirements regarding the religion, age, gender, mental capacity, and other factors. Occasionally this might create a situation of rival claimants whose legitimacy is subject to effective election. Finally, there have been cases where the term of a monarch's reign is either fixed in years or continues until certain goals are achieved: an invasion being repulsed, for instance. Thus there are widely divergent structures and traditions defining monarchy.



Richard I of England being anointed during his coronation in Westminster Abbey, from a 13th-century chronicle.

Monarchy was the most common form of government until the 19th century, but it is no longer prevalent. Where it exists, it is now usually a constitutional monarchy, in which the monarch retains a unique legal and ceremonial role, but exercises limited or no official political power: under the written or unwritten constitution, others have governing authority. Currently, 47 sovereign nations in the world have monarchs acting as heads of state, 19 of which are Commonwealth realms that recognise Queen Elizabeth II as their head of state. All European monarchies are constitutional ones, with the exception of the Vatican City which is an elective monarchy, but sovereigns in the smaller states exercise greater political influence than in the larger. The monarchs of Cambodia, Japan, and Malaysia "reign, but do not rule" although there is considerable variation in the degree of authority they wield. Although they reign under constitutions, the monarchs of Brunei, Morocco, Oman, Qatar, Saudi Arabia and Swaziland appear to continue to exercise more political influ-

ence than any other single source of authority in their nations, either by constitutional mandate or by tradition.

Etymology

Depending on the title held by the monarch, a monarchy may be known as a *kingdom*, *principality*, *duchy*, *grand duchy*, *empire*, *tsardom*, *emirate*, *sultanate*, *khaganate*, etc.

History



Sigismund III of Poland holding a sceptre and globus cruciger as symbols of monarchical power



Thutmose I, the third Pharaoh of the Eighteenth dynasty of Egypt

The forms of societal hierarchy known as chiefdom or tribal kingship is prehistoric. The Greek term *monarchia* is classical, used by Herodotus (3.82). The monarch in classical antiquity is of-

ten identified as "king" (translating *archon*, *basileus*, *rex*, *tyrannos* etc.). From earliest historical times, with the Egyptian and Mesopotamian monarchs, as well as in reconstructed Proto-Indo-European religion, the king holds sacral function directly connected to sacrifice, or is considered of divine ancestry.

The role of the Roman emperor as the protector of Christianity was conflated with the sacral aspects held by the Germanic kings to create the notion of "Divine right of kings" in the Christian Middle Ages. The Chinese, Japanese and Nepalese monarchs continued to be considered living Gods into the modern period.

Since antiquity, monarchy has contrasted with forms of democracy, where executive power is wielded by assemblies of free citizens. In antiquity, monarchies were abolished in favour of such assemblies in Rome (Roman Republic, 509 BC), and Athens (Athenian democracy, 500 BC).

In Germanic antiquity, kingship was primarily a sacral function, and the king was either directly hereditary for some tribes, while for others he was elected from among eligible members of royal families by the thing.

Such ancient "parliamentarism" declined during the European Middle Ages, but it survived in forms of regional assemblies, such as the Icelandic Commonwealth, the Swiss *Landsgemeinde* and later *Tagsatzung*, and the High Medieval communal movement linked to the rise of medieval town privileges.

The modern resurgence of parliamentarism and anti-monarchism began with the temporary overthrow of the English monarchy by the Parliament of England in 1649, followed by the American Revolution of 1776 and the French Revolution of 1792. One of many opponents of that trend was Elizabeth Dawbarn, whose anonymous *Dialogue between Clara Neville and Louisa Mills, on Loyalty* (1794) features "silly Louisa, who admires liberty, Tom Paine and the USA, [who is] lectured by Clara on God's approval of monarchy" and on the influence women can exert on men. Much of 19th century politics was characterised by the division between anti-monarchist Radicalism and monarchist Conservativism.

Many countries abolished the monarchy in the 20th century and became republics, especially in the wake of either World War I or World War II. Advocacy of republics is called republicanism, while advocacy of monarchies is called monarchism.

Characteristics and Role

Monarchies are associated with political or sociocultural hereditary rule, in which monarchs rule for life (although some monarchs do not hold lifetime positions: for example, the Yang di-Pertuan Agong of Malaysia serves a five-year term) and pass the responsibilities and power of the position to their child or another member of their family when they die. Most monarchs, both historically and in the modern day, have been born and brought up within a royal family, the centre of the royal household and court. Growing up in a royal family (called a dynasty when it continues for several generations), future monarchs are often trained for the responsibilities of expected future rule.



King George III of the United Kingdom, Portrait by Allan Ramsay, 1762

Different systems of succession have been used, such as proximity of blood, primogeniture, and agnatic seniority (Salic law). While most monarchs have been male, many female monarchs also have reigned in history; the term queen regnant refers to a ruling monarch, while a queen consort refers to the wife of a reigning king. Rule may be hereditary in practice without being considered a monarchy, such as that of family dictatorships or political families in many democracies.

The principal advantage of hereditary monarchy is the immediate continuity of leadership (as seen in the classic phrase "The King is dead. Long live the King!").

Some monarchies are non-hereditary. In an elective monarchy, monarchs are elected, or appointed by some body (an electoral college) for life or a defined period, but otherwise serve as any other monarch. Three elective monarchies exist today: Malaysia and the United Arab Emirates are 20th-century creations, while one (the papacy) is ancient.

A self-proclaimed monarchy is established when a person claims the monarchy without any historical ties to a previous dynasty. Napoleon I of France declared himself Emperor of the French and ruled the First French Empire after previously calling himself First Consul following his seizure of power in the coup of 18 Brumaire. Jean-Bédel Bokassa of the Central African Republic declared himself "Emperor" of the Central African Empire. Yuan Shikai crowned himself Emperor of the short-lived "Empire of China" a few years after the Republic of China was founded.

Powers of the Monarch



King Salman of Saudi Arabia is an absolute monarch.

Today, the extent of the monarch's powers varies:

- In an absolute monarchy, the monarch rules as an autocrat, with absolute power over the state and government — for example, the right to rule by decree, promulgate laws, and impose punishments. Absolute monarchies are not necessarily authoritarian; the enlightened absolutists of the Age of Enlightenment were monarchs who allowed various freedoms.
- In a constitutional monarchy, the monarch is subject to a constitution. The monarch serves as a ceremonial figurehead symbol of national unity and state continuity. The monarch is nominally sovereign but the electorate, through their legislature, exercise (usually limited) political sovereignty. Constitutional monarchs have limited political power, except in Japan and Sweden, where the constitutions grant no power to their monarchs. Typical monarchical powers include granting pardons, granting honours, and reserve powers, e.g. to dismiss the prime minister, refuse to dissolve parliament, or veto legislation ("withhold Royal Assent"). They often also have privileges of inviolability, sovereign immunity, and an official residence. A monarch's powers and influence may depend on tradition, precedent, popular opinion, and law.
- In other cases the monarch's power is limited, not due to constitutional restraints, but to effective military rule. In the late Roman Empire, the Praetorian Guard several times deposed Roman Emperors and installed new emperors. The Hellenistic kings of Macedon and of Epirus were elected by the army, which was similar in composition to the *ecclesia* of democracies, the council of all free citizens; military service was often linked with citizenship among the male members of the royal house. Military domination of the monarch has occurred in modern Thailand and in medieval Japan (where a hereditary military chief, the shogun, was the de facto ruler, although the Japanese emperor nominally ruled). In Fascist Italy the Savoy monarchy under King Victor Emmanuel III coexisted with the Fascist single-party rule of Benito Mussolini; Romania under the Iron Guard and Greece during the first months of the Colonels' regime were much the same way. Spain under Francisco Franco was officially a monarchy, although there was no monarch on the throne. Upon his death, Franco was succeeded as head of state by the Bourbon heir, Juan Carlos I, who proceeded to make Spain a democracy with himself as a figurehead constitutional monarch.

Person of Monarch

Most states only have a single person acting as monarch at any given time, although two monarchs have ruled simultaneously in some countries, a situation known as diarchy. Historically this was the case in the ancient Greek city-state of Sparta or 17th-century Russia, and there are examples of joint sovereignty of spouses or relatives (such as William and Mary in the Kingdoms of England and Scotland). Other examples of joint sovereignty include Tsars Peter I and Ivan V of Russia, and Charles V, Holy Roman Emperor and Joanna of Castile of the Crown of Castile.

Andorra currently is the world's sole constitutional diarchy or co-principality. Located in the Pyrenees between Spain and France, it has two co-princes: the Bishop of Urgell (a prince-bishop) in Spain and the President of France (inherited *ex officio* from the French kings, who themselves inherited the title from the counts of Foix). It is the only situation in which an independent country's (co-)monarch is democratically elected by the citizens of another country.



Postcard of ruling monarchs, taken in 1908 between February (accession of King Manuel II of Portugal) and November (death of Guangxu Emperor).

In a personal union, separate independent states share the same person as monarch, but each realm retains its separate laws and government. The sixteen separate Commonwealth realms are sometimes described as being in a personal union with Queen Elizabeth II as monarch, however, they can also be described as being in a shared monarchy.

A regent may rule when the monarch is a minor, absent, or debilitated.

A pretender is a claimant to an abolished throne or to a throne already occupied by somebody else.

Abdication is the act of formally giving up one's monarchical power and status.

Monarchs may mark the ceremonial beginning of their reigns with a coronation or enthronement.

Role of Monarch



Ghezo, King of Dahomey, was under pressure from the British to end the slave trade.

Monarchy, especially absolute monarchy, sometimes is linked to religious aspects; many monarchs once claimed the right to rule by the will of a deity (Divine Right of Kings, Mandate of Heaven), a special connection to a deity (sacred king) or even purported to be divine kings, or incarnations of deities themselves (imperial cult). Many European monarchs have been styled *Fidei defensor* (Defender of the Faith); some hold official positions relating to the state religion or established church.

In the Western political tradition, a morally-based, *balanced* monarchy is stressed as the ideal form of government, and little reverence is paid to modern-day ideals of egalitarian democracy: e.g. Saint Thomas Aquinas unapologetically declares: "Tyranny is wont to occur not less but more frequently on the basis of polyarchy [rule by many, i.e. oligarchy or democracy] than on the basis of monarchy." (*On Kingship*). However, Thomas Aquinas also stated that the ideal monarchical system would also have at lower levels of government both an aristocracy and elements of democracy in order to create a balance of power. The monarch would also be subject to both natural and divine law, as well, and also be subject to the Church in matters of religion.

In Dante Alighieri's *De Monarchia*, a spiritualised, imperial Catholic monarchy is strongly promoted according to a Ghibelline world-view in which the "royal religion of Melchizedek" is emphasised against the sacerdotal claims of the rival papal ideology.

In Saudi Arabia, the king is a head of state who is both the absolute monarch of the country and the Custodian of the Two Holy Mosques of Islam (خادم الحرمين الشريفين).

Titles of Monarchs



Tewodros II, Emperor of Ethiopia.

Monarchs can have various titles. Common European titles of monarchs are emperor or empress (from Latin: imperator or imperatrix), king or queen, grand duke or grand duchess, prince or princess, duke or duchess (in that hierarchical order of nobility). Some early modern European titles (especially in German states) included elector (German: *Kurfürst*, literally "prince-elector"),

margrave (German: *Markgraf*, equivalent to the French title *marquis*), and burgrave (German: *Burggraf*, literally "count of the castle"). Lesser titles include count, princely count, or imam (Use in Oman). Slavic titles include knyaz and tsar or tsaritsa, a word derived from the Roman imperial title *Caesar*.

In non-Europe, monarchs can have various titles too. Muslim worlds titles of monarchs include caliph (successor to the Islamic prophet Muhammad and a leader of the entire Muslim community), padishah (emperor), sultan or sultana, shâhanshâh (emperor), shah, malik (king) or malikah (queen), emir (commander, prince) or emira (princess), sheikh or sheikha. East Asian titles of monarchs include *huángdì* (emperor or empress regnant), *tiānz*(son of heaven), *tennō* (emperor) or *josei tennō* (empress regnant), *wang* (king) or *yeowang* (queen regnant), *hwangje* (emperor) or *yeohwang* (empress regnant). South Asian and South East Asian titles included *mahārāja* (emperor) or *maharani* (empress), *raja* (king) and *rana* (king) or *rani* (queen) and *ratu* (South East Asian queen). Historically, Mongolic or Turkic monarchs have used the title *khan* and *khagan* (emperor) or *khatun* and *khanum* and Ancient Egypt monarchs have used the title *pharaoh* for men and women. In Ethiopian Empire, monarchs used title *nəgusä nägäst* (king of kings) or nəgəstä nägäst (queen of kings).

Many monarchs are addressed with particular styles or manners of address, such as "Majesty", "Royal Highness", "By the Grace of God", *Amīr al-Mu'minīn* ("Leader of the Faithful"), *Hünkar-i Khanedan-i Âl-i Osman*, "Sovereign of the Sublime House of Osman"), *Yang Maha Mulia Seri Paduka Baginda* ("Majesty"), *Jeonha* ("Majesty"), *Tennō Heika* (literally "His Majesty the heavenly sovereign"), *Bìxià* ("Bottom of the Steps").

Sometimes titles are used to express claims to territories that are not held in fact (for example, English claims to the French throne), or titles not recognised (antipopes). Also, after a monarchy is deposed, often former monarchs and their descendants are given titles (the King of Portugal was given the hereditary title Duke of Braganza).

Dependent Monarchies

In some cases monarchs are dependent on other powers. In the British colonial era indirect rule under a paramount power existed, such as the princely states under the British Raj.

In Botswana, South Africa, Ghana and Uganda, the ancient kingdoms and chiefdoms that were met by the colonialists when they first arrived on the continent are now constitutionally protected as regional and/or sectional entities. Furthermore, in Nigeria, though the dozens of sub-regional polities that exist there are not provided for in the current constitution, they are nevertheless legally recognised aspects of the structure of governance that operates in the nation. In addition to these five countries, peculiar monarchies of varied sizes and complexities exist in various other parts of Africa.

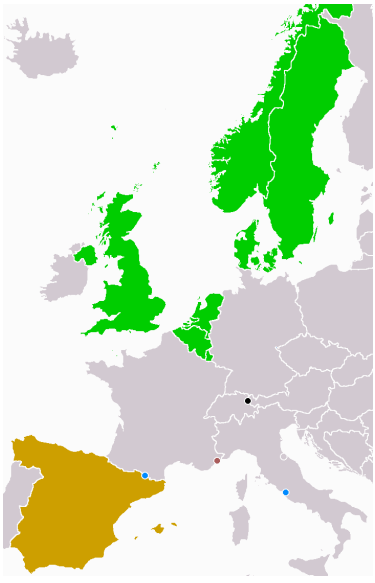
Succession

The rules for selection of monarchs varies from country to country. In constitutional monarchies the rule of succession is generally embodied in a law passed by a representative body, such as a parliament.

Hereditary Monarchies



King Leopold I, an elected founder of the hereditary monarchy of Belgium.



Contemporary European monarchies by type of succession

- Absolute primogeniture
- Male-preference cognatic primogeniture
- Male-preference cognatic primogeniture
- Agnatic primogeniture
- Elective/appointed

In a hereditary monarchy, the position of monarch is inherited according to a statutory or customary order of succession, usually within one royal family tracing its origin through a historical dynasty or bloodline. This usually means that the heir to the throne is known well in advance of becoming monarch to ensure a smooth succession.

Primogeniture, in which the eldest child of the monarch is first in line to become monarch, is the

most common system in hereditary monarchy. The order of succession is usually affected by rules on gender. Historically "agnatic primogeniture" or "patrilineal primogeniture" was favoured, that is inheritance according to seniority of birth among the sons of a monarch or head of family, with sons and their male issue inheriting before brothers and their issue, and male-line males inheriting before females of the male line. This is the same as semi-Salic primogeniture. Complete exclusion of females from dynastic succession is commonly referred to as application of the Salic law.

Before primogeniture was enshrined in European law and tradition, kings would often secure the succession by having their successor (usually their eldest son) crowned during their own lifetime, so for a time there would be two kings in coregency – a senior king and a junior king. Examples include Henry the Young King of England and the early Direct Capetians in France.



Sultan Ali Yusuf Kenadid, heir to the Somali Sultanate of Hobyo.

Sometimes, however, primogeniture can operate through the female line. In some systems a female may rule as monarch only when the male line dating back to a common ancestor is exhausted.

In 1980, Sweden became the first European monarchy to declare equal (full cognatic) primogeniture, meaning that the eldest child of the monarch, whether female or male, ascends to the throne. Other kingdoms (such as the Netherlands in 1983, Norway in 1990, Belgium in 1991, Denmark and Luxembourg) have since followed suit. The United Kingdom adopted absolute (equal) primogeniture on April 25, 2013, following agreement by the prime ministers of the sixteen Commonwealth Realms at the 22nd Commonwealth Heads of Government Meeting.

Sometimes religion is affected; for example the British monarch, as head of the Church of England, is required to be in communion with the Church, although all other former rules forbidding marriage to non-Protestants were abolished when equal primogeniture was adopted in 2013.

In the case of the absence of children, the next most senior member of the collateral line (for ex-

ample, a younger sibling of the previous monarch) becomes monarch. In complex cases, this can mean that there are closer blood relatives to the deceased monarch than the next in line according to primogeniture. This has often led, especially in Europe in the Middle Ages, to conflict between the principle of primogeniture and the principle of proximity of blood.

Other hereditary systems of succession included tanistry, which is semi-elective and gives weight to merit and Agnatic seniority. In some monarchies, such as Saudi Arabia, succession to the throne usually first passes to the monarch's next eldest brother, and only after that to the monarch's children (agnatic seniority).

Elective Monarchies



Pope Francis, Sovereign of the Vatican City State.

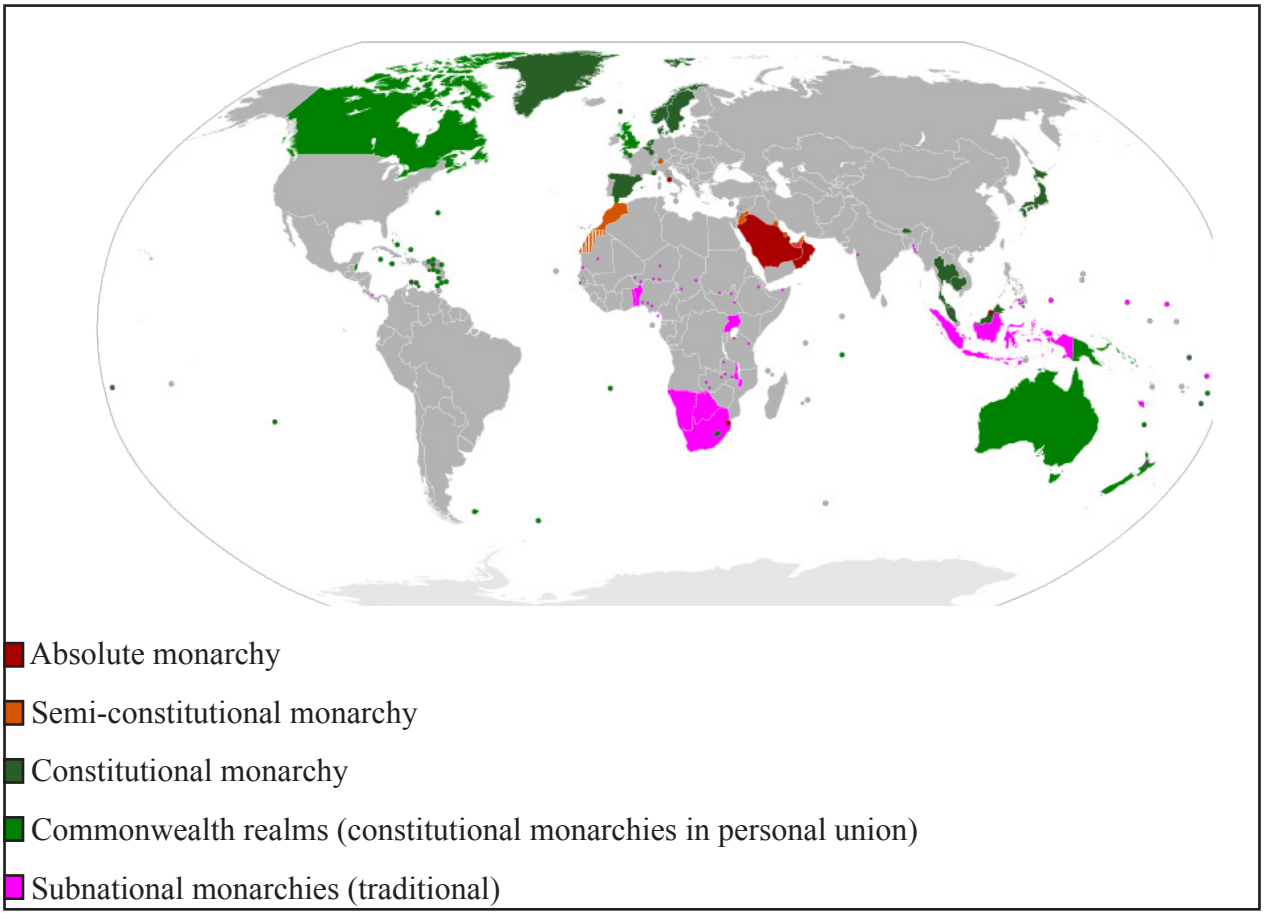
In an elective monarchy, monarchs are elected, or appointed by some body (an electoral college) for life or a defined period, but otherwise serve as any other monarch. There is no popular vote involved in elective monarchies, as the elective body usually consists of a small number of eligible people. Historical examples of elective monarchy include the Holy Roman Emperors (chosen by prince-electors, but often coming from the same dynasty), and the free election of kings of the Polish–Lithuanian Commonwealth. For example, Pepin the Short (father of Charlemagne) was elected King of the Franks by an assembly of Frankish leading men; Stanisław August Poniatowski of Poland was an elected king, as was Frederick I of Denmark. Germanic peoples had elective monarchies.

Four forms of elective monarchies exist today. The pope of the Roman Catholic Church (who rules as Sovereign of the Vatican City State) is elected to a life term by the College of Cardinals. In Malaysia, the federal king, called the Yang di-Pertuan Agong or Paramount Ruler is elected for a five-year term from among and by the hereditary rulers (mostly sultans) of nine of the federation's constitutive states, all on the Malay peninsula. The United Arab Emirates also has a procedure for electing its monarch. Furthermore, Andorra has a unique constitutional arrangement as one of its heads of state is the President of the French Republic in the form of a Co-Prince. This is the only instance in the world where the monarch of a state is elected by the citizens of a different country.

Appointment by the current monarch is another system, used in Jordan. It also was used in Impe-

rial Russia; however, it was changed to semi-Salic soon, because the unreliable realisation of the appointment system resulted in an age of palace revolutions. In this system, the monarch chooses the successor, who is always his relative.

Current Monarchies



Currently there are 43 nations in the world with a monarch as head of state. They fall roughly into the following categories:

- Commonwealth realms. Queen Elizabeth II is the monarch of sixteen Commonwealth realms (Antigua and Barbuda, the Commonwealth of Australia, the Commonwealth of the Bahamas, Barbados, Belize, Canada, Grenada, Jamaica, New Zealand, the Independent State of Papua New Guinea, the Federation of Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Solomon Islands, Tuvalu and the United Kingdom of Great Britain and Northern Ireland). They have evolved out of the British Empire into fully independent states within the Commonwealth of Nations that retain the Queen as head of state, unlike other Commonwealth countries that are either dependencies, republics or have a different royal house. All sixteen realms are constitutional monarchies and full democracies where the Queen has limited powers or a largely ceremonial role. The Queen is head of the established Protestant Christian Church of England in the United Kingdom, while the other 15 realms do not have an established church.

- Other European constitutional monarchies.

The Principality of Andorra, the Kingdom of Belgium, the Kingdom of Denmark, Greenland and the Faroe Islands, the Grand Duchy of Luxembourg, the Kingdom of the Netherlands, the Kingdom of Norway, the Kingdom of Spain, and the Kingdom of Sweden are fully democratic states in which the monarch has a limited or largely ceremonial role.

There is generally a Christian religion established as the official church in each of these countries. This is the Lutheran form of Protestantism in Norway, Sweden and Denmark, while Belgium and Andorra are Roman Catholic countries. Spain and the Netherlands have no official State religion. Luxembourg, which is very predominantly Roman Catholic, has five so-called *officially recognised cults of national importance* (Roman Catholicism, Protestantism, Greek Orthodoxy, Judaism and Islam), a status which gives to those religions some privileges like the payment of a state salary to their priests.

Andorra is unique among all existing monarchies, as it is, by definition, a diarchy, with the Co-Princeship being shared by the President of France and the Bishop of Urgell. This situation, based on historic precedence, has created a peculiar situation among monarchies, as a) both Co-Princes are not of Andorran descent, b) one is elected by common citizens of a foreign country (France), but not by Andorrans as they cannot vote in the French Presidential Elections, c) the other, the bishop of Urgel, is appointed by a foreign head of state, the Pope.

- European constitutional/absolute monarchies. Liechtenstein and Monaco are constitutional monarchies in which the Prince retains many powers of an absolute monarch. For example, the 2003 Constitution referendum which gives the Prince of Liechtenstein the power to veto any law that the Landtag (parliament) proposes and the Landtag can veto any law that the Prince tries to pass. The Prince can hire or dismiss any elective member or government employee from his or her post. However, what makes him not an absolute monarch is that the people can call for a referendum to end the monarchy's reign. The Prince of Monaco has simpler powers but cannot hire or dismiss any elective member or government employee from his or her post, but he can elect the minister of state, government council and judges. Both Albert II and Hans-Adam II have quite a bit of political power, but they also own huge tracts of land and are shareholders in many companies.
- Islamic monarchies. These Islamic monarchs of the Kingdom of Bahrain, the Nation of Brunei, the Abode of Peace, the Hashemite Kingdom of Jordan, the State of Kuwait, Malaysia, the Kingdom of Morocco, the Sultanate of Oman, the State of Qatar, the Kingdom of Saudi Arabia, and the United Arab Emirates generally retain far more powers than their European or Commonwealth counterparts. The Nation of Brunei, the Abode of Peace, the Sultanate of Oman, the State of Qatar, and the Kingdom of Saudi Arabia remain absolute monarchies; the Kingdom of Bahrain, the State of Kuwait and United Arab Emirates are classified as mixed, meaning there are representative bodies of some kind, but the monarch retains most of his powers. The Hashemite Kingdom of Jordan, Malaysia and the Kingdom of Morocco are constitutional monarchies, but their monarchs still retain more substantial powers than European equivalents.
- East Asian constitutional monarchies. The Kingdom of Bhutan, the Kingdom of Cambodia,

Japan, the Kingdom of Thailand have constitutional monarchies where the monarch has a limited or ceremonial role. The Kingdom of Bhutan, Japan and the Kingdom of Thailand are countries that were never colonised by European powers, but Japan and the Kingdom of Thailand have changed from traditional absolute monarchies into constitutional ones during the twentieth century, while the Kingdom of Bhutan changed in 2008. The Kingdom of Cambodia had its own monarchy after independence from the French Colonial Empire, which was deposed after the Khmer Rouge came into power and the subsequent invasion by the Socialist Republic of Vietnam. The monarchy was subsequently restored in the peace agreement of 1993.

- Other monarchies. Five monarchies do not fit into one of the above groups by virtue of geography or class of monarchy: the Kingdom of Tonga in Polynesia; the Kingdom of Swaziland and the Kingdom of Lesotho in Africa; the Vatican City State; the Sovereign Military Order of Malta in Europe. Of these, the Kingdom of Lesotho and the Kingdom of Tonga are constitutional monarchies, while the Kingdom of Swaziland and the Vatican City State are absolute monarchies. The Kingdom of Swaziland is also unique among these monarchies, often being considered a diarchy. The King, or Ngwenyama, rules alongside his mother, the Ndlovukati, as dual heads of state originally designed to be checks on political power. The Ngwenyama, however, is considered the administrative head of state, while the Ndlovukati is considered the spiritual and national head of state, a position which more or less has become symbolic in recent years.

The Pope is the absolute monarch of the *Vatican City State* by virtue of his position as head of the Roman Catholic Church and Bishop of Rome; he is an elected rather than hereditary ruler and has not to be a citizen of the territory prior to his election by the cardinals.

Totalitarianism

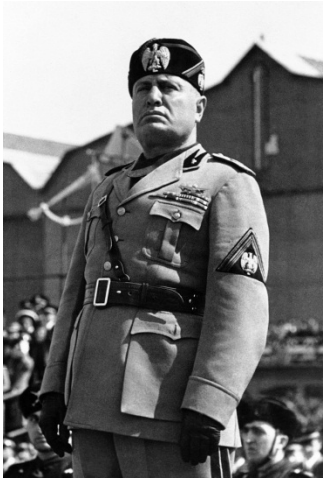
Totalitarianism is a political system in which the state recognizes no limits to its authority and strives to regulate every aspect of public and private life wherever feasible. Totalitarian regimes stay in political power through an all-encompassing propaganda campaign that is disseminated through the state-controlled mass media, a single party that is often marked by political repression, personality cultism, control over the economy, regulation and restriction of speech, mass surveillance, and widespread use of terror. A distinctive feature of totalitarian governments is an "elaborate ideology, a set of ideas that gives meaning and direction to the whole society."

The concept of totalitarianism was first developed in the 1920s by the Weimar German jurist, and later Nazi academic, Carl Schmitt, and Italian fascists. Schmitt used the term, *Totalstaat,* in his influential work on the legal basis of an all-powerful state, *The Concept of the Political* (1927). The concept became prominent in Western political discourse as a concept that highlights similarities between Fascist states and the Soviet Union.

Other movements and governments have also been described as totalitarian, particularly that of present-day North Korea. The leader of the historic Spanish reactionary conservative movement called the Spanish Confederation of the Autonomous Right declared his intention to "give Spain

a true unity, a new spirit, a totalitarian polity…" and went on to say "Democracy is not an end but a means to the conquest of the new state. When the time comes, either parliament submits or we will eliminate it."

Etymology



Benito Mussolini

The notion of totalitarianism as a "total" political power by state was formulated in 1923 by Giovanni Amendola, who described Italian Fascism as a system fundamentally different from conventional dictatorships. The term was later assigned a positive meaning in the writings of Giovanni Gentile, Italy's most prominent philosopher and leading theorist of fascism. He used the term "totalitario" to refer to the structure and goals of the new state, which were to provide the "total representation of the nation and total guidance of national goals." He described totalitarianism as a society in which the ideology of the state had influence, if not power, over most of its citizens. According to Benito Mussolini, this system politicizes everything spiritual and human: "Everything within the state, nothing outside the state, nothing against the state."

Early Concepts and Use

One of the first to use the term "totalitarianism" in the English language was the Austrian writer Franz Borkenau in his 1938 book *The Communist International*, in which he commented that it united the Soviet and German dictatorships more than it divided them. The label "totalitarian" was twice affixed to the Hitler regime during Winston Churchill's speech of October 5, 1938 before the House of Commons in opposition to the Munich Agreement, by which France and Great Britain consented to Nazi Germany's annexation of the Sudetenland. Churchill was then a backbencher MP representing the Epping constituency. In a radio address two weeks later Churchill again employed the term, this time applying the concept to "a Communist or a Nazi tyranny."

The British author George Orwell made frequent use of word totalitarian and its cognates in multiple essays published in 1940, 1941 and 1942, seeing fit to insert the expression into essays whose principal subject was Charles Dickens, Rudyard Kipling, H.G. Wells, Henry Miller or twopenny color postcards. It should come as no surprise that by the time he published the famous essay *Why*

I Write in mid-1946, opposition to totalitarian thought and government had come to play such a prominent role in Orwell's political identity that he was able to say:

The Spanish war and other events in 1936-37 turned the scale and thereafter I knew where I stood. Every line of serious work that I have written since 1936 has been written, directly or indirectly, against totalitarianism and for democratic socialism, as I understand it.



Adolf Hitler

During a 1945 lecture series entitled *The Soviet Impact on the Western World* (published as a book in 1946), the pro-Soviet British historian E. H. Carr claimed that "The trend away from individualism and towards totalitarianism is everywhere unmistakable", and that Marxism–Leninism was by far the most successful type of totalitarianism, as proved by Soviet industrial growth and the Red Army's role in defeating Germany. Only the "blind and incurable" could ignore the trend towards totalitarianism, said Carr.

Karl Popper, in *The Open Society and Its Enemies* (1945) and *The Poverty of Historicism* (1961), articulated an influential critique of totalitarianism: in both works, he contrasted the "open society" of liberal democracy with totalitarianism, and argued that the latter is grounded in the belief that history moves toward an immutable future in accordance with knowable laws.

Syngman Rhee who would later become the first President of South Korea, used the term "totalitarianism" in his book *Japan Inside Out* (1941) to categorize the Japanese rule over many Asian nations against the democratic world, where individuals are of greater importance than the society itself. Isabel Paterson, in *The God of the Machine* (1943), used the term in connection with the Soviet Union and Nazi Germany.

In *The Origins of Totalitarianism*, Hannah Arendt argued that Nazi and State communist regimes were new forms of government, and not merely updated versions of the old tyrannies. According to Arendt, the source of the mass appeal of totalitarian regimes is their ideology, which provides a comforting, single answer to the mysteries of the past, present, and future. For Nazism, all history is the history of race struggle; and, for Marxism, all history is the history of class struggle. Once that premise is accepted, all actions of the state can be justified by appeal to Nature or the Law of History, justifying their establishment of authoritarian state apparatus.

In addition to Arendt, many scholars from a variety of academic backgrounds and ideological positions have closely examined totalitarianism. Among the most noted commentators on totalitarianism are Raymond Aron, Lawrence Aronsen, Franz Borkenau, Karl Dietrich Bracher, Zbigniew Brzezinski, Robert Conquest, Carl Joachim Friedrich, Eckhard Jesse, Leopold Labedz, Walter Laqueur, Claude Lefort, Juan Linz, Richard Löwenthal, Karl Popper, Richard Pipes, Leonard Schapiro, and Adam Ulam. Each one of these describes totalitarianism in slightly different ways. They all agree, however, that totalitarianism seeks to mobilize entire populations in support of an official state ideology, and is intolerant of activities which are not directed towards the goals of the state, entailing repression or state control of business, labour unions, churches or political parties.

Differences between Authoritarian and Totalitarian Regimes

The term "authoritarian regime" denotes a state in which the single power holder – an individual "dictator", a committee or a junta or an otherwise small group of political elite – monopolizes political power. "[T]he authoritarian state ... is only concerned with political power and as long as that is not contested it gives society a certain degree of liberty." The authoritarianism "does not attempt to change the world and human nature."

In contrast, a totalitarian regime attempts to control virtually all aspects of the social life, including the economy, education, art, science, private life, and morals of citizens. "The officially proclaimed ideology penetrates into the deepest reaches of societal structure and the totalitarian government seeks to completely control the thoughts and actions of its citizens." It also mobilizes the whole population in pursuit of its goals. Carl Joachim Friedrich writes that "a totalist ideology, a party reinforced by a secret police, and monopoly control of [...] industrial mass society" are the three features of totalitarian regimes that distinguish them from other autocracies.

Cold War-era Research



Mao Zedong and Joseph Stalin in Moscow, December 1949

The political scientists Carl Friedrich and American geostrategist Zbigniew Brzezinski were primarily responsible for expanding the usage of the term in university social science and professional research, reformulating it as a paradigm for the Soviet Union as well as fascist regimes. Friedrich and Brzezinski argue that a totalitarian system has the following six, mutually supportive, defining characteristics:

1. Elaborate guiding ideology.

2. Single mass party, typically led by a dictator.
3. System of terror, using such instruments as violence and secret police.
4. Monopoly on weapons.
5. Monopoly on the means of communication.
6. Central direction and control of the economy through state planning.

Totalitarian regimes in Germany, Italy and the Soviet Union had initial origins in the chaos that followed in the wake of World War I and allowed totalitarian movements to seize control of the government, while the sophistication of modern weapons and communications enabled them to effectively establish what Friedrich and Brzezinski called a *totalitarian dictatorship*.

The German historian Karl Dietrich Bracher, whose work is primarily concerned with Nazi Germany, argues that the "totalitarian typology" as developed by Friedrich and Brzezinski is an excessively inflexible model, and failed to consider the "revolutionary dynamic" that Bracher asserts is at the heart of totalitarianism. Bracher maintains that the essence of totalitarianism is the total claim to control and remake all aspects of society combined with an all-embracing ideology, the value on authoritarian leadership, and the pretence of the common identity of state and society, which distinguished the totalitarian "closed" understanding of politics from the "open" democratic understanding. Unlike the Friedrich-Brzezinski definition Bracher argued that totalitarian regimes did not require a single leader and could function with a collective leadership, which led the American historian Walter Laqueur to argue that Bracher's definition seemed to fit reality better than the Friedrich-Brzezinski definition.

In his book *The True Believer,* Eric Hoffer argues that mass movements like Stalinism, fascism, and Nazism had a common trait in picturing Western democracies and their values as decadent, with people "too soft, too pleasure-loving and too selfish" to sacrifice for a higher cause, which for them implies an inner moral and biological decay. He further claims that those movements offered the prospect of a glorious future to frustrated people, enabling them to find a refuge from the lack of personal accomplishments in their individual existence. The individual is then assimilated into a compact collective body and "fact-proof screens from reality" are established.

Criticism and Recent Work with the Concept

Some social scientists have criticized the approach of Carl Joachim Friedrich and Zbigniew Brzezinski, arguing that the Soviet system, both as a political and as a social entity, was in fact better understood in terms of interest groups, competing elites, or even in class terms (using the concept of the *nomenklatura* as a vehicle for a new ruling class). These critics pointed to evidence of popular support for the regime and widespread dispersion of power, at least in the implementation of policy, among sectoral and regional authorities. For some followers of this 'pluralist' approach, this was evidence of the ability of the regime to adapt to include new demands. However, proponents of the totalitarian model claimed that the failure of the system to survive showed not only its inability to adapt but the mere formality of supposed popular participation.

Historians of the Nazi period who are inclined towards a functionalist interpretation of the Third Reich, such as Martin Broszat, Hans Mommsen and Ian Kershaw, have been hostile or lukewarm

towards the totalitarianism concept, arguing that the Nazi regime was too disorganized to be considered totalitarian.

In the field of Soviet history, the totalitarian concept has been disparaged by the "revisionist" school, some of whose more prominent members are Sheila Fitzpatrick, Jerry F. Hough, William McCagg, Robert W. Thurston, and J. Arch Getty. Though their individual interpretations differ, the revisionists have argued that the Soviet state under Joseph Stalin was institutionally weak, that the level of terror was much exaggerated, and that — to the extent it occurred — it reflected the weaknesses rather than the strengths of the Soviet state. Fitzpatrick argued that since to the extent that there was terror in the Soviet Union, it provided for increased social mobility, and therefore most people in the Soviet Union supported Stalin's purges as a chance for a better life rather than feeling that they were trapped in a terrorized society.

Writing in 1987, Walter Laqueur said that the revisionists in the field of Soviet history were guilty of confusing popularity with morality, and of making highly embarrassing and not very convincing arguments against the concept of the Soviet Union as a totalitarian state. Laqueur argued that the revisionists' arguments with regard to Soviet history were highly similar to the arguments made by Ernst Nolte regarding German history. Laqueur asserted that concepts such as modernization were inadequate tools for explaining Soviet history while totalitarianism was not.

François Furet used the term "totalitarian twins" in an attempt to link Stalinism and Nazism.

Totalitarianism in Architecture

Non-political aspects of the culture and motifs of totalitarian countries have themselves often been labeled innately "totalitarian". For example, Theodore Dalrymple, a British author, physician, and political commentator, has written for *City Journal* that brutalist structures are an expression of totalitarianism given that their grand, concrete-based design involves destroying gentler, more-human places such as gardens. In 1949, author George Orwell described the Ministry of Truth in *Nineteen Eighty-Four* as an "enormous, pyramidal structure of white concrete, soaring up terrace after terrace, three hundred metres into the air". Columnist Ben Macintyre of *The Times* wrote that it was "a prescient description of the sort of totalitarian architecture that would soon dominate the Communist bloc".

Another example of totalitarianism in architecture is the Panopticon, a type of institutional building designed by English philosopher and social theorist Jeremy Bentham in the late eighteenth century. The concept of the design is to allow a watchman to observe (-opticon) all (pan-) inmates of an institution without their being able to tell whether or not they are being watched. It was invoked by Michel Foucault, in *Discipline and Punish*, as metaphor for "disciplinary" societies and their pervasive inclination to observe and normalise.

Republic

A republic is a sovereign state or country which is organized with a form of government in which power resides in elected individuals representing the citizen body and government leaders exercise power according to the rule of law. In modern times, the definition of a republic

is commonly referred to a government which excludes a monarch. Currently, 147 of the world's 206 sovereign states use the word "republic" as part of their official names; not all of these are republics in the sense of having elected governments, nor do all nations with elected governments use the word "republic" in their names.

Both modern and ancient republics vary widely in their ideology and composition. In the classical and medieval period of Europe, many states were fashioned on the Roman Republic, which referred to the governance of the city of Rome, between it having kings and emperors. The Italian medieval and Renaissance political tradition, today referred to as "civic humanism", is sometimes considered to derive directly from Roman republicans such as Sallust and Tacitus. However, Greek-influenced Roman authors, such as Polybius and Cicero, sometimes also used the term as a translation for the Greek *politeia* which could mean regime generally, but could also be applied to certain specific types of regime which did not exactly correspond to that of the Roman Republic. Republics were not equated with classical democracies such as Athens, but had a democratic aspect.

Republics became more common in the Western world starting in the late 18th century, eventually displacing absolute monarchy as the most common form of government in Europe. In modern republics the executive is legitimized both by a constitution and by popular suffrage. In his work, "The Spirit of the Laws", Montesquieu classified both democracies, where all the people have a share in rule, and aristocracies, where only some of the people rule, as republican forms of government.

Most often a republic is a single sovereign state, but there are also sub-sovereign state entities that are referred to as republics, or which have governments that are described as 'republican' in nature. For instance, Article IV of the United States Constitution "guarantee[s] to every State in this Union a Republican form of Government". In contrast, the Soviet Union was constitutionally described as a "federal multinational state", composed of 15 republics, two of which – Ukraine and Belarus – had their own seats at the United Nations.

Etymology

The term originates as the Latin translation of Greek word *politeia*. Cicero, among other Latin writers, translated *politeia* as *res publica* and it was in turn translated by Renaissance scholars as *republic* (or similar terms in various western European languages).

The term *politeia* can be translated as *form of government*, *polity*, or *regime*, and is therefore not always a word for a specific type of regime as the modern word republic is. (One of Plato's major works on political science was titled *Politeia* and in English it is thus known as *The Republic*. However, apart from the title, in modern translations of *The Republic*, alternative translations of *politeia* are also used.) However, in Book III of his *Politics* (1279a), Aristotle was apparently the first classical writer to state that the term *politeia* can be used to refer more specifically to one type of *politeia*: "When the citizens at large govern for the public good, it is called by the name common to all governments (*to koinon onoma pasōn tōn politeiōn*), government (*politeia*)". And also amongst classical Latin, the term "republic" can be used in a general way to refer to any regime, or in a specific way to refer to governments which work for the public good.

In medieval Northern Italy, a number of city states had commune or signoria based governments. In the late Middle Ages, writers, such as Giovanni Villani, began writing about the nature of these states and the differences from other types of regime. They used terms such as *libertas populi*, a free people, to describe the states. The terminology changed in the 15th century as the renewed interest in the writings of Ancient Rome caused writers to prefer using classical terminology. To describe non-monarchical states writers, most importantly Leonardo Bruni, adopted the Latin phrase *res publica*.

While Bruni and Machiavelli used the term to describe the states of Northern Italy, which were not monarchies, the term *res publica* has a set of interrelated meanings in the original Latin. The term can quite literally be translated as "public matter". It was most often used by Roman writers to refer to the state and government, even during the period of the Roman Empire.

In subsequent centuries, the English word *commonwealth* came to be used as a translation of *res publica*, and its use in English was comparable to how the Romans used the term *res publica*. Notably, during The Protectorate of Oliver Cromwell the word *commonwealth* was the most common term to call the new monarchless state, but the word *republic* was also in common use. Likewise, in Polish, the term was translated as *rzeczpospolita*, although the translation is now only used with respect to Poland.

Presently, the term "republic" commonly means a system of government which derives its power from the people rather than from another basis, such as heredity or divine right.

History

While the philosophical terminology developed in classical Greece and Rome, as already noted by Aristotle there was already a long history of city states with a wide variety of constitutions, not only in Greece but also in the Middle East. After the classical period, during the Middle Ages, many free cities developed again, such as Venice.

Classical Republics



A map of the Roman Republic

The modern type of "republic" itself is different from any type of state found in the classical world. Nevertheless, there are a number of states of the classical era that are today still called republics. This includes ancient Athens, Sparta and the Roman Republic. While the structure and governance of these states was very different from that of any modern republic, there is debate about the extent to which classical, medieval, and modern republics form a historical continuum. J. G.

A. Pocock has argued that a distinct republican tradition stretches from the classical world to the present. Other scholars disagree. Paul Rahe, for instance, argues that the classical republics had a form of government with few links to those in any modern country.

The political philosophy of the classical republics have in any case had an influence on republican thought throughout the subsequent centuries. Philosophers and politicians advocating for republics, such as Machiavelli, Montesquieu, Adams, and Madison, relied heavily on classical Greek and Roman sources which described various types of regimes.

Aristotle's *Politics* discusses various forms of government. One form Aristotle named *politeia*, which consisted of a mixture of the other forms. He argued that this was one of the ideal forms of government. Polybius expanded on many of these ideas, again focusing on the idea of mixed government. The most important Roman work in this tradition is Cicero's *De re publica*.

Over time, the classical republics were either conquered by empires or became ones themselves. Most of the Greek republics were annexed to the Macedonian Empire of Alexander. The Roman Republic expanded dramatically conquering the other states of the Mediterranean that could be considered republics, such as Carthage. The Roman Republic itself then became the Roman Empire.

Other Ancient Republics



Vaishali was the capital of the Vajjian Confederacy, an early republic.

The term "republic" is not commonly used to refer to pre-classical city states, especially if outside Europe and the area which was under Graeco-Roman influence. However some early states outside Europe had governments that are sometimes today considered similar to republics.

In the ancient Near East, a number of cities of the Eastern Mediterranean achieved collective rule. Arwad has been cited as one of the earliest known examples of a republic, in which the people, rather than a monarch, are described as sovereign. The Israelite confederation of the era before the United Monarchy has also been considered a type of republic. In Africa the Axum Empire was organized as a confederation ruled similarly to a royal republic. Similarly the Igbo nation of what is now Nigeria.

The ancient Indian subcontinent had a number of early republics known as Mahajanapadas. Mahajanapadas consisted of sixteen oligarchic republics that existed during the sixth centuries BCE to fourth centuries BCE. Some Indian scholars, such as K.P. Jayaswal, have argued that a number of states in ancient India had republican forms of government. There are no surviving constitu-

tions or works of political philosophy from this period in Indian history, but surviving religious texts do refer to a number of states having *Ga□a sangha*, or council-based, as opposed to monarchical, governments.

Icelandic Commonwealth

The Icelandic Commonwealth was established in 930 AD by refugees from Norway who had fled the unification of that country under King Harald Fairhair. The Commonwealth consisted of a number of clans run by chieftains, and the Althing was a combination of parliament and supreme court where disputes appealed from lower courts were settled, laws were decided, and decisions of national importance were taken. One such example was the Christianisation of Iceland in 1000, where the Althing decreed, in order to prevent an invasion, that all Icelanders must be baptized, and forbade celebration of pagan rituals. Contrary to most states, the Icelandic Commonwealth had no official leader.

In the early 13th century, the Age of the Sturlungs, the Commonwealth began to suffer from long conflicts between warring clans. This, combined with pressure from the Norwegian king Haakon IV for the Icelanders to re-join the Norwegian "family", led the Icelandic chieftains to accept Haakon IV as king by the signing of the *Gamli sáttmáli* ("Old Covenant") in 1262. This effectively brought the Commonwealth to an end. The Althing, however, is still Iceland's parliament, almost 800 years later.

Mercantile Republics



Giovanni Battista Tiepolo, *Neptune offers the wealth of the sea to Venice*, 1748–50. This painting is an allegory of the power of the Republic of Venice.

In Europe new republics appeared in the late Middle Ages when a number of small states embraced republican systems of government. These were generally small, but wealthy, trading states, like the Italian city-states and the Hanseatic League, in which the merchant class had risen to prominence. Knud Haakonssen has noted that, by the Renaissance, Europe was divided with those states controlled by a landed elite being monarchies and those controlled by a commercial elite being republics.

Across Europe a wealthy merchant class developed in the important trading cities. Despite their wealth they had little power in the feudal system dominated by the rural land owners, and across Europe began to advocate for their own privileges and powers. The more centralized states, such as France and England, granted limited city charters.



Beginning of the Republic of Metz. Election of the first Head-Alderman in 1289, by Auguste Migette. Metz was then a free imperial city of the Holy Roman Emperor.

In the more loosely governed Holy Roman Empire, 51 of the largest towns became free imperial cities. While still under the dominion of the Holy Roman Emperor most power was held locally and many adopted republican forms of government. The same rights to imperial immediacy were secured by the major trading cities of Switzerland. The towns and villages of alpine Switzerland had, courtesy of geography, also been largely excluded from central control. Unlike Italy and Germany, much of the rural area was thus not controlled by feudal barons, but by independent farmers who also used communal forms of government. When the Habsburgs tried to reassert control over the region both rural farmers and town merchants joined the rebellion. The Swiss were victorious, and the Swiss Confederacy was proclaimed, and Switzerland has retained a republican form of government to the present.

Italy was the most densely populated area of Europe, and also one with the weakest central government. Many of the towns thus gained considerable independence and adopted commune forms of government. Completely free of feudal control, the Italian city-states expanded, gaining control of the rural hinterland. The two most powerful were the Republic of Venice and its rival the Republic of Genoa. Each were large trading ports, and further expanded by using naval power to control large parts of the Mediterranean. It was in Italy that an ideology advocating for republics first developed. Writers such as Bartholomew of Lucca, Brunetto Latini, Marsilius of Padua, and Leonardo Bruni saw the medieval city-states as heirs to the legacy of Greece and Rome.

Two Russian cities with powerful merchant class—Novgorod and Pskov—also adopted republican forms of government in 12th and 13th centuries, respectively, which ended when the republics were conquered by Muscovy/Russia at the end 15th – beginning of 16th century.

The dominant form of government for these early republics was control by a limited council of elite patricians. In those areas that held elections, property qualifications or guild membership limited both who could vote and who could run. In many states no direct elections were held and council members were hereditary or appointed by the existing council. This left the great majority of the population without political power, and riots and revolts by the lower classes were common. The late Middle Ages saw more than 200 such risings in the towns of the Holy Roman Empire. Similar revolts occurred in Italy, notably the Ciompi Revolt in Florence.

Mercantile Republics Outside of Europe

Following the collapse of the Seljuk Sultanate of Rum and establishment of the Turkish Anatolian

Beyliks, the Ahiler merchant fraternities established a state centered on Ankara that is sometimes compared to the Italian mercantile republics.

Calvinist Republics

While the classical writers had been the primary ideological source for the republics of Italy, in Northern Europe, the Protestant Reformation would be used as justification for establishing new republics. Most important was Calvinist theology, which developed in the Swiss Confederacy, one of the largest and most powerful of the medieval republics. John Calvin did not call for the abolition of monarchy, but he advanced the doctrine that the faithful had the duty to overthrow irreligious monarchs. Advocacy for republics appeared in the writings of the Huguenots during the French Wars of Religion.

Calvinism played an important role in the republican revolts in England and the Netherlands. Like the city-states of Italy and the Hanseatic League, both were important trading centres, with a large merchant class prospering from the trade with the New World. Large parts of the population of both areas also embraced Calvinism. During the Dutch Revolt (beginning in 1566), the Dutch Republic emerged from rejection of Spanish Habsburg rule. However, the country did not adopt the republican form of government immediately: in the formal declaration of independence (Act of Abjuration, 1581), the throne of king Philip was only declared vacant, and the Dutch magistrates asked the Duke of Anjou, queen Elizabeth of England and prince William of Orange, one after another, to replace Philip. It took until 1588 before the Estates (the *Staten*, the representative assembly at the time) decided to vest the sovereignty of the country in themselves.

In 1641 the English Civil War began. Spearheaded by the Puritans and funded by the merchants of London, the revolt was a success, and King Charles I was executed. In England James Harrington, Algernon Sidney, and John Milton became some of the first writers to argue for rejecting monarchy and embracing a republican form of government. The English Commonwealth was short lived, and the monarchy soon restored. The Dutch Republic continued in name until 1795, but by the mid-18th century the stadtholder had become a *de facto* monarch. Calvinists were also some of the earliest settlers of the British and Dutch colonies of North America.

Liberal Republics

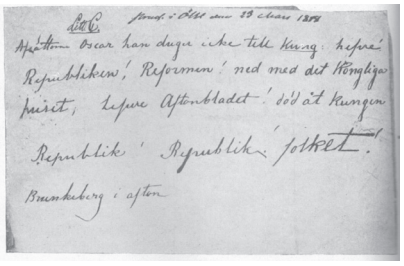
Liberal republics in early modern Europe



An allegory of the Republic in Paris.



Septinsular Republic flag from the early 1800s.



A revolutionary Republican hand-written bill from the Stockholm riots during the Revolutions of 1848, reading: "Dethrone Oscar he is not fit to be a king: Long live the Republic! The Reform! down with the Royal house, long live Aftonbladet! death to the king / Republic Republic the People. Brunkeberg this evening". The writer's identity is unknown.

Along with these initial republican revolts, early modern Europe also saw a great increase in monarchial power. The era of absolute monarchy replaced the limited and decentralized monarchies that had existed in most of the Middle Ages. It also saw a reaction against the total control of the monarch as a series of writers created the ideology known as liberalism.

Most of these Enlightenment thinkers were far more interested in ideas of constitutional monarchy than in republics. The Cromwell regime had discredited republicanism, and most thinkers felt that republics ended in either anarchy or tyranny. Thus philosophers like Voltaire opposed absolutism while at the same time being strongly pro-monarchy.

Jean-Jacques Rousseau and Montesquieu praised republics, and looked on the city-states of Greece as a model. However, both also felt that a nation-state like France, with 20 million people, would be impossible to govern as a republic. Rousseau admired the republican experiment in Corsica (1755-1769) and described his ideal political structure of small self-governing communes. Montesquieu felt that a city-state should ideally be a republic, but maintained that a limited monarchy was better suited to a large nation.

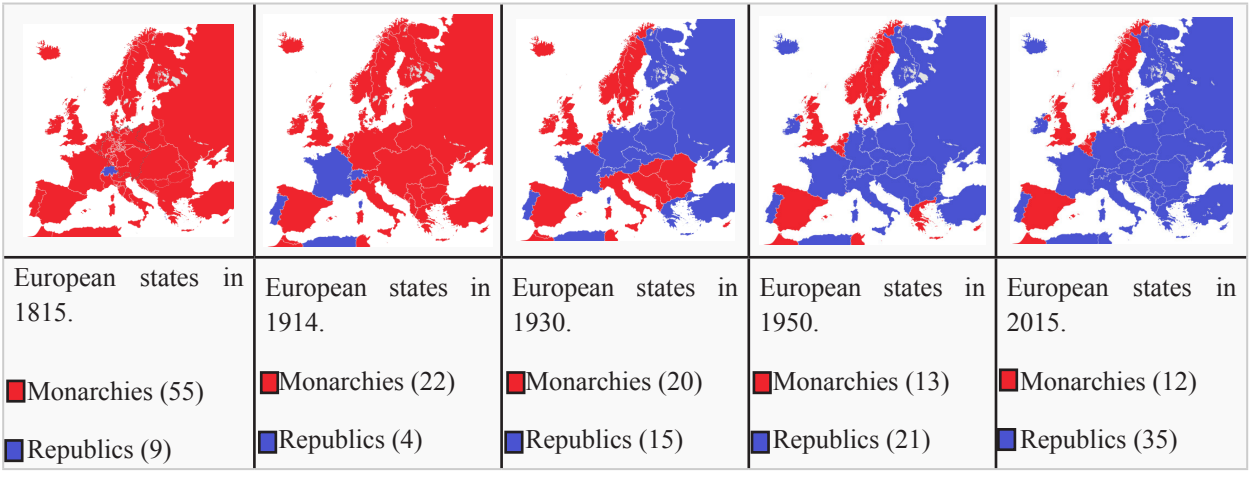
The American Revolution began as a rejection only of the authority of the British Parliament over the colonies, not of the monarchy. The failure of the British monarch to protect the colonies from what they considered the infringement of their rights to representative government, the monarch's branding of those requesting redress as traitors, and his support for sending combat troops to demonstrate authority resulted in widespread perception of the British monarchy as tyrannical. With the United States Declaration of Independence the leaders of the revolt firmly rejected the monarchy and embraced republicanism. The leaders of the revolution were well versed in the writings of the French liberal thinkers, and also in history of the classical republics. John Adams had notably written a book on republics throughout history. In addition, the widely distributed

and popularly read-aloud tract *Common Sense*, by Thomas Paine, succinctly and eloquently laid out the case for republican ideals and independence to the larger public. The Constitution of the United States, ratified in 1789, created a relatively strong federal republic to replace the relatively weak confederation under the first attempt at a national government with the Articles of Confederation and Perpetual Union ratified in 1783. The first ten amendments to the Constitution, called the United States Bill of Rights, guaranteed certain natural rights fundamental to republican ideals that justified the Revolution.

The French Revolution was also not republican at its outset. Only after the Flight to Varennes removed most of the remaining sympathy for the king was a republic declared and Louis XVI sent to the guillotine. The stunning success of France in the French Revolutionary Wars saw republics spread by force of arms across much of Europe as a series of client republics were set up across the continent. The rise of Napoleon saw the end of the French First Republic and her Sister Republics, each replaced by 'popular monarchies'. Throughout the Napoleonic period, the victors extinguished many of the oldest republics on the continent, including the Republic of Venice, the Republic of Genoa, and the Dutch Republic. They were eventually transformed into monarchies or absorbed into neighbouring monarchies.

Outside Europe another group of republics was created as the Napoleonic Wars allowed the states of Latin America to gain their independence. Liberal ideology had only a limited impact on these new republics. The main impetus was the local European descended Creole population in conflict with the Peninsulares - governors sent from overseas. The majority of the population in most of Latin America was of either African or Amerindian descent, and the Creole elite had little interest in giving these groups power and broad-based popular sovereignty. Simón Bolívar, both the main instigator of the revolts and one of its most important theorists, was sympathetic to liberal ideals but felt that Latin America lacked the social cohesion for such a system to function and advocated autocracy as necessary.

In Mexico this autocracy briefly took the form of a monarchy in the First Mexican Empire. Due to the Peninsular War, the Portuguese court was relocated to Brazil in 1808. Brazil gained independence as a monarchy on September 7, 1822, and the Empire of Brazil lasted until 1889. In the other states various forms of autocratic republic existed until most were liberalized at the end of the 20th century.

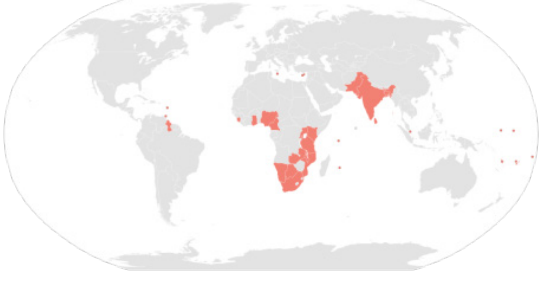


The French Second Republic was created in 1848, but abolished by Napoleon III who proclaimed himself Emperor in 1852. The French Third Republic was established in 1870, when a civil revolutionary committee refused to accept Napoleon III's surrender during the Franco-Prussian War. Spain briefly became the First Spanish Republic in 1873–4, but the monarchy was soon restored. By the start of the 20th century France, Switzerland and San Marino remained the only republics in Europe. This changed when, after the 1908 Lisbon Regicide, the 5 October 1910 revolution established the Portuguese Republic. This would encourage new republics during and in the aftermath of World War I, when several of the largest European empires collapsed: the German Empire, Austro-Hungarian Empire, Russian Empire, and Ottoman Empire were all replaced by republics. New states gained independence during this turmoil, and many of these, such as Ireland, Poland, Finland and Czechoslovakia, chose republican forms of government. Following Greece's defeat in the Greco-Turkish War (1919–22), the monarchy was briefly replaced by the Second Hellenic Republic (1924–1935). In 1931, the proclamation of the Second Spanish Republic (1931–1939) resulted in the Spanish Civil War that would be the prelude of World War II.

Republican ideas were spreading, especially in Asia. The United States began to have considerable influence in East Asia in the later part of the 19th century, with Protestant missionaries playing a central role. The liberal and republican writers of the west also exerted influence. These combined with native Confucian inspired political philosophy that had long argued that the populace had the right to reject unjust government that had lost the Mandate of Heaven.

Two short-lived republics were proclaimed in East Asia, the Republic of Formosa and the First Philippine Republic. China had seen considerable anti-Qing sentiment, and a number of protest movements developed calling for constitutional monarchy. The most important leader of these efforts was Sun Yat-sen, whose Three Principles of the People combined American, European, and Chinese ideas. The Republic of China was proclaimed on January 1, 1912.

Decolonization

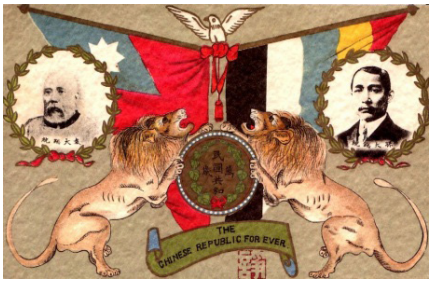


A map of the Commonwealth republics

In the years following World War II, most of the remaining European colonies gained their independence, and most became republics. The two largest colonial powers were France and the United Kingdom. Republican France encouraged the establishment of republics in its former colonies. the United Kingdom attempted to follow the model it had for its earlier settler colonies of creating independent Commonwealth realms still linked under the same monarchy. While most of the settler colonies and the smaller states of the Caribbean retained this system, it was rejected by the newly independent countries in Africa and Asia, which revised their constitutions and became republics.

Britain followed a different model in the Middle East; it installed local monarchies in several colonies and mandates including Iraq, Jordan, Kuwait, Bahrain, Oman, Yemen and Libya. In subsequent decades revolutions and coups overthrew a number of monarchs and installed republics. Several monarchies remain, and the Middle East is the only part of the world where several large states are ruled by monarchs with almost complete political control.

Socialist Republics



A poster that commemorates the permanent President of the Republic of China Yuan Shikai and the provisional President of the Republic

In the wake of the First World War, the Russian monarchy fell during the Russian Revolution. The Russian Provisional Government was established in its place on the lines of a liberal republic, but this was overthrown by the Bolsheviks who went on to establish the Union of Soviet Socialist Republics. This was the first republic established under Marxist-Leninist ideology. Communism was wholly opposed to monarchy, and became an important element of many republican movements during the 20th century. The Russian Revolution spread into Mongolia, and overthrew its theocratic monarchy in 1924. In the aftermath of the Second World War the communists gradually gained control of Romania, Bulgaria, Yugoslavia, Hungary and Albania, ensuring that the states were reestablished as socialist republics rather than monarchies.

Communism also intermingled with other ideologies. It was embraced by many national liberation movements during decolonization. In Vietnam, communist republicans pushed aside the Nguyễn Dynasty, and monarchies in neighbouring Laos and Cambodia were overthrown by communist movements in the 1970s. Arab socialism contributed to a series of revolts and coups that saw the monarchies of Egypt, Iraq, Libya, and Yemen ousted. In Africa Marxist-Leninism and African socialism led to the end of monarchy and the proclamation of republics in states such as Burundi and Ethiopia.

Islamic Republics

Islamic political philosophy has a long history of opposition to absolute monarchy, notably in the work of Al-Farabi. Sharia law took precedence over the will of the ruler, and electing rulers by means of the Shura was an important doctrine. While the early caliphate maintained the principles of an elected ruler, later states became hereditary or military dictatorships though many maintained some pretense of a consultative shura.

None of these states are typically referred to as republics. The current usage of republic in Muslim countries is borrowed from the western meaning, adopted into the language in the late 19th century. The 20th century saw republicanism become an important idea in much of the Middle East, as

monarchies were removed in many states of the region. Iraq became a secular state. Some nations, such as Indonesia and Azerbaijan, began as secular. In Iran, the 1979 revolution overthrew the monarchy and created an Islamic republic based on the ideas of Islamic democracy.

Head of State

Structure

With no monarch, most modern republics use the title president for the head of state. Originally used to refer to the presiding officer of a committee or governing body in Great Britain the usage was also applied to political leaders, including the leaders of some of the Thirteen Colonies (originally Virginia in 1608); in full, the "President of the Council." The first republic to adopt the title was the United States of America. Keeping its usage as the head of a committee the President of the Continental Congress was the leader of the original congress. When the new constitution was written the title of President of the United States was conferred on the head of the new executive branch.

If the head of state of a republic is also the head of government, this is called a presidential system. There are a number of forms of presidential government. A full-presidential system has a president with substantial authority and a central political role.

In other states the legislature is dominant and the presidential role is almost purely ceremonial and apolitical, such as in Germany and India. These states are parliamentary republics and operate similarly to constitutional monarchies with parliamentary systems where the power of the monarch is also greatly circumscribed. In parliamentary systems the head of government, most often titled prime minister, exercises the most real political power. Semi-presidential systems have a president as an active head of state, but also have a head of government with important powers.

The rules for appointing the president and the leader of the government, in some republics permit the appointment of a president and a prime minister who have opposing political convictions: in France, when the members of the ruling cabinet and the president come from opposing political factions, this situation is called cohabitation.

In some countries, like Switzerland, Bosnia and Herzegovina and San Marino, the head of state is not a single person but a committee (council) of several persons holding that office. The Roman Republic had two consuls, elected for a one year-term by the *comitia centuriata*, consisting of all adult, freeborn males who could prove citizenship.

Elections

In liberal democracies presidents are elected, either directly by the people or indirectly by a parliament or council. Typically in presidential and semi-presidential systems the president is directly elected by the people, or is indirectly elected as done in the United States. In that country the president is officially elected by an electoral college, chosen by the States, all of which do so by direct election of the electors. The indirect election of the president through the electoral college conforms to the concept of republic as one with a system of indirect election. In the opinion of some, direct election confers legitimacy upon the president and gives the office much of its political power. However, this concept of legitimacy differs from that expressed in the United States

Constitution which established the legitimacy of the United States president as resulting from the signing of the Constitution by nine states. The idea that direct election is required for legitimacy also contradicts the spirit of the Great Compromise, whose actual result was manifest in the clause that provides voters in smaller states with slightly more representation in presidential selection than those in large states.

In states with a parliamentary system the president is usually elected by the parliament. This indirect election subordinates the president to the parliament, and also gives the president limited legitimacy and turns most presidential powers into reserve powers that can only be exercised under rare circumstance. There are exceptions where elected presidents have only ceremonial powers, such as in Ireland.

Ambiguities

The distinction between a republic and a monarchy is not always clear. The constitutional monarchies of the former British Empire and Western Europe today have almost all real political power vested in the elected representatives, with the monarchs only holding either theoretical powers, no powers or rarely used reserve powers. Real legitimacy for political decisions comes from the elected representatives and is derived from the will of the people. While hereditary monarchies remain in place, political power is derived from the people as in a republic. These states are thus sometimes referred to as crowned republics.

Terms such as *liberal republic* are also used to describe all of the modern liberal democracies.

There are also self-proclaimed republics that act similarly to monarchies with absolute power vested in the leader and passed down from father to son. North Korea and Syria are two notable examples where a son has inherited political control. Neither of these states are officially monarchies. There is no constitutional requirement that power be passed down within one family, but it has occurred in practice.

There are also elective monarchies where ultimate power is vested in a monarch, but the monarch is chosen by some manner of election. A current example of such a state is Malaysia where the Yang di-Pertuan Agong is elected every five years by the Conference of Rulers composed of the nine hereditary rulers of the Malay states, and the Vatican City-State, where the pope is selected by cardinal-electors, currently all cardinals under a specific age. While rare today, elective monarchs were common in the past. The Holy Roman Empire is an important example, where each new emperor was chosen by a group of electors. Islamic states also rarely employed primogeniture, instead relying on various forms of election to choose a monarch's successor.

The Polish–Lithuanian Commonwealth had an elective monarchy, with a wide suffrage of some 500,000 nobles. The system, known as the Golden Liberty, had developed as a method for powerful landowners to control the crown. The proponents of this system looked to classical examples, and the writings of the Italian Renaissance, and called their elective monarchy a *rzeczpospolita*, based on *res publica*.

Sub-national Republics

In general being a republic also implies sovereignty as for the state to be ruled by the people it

cannot be controlled by a foreign power. There are important exceptions to this, for example, republics in the Soviet Union were member states which had to meet three criteria to be named republics:

1. be on the periphery of the Soviet Union so as to be able to take advantage of their theoretical right to secede;
2. be economically strong enough to be self-sufficient upon secession; and
3. be named after at least one million people of the ethnic group which should make up the majority population of said republic.

It is sometimes argued that the former Soviet Union was also a supra-national republic, based on the claim that the member states were different nations.

Socialist Federative Republic of Yugoslavia (and earlier names) was a federal entity composed of six republics (Socialist Republic of Bosnia and Herzegovina, Croatia, Macedonia, Montenegro, Serbia, and Slovenia). Each republic had its parliament, government, institute of citizenship, constitution, etc... but certain functions were delegated to the federation (army, monetary matters). Each republic also had a right of self-determination according to the conclusions of the second session of the AVNOJ and according to the federal constitution.

States of the United States are required, like the federal government, to be republican in form, with final authority resting with the people. This was required because the states were intended to create and enforce most domestic laws, with the exception of areas delegated to the federal government and prohibited to the states. The founding fathers of the country intended most domestic laws to be handled by the states. Requiring the states to be a republic in form was seen as protecting the citizens' rights and preventing a state from becoming a dictatorship or monarchy, and reflected unwillingness on the part of the original 13 states (all independent republics) to unite with other states that were not republics. Additionally, this requirement ensured that only other republics could join the union.

In the example of the United States, the original 13 British colonies became independent states after the American Revolution, each having a republican form of government. These independent states initially formed a loose confederation called the United States and then later formed the current United States by ratifying the current U.S. Constitution, creating a union of sovereign states with the union or federal government also being a republic. Any state joining the union later was also required to be a republic.

Other Meanings

Political Philosophy

The term *republic* originated from the writers of the Renaissance as a descriptive term for states that were not monarchies. These writers, such as Machiavelli, also wrote important prescriptive works describing how such governments should function. These ideas of how a government and society should be structured is the basis for an ideology known as classical republicanism or civic humanism. This ideology is based on the Roman Republic and the city states of Ancient Greece and focuses on ideals such as civic virtue, rule of law, and mixed government.

This understanding of a republic as a distinct form of government from a liberal democracy is one of the main theses of the Cambridge School of historical analysis. This grew out of the work of J. G. A. Pocock who in 1975 argued that a series of scholars had expressed a consistent set of republican ideals. These writers included Machiavelli, Milton, Montesquieu, and the founders of the United States of America.

Pocock argued that this was an ideology with a history and principles distinct from liberalism. These ideas were embraced by a number of different writers, including Quentin Skinner, Philip Pettit and Cass Sunstein. These subsequent writers have further explored the history of the idea, and also outlined how a modern republic should function.

United States

A distinct set of definitions for the word *republic* evolved in the United States. In common parlance, a republic is a state that does not practice direct democracy but rather has a government indirectly controlled by the people. This understanding of the term was originally developed by James Madison, and notably employed in Federalist Paper No. 10. This meaning was widely adopted early in the history of the United States, including in Noah Webster's dictionary of 1828. It was a novel meaning to the term; representative democracy was not an idea mentioned by Machiavelli and did not exist in the classical republics. Also, there is evidence that contemporaries of Madison considered the meaning of the word to reflect the definition found elsewhere, as is the case with a quotation of Benjamin Franklin taken from the notes of James McHenry where the question is put forth, "a Republic or a Monarchy?"

The term *republic* does not appear in the Declaration of Independence, but does appear in Article IV of the Constitution which "guarantee[s] to every State in this Union a Republican form of Government." What exactly the writers of the constitution felt this should mean is uncertain. The Supreme Court, in *Luther v. Borden* (1849), declared that the definition of *republic* was a "political question" in which it would not intervene. In two later cases, it did establish a basic definition. In *United States v. Cruikshank* (1875), the court ruled that the "equal rights of citizens" were inherent to the idea of a republic.

However, the term *republic* is not synonymous with the republican form. The republican form is defined as one in which the powers of sovereignty are vested in the people and are exercised by the people, either directly, or through representatives chosen by the people, to whom those powers are specially delegated. In re Duncan, 139 U.S. 449, 11 S.Ct. 573, 35 L.Ed. 219; Minor v. Happersett, 88 U.S. (21 Wall.) 162, 22 L.Ed. 627.

Beyond these basic definitions the word *republic* has a number of other connotations. W. Paul Adams observes that *republic* is most often used in the United States as a synonym for state or government, but with more positive connotations than either of those terms. Republicanism is often referred to as the founding ideology of the United States. Traditionally scholars believed this American republicanism was a derivation of the classical liberal ideologies of John Locke and others developed in Europe.

A political philosophy of republicanism that formed during the Renaissance period, and initiated by Machiavelli, was thought to have had little impact on the founders of the United States. In the 1960s and 1970s a revisionist school led by the likes of Bernard Bailyn began to argue that repub-

licanism was just as or even more important than liberalism in the creation of the United States. This issue is still much disputed and scholars like Isaac Kramnick completely reject this view.

References

- Susan Lape, Reproducing Athens: Menander's Comedy, Democratic Culture, and the Hellenistic City, Princeton University Press, 2009, p. 4, ISBN 1400825911
- John Dunn, Democracy: the unfinished journey 508 BC – 1993 AD, Oxford University Press, 1994, ISBN 0-19-827934-5
- Everdell, William R. (2000) [1983]. The end of kings: a history of republics and republicans (2nd ed.). Chicago: University of Chicago Press. ISBN 9780226224824.
- Nussbaum, Martha (2000). Women and human development: the capabilities approach. Cambridge New York: Cambridge University Press. ISBN 9780521003858.
- Barak, Aharon (2006), "Protecting the constitution and democracy", in Barak, Aharon, The judge in a democracy, Princeton, New Jersey: Princeton University Press, p. 27, ISBN 9780691120171.
- Hénaff, Marcel; Strong, Tracy B. (2001). Public space and democracy. Minneapolis: University of Minnesota Press. ISBN 9780816633883.
- Dahl, Robert A.; Shapiro, Ian; Cheibub, José Antônio (2003). The democracy sourcebook. Cambridge, Massachusetts: MIT Press. ISBN 9780262541473. Details.
- O'Donnell, Guillermo (2005), "Why the rule of law matters", in Diamond, Larry; Morlino, Leonardo, Assessing the quality of democracy, Baltimore: Johns Hopkins University Press, pp. 3–17, ISBN 9780801882876.
- Allen Weinstein and David Rubel (2002), The Story of America: Freedom and Crisis from Settlement to Superpower, DK Publishing, Inc., New York, N.Y., ISBN 0-7894-8903-1.
- Johnston, Douglas M.; Reisman, W. Michael (2008). The Historical Foundations of World Order. Leiden: Martinus Nijhoff Publishers. p. 544. ISBN 9047423933.
- Michael Denning (2004). Culture in the Age of Three Worlds. Verso. p. 212. ISBN 978-1-85984-449-6. Retrieved 10 July 2013.

7

E-Government: An Integrated Study

The use of devices and computers for public services is known as E-government. The application of technology for delivering better government services is termed as electronic governance. The following section unfolds its crucial aspects in a critical yet systematic manner.

E-Government

(G2G), between government and citizens (G2C), between government and employees (G2E), and between government and businesses/commerces (G2B). E-government delivery models can be broken down into the following categories: This interaction consists of citizens communicating with all levels of government (city, state/province, national, and international), facilitating citizen involvement in governance using information and communication technology (ICT) (such as computers and websites) and business process re-engineering (BPR).

Terminology

E-government is also known as e-gov, electronic government, Internet government, digital government, online government, connected government. As of 2014 the OECD still uses the term digital government, and distinguishes it from e-government in the recommendation produced there for the Network on E-Government of the Public Governance Committee.

Definition

E-gov strategies (or *digital government*) is defined as "The employment of the Internet and the world-wide-web for delivering government information and services to the citizens." (United Nations, 2006; AOEMA, 2005). *Electronic government* (or *e-government*) essentially refers to "utilization of Information Technology (IT), Information and Communication Technologies (ICT s), and other web-based telecommunication technologies to improve and/or enhance on the efficiency and effectiveness of service delivery in the public sector.". e-Government promotes and improves broad stakeholders contribution to national and community development, as well as deepen the governance process.

In electronic government systems, government operations are supported by web-based services. It involves the use of information technology, specifically the Internet, to facilitate the communication between the government and its citizens.

UN e-Government Development Index

The United Nations Public Administration Network conducts a bi-annual e-government survey which includes a section titled *e-Government Readiness*. It is a comparative ranking of the coun-

tries of the world according to two primary indicators: i) the state of e-government readiness; and ii) the extent of e-participation. Constructing a model for the measurement of digitized services, the Survey assesses the 193 member states of the UN according to a quantitative composite index of e-government readiness based on website assessment; telecommunication infrastructure and human resource endowment.

A diverse group of 37 online volunteers from across the globe engaged with the United Nations Department of Economic Affairs (UN DESA) to process 386 research surveys carried out across 193 UN Member States for the 2014 UN E-Government Survey. The diversity of nationalities and languages of the online volunteers—more than 65 languages, 15 nationalities, of which half are from developing countries—mirrors perfectly the mission of the survey.

Comparison with e-governance

E-government should enable anyone visiting a city website to communicate and interact with city employees via the Internet with graphical user interfaces (GUI), instant-messaging (IM), learn about government issues through audio/video presentations, and in any way more sophisticated than a simple email letter to the address provided at the site" and "the use of technology to enhance the access to and delivery of government services to benefit citizens, business partners and employees". The focus should be on:

- The use of information and communication technologies, and particularly the Internet, as a tool to achieve better government.
- The use of information and communication technologies in all facets of the operations of a government organization.
- The continuous optimization of service delivery, constituency participation and governance by transforming internal and external relationships through technology, the Internet and new media.

Whilst e-government has traditionally been understood as being centered around the operations of government, e-governance is understood to extend the scope by including citizen engagement and participation in governance. As such, following in line with the OECD definition of e-government, e-governance can be defined as the use of ICTs as a tool to achieve better governance.

Delivery Models and Activities of e-government

The primary delivery models of e-government can be divided into:

- Government-to-citizen or government-to-consumer (G2C) approaches such as setting up websites where citizens can download forms, government information, etc.
    - In this model, the G2C model apply the strategy of customer relationship management (CRM) with business concept.
    - By managing their "customer" (citizen) relationship, the business (government) can provide the needed products and services fulfill the needs from customer (citizen).

    - In United States, the NPR (National Partnership for Reinventing Government) has been implemented from 1993.
- Government-to-business (G2B)
- Government-to-government (G2G)
- Government-to-employees (G2E)

Within each of these interaction domains, four kinds of activities take place:

- pushing information over the Internet, e.g.: regulatory services, general holidays, public hearing schedules, issue briefs, notifications, etc.
- two-way communications between the agency and the citizen, a business, or another government agency. In this model, users can engage in dialogue with agencies and post problems, comments, or requests to the agency.
- conducting transactions, e.g.: lodging tax returns, applying for services and grants.
- governance, e.g.: To enable the citizen transition from passive information access to active citizen participation by:

1. Informing the citizen
2. Representing the citizen
3. Encouraging the citizen to vote
4. Consulting the citizen
5. Involving the citizen

Non-internet e-government

While e-government is often thought of as "online government" or "Internet-based government," many non-Internet "electronic government" technologies can be used in this context. Some non-Internet forms include telephone, fax, PDA, SMS text messaging, MMS, wireless networks and services, Bluetooth, CCTV, tracking systems, RFID, biometric identification, road traffic management and regulatory enforcement, identity cards, smart cards and other near field communication applications; polling station technology (where non-online e-voting is being considered), TV and radio-based delivery of government services (e.g., CSMW), email, online community facilities, newsgroups and electronic mailing lists, online chat, and instant messaging technologies.

Controversies

Disadvantages

The main disadvantages concerning e-government is the lack of equality in public access to computers and the internet (the "digital divide", a reference to the fact that people who have low incomes, who are homeless and/or who live in remote regions may have little or no access to the

Internet), reliability of information on the web, and issues that could influence and bias public opinions. There are many considerations and potential implications of implementing and designing e-government, including disintermediation of the government and its citizens, impacts on economic, social, and political factors, vulnerability to cyber attacks, and disturbances to the *status quo* in these areas.

Trust

Trust in e-governance is very highly dependent on its performance and execution, which can be measured through the effectiveness of current actions. This is much riskier and prone to fluctuation than a system of trust that is based on reputation because performance does not consider past actions.

Development

Because E-government is in the early stages of development in many countries and jurisdictions, it is hard to be applied to forms of government that have been institutionalized. Age-old bureaucratic practices being delivered in new mediums or using new technologies can lead to problems of miscommunication

Hyper-surveillance

Increased electronic contact and data exchange between government and its citizens goes both ways. Once e-government technologies become more sophisticated, citizens will be likely be encouraged to interact electronically with the government for more transactions, as e-services are much less costly than bricks and mortar service offices (physical buildings) staffed by civil servants. This could potentially lead to a decrease in privacy for civilians as the government obtains more and more information about their activities. Without safeguards, government agencies might share information on citizens. In a worst-case scenario, with so much information being passed electronically between government and civilians, a totalitarian-like system could develop. When the government has easy access to countless information on its citizens, personal privacy is lost.

Cost

Although "a prodigious amount of money has been spent" on the development and implementation of e-government, some say it has yielded only a mediocre result. The outcomes and effects of trial Internet-based government services are often difficult to gauge or users seem them unsatisfactory. According to Gartner, Worldwide IT spending is estimated to total $3.6 trillion in 2011 which is 5.1% increase from the year 2010 ($3.4 trillion).

Inaccessibility

An e-government website that provides government services often does not offer the "potential to reach many users including those who live in remote areas [without Internet access], are homebound, have low literacy levels, exist on poverty line incomes." Homeless people, people in poverty and elderly people may not have access.

False sense of Transparency and Accountability

Opponents of e-government argue that online governmental transparency is dubious because it is maintained by the governments themselves. Information can be added or removed from the public eye. To this day, very few organizations monitor and provide accountability for these modifications. Those that do so, like the United States' OMBWatch and Government Accountability Project, are often nonprofit volunteers. Even the governments themselves do not always keep track of the information they insert and delete.

Advantages

The ultimate goal of the e-government is to be able to offer an increased portfolio of public services to citizens in an efficient and cost effective manner. E-government allows for government transparency. Government transparency is important because it allows the public to be informed about what the government is working on as well as the policies they are trying to implement. Simple tasks may be easier to perform through electronic government access. Many changes, such as marital status or address changes can be a long process and take a lot of paper work for citizens. E-government allows these tasks to be performed efficiently with more convenience to individuals. E-government is an easy way for the public to be more involved in political campaigns. It could increase voter awareness, which could lead to an increase in citizen participation in elections. It is convenient and cost-effective for businesses, and the public benefits by getting easy access to the most current information available without having to spend time, energy and money to get it.

E-government helps simplify processes and makes government information more easily accessible for public sector agencies and citizens. For example, the Indiana Bureau of Motor Vehicles simplified the process of certifying driver records to be admitted in county court proceedings. Indiana became the first state to allow government records to be digitally signed, legally certified and delivered electronically by using Electronic Postmark technology. In addition to its simplicity, e-democracy services can reduce costs. Alabama Department of Conservation & Natural Resources, Wal-Mart and NIC developed an online hunting and fishing license service utilizing an existing computer to automate the licensing process. More than 140,000 licenses were purchased at Wal-Mart stores during the first hunting season and the agency estimates it will save $200,000 annually from service.

The anticipated benefits of e-government include efficiency, improved services, better accessibility of public services, sustainable community development and more transparency and accountability.

Democratization

One goal of some e-government initiatives is greater citizen participation. Through the Internet's Web 2.0 interactive features, people from all over the country can provide input to politicians or public servants and make their voices heard. Blogging and interactive surveys allow politicians or public servants to see the views of the people on any issue. Chat rooms can place citizens in real-time contact with elected officials or their office staff or provide them with the means to interact directly with public servants, allowing voters to have a direct impact and influence in their government. These technologies can create a more transparent government, allowing voters to

immediately see how and why their representatives in the capital are voting the way they are. This helps voters decide whom to vote for in the future or how to help the public servants become more productive.

A government could theoretically move more towards a true democracy with the proper application of e-government. Government transparency will give insight to the public on how decisions are made and hold elected officials or public servants accountable for their actions. The public could become a direct and prominent influence in government legislature to some degree.

Environmental Bonuses

Proponents of e-government argue that online government services would lessen the need for hard copy paper forms. Due to recent pressures from environmentalist groups, the media, and the public, some governments and organizations have turned to the Internet to reduce paper use. The United States government utilizes the website http://www.forms.gov to provide "internal government forms for federal employees" and thus "produce significant savings in paper. As well, if citizens can apply for government services or permits online, they may not need to drive into a government office, which could lead to less air pollution from gas and diesel-fuelled vehicles.

Speed, Efficiency, and Convenience

E-government allows citizens to interact with computers to achieve objectives at any time and any location, and eliminates the necessity for physical travel to government agents sitting behind desks and windows. Many e-government services are available to citizens with computers and Internet access 24 hours a day and seven days a week, in contrast to bricks and mortar government offices, which tend to be only open during business hours (notable exceptions are police stations and hospitals, which are usually open 24 hours a day so that staff can deal with emergencies).

Improved accounting and record keeping can be noted through computerization, and information and forms can be easily accessed by citizens with computers and Internet access, which may enable quicker processing time for applications and finding information. On the administrative side, access to help find or retrieve files and linked information can now be stored in electronic databases versus hardcopies (paper copies) stored in various locations. Individuals with disabilities or conditions that affect their mobility no longer have to be mobile to be active in government and can access public services in the comfort of their own homes (as long as they have a computer and Internet and any accessibility equipment they may need).

Public Approval

Recent trials of e-government have been met with acceptance and eagerness from the public. Citizens participate in online discussions of political issues with increasing frequency, and young people, who traditionally display minimal interest in government affairs, are drawn to electronic voting procedures.

Although Internet-based governmental programs have been criticized for lack of reliable privacy

policies, studies have shown that people value prosecution of offenders over personal confidentiality. Ninety percent of United States adults approve of Internet tracking systems of criminals, and 57% are willing to forgo some of their personal internet privacy if it leads to the prosecution of criminals or terrorists.

Technology-specific e-government

There are also some technology-specific sub-categories of e-government, such as m-government (mobile government), ubiquitous government), and g-government (GIS/GPS applications for e-government).

The primary delivery models of e-government are classified depending on who benefits. In the development of public sector or private sector portals and platforms, a system is created that benefits all constituents. Citizens needing to renew their vehicle registration have a convenient way to accomplish it while already engaged in meeting the regulatory inspection requirement. On behalf of a government partner, business provides what has traditionally, and solely, managed by government and can use this service to generate profit or attract new customers. Government agencies are relieved of the cost and complexity of having to process the transactions.

To develop these public sector portals or platforms, governments have the choice to internally develop and manage, outsource, or sign a self-funding contract. The self-funding model creates portals that pay for themselves through convenience fees for certain e-government transactions, known as self-funding portals.

Social networking services and websites are an emerging area for e-democracy. The social networking entry point is within the citizens' environment and the engagement is on the citizens' terms. Proponents of e-government perceive government use of social networking as a medium to help government act more like the public it serves. Examples can be found at almost every state government portal through Facebook, Twitter, and YouTube widgets.

Government and its agents also have the opportunity to follow citizens to monitor satisfaction with services they receive. Through ListServs, RSS feeds, mobile messaging, micro-blogging services and blogs, government and its agencies can share information to citizens who share common interests and concerns. Government is also beginning to Twitter. In the state of Rhode Island, Treasurer Frank T. Caprio is offering daily tweets of the state's cash flow. For a full list of state agencies with Twitter feeds, visit NIC. For more information, visit transparent-gov.com.

Government 2.0

Government 2.0 or Gov 2.0 refers to government policies that aim to harness collaborative technologies and interactive Internet tools to create an open-source computing platform in which government, citizens, and innovative companies can improve transparency and efficiency. Put simply, Gov 2.0 is about "putting government in the hands of citizens". Gov 2.0 combines interactive Web 2.0 fundamentals with e-government and increases citizen participation by using open-source platforms, which allow development of innovative apps, websites, and widgets. The government's role is to provide open data, web services, and platforms as an infrastructure.

By Country

Africa

Kenya

Following the transition from the longstanding Kenya African National Union government to the National Rainbow Coalition government in December 2002, in January 2004 a Directorate of e-government was established after an executive (cabinet) session. The newly created department had the duty to draw the plan of action for future ICT implementations.

Like many other African nations, Kenya has embraced the high mobile penetration rate within its population. Even people living in remote areas that did not have access to traditional telecommunications' networks can now communicate with ease. The fact of the same has, and continues to have, a great impact on the governments' strategies in reaching out to its citizens. Given that about 70% of the population owns mobile phones, leading mobile network operators like Safaricom have taken a great step in offering services that meets citizens' demands. Such services include Kipokezi (which allows subscribers to do online chatting and also exchange electronic mails via standard mobile phones), and M-Pesa (which allows the subscribers to send and receive electronic cash). Such services have even appealed to the majority of Kenyans, as they support the branchless members of the society too, in undertaking normal and secure businesses via M-Pesa. The recent IMF report reveals that MPESA transactions in Kenya exceeded those carried out by Western Union worldwide.

Asia

Bangladesh

The e-Government web portal has been developed to provide more convenient access to various government service and information through one window. Services can now be delivered to people at their own convenience, and more importantly now have a lot more weight on transparency and accountability of public services.

India

Indian government has launched many e-governance initiatives, including a portal for public grievance, MCA21 Mission Mode Project, e-Filing of income tax, e-gazette, & digital India policy.

Iran

In 2002, Iran published a detailed report named TAKFA (Barnameye Tose-e va Karborde Fanavaie Etela'at) in which it was predicted that most of the government bodies would try to virtualize their services as soon as possible. However based on the reports by UN bodies, Iran has failed in the recent years to meet the average standards of EG. In 2008, the Supreme Council of Information released a report which criticized the government for its poor advancement in employing new communication technologies for administration purposes.

Malaysia

In Malaysia, the e-government efforts are undertaken by the Malaysian government, under the umbrella of Multimedia Super Corridor (MSC) and e-government flagships, which was launched in mid-1996, by Dr Mahathir Mohamad (1981-2003), by the then Prime Minister of Malaysia (Jeong & Nor Fadzlina, 2007).

Electronic government is an initiative aimed at reinventing how the government works. It seeks to improve both how the government operates, as well as how it deliver services to the people (Ibrahim Ariff & Goh Chen Chuan, 2000).

Myanmar

The Yangon City Development Committee (YCDC) is the administrative body of Yangon, and Yangon is the largest city and former capital of Myanmar (Burma). The Yangon City Development Committee consists of 20 departments. Its headquarters was basing on the Yangon City Hall. The committee's chairman is also the city's mayor.

In 2003, YCDC was organized to provide e-Government for Yangon City. The main purposes of the city's e-Government program are to provide easy access between the government and the city's citizens via the Internet, to reduce paper usage, to reduce the city budget, to build the city's fiber ring, to provide timely public information, to store public data and to develop and expand G2G, G2C, G2B, and G2E programs.

In January 2013 responsibility for e-Government was divided between the e-Government Administration Committee and the e-Government Processing Committee. The e-Government Administration Committee includes the Mayor of Yangon City as Chief, the General Secretary of Yangon City as Sub-Chief, and the other 20 head of department officers as chairmen. The e-Government Processing Committee includes the Head of Public Relation and Information Department as Chief and the other 20 deputy head of department officers as chairmen.

Nepal

The e-Government planning and conceptual framework has been presented to Nepal in an extensive support from the Government of Korea (KIPA). E-government Vision is 'The Value Networking Nepal' through:

- Citizen-centered service
- Transparent service
- Networked government
- Knowledge based society

Nepal's E-government mission statement is "Improve the quality of people's life without any discrimination, transcending regional and racial differences, and realize socio-economic development by building a transparent government and providing value added quality services through ICT."

The e-Government practice has been slow both in adoption and practice in Nepal. However, local government bodies now have dedicated team of ICT Volunteers working towards implementing e-Government in the country through an extensive ICT for Local Bodies initiatives.

Pakistan

In 2014, the Government of Pakistan created the National Information Technology Board (NITB) under the Ministry of Information Technology & Telecom to enable a digital eco-system for Government services to the citizens of Pakistan. NITB was formed as a result of a merger between Pakistan Computer Bureau (PCB) and Electronic Government Directorate (EGD). The key functions identified by the NITB are:

- Provide technical guidance for the introduction of e-Governance in the Federal Govt.
- Suggest efficient and cost-effective implementation of e-government programs in the Federal Ministries/Divisions.
- To carry out training need assessment and design and implement the identified IT capacity building programs for the employees of Federal Ministries/Divisions.
- Review the status of e-government readiness on a regular basis to ensure sustainable, accelerated digitization and relevant human resource development.
- Identify the areas where IT interventions can be helpful and to suggest measures for the automation of these areas through Business Process Re-engineering (BPR).

NITB rolled out an e-Office Suite across various ministries in the Government of Pakistan. While it clearly pursued efficiency gains and improved transparency, it also hoped to deliver "efficient and cost effective public services to citizens of Pakistan." The suite primarily included five modules or applications across all the ministries. Description of each module listed are:

- Internal Communication Module
- HR Management Module
- Inventory & Procurement Management Module
- Project Management Module
- Finance Budget Module

NITB released a high-level diagram that describes the process of transforming Federal Government agencies and ministries to e-Office environments.

Criticism: NITB's roll out of the e-Office suite across almost all federal agencies is not only overly ambitious but also likely to fail. It seems to put together a lot of lofty organizational efficiency goals with a set of delivery or citizen-facing targets. In fact, most of the services NITB has provided have been largely conceptual and not sufficient concrete. The process it outlines in the adoption process diagram seems devoid of any user-centric design or value proposition formulation. Instead of creating lots of MVPs (Minimum Viable Products) and taking advantage of an iterative and validated learning process, the e-Office Suite seems to incorporate all the features and functions that various

ministries and divisions may need or use. It seems to focus more on the needs of the bureaucrats and government agencies rather than the needs of the end user (citizens of Pakistan) and what services would they need that a ministry or division can provide.

Sri Lanka

Sri Lanka have taken some initiative actions to provide the benefits of e-government to the citizens.

Europe

e-government shows significant advancement in Europe.

Russia

On the Federal Law "On providing state and municipal services" (2010), the strategy on development of Information Society in the Russian Federation, approved by the President (2008), the Federal target programme "Electronic Russia" (2002 – 2010 years), approved by the Government (2002), the State Programme "Information Society" (2010), the Procedure on development and approval of administrative regulations execution of public functions (public services), approved by the Government (2005), the concept of administrative reform in the Russian Federation in 2006 - 2010 respectively, approved by the Government (2005),on other orders, resolutions and acts in the Russian Federation was created electronic government (or e-government).

The main target on creating of e-government lies in the field of providing the equal opportunities for all the Russians in spite of their living place and their incomes and make more effective system of public administration. So e-government are created for reaching the useful system of public management accommodating the individual interests of every citizen by participation through ICTs in public policy-making.

Nowadays Russian e-government includes such systems as:

1. The united interagency Interacting system using for providing of state and municipal services, exchange of information and data between participants of interagency interacting, quick approval of state and municipal decisions, etc.

2. The united system for authentication and authorization providing evidence of the rights of all participants of e-government.

3. United portal of state and municipal services and functions which is the "single window" for all information and services assured by government and municipals.

The portal of public services is one of the key elements of the project to create "electronic government" in the country. The portal provides a single point of access to all references on state and municipal services through the Internet and provides citizens and organizations the opportunity to receive these services electronically. Monthly visits by users of the public services portal range between 200,000 and 700,000. For example, citizens are now able to get or exchange a driver license through this portal.

4. Head system providing utilization of electronic signature.

Other systems located on cloud services.

Today Russian e-government elements are demanded in the spheres of e-governance, e-services (e-health, e-education, e-library, etc.), e-commerce, e-democracy (web-election, Russian public initiative). By the United Nations E-Government Survey 2012: E-Government for the People Russia became one of the 7 emerging leaders in e-government development, took 9th place in rating of e-government development in largest population countries, took 8th rank in Top e-participation leaders, after Norway, Sweden and Chile, Advancing 32 positions in the world rankings, the Russian Federation became the leader of e-government in Eastern Europe. Evolution of ICT in the Russian Federation provided the raising of Russia in e-government development index to the 27 place.

Middle East

Jordan

Jordan has established its e-government program since 2002. many governmental services are provisioned online.

Saudi Arabia

The e-Government was also established in Saudi Arabia, and it offers online government services and transactions.

United Arab Emirates

In the United Arab Emirates, the Emirates eGovernment is designed for e-government operations.

North America

Canada

The current Clerk of the Privy Council – the head of the federal public service, has made workplace renewal a pillar of overall public service renewal. Key to workplace renewal is the adoption of collaborative networked tools. Other tools include GCconnex, a social networking tool, and GCforums, a discussion board system.

United States

The election of Barack Obama as President of the United States became associated with the effective use of Internet technologies during his campaign, and in the implementation of his new administration in 2009. On January 21, 2009, the President signed one of his first memorandums – the Memorandum for the Heads of Executive Departments and Agencies on Transparency and Open Government. The memo called for an unprecedented level of openness in Government, asking agencies to "ensure the public trust and establish a system of transparency, public participation, and collaboration." The memo further "directs the Chief Technology Officer, in coordination with the Director of the Office of Management and Budget (OMB) and the Administrator of General Services (GSA), to coordinate the development by appropriate exec-

utive departments and agencies [and] to take specific actions implementing the principles set forth in the memorandum."

President Obama's memorandum centered around the idea of increasing transparency throughout various different federal departments and agencies. By enabling public websites like recovery.gov and data.gov to distribute more information to the American population, the administration believes that it will gain greater citizen participation.

In 2009 the U.S. federal government launched Data.gov in order to make more government data available to the public. With data from Data.Gov, the public can build apps, websites, and mashups. Although "Gov 2.0", as a concept and as a term, had been in existence since the mid-2000s, it was the launch of Data.gov that made it "go viral".

In August 2009 the City of San Francisco launched DataSF.org with more than a hundred datasets. Just weeks after the DataSF.org launch, new apps and websites were developed. Using data feeds available on DataSF.org, civic-minded developers built programs to display public transportation arrival and departure times, where to recycle hazardous materials, and crime patterns. Since the launch of DataSF.org there have been more than seventy apps created with San Francisco's data.

In March 2009, former San Francisco Mayor Gavin Newsom was at Twitter headquarters for a conversation about technology in government. During the town hall Newsom received a tweet about a pothole. He turned to Twitter co-founders Biz Stone and Evan Williams and said let's find a way for people to tweet their service requests directly to San Francisco's 311 customer service center. Three months later, San Francisco launched the first Twitter 311 service, called @SF311, allowing residents to tweet, text, and send photos of potholes and other requests directly to the city. Working with Twitter and using the open-source platform, CoTweet turned @SF311 into reality. The software procurement process for something like this would normally have taken months, but in this case it took less than three months. The @SF311 is saving the city money in call center costs.

E-Governance

Electronic governance or e-governance is the application of information and communication technology (ICT) for delivering government services, exchange of information, communication transactions, integration of various stand-alone systems and services between government-to-customer (G2C), government-to-business (G2B), government-to-government (G2G) as well as back office processes and interactions within the entire government framework. Through e-governance, government services will be made available to citizens in a convenient, efficient and transparent manner. The three main target groups that can be distinguished in governance concepts are government, citizens and businesses/interest groups. In e-governance there are no distinct boundaries.

Generally four basic models are available – government-to-citizen (customer), government-to-employees, government-to-government and government-to-business.

Distinction from E-government

Both terms are treated to be the same; however, there is a difference between the two. "E-gov-

ernment" is the use of the ICTs in public administration – combined with organizational change and new skills – to improve public services and democratic processes and to strengthen support to public. The problem in this definition to be congruence definition of e-governance is that there is no provision for governance of ICTs. As a matter of fact, the governance of ICTs requires most probably a substantial increase in regulation and policy-making capabilities, with all the expertise and opinion-shaping processes along the various social stakeholders of these concerns. So, the perspective of the e-governance is "the use of the technologies that both help governing and have to be governed". The public–private partnership (PPP) based e-governance projects are hugely successful in India.

Many countries are looking forward to a corruption-free government. E-government is one-way communication protocol whereas e-governance is two-way communication protocol. The essence of e-governance is to reach the beneficiary and ensure that the services intended to reach the desired individual has been met with. There should be an auto-response to support the essence of e-governance, whereby the Government realizes the efficacy of its governance. E-governance is by the governed, for the governed and of the governed.

Establishing the identity of the end beneficiary is a challenge in all citizen-centric services. Statistical information published by governments and world bodies does not always reveal the facts. The best form of e-governance cuts down on unwanted interference of too many layers while delivering governmental services. It depends on good infrastructural setup with the support of local processes and parameters for governments to reach their citizens or end beneficiaries. Budget for planning, development and growth can be derived from well laid out e-governance systems

Government to Citizen

The goal of government-to-customer (G2C) e-governance is to offer a variety of ICT services to citizens in an efficient and economical manner, and to strengthen the relationship between government and citizens using technology.

There are several methods of government-to-customer e-governance. Two-way communication allows citizens to instant message directly with public administrators, and cast remote electronic votes (electronic voting) and instant opinion voting. Transactions such as payment of services, such as city utilities, can be completed online or over the phone. Mundane services such as name or address changes, applying for services or grants, or transferring existing services are more convenient and no longer have to be completed face to face.

By Country

G2C e-Governance is unbalanced across the globe as not everyone has Internet access and computing skills, but the United States, European Union, and Asia are ranked the top three in development.

The Federal Government of the United States has a broad framework of G2C technology to enhance citizen access to Government information and services. Benefits.Gov is an official US government website that informs citizens of benefits they are eligible for and provides information of how to apply assistance. US State Governments also engage in G2C interaction through the

Department of Transportation, Department of Public Safety, United States Department of Health and Human Services, United States Department of Education, and others. As with e-Governance on the global level, G2C services vary from state to state. The Digital States Survey ranks states on social measures, digital democracy, e-commerce, taxation, and revenue. The 2012 report shows Michigan and Utah in the lead and Florida and Idaho with the lowest scores. Municipal governments in the United States also use government-to-customer technology to complete transactions and inform the public. Much like states, cities are awarded for innovative technology. Government Technology's "Best of the Web 2012" named Louisville, KY, Arvada, CO, Raleigh, NC, Riverside, CA, and Austin, TX the top five G2C city portals.

European countries were ranked second among all geographic regions. The Single Point of Access for Citizens of Europe supports travel within Europe and eEurope is a 1999 initiative supporting online government. Main focuses are to provide public information, allow customers to have access to basic public services, simplify online procedures, and promote electronic signatures.

Asia is ranked third in comparison, and there are diverse G2C programs between countries. Singapore's eCitizen Portal is an organized single access point to government information and services. South Korea's Home Tax Service (HTS) provides citizens with 24/7 online services such as tax declaration. Taiwan has top ranking G2C technology including an online motor vehicle services system, which provides 21 applications and payment services to citizens.

Government-to-Citizen is the communication link between a government and private individuals or residents. Such G2C communication most often refers to that which takes place through Information and Communication Technologies (ICTs), but can also include direct mail and media campaigns. G2C can take place at the federal, state, and local levels. G2C stands in contrast to G2B, or Government-to-Business networks.

One such Federal G2C network is USA.gov: the United States' official web portal, though there are many other examples from governments around the world.

Concerns

A full switch to government-to-customer e-governance will cost a large amount of money in development and implementation. In addition, Government agencies do not always engage citizens in the development of their e-Gov services or accept feedback. Customers identified the following barriers to government-to-customer e-governance: not everyone has Internet access, especially in rural or low income areas, G2C technology can be problematic for citizens who lack computing skills. some G2C sites have technology requirements (such as browser requirements and plug-ins) that won't allow access to certain services, language barriers, the necessity for an e-mail address to access certain services, and a lack of privacy.

Government to Employees

E-Governance to Employee partnership (G2E) Is one of four main primary interactions in the delivery model of E-Governance. It is the relationship between online tools, sources, and articles that help employees maintain communication with the government and their own companies. E-Governance relationship with Employees allows new learning technology in one simple place as the

computer. Documents can now be stored and shared with other colleagues online. E-governance makes it possible for employees to become paperless and makes it easy for employees to send important documents back and forth to colleagues all over the world instead of having to print out these records or fax G2E services also include software for maintaining personal information and records of employees. Some of the benefits of G2E expansion include:

- E-payroll – maintaining the online sources to view paychecks, pay stubs, pay bills, and keep records for tax information.
- E-benefits – be able to look up what benefits an employee is receiving and what benefits they have a right to.
- E-training – allows for new and current employees to regularly maintain the training they have through the development of new technology and to allow new employees to train and learn over new materials in one convenient location. E-learning is another way to keep employees informed on the important materials they need to know through the use of visuals, animation, videos, etc. It is usually a computer based learning tool, although not always. It is also a way for employees to learn at their own pace (distance learning), although it can be instructor-led.
- Maintaining records of personal information – Allows the system to keep all records in one easy location to update with every single bit of information that is relevant to a personal file. Examples being social security numbers, tax information, current address, and other information

Government-to-employees (abbreviated G2E) is the online interactions through instantaneous communication tools between government units and their employees. G2E is one out of the four primary delivery models of e-Government.

G2E is an effective way to provide e-learning to the employees, bring them together and to promote knowledge sharing among them. It also gives employees the possibility of accessing information in regard to compensation and benefit policies, training and learning opportunities and civil rights laws. G2E services also includes software for maintaining personnel information and records of employees.

G2E is adopted in many countries including the United States, Hong Kong and New Zealand.

Government to Government

E-government

From the start of 1990s e-commerce and e-product, there has rampant integration of e-forms of government process. Governments have now tried to use their efficiencies of their techniques to cut down on waste. E-government is a fairly broad subject matter, but all relate to how the services and representation are now delivered and how they are now being implemented.

Many governments around the world have gradually turned to Information technologies (IT) in an effort to keep up with today's demands. Historically, many governments in this sphere have only been reactive but up until recently there has been a more proactive approach in developing comparable services such things as e-commerce and e-business.

Before, the structure emulated private-like business techniques. Recently that has all changed as e-government begins to make its own plan. Not only does e-government introduce a new form of record keeping, it also continues to become more interactive to better the process of delivering services and promoting constituency participation.

The framework of such organization is now expected to increase more than ever by becoming efficient and reducing the time it takes to complete an objective. Some examples include paying utilities, tickets, and applying for permits. So far, the biggest concern is accessibility to Internet technologies for the average citizen. In an effort to help, administrations are now trying to aid those who do not have the skills to fully participate in this new medium of governance, especially now as e-government progressing to more e-governance terms

An overhaul of structure is now required as every pre-existing sub-entity must now merge under one concept of e- government. As a result, Public Policy has also seen changes due to the emerging of constituent participation and the Internet. Many governments such as Canada's have begun to invest in developing new mediums of communication of issues and information through virtual communication and participation. In practice this has led to several responses and adaptations by interest groups, activist, and lobbying groups. This new medium has changed the way the polis interacts with government.

Municipal

The purpose to include e-governance to government is to means more efficient in various aspects. Whether it means to reduce cost by reducing paper clutter, staffing cost, or communicating with private citizens or public government. E-government brings many advantages into play such as facilitating information delivery, application process/renewal between both business and private citizen, and participation with constituency. There are both internal and external advantages to the emergence of IT in government, though not all municipalities are alike in size and participation.

In theory, there are currently 4 major levels of E-government in municipal governments:

- the establishment of a secure and cooperative interaction among governmental agencies;
- Web-based service delivery;
- the application of e-commerce for more efficient government transactions activities,;
- and digital democracy.

These, along with 5 degrees of technical integration and interaction of users include:

- simple information dissemination (one-way communication);
- two- way communication (request and response);
- service and financial transactions;
- integration (horizontal and vertical integration);
- political participation

The adoption of e-government in municipalities evokes greater innovation in e- governance by

being specialized and localized. The level success and feedback depends greatly on the city size and government type. A council-manager government municipality typically works the best with this method, as opposed to mayor-council government positions, which tend to be more political. Therefore, they have greater barriers towards its application. Council-Manager governments are also more inclined to be effective here by bringing innovation and reinvention of governance to e- governance.

The International City/County Management Association and Public Technology Inc. have done surveys over the effectiveness of this method. The results are indicating that most governments are still in either the primary stages (1 or stage 2), which revolves around public service requests. Though application of integration is now accelerating, there has been little to no instigating research to see its progression as e-governance to government. We can only theorize it's still within the primitive stages of e-governance.

Overview

Government-to-Government (abbreviated G2G) is the online non-commercial interaction between Government organisations, departments, and authorities and other Government organisations, departments, and authorities. Its use is common in the UK, along with G2C, the online non-commercial interaction of local and central Government and private individuals, and G2B the online non-commercial interaction of local and central Government and the commercial business sector.

G2G systems generally come in one of two types: Internal facing - joining up a single Governments departments, agencies, organisations and authorities - examples include the integration aspect of the Government Gateway, and the UK NHS Connecting for Health Data SPINE. External facing - joining up multiple Governments IS systems - an example would include the integration aspect of the Schengen Information System (SIS), developed to meet the requirements of the Schengen Agreement.

Objective

The strategic objective of e-governance, or in this case G2G is to support and simplify governance for government, citizens and businesses. The use of ICT can connect all parties and support processes and activities. Other objectives are to make government administration more transparent, speedy and accountable, while addressing the society's needs and expectations through efficient public services and effective interaction between the people, businesses and government.



Government-to-government model

Delivery Model

Within every of those interaction domains, four sorts of activities take place:

Pushing data over the internet, e.g.: regulative services, general holidays, public hearing sched-

ules, issue briefs, notifications, etc. two-way communications between one governmental department and another, users will interact in dialogue with agencies and post issues, comments, or requests to the agency. Conducting transactions, e.g.: Lodging tax returns, applying for services and grants. Governance, e.g.: To alter the national transition from passive info access to individual participation by:

- Informing the individual
- Representing an individual
- Consulting an individual
- Involving the individual

Internal G2G (UK)

In the field of networking, the Government Secure Intranet (GSI) puts in place a secure link between central government departments. It is an IP based Virtual Private Network based on broadband technology introduced in April 1998 and further upgraded in February 2004. Among other things it offers a variety of advanced services including file transfer and search facilities, directory services, email exchange facilities (both between network members and over the Internet) as well as voice and video services. An additional network is currently also under development: the Public Sector Network (PSN) will be the network to interconnect public authorities (including departments and agencies in England; devolved administrations and local governments) and facilitate in particular sharing of information and services among each other.

Government to Business

Government-to-Business (G2B) is the online non-commercial interaction between local and central government and the commercial business sector with the purpose of providing businesses information and advice on e-business 'best practices'. G2B:Refers to the conduction through the Internet between government agencies and trading companies. B2G:Professional transactions between the company and the district, city, or federal regulatory agencies. B2G usually include recommendations to complete the measurement and evaluation of books and contracts.

Objective

The objective of G2B is to reduce difficulties for business, provide immediate information and enable digital communication by e-business (XML).In addition, the government should re-use the data in the report proper, and take advantage of commercial electronic transaction protocol. Government services are concentrated to the following groups: human services; community services; judicial services; transport services; land resources; business services; financial services and other. Each of the components listed above for each cluster of related services to the enterprise.

Benefits for Business

E-government reduce costs, carry out all companies to interact with the government. Electronic trading saves time compared to human doing business. No need for driving to government and no

waiting time. If the transaction is not completed, you can use the mouse to click on the return trip rather than drive to the office. As more and more companies are doing online conduct government business, and their transaction costs will be reduced. More technology and less workers needed reduce the business cost.

E-Government provides a greater amount of information that business needed, also it makes those information more clear. A key factor in business success is the ability to plan for the future. Planning and forecasting through data-driven future. The government collected a lot of economic, demographic and other trends in the data. This makes the data more accessible to companies which may increase the chance of economic prosperity.

In addition, E-Government can help businesses navigate through government regulations by providing an intuitive site organization with a wealth of useful applications. The electronic filings of applications for environmental permits gives an example of it. Companies often do not know how, when, and what they must apply. Therefore, failure to comply with environmental regulations up to 70%, a staggering figure most likely to confusion about the requirements, rather than the product of willful disregard of the law.

Disadvantages

The government should concern that not all people are able to access to the internet to gain online government services. The network reliability, as well as information on government bodies can influence public opinion and prejudice hidden agenda. There are many considerations and implementation, designing e-government, including the potential impact of government and citizens of disintermediation, the impact on economic, social and political factors, vulnerable to cyber attacks, and disturbances to the status quo in these areas.

G2B rises the connection between government and businesses. Once the e-government began to develop, become more sophisticated, people will be forced to interact with e-government in the larger area. This may result in a lack of privacy for businesses as their government get their more and more information. In the worst case, there is so much information in the electron transfer between the government and business, a system which is like totalitarian could be developed. As government can access more information, the loss privacy could be a cost.

The government site does not consider about “potential to reach many users including those who live in remote areas, are homebound, have low literacy levels, exist on poverty line incomes.”

Examples

- e-Tender Box (ETB) system – ETB system was developed by Government Logistics Department (GLD) to replace Electronic Tendering System. Users can use ETB system to download the resources and gain the service from the GLD.
- e-Procurement Programme – e-Procurement Programme provide a simple, convenient online ways for suppliers of the participating bureaux/departments (B/Ds) and suppliers of Government Logistics Department and agree to provide the low-valued goods and service.
- Finance and support for your business – UK Government provide the on-line financial help

for business including grants,loans,business guide,what's more,it also offer the funding for the sunrise businesses(just start) or small scale firms.

Overview

The Main Goal of Government to Business – is to increase productivity by giving business more access to information in a more organize manner while lowering the cost of doing business as well as the ability to cut "red tape", save time, reduce operational cost and to create a more transparent business environment when dealing with government.

- Lowering cost of doing business – electronic transaction save time compared to conducting business in person.
- Cutting red tape – rules and regulation placed upon business normally take time and are most likely to cause a delay- in (G2B) will allow a much faster process with less delays and decreasing the number of rules and regulations.
- Transparency – More information will be available, making G2B easier to communicate.

Government to business key points:

1. Reduce the burden on business by adopting a process that enables collecting data once for multiple uses and streamlining redundant data.
2. Key lines of business: regulations, economic development, trade, permits/licenses, grants/loans, and asset management.

Difference between G2B and B2G:

- *Government to business (G2B)* – Refers to the conducting of transactions between government bodies and business via internet.
- *Business to government (B2G)* – Professional affairs conducted between companies and regional, municipal, or federal governing bodies. B2G typically encompasses the determination and evaluation of proposal and completion of contract.

Conclusion:

The overall benefit of e-governance when dealing with business is that it enables business to perform more efficiently.

Challenges – international Position

E-governance is facing numerous challenges world over. These challenges are arising from administrative, legal, institutional and technological factors. j

E-governance in the United States

E-governance can be understood as the application of information and communication technology (ICT). Its purpose is to provide government services online, as well as exchange information between the government and a variety of recipients, citizens, business', and also other government.

It is meant to be an easier and more contemporary alternative to the ways that people have always done it.

Transactional Governance

E-Governance has many aspects, and "branches" if you will. One branch of e-gov. is transactional governance. The purpose of this part is to carry out or conduct business, negotiations, activities, and many other things and reach a conclusion or settlement with the other party. According to the academic journal Government Information Quarterly, it has been loosely defined as anything that the citizens, in pursuit of its governance, that is conducted over a computer-mediated network. E-gov systems are intertwined with traditional public management information systems, which have been found to be quite different from anything in the private sector due to differences in design, purpose, use, organizational role, and assessment criteria. "Transactional Governance encompasses all forms of managerial governance, including selective incentives and monitoring capacity", according to the academic journal Effects of Transactional and Transformational Governance on Academic Teaching.

Performance

In this growing era of technology we have moved to more electronic ways of performing government tasks or what we would call e-governance. In this transition to e-governance the main focus is to make sure that responsiveness, efficiency, and effectiveness is sustained at a high level.

In order to sustain a high level of output (responsiveness, efficiency, and effectiveness) we are tuning our focus to developing a performance management system for efficient and effective service delivery, which continuously measures and monitors service response performance. The development of these management systems will improve public institutions and their service responses a great deal as well as making it much more accessible for the public to use to their advantage.

Tony Bovair states "clearly, there are a number of difficult choices facing governments in deciding their priorities in e-government and e-governance. For example, increased efficiency might be gained if more communications could be made available only through telephone and internet connections. However, this could disadvantage those people without telephone or internet access. Again, e-governance mechanisms such as e-referenda Could improve the interactive participation of citizens and other stakeholders in government decision-making but it could also slow down decision making processes and could give rise to unrepresentative pressures being placed on governments and parliaments if security systems are not sufficiently watertight to eliminate bogus or multiple voting. In order to deal with this potential problem, governments will need to consider ways of setting priorities between the goals of e-government and e-governance. However, this will be problematic, both because the explicit setting of priorities is always difficult in a political setting and also because the goals of e-government and e-governance are so closely interrelated."

Citizen Involvement

Understanding the involvement and interaction between government and its citizens through the use of information and communication technologies (ICTs) is crucial when discussing E-governance in the United States. Holden defines e-government as "the delivery of government ser-

vices and information electronically 24 hours per day, seven days per week." After the Internet boom and the implementation of governmental portals and websites during the Clinton, Bush and Obama administrations, people in the United States now have the ability to access any number of programs online from e-voting and health care to tax returns and even accessing governmental data that was not previously available creating a more transparent and accountable face to the government.

Three Models of Interaction in e-government

According to Andrew Chadwick and Christopher May in their article, *Interaction between States and Citizens in the Age of the Internet: "e-Government" in the United States, Britain, and the European Union*, there are three major models of interaction associated with e-government, the managerial, the consultative and the participatory. Although at any given time these models of interaction can stand alone as the ideal form of involvement between the parties, more often than not, they overlap and provide multiple forms of interaction. To begin, the managerial model stresses a vertical flow of information from the government to its citizens. This model is concerned with efficiency, especially with the increase in speed when delivering information and services, as well as a reduction of the costs. This model establishes a client type relationship between the government and its citizens. Second, the consultative model also stresses vertical information flow but is more concerned with responding to needs of societal interest as expressed electronically by the citizens. This includes online elections, and other input from voters and requires an enormous amount of citizen involvement. The participatory model is the final and most interactive of the three major models of involvement between government and citizens. Unlike the other two, the participatory model strives for horizontal and multi directional flow of information that creates a cyber society that can be more effective for the general public. This model becomes relevant when universal access and widespread usage of the technology have become part of the norm in terms of government-citizen interaction. Although these models show some potential ways for citizen and government interaction, there are many benefits and flaws with the actual implementation of e-government and how it can affect people involved in the political process in the United States.

Benefits to Citizen Involvement

There are many benefits associated with e-governance in the United States and the involvement of citizens in the process. To begin, due to e-governance relevant information is more readily available to the public, while governmental programs become less expensive and more efficient. This allows most citizens to become part of the political process without leaving the comfort of their home. This increases the number of people willing to be involved in democracy and voice their opinions due to the instant access to the government. Another benefit in citizen involvement in e-government is building trust between the citizens and the state. Over the past decades there has been a decline in citizens overall trust in the government. With such easy access to information, government programs and officials, e-government provides the perfect platform to start building the trust between these two parties.

Potential Issues with Citizen Involvement

There are also a few potential issues with citizen involvement associated with e-government. The

first and most difficult is a concept known as the digital divide, as discussed by Baird, Zellin and Booker, the authors of *Is There A "Digital Divide" In The Provision Of E-Government Services at The County Level In the United States*. This is the idea that some Americans are not involved in the political process and e-government due to lack of access to technology, lack of technical skills, or due to some financial constraint. This is extremely problematic due to the necessity of e-government to have input from all voters and citizens, not just specific groups, for it to be fully effective. It is of critical importance for everyone to be able to voice his or her opinions equally in order to maintain democratic integrity. Another major issue having to do with citizen involvement stems from problems with the actual technology used for e-governance and the potential that it will not always function as it is supposed to. A good example of this was the problems with the healthcare.gov website that was established to help citizens with healthcare information and enrollment during the Obama Administration. Since the technology initially did not consistently work, this limited the initial effectiveness of the program and ultimately made it more difficult instead of more efficient. The website has since been modified in the attempt to continue providing this healthcare e-governance service.

Information Dispersal and Public Engagement

Information dispersal and public engagement are key to the success of e-governance. However, the process of successfully engaging the public is quite complex. Due to the wide range of internet advancements in recent years, the coordination of public engagement is difficult. Yet, the common desire to stay informed and find accessible methods to govern remains crucial.

For example, the current Obama administration has been working to develop a more democratically engaged society. There has been much controversy over the administration's Affordable Care Act. With this piece of legislation, Healthcare.gov was created to provide a source for Americans to buy health insurance. Although this website has been unsuccessful thus far, it is a prime example of how the United States government can relay information as well as provide its services via the internet. Healthcare.gov is made to be a marketplace for healthcare insurance providers. The website offers groundwork for Americans to shop for coverage at lower costs or possibly find undeniable coverage. Depending on the success of the website, it may be one of the most effective, or at least most historic, government technological establishments in American history.

EGov Prospective Future

The focus of technological implementation during each generation has faced a new and difficult sets of challenges. Previously Size and cost and function caused there to be a small focused use of computers. As computer became cost efficient and versatile there was difficulty dealing with the management of the new technology. As we move to the current generation the issue is privacy and security. Since technology permeates our society and all of our lives are within the digital spectrum a whole new dimension of vulnerabilities is now needing to be addressed.

Currently the focus majority of the government application has been the increase in efficiency and information and communication technologies. In the future this trend will continue. Recently increased emphasis has been placed in democratic engagement.

As new technology is developed new rules and policies have to be crafted, and old policies adapt-

ed, each time adding another layer of complexity to integration and potentially mitigating benefits from embracing new technology. Many government agencies have struggled to adjust to the adoption of digital data. Other agencies struggle to control the flow of information such as security and police organizations not sharing information, and the controversial gathering of too much information. If e-governance in the United States is to advance the demand more sophisticated technological solutions for encryption, information sharing, and interactive communication will need to be addressed. Eventually E- government will just be government as the use of technology is the norm.

E-Democracy

E-democracy (a combination of the words *electronic* and *democracy*), also known as digital democracy or Internet democracy, incorporates 21st-century information and communications technology to promote democracy. It is a form of government in which all adult citizens are presumed to be eligible to participate equally in the proposal, development, and creation of laws. E-democracy encompasses social, economic and cultural conditions that enable the free and equal practice of political self-determination.

Goals

Human Rights

A speech given by Hillary Clinton on January 21, 2010, addressed the issue of internet freedom and the role that new technologies have played in shaping democratic practices. The spread of free information through the internet has encouraged freedom and human development. The internet is used for promoting human rights, including free speech, religion, expression, peaceful assembly, to governments accountability, and the right of knowledge and understanding. These rights support democracy. Clinton supports the "freedom to connect."

"The freedom to connect – the idea that governments should not prevent people from connecting to the internet, to websites, or to each other. The freedom to connect is like the freedom of assembly, only in cyberspace. It allows individuals to get online, come together, and hopefully cooperate. Once you're on the internet, you don't need to be a tycoon or a rock star to have a huge impact on society."

Expanding Democracy

The Internet has several attributes that encourage thinking about it as a democratic medium. The lack of centralized control makes censorship difficult. There are other parallels in the social design in the early days of the internet, such as the strongly libertarian support for free speech, the sharing culture that permeated nearly all aspects of Internet use, and the outright prohibition on commercial use by the National Science Foundation. Another example is the unmediated mass communication on the internet, such as through newsgroups, chat rooms, and MUDs. This communication ignored the boundaries established with broadcast media, such as newspapers or radio, and with one-to-one media, such as letters or landline telephones. Finally, because Internet is

a massive digital network with open standards, universal and inexpensive access to a wide variety of communication media and models could actually be attained.

Some practical issues involving e-democracy include: effective participation; voting equality at decision stage; enlightened understanding; control of the agenda; and inclusiveness. Systemic issues may include cyber-security concerns and protection of sensitive data from third parties.

Improving Democracy

Strictly speaking, modern democracies are generally republics, where the people elect representatives; they are not true democracies, where the people decide matters directly. They may be referred to as more or less "democratic" depending on how well the government represents the will of the people. A shift to E-democracy would resemble a change in the form of government (from republic to democracy) as much as an improvement in the existing system.

Democracy in America has become reliant on the Internet, because the Internet is a primary source of information for most Americans. The Internet educates people on democracy, helping people stay up to date with what is happening in their government. Online advertising is becoming more popular for political candidates and group's opinions on propositions. The Internet is the first place that most people look for information and often the only place that they look. The reason for this, and especially for younger voters, is that it is easy and reliable when used correctly, thus lowering an individual's workload. This gives the user a sense of instant gratification that is crucial in the era of multitasking on computers. If the information is not easy to find then most people will not look for it. Because the Internet is so user friendly, people are more likely to research and get involved in politics. The Internet allows people to express their opinions about the government through an alias, anonymously and judgment free. Since a person can express himself anonymously and from the comfort of his own home, the Internet gives incentive for people to participate in the government. Because of the number of people who use the Internet, a person who puts his ideas on a high-traffic website is capable of having influence over a large number of people.

The Internet enables citizens to get and post information about politicians, and it allows those politicians to get advice from the people in larger numbers. This collective decision making and problem solving gives more power to the citizens and helps politicians make decisions faster. This creates a more productive society that can handle problems faster and more efficiently. Getting feedback and advice from the American population is a large part of a politician's job and the Internet allows them to function effectively with larger numbers of people's opinions. With this heightened ability to communicate with the public the American government is able to function more capably and effectively as a Democracy.

Generation X became disillusioned that even large scale public protests such as the UK miners' strike (1984–1985) were seen to fail a decade before information technology became generally available to individual citizens. E-democracy is sometimes seen as a remedy to the insular nature, concentrated power, and lack of post-election accountability in traditional democratic process organized mostly around political parties. Tom Watson, the Deputy Leader of the UK Labour Party, said:

It feels like the Labour frontbench is further away from our members than at any point in our history and the digital revolution can help bring the party closer together ... I'm going to ask our

NEC to see whether we can have digital branches and digital delegates to conference. Not replacing what we do but providing an alternative platform. It's a way of organising for a different generation of people who do their politics differently, get their news differently.

Effects

"E-democracy offers greater electronic community access to political processes and policy choices. E-democracy development is connected to complex internal factors, such as political norms and citizen pressures" and in general to the particular model of democracy implemented. E-democracy is therefore highly influenced by both internal factors to a country and by the external factors of standard innovation and diffusion theory. People are pressuring their public officials to adopt more policies that other states or countries have regarding information and news about their government online. People have all governmental information at their fingertips and easy access to contact their government officials. In this new generation where internet and networking rules everyone's daily lives, it is more convenient that people can be informed of the government and policies through this form of communication.

In Jane Fountain's (2001) *Building the Virtual State*, she describes how this widespread e-democracy is able to connect with so many people and correlates it to the government we had before.

"Fountain's framework provides a subtle and nuanced appreciation of the interplay of preexisting norms, procedures, and rules within bureaucracies and how these affect the introduction of new technological forms... In its most radical guise, this form of e- government would entail a radical overhaul of the modern administrative state as regular electronic consultations involving elected politicians, civil servants, pressure groups, and other affected interests become standard practice in all stages of the policy process"(Sage).

Cities in states with Republican-controlled legislatures, high legislative professionalization, and more active professional networks were more likely to embrace e-government and e-democracy.

Occupy Movement

Following the financial crisis of 2007–08 a number of social networks proposed demonstrations such as the Occupy movement.

15-M Movement

The 15-M Movement started in Spain and spread to other European countries. From that emerged the Partido X (X Party) proposals in Spain.

Arab Spring

During the "Arab Spring," online activists led uprisings in a dozen countries across North Africa and the Middle East. At first, digital media allowed pro-democracy movements to use the internet against authoritarian regimes; however, these regimes eventually worked social media into their own counter-insurgency strategies. Digital media helped to turn individualized, localized, and community-specific dissent into structured movements with a collective consciousness about both shared grievances and opportunities for action.

Egyptian Revolution

On January 25 of 2011, mass protests began in Cairo, Egypt, protesting the long reign of Egpytian President Hosni Mubarak, the high unemployment rate, government corruption, poverty, and oppression within society. This 18-day revolution did not begin with guns, violence, or protests, but rather with the creation of a single Facebook page which quickly gained the attention of thousands, and soon millions, of Egyptians, spreading into a global phenomenon. The internet empowered protesters and allowed for anyone with access to the internet be involved in the democratization process of their government. In order to have a democratic, free nation, all information that can be shared, should be shared. Protestors communicated, organized, and collaborated through the use of this technology with real time, real impacts. Technologies played an enormous role on the world stage during this time. Even when the regime eliminated all access to the internet in a failed attempt to halt further political online forums, Google and Twitter teamed up, making a system that would get information out to the public without having access to the internet. The interactivity of media during this revolution boosted civic participation and played a monumental role in the political outcome of the revolution and the democratization of an entire nation.

The revolution in Egypt has been understood by some as an example of a broader trend of transforming from a system based on group control to one of "networked individualism". These networked societies are constructed post -"triple revolution" of technology, which involves a three-step process. Step one in the "triple revolution" is "the turn to social networks", step two: "the proliferation of the far-flung, instantaneous internet", and step three: "the even wider proliferation of always-available mobile phones". These elements play a key role in change through the Internet. Such technologies provide an alternative sphere that is unregulated by the government, and where construction of ideas and protests can foster without regulation. For example, In Egypt the "April 6 Youth Movement" established their political group on Facebook where they called for a national strike to occur on April 6. This event was ultimately suppressed however; the Facebook group remained, spurring growth of other activist parties to take an online media route. Internet in Egypt was used also to form connections with networks of people outside of their own country. The connections provided through Internet media sources, such as Twitter allowed rapid spread of the revolt to be known around the world. Specifically, more than 3 million tweets contained six popular hashtags alluring to the revolt, for example #Egypt and #sidibouzid; further enabling the spread of knowledge and change in Egypt.

Kony 2012

The Invisible Children's Kony 2012 video was released March 5, 2012, initiating an online grassroots campaign for the search and arrest of Joseph Kony. Invisible Children, the non-profit organization responsible for this video campaign, was founded on the mission to bring awareness to the vile actions of the Lord's Resistance Army (LRA), located in Central Africa, and the arrest of its leader, Joseph Kony. In the video, Jason Russell, one of the founders of Invisible Children, says that "the problem is that 99% of the planet doesn't know who [Kony] is" and the only way to stop him is by having enough support from the people to convince the government continue the hunt for him. So, Invisible Children's purpose for the video was to raise awareness by making Kony famous through the ever expanding market of social media, and to use the technology we have today to bring his crimes to light.

On March 21, 2012, a group of 33 Senators introduced a resolution condemning "the crimes against humanity" committed by Joseph Kony and the LRA. The resolution supports the continued efforts by the US government to "strengthen the capabilities of regional military forces deployed to protect civilians and pursue commanders of the LRA, and calls for cross-border efforts to increase civilian protection and provide assistance to populations affected by the LRA." Senator Lindsey Graham, a co-sponsor of the resolution stated that, "When you get 100 million Americans looking at something, you will get our attention. This YouTube sensation is gonna help the Congress be more aggressive and will do more to lead to his demise than all other action combined".

India Against Corruption 2011-12

India Against Corruption (IAC) is an anti-corruption movement in India which was particularly prominent during the anti-corruption protests of 2011 and 2012, the central point of which was debate concerning the introduction of a Jan Lokpal bill. During that time it sought to mobilise the masses in support of their demands for a less corrupt society in India. Divisions amongst key members of the IAC's core committee eventually led to a split within the movement. Arvind Kejriwal left to form the Aam Aadmi Party, while Anna Hazare left to form Jantantra Morcha.

Long March (Pakistan)

In December 2012, after living for seven years in Toronto, Canada, Qadri returned to Pakistan and initiated a political campaign. Qadri called for a "million-men" march in Islamabad to protest against the government's corruption. On 14 January 2013, a crowd marched down the city's main avenue. Thousands of people pledged to sit-in until their demands were met. When he started the long march from Lahore about 25,000 people were with him. He told the rally in front of parliament: "There is no Parliament; there is a group of looters, thieves and dacoits [bandits] ... Our lawmakers are the lawbreakers.". After four days of sit-in, the Government and Qadri signed an agreement called the Islamabad Long March Declaration, which promised electoral reforms and increased political transparency. Although Qadri called for a "million-men" march, the estimated total present for the sit-in in Islamabad was 50,000 according to the government.

Requirements

E-Democracy is made possible through its role in relevancy of participation, social construction of inclusiveness, sensitivity to the individual, and flexibility in participation. The Internet provides a sense of relevancy in participation through allowing everyone's voice to be heard and expressed. A structure of social inclusion is also provided through a wide variety of Internet sites, groups, and social networks, all representing different viewpoints and ideas. Sensitivity to the individual's needs is accomplished through the ability to express individual opinions publicly and rapidly. Finally, the Internet is an extremely flexible area of participation; it is low in cost and widely available to the public. Through these four directions, E-Democracy and the implementation of the Internet are able to play an active role in societal change.

Internet Access

The E-democratic process is hindered by the digital divide between active participants and those

who do not participate in electronic communities. Advocates of E-democracy may advocate government moves to close this gap. The disparity e-governance and e-democracy between developed and developing worlds has been attributed to the digital divide. Practical objections include the digital divide between those with access and those without, as well as the opportunity cost of expenditure on e-democracy innovations. There is also skepticicsm of the amount of impact that they can make through online participation.

Security and the Protection of Privacy

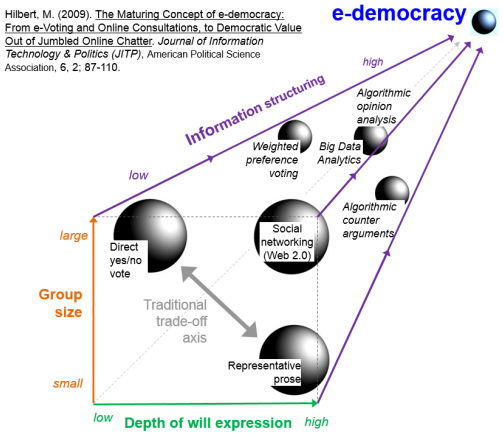
The government must be in a position to guarantee that online communications are secure and that they do not violate people's privacy. This is especially important when considering electronic voting. An electoral voting system is more complex than other electronic transaction systems and the authentication mechanisms employed must be able to prevent ballot rigging or the threat of rigging. This may include the use of smart cards that allow a voter's identity to be verified whilst at the same time ensuring the privacy of the vote cast. Electronic voting in Estonia is one example of a method to conquer the privacy-identity problem inherent in internet voting systems. However, the objective should be to provide equivalence with the security and privacy of current manual systems.

Government Responsiveness

In order to attract people to get involved in online consultations and discussions, government must respond to people and actively demonstrate that there is a relationship between the citizen's engagement and policy outcome. It is also important that people are able to become involved in the process, at a time and place that is convenient to them but when their opinions will count. Government will need to ensure that the structures are in place to deal with increased participation.

In order to ensure that issues are debated in a democratic, inclusive, tolerant and productive way, the role that intermediaries and representative organisations may play should be considered. In order to strengthen the effectiveness of the existing legal rights of access to information held by public authorities, citizens should have the right to effective public deliberation and moderation.

Types of Interaction



3D e-democracy roadmap: transcending the trade-offs

E-democracy is the use of information and communication technologies and strategies in political and governance processes. E-democracy has the potential to overcome the traditional trade-off between the size of the group that participates in the democratic process and the depth of the will expression. Traditionally, large group size was achieved with simple ballot voting, whereas the depth of the will expression was limited to predefined options (what's on the ballot), while depth of will expression was achieved by limiting the number of participants through representative democracy (see Table). The social media Web 2.0 revolution has shown to achieve both, large group sizes and depth of will expression, but the will expressions in social media are not structured and it is difficult (and often subjective) to make sense of them (see Table). New information processing techniques, including big data analytics and the semantic web have shown ways to make use of these possibilities for the implementation of future forms of e-democracy. For now, the process of e-democracy is carried out by technologies such as electronic mailing lists, peer-to-peer networks, collaborative software.

Hilbert, M. (2009). The Maturing Concept of e-democracy: From e-Voting and Online Consultations, to Democratic Value Out of Jumbled Online Chatter. *Journal of Information Technology & Politics*, 6,2,87-110.	Group size	Depth of will expression	Information structuring
Direct yes/no vote	↑	↓	↓
Represen-tative Prose	↓	↑	↓
Social networking	↑	↑	↓
e-democracy	↑	↑	↑

Forms of democracy trade-off table

E-democracy has been analyzed with regard to the different stages of the democratic process, such as "information provision, deliberation, and participation in decision-making.", by the hierarchical level of government, including local communities, states/regions, nations and on the global stage and by its reach and scope of involvement, such as the involvement of citizens/voters, political organizations, the media, elected officials, political organizations, and governments. As such, "its development is conditioned by such pervasive changes as increased interdependency, technological multimediation, partnership governance, and individualism."

Social media sites, such as Facebook, Twitter, WordPress and Blogspot, are playing an increasingly important role in democratic deliberations. The role of social media in e-democracy has been an emerging area for e-democracy, as well as related technological developments, such as argument maps and eventually, the semantic web. Another related development consists in combining the open communication of social networking with the structured communication of closed panels including experts and/or policy-makers, such as for example through modified versions of the Delphi method (HyperDelphi) to combine the open communication of self-organized virtual communities with the structured communication of closed panels, including members of the policy-community. This approach addresses the question of how, in electronic democracy, to reconcile distributed knowledge and self-organized memories with critical control, responsibility and decision. The social networking entry point, for example, is within the citizens' environment, and the engagement is on the citizens' terms. Proponents of e-government perceive government use of social networks

as a medium to help government act more like the public it serves. Examples of state usage can be found at The Official Commonwealth of Virginia Homepage, where citizens can find Google tools and open social forums. Those are seen as important stepping stones in the maturation of the concept of e-democracy.

Civic Engagement

Civic engagement includes three dimensions: political knowledge of public affairs, political trust for the political system, and political participation in influencing the government and the decision-making process. The internet aids civic engagement by providing a new avenue to interact with by governmental institutions. Proponents of E-democracy believe that governments can be much more actively engaged than presently, and encourage citizens to take their own initiative to influence decisions that will affect them.

Many studies report increasing use of the internet to find political information. Between 1996 and 2002, the number of adults who reported that the internet was significant in their choices increased from about 14 to 20 percent. In 2002, nearly a quarter of the population reported having visited a website to research specific public policy issues. Studies have shown that more people visit websites that challenge their point of view than visit websites that mirror their own opinions. Sixteen percent of the population has participated in online political culture by interacting with political websites through joining campaigns, volunteering time, donating money, or participating in polls. According to a survey conducted by Philip N. Howard, almost two-thirds of the adult population in the United States has had some online experience with political news, information, or other content over the past four election cycles. They tend to reference the websites of special interest groups more than the websites of specific elected leaders, political candidates, political parties, nonpartisan groups, and local community groups.

The information capacity available on the Internet allows citizens to become more knowledgeable about government and political issues, and the interactivity of the medium allows for new forms of communication with government, i.e. elected officials and/or public servants. The posting of contact information, legislation, agendas, and policies makes government more transparent, potentially enabling more informed participation both online and offline.

According to Matt Leighninger, the internet impacts government in two main ways, empowering individuals, and empowering groups of people. The internet gives interested citizens better access to the information which allows them to impact on public policy. Using online tools to organize, people can more easily be involved in the policy-making process of government, and this has led to increased public engagement. Social media sites support networks of people; online networks affect the political process, including causing an increase in politicians' efforts to appeal to the public in campaigns.

For e-democracy provides a forum for public discussion. An e-government process improves cooperation with the local populace and helps the government focus in upon key issues the community wants addressed. The theory is that every citizen has the opportunity to have a voice in their local government. E-democracy works in tandem with local communities and gives every citizen who wants to contribute the chance. What makes an effective e-democracy is that the citizens not only contribute to the government, but they communicate and work together to improve their own local

communities.

E-democracy is the use of information and communication technologies (ICT) to support the democratic decision-making processes. ICTs play a major role in organizing and informing citizens in various forms of civic engagement. ICTs are used to enhance active participation of citizens and to support the collaboration between actors for policy-making purposes within the political processes of all stages of governance.

The Organisation for Economic Co-operation and Development lists three main factors when it comes to ICTs promoting civic engagement. The first of these is timing; most of the civil engagement occurs during the agenda-setting in a cycle. The second key factor is tailor; this refers to the idea of how ICTs are changing in order to allow for more civic engagement. The last of these factors is integrations; integration is how new ICTs are combining the new technological ways with the traditional ways in order to gain more civic engagement.

ICT creates the opportunity for a government that is simultaneously more democratic and more expert by creating open online collaboration between professionals and the general public. The responsibility of gathering information and making decisions is shared between those with technological expertise and those who are professionally considered the decision-makers. Greater public participation in the collaboration of ideas and policies makes decision-making is more democratic. ICT also promotes the idea of pluralism within a democracy, bringing new issues and perspectives.

Regular citizens become potential producers of political value and commentary, for example, by creating individual blogs and websites. The online political sphere can work together, like ABC-News did with their Campaign Watchdog effort, where citizens by the polls reported any rule violations perpetrated by any candidate's party.

In 2000, Candidate's for the United States presidential race frequently used their websites to encourage their voters to not only vote, but to encourage their friends to vote as well. This two-step process, encouraging an individual to vote and to tell his or her friends to vote, was just emerging at that time. Now, political involvement from a variety of social media is commonplace and civic engagement through online forums frequent. Through the use of ICTs, politically minded individuals have the opportunity to become more involved.

Youth Engagement

Young people under the age of 35, or Generation X and Generation Y, have been noted for their lack of political interest and activity. Electronic democracy has been suggested as a possible method to increase voter turnout, democratic participation, and political knowledge in youth.

The notion of youth e-citizenship seems to be caught between two distinct approaches: management and autonomy. The policy of "targeting" young people so that they can "play their part" can be read either as an encouragement of youth activism or an attempt to manage it. Autonomous e-citizens argue that despite their limited experience, youth deserve to speak for themselves on agendas of their own making. On the contrary, managed e-citizens regard young people as apprentice citizens who are in a process of transition from the immaturity of childhood to the self-possession of adulthood, and are thus incapable of contributing to politics without regulation. The Internet is another important issue, with managed e-citizens believing young people are highly

vulnerable to misinformation and misdirection. The conflict between the two faces of e-citizenship is between a view of democracy as an established and reasonably just system, with which young people should be encouraged to engage, and democracy as a political as well as cultural aspiration, most likely to be realized through networks in which young people engage with one another. Ultimately, strategies of accessing and influencing power are at the heart of what might first appear to be mere differences of communication styles.

The Highland Youth Voice demonstrated the attempt to increase democratic involvement, especially through online measures, in Scotland. The youth population is increasingly more prominent in governmental policy and issues in the UK. However, involvement and interest has been decreasing. In 2001 elections in the United Kingdom to Westminister, the turnout of 18- to 24-year-olds was estimated at only 40%, which can be compared to the more than 80% of 16- to 24-year-olds who have accessed the internet at some time in their life. The United Nations Convention on the Rights of the Child have promoted and stressed the need to educate the younger population as citizens of the nation in which they live in, and promote the participation and active politics which they can shape through debate and communication.

The Highland Youth Voice aims to increase the involvement of the younger generation through understanding their needs and wishes for their government, through an understanding of their views, experiences, and aspirations. Highland Youth Voice gives young Scots a chance to influence the decision makers in the Highlands. The members age from 14 to 18, and the parliament as a whole is an elected body of around 100 members. They are elected directly through schools and youth forums. Through the website, those involved are able to discuss the issues important to them. The final prominent democratic aspect of the website is the elections for members, which occur every other year. These three contents of the website allow for an online forum in which members may educate themselves through Youth Voice, partake in online policy debates, or experience a model of e-democracy in the ease of online voting.

Civil Society

Citizens' associations play an important role in the democratic process, providing a place for individuals to learn about public affairs and a source of power outside that of the state, according to theorists like Alexis de Tocqueville. Public-policy researcher Hans Klein at the Georgia Institute of Technology notes that participation in such forums has a number of barriers, such as the need to meet in one place at one time. In a study of a civic association in the northeastern United States, Klein found that electronic communications greatly enhanced the ability of the organization to fulfill its mission. The lower cost of information exchange on the Internet, as well as the high level of reach that the content potentially has, makes the Internet an attractive medium for political information, particularly amongst social interest groups and parties with lower budgets.

For example, environmental or social issue groups may find the Internet an easier mechanism to increase awareness of their issues, as compared to traditional media outlets, such as television or newspapers, which require heavy financial investment. Due to all these factors, the Internet has the potential to take over certain traditional media of political communication, such as the telephone, the television, newspapers and the radio. The civil society has gradually moved into the online world.

There are many forms of association in civic society. The term *interest group* conventionally refers to more formal organizations that either focus on particular social groups and economic sectors, such as trade unions and business and professional associations, or on more specific issues, such as abortion, gun control, or the environment. Other traditional interest groups have well-established organizational structures and formal membership rules, and their primary orientation is toward influencing government and the policy process. Transnational advocacy networks bring together loose coalitions of these organizations under common umbrella organizations that cross national borders.

Novel tools are being developed that are aimed at empowering bloggers, webmasters and owners of other social media, with the effect of moving from a *strictly informational* use of the Internet to using the Internet *as a means of social organization* not requiring top-down action. Calls to action, for instance, are a novel concept designed to allow webmasters to mobilize their viewers into action without the need for leadership. These tools are also utilized worldwide: for example, India is developing an effective blogosphere that allows internet users to state their thoughts and opinions.

The Internet may serve multiple functions for all these organizations, including lobbying elected representatives, public officials, and policy elites; networking with related associations and organizations; mobilizing organizers, activists, and members using action alerts, newsletters, and emails; raising funds and recruiting supporters; and communicating their message to the public via the traditional news media.

Deliberative Democracy

Internet also plays a central role in deliberative democracy, where deliberation and access to multiple viewpoints is central in decision-making. Internet is able to provide an opportunity for interaction, and serves as a prerequisite in the deliberative process as a research tool. On the Internet the exchange of ideas is widely encouraged through a vast number of websites, blogs, and social networking outlets, such as Twitter; all of which encourage freedom of expression. Through the Internet information is easily accessible, and in a cost effective manner, providing access and means for change. Another fundamental feature of the Internet is its uncontrolled nature, and ability to provide all viewpoints no matter the accuracy. The freedom the Internet provides is able foster and advocate change, crucial in E-Democracy.

A recent advancement in the utilization of E-Democracy for the deliberative process is the California Report Card created by the Data and Democracy Initiative of the Center for Information Technology Research in the Interest of Society at University of California, Berkeley, together with Lt. Governor Gavin Newsom. The California Report Card, launched in January 2014, is a mobile-optimized web application designed to facilitate online deliberative democracy. After a short opinion poll on 6 timely issues, participants are invited to enter an online "café" where they are placed, using Principal Component Analysis, among users with similar views. They are then encouraged to engage in the deliberative process by entering textual suggestions about new political issues, and grading other participants' suggestions. The California Report Card prides itself on being resistant to private agendas dominating the discussion.

Another example is openforum.com.au, an Australian non-profit eDemocracy project that invites

politicians, senior public servants, academics, business people and other key stakeholders to engage in high-level policy debate.

An alternative to the SOPA and PIPA, the Online Protection and Enforcement of Digital Trade Act (OPEN Act) is supported by Google and Facebook. The OPEN Act website Keep The Web Open provides full access to the bill. The site also incorporates user input, over 150 changes have been made by users.

The peer-to-patent project allows the public to do research and present the patent examiner with 'prior art' publications which will inform them of the novelty of the invention so that they can determine whether the invention is worthy of a patent. The community elects ten prior art pieces to be sent to the patent examiner for review. This enables the public to directly communicate with the patent examiner. This form of e-democracy is a structured environment which demands certain information from participants that aid in the decision making process. The goal of the project is to make decision making process is made more effective by allowing experts and civilians who work together to find solutions. Beyond citizens checking a box that reduces opinions to a few given words, citizens can participate and share ideas.

Voting and Polling

Another great hurdle in implementing e-democracy is the matter of ensuring security in internet voting systems. Viruses and malware could be used to block or redirect citizens' votes on matters of great importance; as long as that threat remains, e-democracy will not be able to diffuse throughout society. Kevin Curran and Eric Nichols of the Internet Technologies Research Group noted in 2005 that "a secure internet voting system is theoretically possible, but it would be the first secure networked application ever created in the history of computers."

Government Transparency and Accessibility

Through ListServs, RSS feeds, mobile messaging, micro-blogging services and blogs, government and its agencies can share information to citizens who share common interests and concerns. Some government representatives are also beginning to use Twitter which provides them with an easy medium to inform their followers. In the state of Rhode Island, for instance, Treasurer Frank T. Caprio is offering daily tweets of the state's cash flow.

A number of non-governmental sites have developed cross-jurisdiction, customer-focused applications that extract information from thousands of governmental organizations into a system that brings consistency to data across many dissimilar providers. It is convenient and cost-effective for businesses, and the public benefits by getting easy access to the most current information available without having to expend tax dollars to get it. One example of this is transparent.gov.com, a free resource for citizens to quickly identify the various open government initiatives taking place in their community or in communities across the country. A similar example is USA.gov, the official site of the United States government, which is a directory that links to every federal and state agency.

E-democracy leads to a more simplified process and access to government information for public-sector agencies and citizens. For example, the Indiana Bureau of Motor Vehicles simplified the process of certifying driver records to be admitted in county court proceedings. Indiana became

the first state to allow government records to be digitally signed, legally certified and delivered electronically by using Electronic Postmark technology.

The internet has created increased government accessibility to news, policies, and contacts in the 21st century: "In 2000 only two percent of government sites offered three or more services online; in 2007 that figure was 58 percent. In 2000, 78 percent of the states offered no on-line services; in 2007 only 14 percent were without these services (West, 2007)"(Issuu). Direct access via email has also increased; "In 2007, 89 percent of government sites allowed the public e-mail a public official directly rather than simply e-mailing the webmaster (West, 2007)"(Issuu).

Opposition

Information and communications technologies can be used for both democratic and anti-democratic ends.(e.g. both coercive control and participation can be fostered by digital technology) George Orwell's in his Nineteen Eighty-Four is one example of the vision of the anti-democratic use of technology.

Objections to direct democracy are argued to apply to e-democracy, such as the potential for direct governance to tend towards the polarization of opinions, populism, and demagoguery.

Internet Censorship

In a nation with heavy government censorship, e-democracy could not be utilized to its full extent. Governments often implement internet crackdowns during widespread political protests. In the middle-east in 2011, for example, the multiple cases of internet blackouts were dubbed the "Arab Net Crackdown". The list of countries that have been reported to have initiated internet lockdowns is a long one. Libya, Egypt, Bahrain, Syria, Iran, and Yemen are all countries whose leaders implemented complete censorship of the internet in response to the plethora of pro-democracy demonstrations in their respective nations. These lockdowns were primarily put in place in order to prevent the leakage of cell phone videos that contained images of the violent government crackdown on protesters.

Concerns with Populism

In a study conducted that interviewed elected officials in Austria's parliament, opinions were widely and strongly against e-democracy. They believed that the citizens were uninformed and that their only way of expressing their opinions should be to vote; sharing opinions and ideas was strictly the job of the elected. In Austria, elected officials have no tolerance for their powers to be diminished in the slightest, including by allowing citizens to openly express ideas and opinions about politics, because it makes the people in power vulnerable to the citizens.

Alternatively, theories of epistemic democracy has indicated that more engagement of the populous has benefited the aggregation of knowledge and intelligence, and thus permitted democracies to track the truth better.

Stop Online Piracy Act

Many Internet users believed that Internet democracy was being attacked in the United States

with the introduction of H.R. 3261, Stop Online Piracy Act (SOPA), in the United States House of Representatives. A Huffington Post Contributor noted that the best way to promote democracy, including keeping freedom of speech alive, is through defeating the Stop Online Piracy Act. It is important to note that SOPA was postponed indefinitely after major protests arose, including by many popular websites such as Wikipedia, which launched a site blackout on January 18, 2012. In India, a similar situation was noted at the end of 2011, when India's Communication and IT Minister Kapil Sibal suggested that offensive content may be privately "pre-screened" before being allowed on the Internet with no rules for redressal. However, more recent news reports quote Sibal as saying that there would be no restrictions whatsoever on the use of the Internet.

Government Models

Representative Democracy

The radical shift from representative government to internet-mediated direct democracy is not likely. However, a "hybrid model" that uses the internet to allow for greater government transparency and community participation in decision-making is on the horizon. Committee selection, local town and city decisions, and otherwise people-centric decisions would be more easily facilitated. The principles of democracy are not changing so much as the tools used to uphold them. E-democracy would not be a means to implement direct democracy, but rather a tool to enable more participatory democracy as it exists now.

Electronic Direct Democracy

Proponents of E-democracy sometimes envision a transition from a representative democracy to a direct democracy carried out through technological means, and see this transition as an end goal of e-democracy. In an Electronic direct democracy (EDD) (also known as open source governance or collaborative governance), the people are directly involved in the legislative function by electronic means. Citizens electronically vote on legislation, author new legislation, and recall representatives (if any representatives are preserved).

Technology for supporting EDD has been researched and developed at the Florida Institute of Technology, where the technology is used with student organizations. Numerous other software development projects are underway, along with many supporting and related projects. Several of these projects are now collaborating on a cross-platform architecture, under the umbrella of the Metagovernment project.

EDD as a system is not fully implemented in a political government anywhere in the world, although several initiatives are currently forming. Ross Perot was a prominent advocate of EDD when he advocated "electronic town halls" during his 1992 and 1996 Presidential campaigns in the United States. Switzerland, already partially governed by direct democracy, is making progress towards such a system. Senator On-Line, an Australian political party established in 2007, proposes to institute an EDD system so that Australians can decide which way the senators vote on each and every bill. A similar initiative was formed 2002 in Sweden where the party Direktdemokraterna, running for the Swedish parliament, offers its members the power to decide the actions of the party over all or some areas of decision, or to use a proxy with immediate recall for one or several areas.

The first mainstream direct democracy party to be registered with any country's electoral commission [checked against each country's register] is the UK's People's Administration Direct Democracy party. The People's Administration have developed and published the complete architecture for a legitimate reform to EDD [including the required Parliamentary reform process]. Established by musicians [including Alex Romane] and political activists, the People's Administration advocates using the web and telephone to enable the majority electorate to create, propose and vote upon all policy implementation. The People's Administration's blueprint has been published in various forms since 1998 and the People's Administration is the first direct democracy party to be registered in a vote-able format anywhere in the world - making transition possible through evolution via election with legitimate majority support, instead of potentially through revolution via violence. The Direktdemokraterna party in Sweden also advocates EDD.

Liquid Democracy

Liquid democracy, or direct democracy with delegable proxy, would allow citizens to choose a proxy to vote on their behalf while retaining the right to cast their own vote on legislation. The voting and the appointment of proxies could be done electronically. Taking this further, the proxies could form proxy chains, in which if A appoints B and B appoints C, and neither A nor B vote on a proposed bill but C does, C's vote will count for all three of them. Citizens could also rank their proxies in order of preference, so that if their first choice proxy fails to vote, their vote can be cast by their second-choice proxy.

Wikidemocracy

One proposed form of e-democracy is "wikidemocracy", with a government legislature whose codex of laws was an editable wiki, like Wikipedia. J Manuel Feliz-Teixeira believes we have the resources to implement wikidemocracy today. He envisions a wiki-system in which there would be three wings of legislative, executive and judiciary roles for which every citizen could have a voice with free access to the wiki and a personal ID to continuously reform policies until the last day of December (when all votes would be counted). Advantages to wikidemocracy include a no-cost system with the removal of elections, no need for parliament or representatives because citizens directly represent themselves, and ease of access to voice one's opinion. However, there are obstacles, uncertainties and disagreements. First, the digital divide and low quality of education can be deterrents to achieve the full potential of a wikidemocracy. Similarly, there is a diffusion of innovation in response to new technologies in which some people readily adopt novel ways and others at the opposite end of the spectrum reject them or are slow to adapt. It is also uncertain how secure this type of democracy would be because we would have to trust that the system administrator would have a high level of integrity to protect the votes saved to the public domain. Lastly, Peter Levine agrees that wikidemocracy would increase discussion on political and moral issues, but he disagrees with Feliz-Teixeira who argues that wikidemocracy would remove the need for representatives and formal governmental structures.

Wikidemocracy is also used to mean more limited instantiations of e-democracy, such as in Argentina in August 2011, where the polling records of the presidential election were made available to the public in online form, for vetting. The term has also been used in a more general way to refer to the democratic values and environments offered by wikis.

Some in Finland recently undertook an experiment in wikidemocracy by creating a "shadow government program" on the Internet, essentially a compilation of the political views and aspirations of various groups in Finland.

Teleadministration

Teleadministration is based on the concept that documents in electronic format have legal value. Administrative informatics is not new, but for many years it was merely Information Technology applied to legal documents, that is, the reproduction of paper-based legal documents into electronic file systems. Instead, Teleadministration turns this approach into its head. It is based on research conducted in 1978, the year when, at a conference promoted by the Court of Cassation, Giovanni Duni launched the then-futuristic idea that an electronic document could have legal value. 1978 was also the year in which the first research on digital signatures (RSA) was published in the United States, yet it would take more than twenty-five years for jurists and mathematicians to start working together.

For many years, and even before 1978, IT helped Public Administration but kept a "safe distance", assuming that the 'sacred nature' of the Law demanded the use of pen and paper. Information Technology merely managed and filed copies of legal documents: it was known as "parallel IT", since it was an accessory to the activity with formal value, the one based on pen and paper.

Thus, the logical, legal and material premise of Teleadministration is the conferment of legal value to IT documents.

Origins and Terminology

In Italy, the linguistic expression teleamministrazione was first used in 1991 at the Roman 'La Sapienza' university, during a conference organised by the Court of Cassation, in which it was said that: «the new system of administrative information technology is called "teleadministration" because all the work of the Public Administration will be carried out through devices, that could also be computers, linked to the central server through a network.» Teleadministration was indeed considered a type of teleworking.

With Teleadministration, amministrative procedures become electronic administrative procedures and, more specifically, those that are initiated by a party realize the electronic One Stop Shop.

The Fundamentals of Teleadministration

In the decades from 1970 to 1990, the Court of Cassation was at the core of research on the relationship between IT and Law, organising international conferences every five years on the topic. The 1993 international conference featured the fundamentals of teleadministration, providing the details of the administrative systems behind the One Stop Shop concept:

1. A citizen presents his/her claim to one administration, which then manages the entire procedure.

2. A single "administrative file" is created, no matter how many different administrations may be involved.
3. For both internal and external stages in an administrative procedure, a "warning signal" is sent telematically to the relevant office where the next stage is due, the employee in that office then becomes responsible for that phase of the procedure.
4. Any information concerning records already held by public administration is accessed telematically, without involving the citizen.
5. The (electronic) signature identifies the identity of the operator through sophisticated techniques.
6. The original of an administrative act is electronic and is therefore always available telematically to any administration that may need it.
7. The presence of an increasing amount of on-line data will necessitate greater use of automatic data processing in decision-making.
8. Saving data on multiple memory locations will guarantee the safekeeping of the acts.
9. Statistical data will be available in real time and under multiple profiles, with great benefits for top level decision-making.
10. Private citizens can obtain paper copies of the electronic acts.

It should be noted that the 5th fundamental mentions electronic rather than digital signatures. This is because, in the jurists' domain, digital signatures were not yet known. The generic reference to the electronic signature is however valid, and its general nature is actually suitable for the rules contained six years later in the Directive 1999/93/EC. As we will see, the Directive refers in particular to all procedures initiated by private citizens, but the system remains valid for all procedures initiated by the administration offices as well.

Acknowledgement of the Principles in Current Law

The legally accepted form of acts and documents evolved according to the following stages:

1. Acts only exist in paper form
2. Acts in electronic format are a possible option
3. Electronic format is compulsory, safe for a few exceptions

In Italy, Phase 2 was launched by Art 15, para, 2, Law N. 59 of 15 March 1997, (the so-called 'Bassanini 1' law: it established the legal value of electronic documents, while regulations would establish the authentication criteria). The EC intervened later with its Directive 1999/93/EC of the European Parliament and the Council of 13 December 1999 (Transposed by Law Decree N.10 of 23 January 2002), which imposes an obligation on Member States to give legal value to documents with digital signatures (not directly named as such, but all their features are described in the directive). It also establishes that electronic documents should not be rejected a priori, hence opening to a range of different solutions to establish the authorship of a document (the so-called 'weak signatures').

The 1993 Directive was revoked and absorbed (for reasons of legal certainty and clarity) by Regulation 910/2014 of the European Parliament and Council of 23 July 2014 (also known as eIDAS regulation) in the OJEU 28 August 2014, which did not renege on the principle of also accepting the so-called 'weak signatures'. In Italy, The move to Phase 3 was established by Art.40 of Legislative sl. Decree N.82 of 7 March 2007, Code of Digital Administration (CAD), entitled "Creation of electronic documents", which states: "Public Administrations make the original copy of their documents with electronic means, according to the provisions of the present Code and the technical specifications of Article 71". Exceptions are extremely rare: Comma 3 states: by means of appropriate regulations.... , proposed by the delegated Ministers for Public Functions, Innovation and Technology and the Minister for Cultural Heritage and Activities, the categories of administrative documents that can be created on paper in original are identified, having regard to the special historical and archive value they will have by nature" (think, for example, of the resignation of a President of the Republic).

Unfortunately, national administrations are ignoring this provision, and today it is only private companies that are no longer allowed paper-based communication with public administrations (Art. N. 5 bis of the CAD and D.P.C.M. 22 July 2011); compulsory electronic invoicing was added on 31 March 2015 by Law N. 44 of 24 December 2007, Art. N. 1, para 209-214 implemented by Ministerial Decree N.55 of 3 April 2013, further clarified by Ministerial circular N.1 of 9 March 2015. The modernisation of procedures was also touched by Presidential Decree N. 447 of 20 October 1998 (creation of the One Stop Shop, but only for production activities, and paper based), while interest for a telematic procedure only began with Legislative Decree N. 82 of 7 March 2005, CAD, which is not as relevant in its first version but was later modified by several interventions, particularly Legislative Decree N. 335 of 10 December 2013.

European sources are also essential. The EC, and later the European Union, have undertaken a wide range of actions on e-government: one of the most important was the launch of the IDABC programme (and financing) for Interoperable Delivery of European eGovernment Services to public Administrations, Business and Citizens, via Decision 2004/387/EC of the European Parliament and Council of 21 April 2004. However, the ultimate acknowledgement of the principles of teleadministration, with the telematic One Stop Shop, is contained in the Directive 2006/123/EC of the European Parliament and Council of 12 December 2006, on the Internal market for services, which provides for Member States to set up an electronic One Stop Shop in the wide field of administrative procedures.

Teleadministration and the 'Star' Procedure

This article is not meant to argue the great effect that teleadministration has on the efficiency of administrative activity, as we assume that the reader is fully aware that, once paper based documents are abandoned, the real-time flow of documents greatly improves time management and responsibility of the single offices/ operators, while direct online access improves transparency. Rather, this paragraph wants to emphasize how teleadministration promotes maximum usage of the "star procedure", known and researched in Germany as "Sternverfahren". This procedure, an alternative to the sequential procedure, which has by nature longer head times, in the paper-based world would require making several copies of the administrative file (which can be extremely voluminous) for each office and each administration that needs to express an opinion or issue an

authorisation. With the One Stop Shop, the administration initiating the process is charged with this task. Electronic files clearly provide evident benefits for these procedures, since all involved administrations can directly and simultaneously access the file, view the part they need to evaluate and add their opinion or authorisation directly, using a star-shaped scheme.

Assessing The Actual Acceptance of Teleadministration in Current Law and Real Life

As a scientific proposition, teleadministration sketched the system of telematic administrative procedures well ahead of the law, and particularly the electronic One Stop Shop concept. Both concepts are based on the dematerialisation of documents and on telematic administrative work.

The concept of documents' dematerialisation, in existence since 1978 as a scientific notion, was first embraced in Italy (Law N. 59 of 15 March 1997, Art. 15, para 2) and later by the E.C. in Directive 1999/93/EC.

Once the principle that an electronic document can have legal value was accepted, it was possible to deal with its management within a telematic procedure. As mentioned, configuring this procedure within the rules of teleadministration is today accepted in both European and Italian laws. European laws also provide quite a detailed description of the electronic One Stop Shop, with rules that fit nicely within the scientific rules of teleadministration; their main limitation is that they were specifically designed for the free circulation of services within Europe, and hence for the procedures these require. It is the above-mentioned 1996/123/EC Directive, whose Art.6 establishes the One Stop Shop and Art. 8 provides that it should be managed "remotely and electronically", leaving further details to the Commission. And indeed the Commission, with its Decision of 16 October 2009, provided a number of measures to facilitate the use of electronic procedures through the "One Stop Shop" under Directive 2006/123/EC. These sources are clear and they apply to a wide-ranging sector: the problem is that any sector or procedure that is not related to the supply of services within the Union is not regulated, and Member States are therefore able to carry on with old-fashioned paper-based procedures.

In light of this limitation, a group of illustrious European Law academics, coordinated by Giovanni Duni, has drafted the most effective text for a Directive providing a universal system of telematic administrative procedure.

Italian sources are based on the Code of Digital Administration, the above-mentioned Law Decree N.82 of 7 March 2005 in its current version, following several modifications, which (if correctly interpreted and implemented) should make it compulsory for all public administrations to use teleadministration, thus making the telematic administrative procedure the default procedural method. Art. 14, the key provision, establishes that the proceeding administration creates an electronic file, to which all involved administrations can and should have access, and feed it with the acts of their competence. Private citizens can also access it under Law 241/90 Thus the electronic file is the technical and organizational specification of the telematic administrative procedure, as it is clear that its creation is an operative stage of the procedure and not simply a new filing system for the archives.

Art. 10 of the CAD appears at first to be at odds with this interpretation, since it establishes that the

One Stop Shop for productive activities provides its services electronically but leaves doubts about the possibility that the back office activities could be still paper-based. However, if Art. 10 and Art. 41 are interpreted together, the only possible conclusion is that the former is a clarification of front office activities, but all the administrative activity is based on the general rule of electronic files, and therefore on the teleadministration and the One Stop Shop. Compared to European and Italian law, reality is somewhat behind. Eight years after Directive 1996/123/CE, there would be grounds for an infraction procedure against Italy. But since Italy enjoys the company of several other non-compliant Member States, they are all 'safe' for the time being.

Though the letter of the CAD may be not be respected, it seems very unlikely that this may determine the invalidity or nullity of the acts for violation of Art. 41(electronic file) or Art. 40 (statutory requirement of digital signature), because in front of a claim of this nature, the administrative judge would apply Artt. 21 septies and 21 octies of Law 241/90. The claimant should demonstrate that the use of the electronic format and electronic file wold have led to a different outcome.

Legal Sources

US Law

1995 Utah Code, paras 46-3-101 to 46-3-504 (Enacted by Law 1995, Ch. 61). US Senate, S. 1594, Digital Signature and Electronic Authentication Law (SEAL) of 1998. — US House of Representatives, H.R. 3472, Digital Signature and Electronic Authentication Law (SEAL) of 1998.

EU Law

- European Parliament and Council Directive 1999/93/EC of 13 December 1999, revoked and absorbed by European Parliament and Council Regulation 910/2014 of 23 July 2014, (known as the eIDAS regulation) in OJEU 28 August 2014.
- European Parliament and Council Decision 2004/387/EC of 21 April 2004 on the interoperable delivery of European eGovernment services
- European Parliament and Council Directive 2006/123/EC of 12 December 2006, on internal market services, providing for Member States to establish the electronic One Stop Shop in this vast field of administrative procedures.
- Decision of 16 October 2009, establishing measures to facilitate electronic procedures through the «One Stop Shop» under Directive 2006/123/CE

The telematic procedures in the European Union. Introducing a draft Directive, research coordinated by Duni, G., in CNR ITTIG Informatica e diritto, Vol. XXI, 2012, n. 2, pp. 113–129 and in www.teleamministrazione.it.

Italian Law

- l. 15 March 1997, N. 59, art. 15, para, 2.
- D. lg. 23 January 2002, N. 10.
- D.P.R. 20 October 1998, N. 447

- D. legils. 7 March 2005, N. 82, codice dell'amministrazione digitale (CAD)
- D.P.C.M. 22 July 2011
- D. Legisl 10 December 2013, N. 335

E-Government Unit

The e-Government Unit (eGU), was a unit of the Cabinet Office of the government of the United Kingdom responsible for helping various government departments use information technology to increase efficiency and improve electronic access to government services. It is therefore deeply involved in issues of e-Government.

It was created by Prime Minister Tony Blair in September 2004, replacing the Office of the e-Envoy.

Its first head was Ian Watmore, who was succeeded in January 2006 by Andrew Stott.

The eGU website was closed down in 2007.

Mission

The eGU's stated mission is to "ensur[e] that IT supports the business transformation of Government itself so that we can provide better, more efficient, public services."

The eGU is responsible for

- formulating information technology (IT) strategy and policy
- developing common IT components for use across government
- promoting best practices across government
- delivering citizen-centered online services

The eGU website lists 6 guiding principles for the unit:

1. To work on public service projects, not just IT projects
2. To add value and support, rather than control or dictate
3. To undertake partnerships with departments and suppliers
4. To set realistic expectations and aim to exceed them
5. To promote global best practices
6. To share solutions when possible, and offer flexibility to meet unique needs

Responsibilities

Responsibilities of the eGU include:

- Strategy - To develop policy and planning for Information and Communication Technology (ICT) within the Government and to provide an element of programme management; To support the Government's objectives for public service delivery and administrative efficiency.
- Architecture - To provide policy, design, standards, governance, advice and guidance for ICT in central government; To commission government-wide infrastructure and services; To address issues of systems integration with other levels of government.
- Innovation - To provide high-level advice to government bodies on innovative opportunities that come from ICT.
- IT Finance - To monitor major IT projects in the Government and give advice on major investment decisions (in partnership with the Office of Government Commerce (OGC)).
- IT HR - To lead the Government's professional IT development.
- Projects - To take on ad hoc policy and strategy studies to support ministers, the Prime Minister's Office, the Cabinet Office and the Treasury.
- Research - To identify and communicate key technology trends, opportunities, threats and risks.
- Security - To oversee government IT security policy, standards, monitoring and assurance, and contingency-planning for the critical national infrastructure.
- Supplier management - To manage the top-level relationship with strategic suppliers to the Government and to carry out supplier analysis (in partnership with OGC).

e-Estonia

e-Estonia refers to a movement by the government of Estonia to facilitate citizen interactions with the state through the use of electronic solutions. E-services created under this initiative include i-Voting, e-Tax Board, e-Business, e-Banking, e-Ticket, e-School, University via internet, the e-Governance Academy, as well as the release of several mobile applications.

History

In 1991, Estonia restored its independence as a sovereign nation, defeating the Soviet occupation. Prior to this, there was little in the way of technology. Under half of its population had a phone line and the only method of communication with those outside the country was a Finnish phone hidden in the garden of the foreign minister. Following independence, the first Prime Minister Mart Laar helped push the country through a period of modernization, establishing the foundation needed to bring the country into the digital age.

Digital reform followed through to the present. Early during the reform Estonia refused an offer from Finland to give it its old analogue telephone exchange for free, electing instead to build its own digital phone system. An initiative to provide schools with computers succeeded in granting

every school in the country with internet access by 1998. In 2000, the government declared internet access to be a human right, causing its spread into rural areas.

Such changes allowed members of both the public and private sectors of the country to innovate through the use of technology. The internet-based telecommunications software Skype originated in Estonia, and is often cited as an example of the success of these reforms.

e-Residency

In late 2014 Estonia became the first country to offer electronic residency to people from outside the country, a step that the Estonian government terms as "moving towards the idea of a country without borders." Under this program, non-residents can apply to have a smart ID card issued to them by the state, providing the same access to Estonia's various electronic services that a physical resident would be given. Use of the card for authentication with these services requires a four digit pin code. The card, in conjunction with a separate pin code, also allows e-residents to digitally sign documents over the internet, a practice that is legally binding anywhere in the EU.

While e-residency provides access to these services, it does not grant physical residency, the right to enter the country, or the ability to use the smart ID card as physical identification or as a travel document.

Beta Phase

The beta phase of the project began on December 1, 2014, and is projected to end in the spring of 2015. During this phase, e-residents are granted access to a limited set of e-services compared to that which they are eventually planned to have in later phases. During the beta phase, e-residents can:

- Register their companies online (all partners must have e-residency, otherwise in person visit is required)
- Sign documents digitally
- Exchange encrypted documents
- Report online to the business register
- Conduct online bank transfers (bank must be visited in person for account establishing, further transaction online)
- Declare taxes online
- Submit annual reports online
- Procure digital prescriptions for Estonian pharmacies

Applications during this phase must be submitted physically at a Police and Border Guard service point within Estonia. After the beta phase ends, it is expected that applicants will be able to go through any Estonian embassy or consular office in the world to submit their applications.

References

- Jeong Chun Hai @Ibrahim. (2007). Fundamental of Development Administration. Selangor: Scholar Press. ISBN 978-967-5-04508-0

- Mary Maureen Brown. "Electronic Government" Jack Rabin (ed.). Encyclopedia of Public Administration and Public Policy, Marcel Dekker, 2003, pp. 427–432 ISBN 0824742400.
- Nixon, Paul G.; Rawal, Rajash. Enabling Democracy? e-Government, Inclusion and Citizenship. The Hague University. pp. 281–290. ISBN 978-1-905305-11-7.
- "Regional Economic Outlook: Sub-Saharan Africa, Sustaining the Expansion", World Economic and Financial Surveys, International Monetary Fund, October 2011, ISBN 978-1-61635-125-0, Retrieved 14 October 2012.
- Mary Maureen Brown. "Electronic Government" Jack Rabin (ed.). Encyclopedia of Public Administration and Public Policy, Marcel Dekker, 2003, pp. 427–432 ISBN 0824742400.
- Norris, Pippa (2001). Digital divide: civic engagement, information poverty, and the internet worldwide. Cambridge New York: Cambridge University Press. ISBN 9780521002233.
- Whittaker, Jason (2004), "Cyberspace and the public sphere", in Whittaker, Jason, The cyberspace handbook, London New York: Routledge, pp. 257–275, ISBN 978-0415168366.
- OECD (2003). Promise and Problems of E-Democracy (pdf). Paris: Organisation for Economic Co-operation and Development. ISBN 9789264019485. ICTs can enable greater citizen engagement in policy-making...
- Public Governance; Territorial Development Directorate. "Recommendation of the Council on Digital Government Strategies 2014, page 6". OECD. Retrieved 2016-04-10.
- Dawes, S. S. (2008). "The Evolution and Continuing Challenges of E-Governance". Public Administration Review. 68: S86–S102. doi:10.1111/j.1540-6210.2008.00981 (inactive 2016-06-17).
- Waugh, Paul (30 July 2015). "Tom Watson Interview: On Jeremy Corbyn, Tony Blair, Leveson, Digital Democracy; And How He Sleeps At Night". The Huffington Post. Retrieved 10 February 2016.
- "What is e-Government? Some of the Official Definitions of E-Government: UN, EU, OECD & The World Bank". EkendraOnLine.com. Retrieved November 20, 2015.

8

Civil Service: A Global Overview

Civil service is the sector in which civil servants are employed. Australian public service, civil services of India, Brazilian civil service, Hong Kong civil service and the civil service of Japan are some of the civil services that have been explained in the section. The chapter is an overview of the subject matter incorporating all the major aspects of civil service.

Civil Service

A civil servant or public servant is a person in the public sector employed for a government department or agency. The extent of civil servants of a state as part of the "civil service" varies from country to country. In the United Kingdom, for instance, only Crown (national government) employees are referred to as civil servants whereas county or city employees are not.

Many consider the study of service to be a part of the field of public administration. Workers in "non-departmental public bodies" (sometimes called "QUANGOs") may also be classed as civil servants for the purpose of statistics and possibly for their terms and conditions. Collectively a state's civil servants form its civil service or public service.

An international civil servant or international staff member is a civilian employee who is employed by an intergovernmental organization. These international civil servants do not resort under any national legislation (from which they have immunity of jurisdiction) but are governed by internal staff regulations. All disputes related to international civil service are brought before special tribunals created by these international organizations such as, for instance, the Administrative Tribunal of the ILO.

Specific referral can be made to the International Civil Service Commission (ICSC) of the United Nations, an independent expert body established by the United Nations General Assembly. Its mandate is to regulate and coordinate the conditions of service of staff in the United Nations common system, while promoting and maintaining high standards in the international civil service.

History

In China

The origin of the modern meritocratic civil service can be traced back to Imperial examination founded in Imperial China. The Imperial exam based on merit was designed to select the best administrative officials for the state's bureaucracy. This system had a huge influence on both society and culture in Imperial China and was directly responsible for the creation of a class of scholar-bureaucrats irrespective of their family pedigree.



Imperial Civil Service Examination hall with 7500 cells in Guangdong, 1873.



Emperor Wen of Sui (r. 581–604), who established the first civil service examination system in China; a painting by the chancellor and artist Yan Liben (600–673).

Originally appointments to the bureaucracy were based on the patronage of aristocrats; During Han dynasty, Emperor Wu of Han established the xiaolian system of recommendation by superiors for appointments to office. In the areas of administration, especially the military, appointments were based solely on merit. This was an early form of the imperial examinations, transitioning from inheritance and patronage to merit, in which local officials would select candidates to take part in an examination of the Confucian classics. After the fall of the Han Dynasty, the Chinese bureaucracy regressed into a semi-merit system known as the Nine-rank system.

This system was reversed during the short-lived Sui Dynasty (581–618), which initiated a civil service bureaucracy recruited through written examinations and recommendation. The first civil service examination system was established by Emperor Wen of Sui. Emperor Yang of Sui established a new category of recommended candidates for the mandarinate in AD 605. The following Tang Dynasty (618–907) adopted the same measures for drafting officials, and decreasingly relied on aristocratic recommendations and more and more on promotion based on the results of written examinations.The structure of the examination system was extensively expanded during the reign of Wu Zetian The system reached its apogee during the Song dynasty.

In theory, the Chinese civil-service system provided one of the major outlets for social mobility in Chinese society, although in practice, due to the time-consuming nature of the study, the examina-

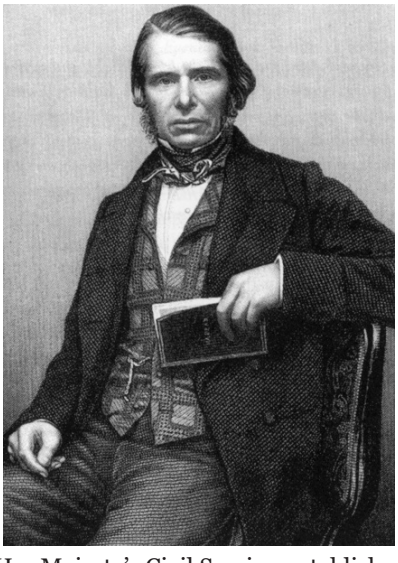
tion was generally only taken by sons of the landed gentry. The examination tested the candidate's memorization of the Nine Classics of Confucianism and his ability to compose poetry using fixed and traditional forms and calligraphy. In the late 19th century the system came under increasing internal dissatisfaction, and it was criticized as not reflecting the candidate's ability to govern well, and for giving precedence to style over content and originality of thought. The system was finally abolished by the Qing government in 1905 as part of the New Policies reform package.

The Chinese system was often admired by European commentators from the 16th century onward.

Modern Civil Service

In the 18th century, in response to economic changes and the growth of the British Empire, the bureaucracy of institutions such as the Office of Works and the Navy Board greatly expanded. Each had its own system, but in general, staff were appointed through patronage or outright purchase. By the 19th century, it became increasingly clear that these arrangements were falling short. "The origins of the British civil service are better known. During the eighteenth century a number of Englishmen wrote in praise of the Chinese examination system, some of them going so far as to urge the adoption for England of something similar. The first concrete step in this direction was taken by the British East India Company in 1806." In that year, the Honourable East India Company established a college, the East India Company College, near London to train and examine administrators of the Company's territories in India. "The proposal for establishing this college came, significantly, from members of the East India Company's trading post in Canton, China." Examinations for the Indian 'civil service'—a term coined by the Company—were introduced in 1829.

British efforts at reform were influenced by the imperial examinations system and meritocratic system of China. Thomas Taylor Meadows, Britain's consul in Guangzhou, China argued in his *Desultory Notes on the Government and People of China*, published in 1847, that "the long duration of the Chinese empire is solely and altogether owing to the good government which consists in the advancement of men of talent and merit only," and that the British must reform their civil service by making the institution meritocratic.



Charles Trevelyan, an architect of Her Majesty's Civil Service, established in 1855 on his recommendations.

In 1853 the Chancellor of the Exchequer William Gladstone, commissioned Sir Stafford Northcote and Charles Trevelyan to look into the operation and organisation of the Civil Service. Influenced by the Chinese Imperial Examinations, the Northcote-Trevelyan Report of 1854 made four principal recommendations: that recruitment should be on the basis of merit determined through competitive examination, that candidates should have a solid general education to enable inter-departmental transfers, that recruits should be graded into a hierarchy and that promotion should be through achievement, rather than 'preferment, patronage or purchase'. It also recommended a clear division between staff responsible for routine ("mechanical") work, and those engaged in policy formulation and implementation in an "administrative" class.

The report was well-timed, because bureaucratic chaos during the Crimean War was causing a clamour for the change. The report's conclusions were immediately implemented, and a permanent, unified and politically neutral civil service was introduced as Her Majesty's Civil Service. A Civil Service Commission was also set up in 1855 to oversee open recruitment and end patronage, and most of the other Northcote-Trevelyan recommendations were implemented over some years.

The same model, the Imperial Civil Service, was implemented in British India from 1858, after the demise of the East India Company's rule in India through the Indian Rebellion of 1857 which came close to toppling British rule in the country.

The Northcote-Trevelyan model remained essentially stable for a hundred years. This was a tribute to its success in removing corruption, delivering public services (even under the stress of two world wars), and responding effectively to political change. It also had a great international influence and was adapted by members of the Commonwealth. The Pendleton Civil Service Reform Act established a modern civil service in the United States, and by the turn of the 20th century almost all Western governments had implemented similar reforms.

By Countries

Brazil

Civil servants in Brazil (Portuguese: *servidores públicos*) are those working in the executive, legislative, and judicial branches of the federal, state, or municipal government and the government of Brasilia, including congressmen, senators, mayors, ministers, the president of the republic, and workers in government-owned corporations.

Career civil servants (not temporary workers or politicians) are hired only externally on the basis of entrance examinations (Portuguese: *concurso público*). It usually consists of a written test, while some posts may require physical tests (like policemen) or oral tests (like professors, judges, prosecutors and attorneys). The rank according to the examination score is used for filling the vacancies.

Entrance examinations are conducted by several companies with a government mandate, such as CESPE (which belongs to the University of Brasilia) and the Cesgranrio Foundation (which is part of the Federal University of Rio de Janeiro).

The labor laws and social insurance for civil servants are different from private workers; even between government branches (like different states or cities), the law and insurance differ.

The posts usually are ranked by titles, the most common are *technician* for high school literates and *analyst* for undergraduates. There's also higher post ranks like auditor, fiscal, chief of police, prosecutor, judge, attorney, etc. Those titles may require a master's degree or doctorate.

The law does not allow servants to upgrade or downgrade posts internally; they need to be selected in separate external entrance examinations.

Canada

In Canada, the civil service at the federal level is known as the Public Service of Canada, with each of the ten provincial governments as well as the three territorial governments also having their own separate civil services. The federal civil service consists of all employees of the crown except for ministers' exempt staff, members of the Royal Canadian Mounted Police, and members of the Canadian Armed Forces as they are not civil servants. There are approximately 257,000 federal civil servants (2015), and more than 350,000 employees at the provincial and territorial levels.

China

One of the oldest examples of a civil service based on meritocracy is the Imperial bureaucracy of China, which can be traced as far back as the Qin Dynasty (221–207 BC). However, the civil service examinations were practiced on a much smaller scale in comparison to the stronger, centralized bureaucracy of the Song Dynasty (960–1279). In response to the regional military rule of jiedushi and the loss of civil authority during the late Tang period and Five Dynasties (907–960), the Song emperors were eager to implement a system where civil officials would owe their social prestige to the central court and gain their salaries strictly from the central government. This ideal was not fully achieved since many scholar officials were affluent landowners and were engaged in many anonymous business affairs in an age of economic revolution in China. Nonetheless, gaining a degree through three levels of examination—prefectural exams, provincial exams, and the prestigious palace exams—was a far more desirable goal in society than becoming a merchant. This was because the mercantile class was traditionally regarded with some disdain by the scholar official class.

This class of state bureaucrats in the Song period were far less aristocratic than their Tang predecessors. The examinations were carefully structured in order to ensure that people of lesser means than what was available to candidates born into wealthy, landowning families were given a greater chance to pass the exams and obtain an official degree. This included the employment of a bureau of copyists who would rewrite all of the candidates' exams in order to mask their handwriting and thus prevent favoritism by graders of the exams who might otherwise recognize a candidate's handwriting. The advent of widespread printing in the Song period allowed many more examination candidates access to the Confucian texts whose mastery was required for passing the exams.

Hong Kong and Macau have separate civil service systems:

- Hong Kong Civil Service

- Secretariat for Administration and Justice is responsible for the civil service in Macau

France

The civil service in France (*fonction publique*) is often incorrectly considered to include all government employees including employees of public corporations, such as SNCF.

Public sector employment is classified into three services; State service, Local service and Hospital service. According to government statistics there were 5.5 million public sector employees in 2011.

Category	Central Government	Local Government	Health service	Total
Education	1,360.6			1,360.6
Police	284.4	40		324.4
Defence	280.7			280.7
Health & Social		241	1,153	1,394.0
Other	516.1	1,631		2,147.1
Total	2,441.8	1,912	1,153	5,506.8
% Civil servants	62%	75%	72%	-

Germany

The Public Service in Germany (*Öffentlicher Dienst*) employed 4.6 million persons as of 2011. Public servants are organized into three categories: blue-collar workers (*Arbeiter*), salaried employees, (*Angestellte*), and directors (*Beamte*). All three groups are employed by public bodies (*Körperschaften des öffentlichen Rechts*), such as counties (*Kreise*), states, the federal government, etc. In addition to employees directly employed by the state another 1.6 million persons are employed by state owned enterprises

Category	Federal Government	Regional Government	Municipal Government	Social Security	Total
State employees	458	2,114.4	1,220.7	378.6	4,171.7
government owned enterprises	240.4	387.1	950.2	24.5	1,602.1
Total	698.4	2,501.5	2,170.9	403.1	5,733.8

Arbeiter in public service work mostly in low-skilled jobs such as construction, waste collection or manual office work. In some cases, training is not obligatory.

Angestellte work in technical, vocational, and office work in a very large range of occupational fields. In most cases, they have received training aside from their government agency prior to employment- for example, they learned to program computers before a government agency hired them to do that.

Beamte has been a title for government employees for several centuries in German states, but became a standardized group in 1794. Soldiers other than conscripted soldiers are not Beamte but have similar rights. Judges are not Beamte but have similar rights too. Public attorneys are all

Beamte, while most (but not all) professors are Beamte. The group of Beamte have the most secure employment, and the amount they are paid is set by national pay regulations (*Besoldungsordnungen*). Beamte are prohibited from striking.

Arbeiter and *Angestelle* work with individual contracts, while *Beamte* are appointed, employed, and removed by the Public Sector Service and Loyalty law (*öffentlich-rechtliches Dienst- und Treueverhältnis*).

Beamte are divided into four levels:

- *Einfacher Dienst*: ordinary civil service, corresponding to enlisted ranks in the military, now largely obsolete
- *Mittlerer Dienst*: medium-level civil service, corresponding to non-commissioned officers in the military
- *Gehobener Dienst*: senior civil service, including civil servant positions such as *Inspektor* and above, corresponding to commissioned officers from lieutenant to captain in the military
- *Höherer Dienst*: higher civil service, including civil servant positions such as *Rat* (Councillor) and above as well as academic employees such as Professors, corresponding to major and above in the military

Gehobener Dienst and *Höherer Dienst* both require a university education or equivalent, at the very least a bachelor's or master's degree, respectively.

Greece

Controversies about the institution of the Civil Service in Greece are widespread. Typically, they concern the allegedly large numbers of public employees, the lack of adequate meritocracy in their employment, the strong ties that significant portions of public employees maintain with political parties and the clientelism that this relationship incubates, internal inequalities of wages among public employees, and inequalities of the high income of public employees relevant to that of private sector workers. The Civil Service payscale is also controversial given the conditions before the financial crisis that made being a civil servant a dream-job.

India

In India, the Civil Service is defined as "appointive positions by the Government in connection with the affairs of the Union and includes a civilian in a Defence Service, except positions in the Indian Armed Forces." The members of civil service serve at the pleasure of the President of India and Article 311 of the constitution protects them from politically motivated or vindictive action.

The Civil Services of India can be classified into three types—the All India Services, the Central Civil Services (Group A and B) and State/Provincial Civil Services. The recruits are university graduates (or above) selected through a rigorous system of examinations, called the Civil Services Examination (CSE) and its technical counterpart known as the Engineering Services Examination (ESE) both conducted by the Union Public Service Commission (UPSC). The entry into the State

Civil Services is through a competitive examination conducted by every state public service commission.

Senior positions in civil service are listed and named in the Order of Precedence of India.

Ireland

The civil service of Ireland includes the employees of the Department of State (excluded are government ministers and a small number of paid political advisors) as well as a small number of core state agencies such as the Office of the Revenue Commissioners, the Office of Public Works, and the Public Appointments Service. The organisation of the Irish Civil Service is very similar to the traditional organization of the British Home Civil Service, and indeed the grading system in the Irish Civil Service is nearly identical to the traditional grading system of its British counterpart. In Ireland, public sector employees such as teachers or members of the country's police force, *An Garda Síochána* are not considered to be civil servants, but are rather described as "public servants" (and form the public service of the Republic of Ireland).

Japan

Pakistan

In Pakistan a Competitive examination is conducted by FPSC for Central Superior Services of Pakistan and other Civil service, it was inherited from Indian Civil Service (British India).

In Pakistan, there are federal civil services, for serving in federal government offices. They are selected through federal public service commission. similarly provinces select their own public services through provincial public service commissions.The federal services have some quota against provincial posts. while provincial services have some quota in federal services.

Spain

The civil service in Spain (*función pública*) is usually considered to include all the employees at the different levels of the Spanish public administration: central government, autonomous communities, as well as municipalities. There are three main categories of Spanish public positions: temporary political posts ("personal funcionario eventual"), which require a simple procedure for hiring and dismissal and is associated to top level executives and advisors, statutory permanent posts ("funcionarios de carrera"), which require a formal procedure for access that usually involves a competition among candidates and whose tenants are subject to a special statutory relationship of work with their employers, and non statutory permanent posts ("personal laboral"), which also require a formal procedure for entry similar to the procedure required for the "funcionarios de carrera", but whose tenants are subject to normal working conditions and laws. Competitions differ notably among the state, the 17 autonomous communities and the city councils, and the "funcionarios de carrera" and "personal laboral" examinations vary in difficulty from one location to another.

As of 2013, there were 2.6 million public employees in Spain, of which 571,000 were civil servants and 2 million were non-civil servants.

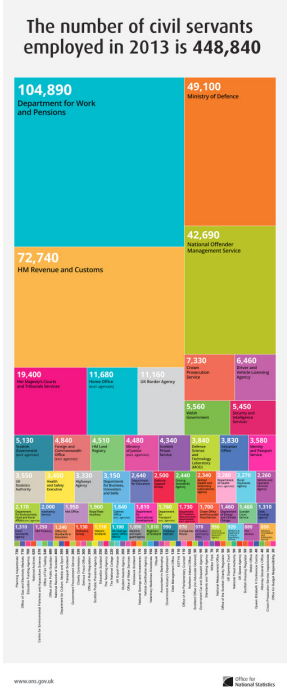
Category	Employee type	Central Government	Regional Government	Municipal	University	Total
Police	Civil servants	147	25			172
Defence	Civil servants	124				124
Health & Social	Civil servants		321			321
	other public employees		170			170
Other	Civil servants	180		218	74	472
	other public employees	119		330	75	524
Total	Civil servants	451	908	218	74	1651
	other public employees	119	399	330	75	923
	Total	570	1307	548	149	2574

In December 2011, the government of Rajoy announced that civil servants have to serve a minimum 37.5 working hours per week regardless of their place or kind of service.

Taiwan

The ROC constitution specifies that public servant cannot be employed without examination. The employment is usually lifelong (that is, until age about retirement).

United Kingdom



A breakdown by department of civil servants employed in the United Kingdom in 2013

The civil service in the United Kingdom only includes Crown (i.e. central government) employees, not parliamentary employees or local government employees. Public sector employees such as those in education and the NHS are not considered to be civil servants. Police officers and staff are also not civil servants. Total employment in the public sector in the UK was 6.04 million in 2012 according to UK Statistics office.

The number shown represents the number of thousands of people who are employed. 278 is 278,000 people.

Category	Central Government	Local Government	Health service	Total
Police		278		278,0
Defence	193			193,0
Health & Social		364	1,565	1,929.0
Other	1,989	42		2,031.0
Total	2,182.0	2,290.0	1,565.0	6,037.0

Civil servants in the devolved government in Northern Ireland are not part of the Home Civil Service, but constitute the separate Northern Ireland Civil Service. Some employees of the Foreign and Commonwealth Office are members of HM Diplomatic Service, which is associated with but separate from the Civil Service.

United States

In the United States, the federal civil service was established in 1871. The Federal Civil Service is defined as "all appointive positions in the executive, judicial, and legislative branches of the Government of the United States, except positions in the uniformed services." (5 U.S.C. § 2101). In the early 19th century, government jobs were held at the pleasure of the president — a person could be fired at any time. The spoils system meant that jobs were used to support the political parties. This was changed in slow stages by the Pendleton Civil Service Reform Act of 1883 and subsequent laws. By 1909, almost two thirds of the U.S. federal work force was appointed based on merit, that is, qualifications measured by tests. Certain senior civil service positions, including some heads of diplomatic missions and executive agencies are filled by political appointees. Under the Hatch Act of 1939, civil servants are not allowed to engage in political activities while performing their duties.

The U.S. civil service includes the Competitive service and the Excepted service. The majority of civil service appointments in the U.S. are made under the Competitive Service, but certain categories in the Diplomatic Service, the FBI, and other National Security positions are made under the Excepted Service. (U.S. Code Title V)

U.S. state and local government entities often have competitive civil service systems that are modeled on the national system, in varying degrees.

As of January 2007, the federal government, excluding the Postal Service, employed about 1.8 million civilian workers. The federal government is the nation's single largest employer, although it employs only about 12% of all government employees, compared to 24% at the state level and 63% at the local level. Although most federal agencies are based in the Washington D.C. region, only about 16% (or about 284,000) of the federal government workforce is employed in this region.

As of 2014, there are currently 15 federal executive branch agencies and hundreds of subagencies.

European Union

The European Civil Service is the civil service serving the institutions of the European Union, of which the largest employer is the European Commission.

Civil servants are recruited directly into the institutions after being selected by competitions set by EPSO, the official selection office. They are allocated to departments, known as Directorates-General (DGs), each covering one or more related policy areas.

Australian Public Service

The Australian Public Service (APS), originally known as the Commonwealth Public Service, is the Australian federal civil service, currently established under the *Public Service Act 1999*. People employed in the APS workforce work in public administration roles within Australian Government departments and agencies. In aggregate, APS organisations provide information, services and support to almost every part of Australian life. With a staff of over 150,000 people, the Australian Public Service is one of Australia's largest employers.

Functions

Geoff Gallop describes the spectrum of activities undertaken by staff in the APS as fitting into four work functions: service delivery; law making, rule making and policy development; tax collection and managing government finance; and monitoring and enforcing laws and regulations.

Composition

Historical population		
Year	Pop.	±%
1901	11,191	—
1916	22,686	+102.7%
1917	23,028	+1.5%
1929	30,738	+33.5%
1930	30,561	−0.6%
1933	27,030	−11.6%
1939	47,043	+74.0%
1948	120,991	+157.2%
1965	182,689	+51.0%
1966	192,215	+5.2%
1968	211,652	+10.1%
1975	158,763	−25.0%
1982	152,258	−4.1%
1985	173,444	+13.9%

1986	143,339	−17.4%
1990	160,942	+12.3%
1991	162,367	+0.9%
1992	163,669	+0.8%
1993	165,529	+1.1%
1994	160,348	−3.1%
1995	146,035	−8.9%
1996	143,193	−1.9%
1997	134,052	−6.4%
1998	121,003	−9.7%
1999	113,268	−6.4%
2000	110,954	−2.0%
2001	119,237	+7.5%
2002	123,494	+3.6%
2003	131,720	+6.7%
2004	131,522	−0.2%
2005	133,581	+1.6%
2006	146,234	+9.5%
2007	155,482	+6.3%
2008	160,011	+2.9%
2009	162,009	+1.2%
2010	164,596	+1.6%
2011	166,252	+1.0%
2012	168,580	+1.4%
2013	167,257	−0.8%
2014	159,126	−4.9%
2015	152,430	−4.2%
2016	155,771	+2.2%

APS staff employed by year. Figures gathered from annual State of the Service reports and historic news articles



A Centrelink office in Wagga Wagga, New South Wales. The Department of Human Services, which administers Centrelink services, is the largest APS agency.

The Australian Public Service formally comprises all Australian Government departments and agencies where staff members are or can be employed under the *Public Service Act 1999*. At June 2013, there were 167,257 APS employees, down from 168,580 APS employees in June 2012. The

2013 figure included 152,230 ongoing (or permanent) employees, and 15,027 non-ongoing (or contract) employees. Staffing in Australian Public Service agencies accounts for around half of total employment in Australian Government administration. Public servants employed by the Commonwealth Government under legislation other than the Public Service Act include Australian Defence Force personnel, government business enterprise employees, parliamentary staff, Australian Federal Police staff and public servants under other Commonwealth agency-specific legislation.

In the decade to December 2012 the APS grew in numbers; there was also notable 'classification creep', in which a higher proportion of staff are employed at higher pay-grade levels. Before the 2013 federal election, the Coalition promised to reduce the size of the public service by at least 12000 jobs, through natural attrition. Joe Hockey told an Adelaide radio station in May 2013 that the Coalition planned for the loss of 12,000 public service jobs to be just a starting point in the first two years of a Coalition government.

Demographics

Overall the APS has quite a feminised workforce—57.9 per cent of all APS employees are women. 39.1 per cent of APS employees work in the Australian Capital Territory. At June 2013, the median age for ongoing APS employees was 43 years. Like the Australian population, the APS workforce has been ageing rapidly since the early 1990s.

At June 2013 the largest federal government agency was the Department of Human Services with 33,658 employees, followed by the Australian Taxation Office with 24,274 employees and the Department of Defence with 22,330.

In 2009 there was a ratio of one APS official for every 135 Australians, compared to 1991 ratios of 1:106.

Measuring APS Performance

Beginning in 2009–10 all APS entities were required to report in accordance with the Outcomes and Programs Framework, whereby programs provide the link between Australian Government decisions, actitivities and their actual outcomes. In the Outcomes and Programs Framework, organisations identify and report against the programs that contribute to government outcomes over the budget and forward years. All APS agencies contribute to Portfolio Budget Statements that inform Parliament and the public of the proposed allocation of Government outcomes. Portfolio budget statements outline:

- outcome statements, which specifically articulate the intended results, impacts or consequences of actions by the Government on the Australian community;
- programs to address outcomes, which are designed to deliver benefits, services or transfer payments to target groups; and
- resourcing information, deliverables and key performance indicators for each program.

Annual reports report performance of agencies in relation to services provided.

Prior to the introduction of the Outcomes and Programs Framework APS entities reported against

an Outcomes and Outputs Framework, which had been introduced in 1999. Reforms have been progressively introduced to the APS with the specific aim of making it more efficient, accountable and responsive to community needs since the mid-1980s.

The Australian National Audit Office provides the Australian Parliament and the public with an independent assessment of selected areas of public administration in the APS, and assurance about APS financial reporting, administration and accountability.

Benchmarking the APS

In November 2009 KPMG published a report benchmarking Australian Public Service performance against international public services. The report found that the APS measured up well against some of the world's leading public services. The report found that the APS is a high performer compared to other public services when it came to: being responsive to economic changes; being independent and values-based; and for proportions of women employed. It found that the APS performed poorly in: its capability for coordinated, informed and strategic policy; its mechanisms for integrating external stakeholders into policy development and service design; and its understanding of government priorities through an overarching framework.

Public Opinion and Criticism

The APS is often the target of public criticism. For example, in 2011 and again in 2013, the director, deregulation at the Institute of Public Affairs, Alan Moran, argued that the Australian Government was not seeking enough savings from a bloated Australian Public Service. In October 2013, newly appointed Defence Minister David Johnston told media he had 'inherited a mess' and that he believed that in the Defence department '23,000 public servants is too heavy.' The Noetic group said in 2014 that most Australian Public Service organisations could not demonstrate the benefits from large and expensive programs of work.

Other commentators, including political scientist Richard Mulgan, have argued that rhetoric in 2013 about a bloated APS is ill-informed and unsustainable, if service benchmarks are to be met. Rob Burgess, in a Business Spectator article in November 2012 argued that efficiency dividends imposed on the public service are actually delivering one of the world's leaner public sectors.

APS Values

The APS Values are set out in section 10 of the *Public Service Act 1999*. The Values are mandatory and are intended to embody the principles of good public administration.

The APS Values were most recently revised in 2013, with the aim to comprise a smaller set of core values that are meaningful, memorable and effective in driving change. The values are stated in section 10 of the *Public Service Act 1999* as follows:

- Impartial: The APS is apolitical and provides the Government with advice that is frank, honest, timely and based on the best available evidence.
- Committed to service: The APS is professional, objective, innovative and efficient, and works collaboratively to achieve the best results for the Australian community and the Government.

- Accountable: The APS is open and accountable to the Australian community under the law and within the framework of Ministerial responsibility.
- Respectful: The APS respects all people, including their rights and their heritage.
- Ethical: The APS demonstrates leadership, is trustworthy, and acts with integrity, in all that it does.

Recruitment, Remuneration and Organisational Structure

All APS vacancies for ongoing and non-ongoing jobs for more than 12 months are notified in the APS Employment Gazette, a weekly electronic publication. Public service wages were decentralised in 1997, allowing individual APS agencies to negotiate their own pay deals.

The Australian Public Service career structure is hierarchical. Individual Australian Government agency websites also advertise jobs and some jobs are advertised on external job boards, such as in newspapers. The table below lists APS employment classification levels from lowest to highest.

Employment classifications in the Australian Public Service		
Level/ classification	Example position titles[A]	'Total annual reward[B] (median 2011)
Graduate		$63,742
APS 1	Departmental Officer	$47,682
APS 2	Departmental Officer	$58,519
APS 3	Departmental Officer	$65,555
APS 4	Departmental Officer	$72,697
APS 5	Departmental Officer	$79,794
APS 6	Departmental Officer	$92,975
EL 1	Assistant Director	$115,630
EL 2	Director Section Head	$146,277
SES Band 1	Assistant Secretary (AS) Branch Head Group Manager (GM) Executive Director (ED)	$219,464
SES Band 2	First Assistant Secretary (FAS) Division Head Group Executive Director (GED)	$275,656
SES Band 3	Deputy Secretary (DEPSEC) Deputy Chief Executive Officer	$348,652
Agency head	Chief Executive Officer	
Departmental head	Secretary	$673,000 (2013)

[A] Position titles vary across APS agencies.

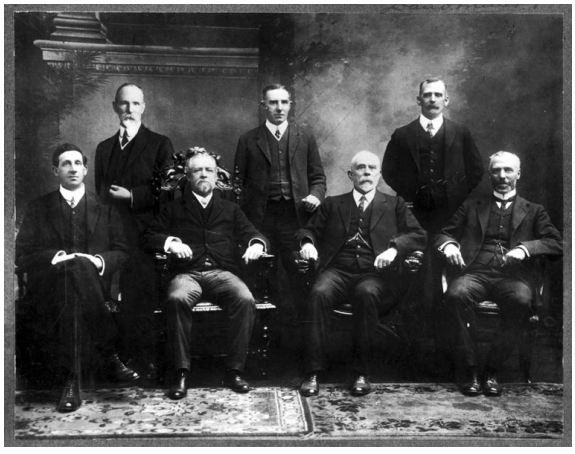
[B] Total reward includes base salary, plus benefits such as superannuation and motor vehicles plus bonuses such as performance and retention payments.

Leadership

The Australian Public Service Commission (APSC) is responsible to the Minister Assisting the Prime Minister for the Public Service. The APSC is led by a Commissioner, who is tasked with promoting the APS Values, evaluating public service performance and compliance, and helping to build the capability of the Service.

The Government also recognises a role for the Secretary of the Department of Prime Minister and Cabinet for certain aspects of leadership of the APS.

History



Inaugural Departmental Heads of the Australian Commonwealth Public Service-1901
Standing (l-to-r): Muirhead Collins (Defence); Atlee Hunt (External Affairs); David Miller (Home Affairs).

Seated (l-to-r): Robert Garran (Attorney General's); Harry Wollaston (Trade and Customs); Robert Scott (Post-Master General's); George Allen (Treasury).

The public service was established at Federation. The departments established on 1 January 1901 were Attorney-General's, Defence, External Affairs, Home Affairs, Trade and Customs, and The Treasury.

The first public service appointments were made under section 67 of the Constitution of Australia, and this arrangement remained in place until the commencement of the *Commonwealth Public Service Act 1902*, which came into force on 1 January 1903. At the commencement of the Commonwealth Public Service Act, there were 11,374 officials employed under the Act.

A new legislative framework was introduced in 1923 in the form of the *Commonwealth Public Service Act 1922*.

A section in both the 1902 Act and the 1922 Act stated that every female officer was deemed to have retired from the Commonwealth service upon her marriage. In November 1966 Australia became the last democratic country to lift the legislated "marriage bar", which had prevented married women from holding permanent positions in the public service for over 60 years.

In November 1996, Peter Reith issued a discussion paper, *Towards a best practice Australian Public Service*. The paper, among other things, recommended key elements which might need to

be incorporated into a new streamlined and principles-based Public Service Act. After several years spent developing a new Act, the *Public Service Act 1999* came into effect on 5 December 1999. The new Act introduced APS Values and a Code of Conduct into the Act for the first time. Public servants who breach the code of conduct can be demoted, fined, reprimanded or fired.

In 2010 a comprehensive reform agenda was introduced as outlined in *Ahead of the Game: Blueprint for Reform of Australian Government Administration*.The reforms were aimed at strengthening strategic direction, citizen engagement and staff capability across the APS.

Civil Services of India

The Civil Services refer to the civil services, the permanent executive branch of the Republic of India. The civil service system is the backbone of the administrative machinery of the country.

In the parliamentary democracy of India, the ultimate responsibility for running the administration rests with the elected representatives of the people which are the ministers. But the handful of ministers cannot be expected to deal personally with the manifold problems of modern administration. Thus the ministers lay down the policy and it is for the civil servants to carry out this policy.

The executive decisions are implemented by the Indian civil servants. The members of civil service serve at the pleasure of the President of India and Article 311 of the constitution protects them from politically motivated or vindictive action. Civil servants are employees of the Government of India; however, not all employees of the Government are civil servants. Civil servants in a personal capacity are paid from the Civil List. Senior civil servants may be called to account by Parliament.

As of year 2010, there are total 6.4 million government employees in India, and less than 50,000 civil servants to administer them. The civil service system in India is rank-based and does not follow the tenets of the position-based civil services.

In October 2015, the Government of India approved the formation of "new" Indian Skill Development Service-Group A.

History

> "If a responsible government is to be established in India, there will be a far greater need than is even dreamt of at present for persons to take part in public affairs in the legislative assemblies and elsewhere and for this reason the more Indians we can employ in the public service the better. Moreover, it would lessen the burden of Imperial responsibilities if a body of capable Indian administrators could be produced.."
>
> — Regarding the importance of Indianising Civil Services, Montagu–Chelmsford Reforms

Lord Warren Hastings laid the foundations of civil service and Charles Cornwallis reformed, modernised and rationalised it. Hence, Charles Cornwallis is known as the 'Father of Civil Service in India'. He introduced Covenanted Civil Services (higher civil services) and Uncovenanted Civil Services (lower civil services).

The present civil services of India is mainly based on the pattern of the former Indian Civil Service of British India. The civil services were divided into two categories - covenanted and uncovenanted. The covenanted civil service consisted of only Europeans (i.e., English personnel) occupying the higher posts in the government. The uncovenanted civil service was solely introduced to facilitate the entry of Indians at the lower rung of the administration.

With the passing of the Government of India Act 1919, the Imperial Services headed by the Secretary of State for India, were split into two – All India Services and Central Services.

The All India and class 1 Central Services were designated as Central Superior Services as early as 1924. From 1924 to 1934, Administration in India consisted of "ten" All India Services and five central departments, all under the control of Secretary of State for India, and 3 central departments under joint Provincial and Imperial Control.

Present Day

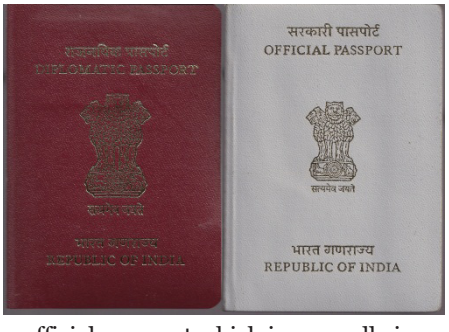
The present modern civil service was formed after the partition of India in 1947. It was Sardar Patel's vision that the Civil Service should strengthen cohesion and national unity. The values of integrity, impartiality and merit remain the guiding principles of Indian civil services.

Since the early 20th century, Indian civil servants have been colloquially called "babus", while Indian bureaucracy is called "babudom", as in the "rule of babus", especially in Indian media.

Constitution

The constitution under Article 312 provides for All India Civil Services branches to be set up by giving the power to the Rajya Sabha (upper house of the Parliament of India) to resolve by a two-thirds majority to establish new all-India services. The Indian Administrative Service, Indian Police Service and Indian Forest Service are set up under this constitutional provision.

Power, Purpose and Responsibilities



An Indian diplomatic passport and an official passport which is generally issued to civil servants. As opposed to the deep blue passport issued to ordinary Indian citizens, the diplomatic passport is maroon coloured with the golden text 'Diplomatic Passport' printed on it, and the Hindi equivalent.

The responsibility of the civil services is to run the administration of India. The country is managed through a number of Central Government agencies in accordance with the policy directions given by the ministries.

The members of the civil services represent as administrators in the central government and state government; emissaries in the foreign missions/embassies; as tax collectors and revenue commissioners; as civil service commissioned police officers; as permanent representative(s) and employees in the United Nations and its agencies and as Chairman, Managing Director, full-time functional Director/Member of the Board of Management of various Public Sector Undertakings/ Enterprises, Corporations, Banks and financial institutions. Civil servants are employed to various agencies of India and can also be appointed as advisors or special duty officers or private secretaries to ministers of the Union and the State Government.

All appointments in the rank of Joint Secretary to Government of India and above, other major appointments, empanelment and extension of tenure is done by the Appointments Committee of the Cabinet. However, all appointments in the rank below Joint Secretary in the federal government is done by the Civil Services Board.

Governance

Head of the Civil Service

The highest ranking civil servant is the Cabinet Secretary. He is ex-officio Chairman of the Civil Services Board; the chief of the Indian Administrative Service and head of all civil services under the rules of business of the Government of India. He also holds the 11th position in the Order of Precedence of India.

The position holder is accountable for ensuring that the Civil Service is equipped with the skills and capability to meet the everyday challenges it faces and that civil servants work in a fair and decent environment.

Name	Dates	Notes
N. R. Pillai 1950 to 1953 He was a member of the Imperial Civil Service. He is the first head of the civil service since Independence of India and is also the first from the state of Kerala to hold this post.		
Y. N. Sukthankar	1953 to 1957	He was a member of the Imperial Civil Service.
M. K. Vellodi	1957 to 1958	He was a member of the Imperial Civil Service. He later served as Chief Minister of Hyderabad State.
Vishnu Sahay	1958 to 1960	He was a member of the Imperial Civil Service.
B. N. Jha	1960 to 1961	He was a member of the Imperial Civil Service.
Vishnu Sahay	1961 to 1962	He was a member of the Imperial Civil Service.

S. S. Khera	1962 to 1964	He was a member of the Imperial Civil Service. He is the first Sikh to become Cabinet secretary. He was known for use of tanks against rioters in Meerut riots of 1947.
Dharam Vira	1964 to 1966	He was a member of the Imperial Civil Service.
D. S. Joshi	1966 to 1968	He was a member of the Imperial Civil Service.
D. Das	1968 to 1969	He was a member of the Imperial Civil Service.
B. Sivaraman	1969 to 1970	He was a member of the Imperial Civil Service.
T. Swaminathan	1970 to 1972	He was a member of the Imperial Civil Service.
B. D. Pande	1972 to 1977	He was a member of the Imperial Civil Service. He is the longest serving Cabinet Secretary ever in history of Independent India.
N. K. Mukarji	1977 to 1980	He was a member of the Imperial Civil Service and the last ICS officer to become head of the civil service of Independent India.
S. S. Grewal	1980 to 1981	He is the first IAS to be appointed to this post.
C. R. Krishnaswamy Rao	1981 to 1985	He belongs to the IAS (AP:1949 batch).
P. K. Kaul	1985 to 1986	He belongs to the IAS (UP:1951 batch).
B. G. Deshmukh	1986 to 1989	
T. N. Seshan	1989 to 1989	He belongs to the IAS (TN:1955 batch).
V. C. Pande	1989 to 1990	He belongs to the IAS (RJ:1955 batch).
Naresh Chandra	1990 to 1992	He belongs to the IAS (RJ:1956 batch).
S. Rajgopal	1992 to 1993	
Zafar Saifullah	1993 to 1994	He belongs to the IAS (KA:1958 batch). He was the first and the only Muslim to have ever been appointed Cabinet Secretary of India.
Surendra Singh	1994 to 1996	He belongs to the IAS (UP:1959 batch).
T. S. R. Subramanian	1996 to 1998	He belongs to the IAS (UP:1961 batch).
Prabhat Kumar	1998 to 2000	He belongs to the IAS (UP:1963 batch).
T. R. Prasad	2000 to 2002	He belongs to the IAS (AP:1963 batch).
Kamal Pande	2002 to 2004	He belongs to the IAS (UL:1965 batch).

B. K. Chaturvedi	2004 to 2007	He belongs to the IAS (UP:1966 batch).
K. M. Chandrasekhar	2007 to 2011	He belongs to the IAS (KL:1970 batch).
Ajit Seth	2011 to 2015	He belongs to the IAS (UP:1974 batch).
P K Sinha	2015 to present	He belongs to the IAS(UP:1977 batch)

Values and Codes

Values

A member of the civil service in discharge of his/her functions is to be guided by maintaining absolute integrity, allegiance to the constitution and the law of the nation, patriotism, national pride, devotion to duty, honesty, impartiality and transparency.

Codes

The Government of India promotes values and a certain standard of ethics of requiring and facilitating every civil servant:

- To discharge official duty with responsibility, honesty, accountability and without discrimination.
- To ensure effective management, leadership development and personal growth.
- To avoid misuse of official position or information.
- To serve as instruments of good governance and foster social economic development.

Construction

The Civil Services of India can be classified into two types - the All India Services and the Central Civil Services (Group A and B). The recruits are university graduates (or above) selected through a rigorous system of examinations, called the Civil Services Examination (CSE) and the Engineering Services Examination (ESE) conducted by the Union Public Service Commission (UPSC) and the Combined Graduate Level Examination (CGLE) by the (SSC).

All India Civil Services (AIS)

All appointments to All India Civil Services are made by the President of India.

- Indian Administrative Service (IAS)
- Indian Forest Service (IFS)
- Indian Police Service (IPS)

Central Civil Services (CCS)

The Central Civil Services are concerned with the administration of the Union Government.

Group A

- Border Roads Engineering Service, Group A
- Botanical Survey of India, Group A
- Central Architects Service, Group A
- Central Engineering (Civil) Service, Group A
- Geological Survey of India, Group A
- Central Engineering (Electrical and Mechanical) Service, Group A
- Central Engineering Service (Roads), Group A
- Central Health Service, Group A
- Central Information Service
- Central Legal Service (Grades I)
- Central Labour Service, Group A
- Central Power Engineering Service, Group A
- Central Revenues Chemical Service, Group A
- Central Secretariat Service, Group A
- Central Secretariat Official Language Service, Group A
- Central Trade Service, Group A
- Central Water Engineering Service, Group A
- Company Law Board Service, Group A
- Defence Research & Development Service,IDRS - Group A
- Directorate General of Civil Aviation, Group A
- Directorate General of Mines Safety, Group A
- General Central Service, Group A
- Indian Archaeological & Heritage Service
- Indian Audits and Accounts Service, Group A
- Indian Broadcasting Service
- Indian Corporate Law Service,Group A
- Indian Civil Accounts Service, Group A
- Indian Cost Accounts Service, Group A
- Indian Defense Accounts Service, Group A
- Indian Defence Estates Service, Group A
- Indian Defense Service of Engineers, Group A
- Indian Economic Service, Group A
- Indian Engineering Services, Group A
- Indian Foreign Service, Group A
- Indian Frontier Administrative Service, Group A
- Indian Information Service, Group A
- Indian Meteorological Service, Group A
- Indian Ordnance Factories Service, Group A
- Indian Ordnance Factories Health Service (IOF-HS), Group A
- Indian Postal Service, Group A
- Indian Posts and Telegraphs Accounts and Finance Service, Group A
- Indian Radio Regulatory Service, Group A
- Indian Railway Medical Services, Group A
- Indian Railway Service of Engineers, Group A
- Indian Railway Service of Mechanical Engineers, Group A
- Indian Railway Service of Electrical Engineers, Group A
- Indian Railway Service of Signal Engineers, Group A
- Indian Railway Stores Service, Group A
- Indian Railway Accounts Service, Group A
- Indian Railway Personnel Service, Group A
- Indian Railway Traffic Service, Group A
- Indian Revenue Service
- Indian Salt Service, Group A
- Indian Skill Development Service, Group A
- Indian Statistical Service, Group A
- Indian Telecommunication Service, Group A
- Indian Trade Service, Group A
- Mercantile Marine Training Ship Service, Group A
- Railway Protection Force, Group A
- Survey of India, Group A
- Telegraph Traffic Service, Group A
- Zoological Survey of India, Group A

Group B

All appointments to Group B are made by the authorities specified by a general or special order of the President. However,Appointing authority of officers of the Central Secretariat Service is the President of India himself.

- Central Secretariat Service, Group 'B' (Section and Assistant Section Grade officers only)
- Armed Forces Headquarters Civil Services
- Income Tax Service, Group 'B'
- Indian Foreign Service, Group 'B' - (General Cadre, Grade I and General Cadre, Grade II only)
- Indian Posts and Telegraphs Accounts and Finance Service, Group 'B' Telecommunication Wing.
- Indian Posts & Telegraphs Accounts & Finance Service, Postal Wing, Group 'B'
- Indian Salt Service, Group 'B'
- India Meteorological Service, Group 'B'
- Central Secretariat Official Language Service, Group 'B'
- Central Secretariat Stenographers' Service, (Grade I, Grade II and Selection Grade officers only)
- Central Health Service, Group 'B'
- Botanical Survey of India, Group 'B'
- Geological Survey of India, Group 'B'
- Geological Survey of India, Group 'B'
- Survey of India, Group 'B'
- Zoological Survey of India, Group 'B'
- Central Electrical Engineering Service, Group 'B'
- Central Engineering Service, Group 'B'
- Central Power Engineering Service, Group 'B'
- Postal Superintendents' Service, Group 'B'
- Postmasters' Service, Group 'B'
- Railway Board Secretariat Service, Group 'B'
- Telecommunication Engineering Service, Group 'B'
- Telegraphs Traffic Service, Group 'B
- Central Excise Service, Group 'B'
- Customs Appraisers Service, Group 'B'- (Principal Appraisers and Head Appraisers)
- Customs Preventive Service, Group 'B' – (Chief Inspectors)
- Defence Secretariat Service
- Union Territories Administrative Service
- Union Territories Police Service

State/Provincial Civil Services (SCS/PCS)

The Provincial Civil Services (also known as State Civil Services) examinations and recruitments are conducted by the individual states of India. The state civil services deals with subjects such as land revenue, agriculture, forests, education etc. The officers are recruited by different States through the State Public Service Commissions.

- Provincial Civil Services, Class-I (PCS)

- Provincial Police Services, Class-I (PPS)
- Block Development Officer
- Tehsildar/Talukadar/Assistant Collector
- Excise and Taxation Officer
- District Employment Officer
- District Treasury Officer
- District Welfare Officer
- Assistant Registrar Cooperative Societies
- District Food and Supplies Controller/Officer
- Any other Class-I/Class-II service notified as per rules by the concerned State, i.e. officers, lecturers, assistants, associate professors, or principals of Government Degree Colleges, Class I

Reforms and Corruption

> "The IAS is hamstrung by political interference, outdated personnel procedures, and a mixed record on policy implementation, and it is in need of urgent reform. The Indian government should reshape recruitment and promotion processes, improve performance-based assessment of individual officers, and adopt safeguards that promote accountability while protecting bureaucrats from political meddling."
>
> — The Indian Administrative Service Meets Big Data, Carnegie Endowment for International Peace

As of 2011, in a duration of past three years over 450 chargesheets have been filed and a total of 943 cases are at different stages of investigation by CBI against civil servants.

> "We estimate that if India were to pursue civil service reforms and reach the Asian average on government effectiveness, it could add 0.9 percentage points annually to per capita GDP... Institutional quality is a crucial driver of economic performance."
>
> — Goldman Sachs report

A study by the Hong Kong-based *Political and Economic Risk Consultancy*, released in 2012, ranked and rated Indian bureaucracy as the worst in Asia with a 9.21 rating out of 10. According to the study, India's *inefficient and corrupt* bureaucracy was responsible for most of the complaints that business executive have about the country. A paper prepared in 2012 by the Ministry of Personnel, Public Grievances and Pensions states that corruption is prevalent at all levels in civil services and it is *institutionalised*.

On 28 November 2011, the Department of Personnel and Training (DOPT) of the Ministry of Personnel, Public Grievances and Pensions created a proposal to retire and remove incompetent, inefficient and unproductive All India Service officers after 15 years of service, instead of tolerating them until their retirement. Former Cabinet Secretary TSR Subramanian welcomed this move with caution, saying, "Periodical weeding out is very good. But the process to determine who needs to be prematurely retired should be fair and transparent. There is a possibility that even good officers may be targeted because of political reasons,". Former UPSC chairman PC Hota echoed his sentiments remarking that, "We need drastic remedies. The situation has become terrible. The other day an officer in Delhi was arrested for disproportionate assets of Rs.31.5 million. She is just a 2000-batch Indian Administrative Service (IAS) officer with 11 years of service. But at the same time, the officers' service records should be analysed before a decision against him was taken". The proposal has been accepted and rule 16(3) of the All India Services (death-cum-retirement benefits) Rules of 1958 was amended on 31 January 2012.

In October 2013, the Supreme Court of India, in the case of *TSR Subramanian & Ors vs Union of India & Ors* ordered both Government of India and State governments to ensure fixed tenure to civil servants. The court asked senior bureaucrats to write down the oral instructions from politicians so that a record would be kept of all the decisions. This judgement was seen on the similar lines of the Supreme Court's 2006 judgement in Prakash Singh case on police reforms. The judgement was welcomed by various bureaucrats and the media who hoped that it will help in giving freedom and independence to the functioning of bureaucracy.

"Much of the deterioration in the functioning of bureaucracy is due to political interference."

Justice KS Radhakrishnan and Justice PC Ghose, Supreme Court of India

To recruit better candidates for the various services, UPSC brought about changes in the Prelims stage of the Civil Services Examination in 2011 by abolishing the optional subject paper and introducing the Civil Services Aptitude Test (CSAT). Further changes were made in the Mains stage of the exam from 2013 onwards. Despite recent revisions, the contents of the exam are still same and the quality of the candidates is dropping day by day. It requires lot of cramming power to succeed in this exam. Since, only people with no opportunities in private sector, get the time and the patience to prepare for 2-3 years for civil services, the quality of the candidates have really become very low, as the better candidates go for MBA or offshore assignments in IT companies to US.

In 2016, the Ministry of Finance for the first time, dismissed 72 and prematurely retired another 33 Indian Revenue Service officers for non-performance and on disciplinary grounds.

Employment by Agency

Union Government executive branch civilian employment:

• Ministry of Defence • Ministry of Finance • Ministry of External Affairs • Ministry of Home Affairs • Ministry of Agriculture • Ministry of Tribal Affairs • Ministry of Panchayati Raj • Ministry of Micro, Small and Medium Enterprises • Ministry of Science and Technology • Ministry of Earth Sciences • Ministry of Health and Family Welfare • Ministry of Power • Ministry of Corporate Affairs • Ministry of New and Renewable Energy • Ministry of Petroleum and Natural Gas • Ministry of Urban Development • Ministry of Overseas Indian Affairs • Ministry of Communications and Information Technology	• Ministry of Human Resource Development • Ministry of Information and Broadcasting • Ministry of Law and Justice • Ministry of Minority Affairs • Ministry of Labour and Employment • Ministry of Road Transport and Highways • Ministry of Commerce and Industry • Ministry of Textiles • Ministry of Heavy Industries and Public Enterprises • Ministry of Culture • Ministry of Housing and Urban Poverty Alleviation • Ministry of Tourism • Ministry of Steel • Ministry of Shipping • Ministry of Parliamentary Affairs • Ministry of Social Justice and Empowerment • Ministry of Railways	• Ministry of Rural Development • Ministry of Chemicals and Fertilizers • Ministry of Coal • Ministry of Statistics and Programme Implementation • Ministry of Mines • Ministry of Women and Child Development • Ministry of Environment and Forests • Ministry of Development of North Eastern Region • Ministry of Youth Affairs and Sports • Ministry of Consumer Affairs, Food and Public Distribution • Ministry of Food Processing Industries • Ministry of Civil Aviation • Ministry of Culture • Ministry of Drinking Water and Sanitation • Ministry of Water Resources

Independent Agencies:

- Reserve Bank of India
- Securities and Exchange Board of India
- Department of Space
- Department of Atomic Energy
- Planning Commission

- Directorate General of Economic Enforcement
- Directorate General of Income Tax Investigation
- Directorate of Income Tax Intelligence and Criminal Investigation
- Directorate General of Anti-Evasion
- Directorate of Revenue Intelligence
- Employees' Provident Fund Organisation
- National Advisory Council
- Central Bureau of Investigation
- Intelligence Bureau
- Central Vigilance Commission
- National Security Guards

Miscellaneous

Civil Service Day



14th Prime Minister of India Narendra Modi at the Civil Services Day event in 2015. Also seen here Jitendra Singh and 30th Cabinet Secretary of India Ajit Seth.

The Civil Service Day is celebrated on 21 April every year. The purpose for this day is to rededicate and recommit themselves to the cause of the people. It is observed by all Civil Services. This day gives civil servants the opportunity for introspection and thinking about future strategies to deal with the challenges being posed by the changing times.

On this occasion, all officers of Central and State Governments are honoured for excellence in public administration by the Prime Minister of India. The 'Prime Minister Award for Excellence in Public Administration' is presented in three categories. Under this scheme of awards instituted in 2006, all the officers individually or as group or as organisation are eligible.

The award includes a medal, scroll and a cash amount of ₹100,000 (US$1,500). In case of a group, the total award money is ₹500,000 (US$7,400) subject to a maximum of ₹100,000 (US$1,500) per person. For an organisation the cash amount is limited to ₹500,000 (US$7,400).

Brazilian Civil Service

The Brazilian Penal Code defines an official or civil servant as follows: "Article 327 - It is official or civil servant, for criminal purposes, those who, although temporarily or without pay, holds a position, employment or public usefulness. § 1 - Equivalent to a public official who holds a position, job or function in parastatal entity, and who works for the company providing the service or the private contractor for the execution of activity typical of Public Administration. "

Legal Regime of Civil Servants

Originally, the Brazilian Constitution had established that would apply to Federal entities a single legal regime for all its hires. Subsequently, the Constitutional Amendment no. 19 has relaxed this requirement by establishing the possibility of adopting the statutory regime or Hired Under Employment Laws, but was reinstated after the foregoing assessment of ADIn 2135. The regulation of the legal regime of civil servants feferal government, local and federal public foundations is carried out in Brazil by Federal Law no. 8.112/1990. Are not included in the legal regime established by this Act that federal employees are governed by the dictates of the Consolidation of Labor Laws and the Federal Law no. 9.962/2000. It should be understood that the Federal Constitution of 1988, both regimes must respect constitutionally established some rules, for example, all accepted by the public employer shall be subject to a tender or selection process. Thus, in Brazil there are so-called statutory servers (connected to the system of Federal Law no. 8112) and called servers celetistas (obey the Consolidation of Labor Laws). However, in order to grant interim with ex nunc effect on the date of August 2, 2007 ADIn in 2135, which suspended the effectiveness of EC 19 in that it modifies the chapeau of Article 39 for violation of the CF/1988 Article 60, II, of CF/1988 (vice-initiative), the Legal One has been restored.

Tenure

The term *civil servant* and *tenured servant* are employed in the Constitution of 1988. Article 41 of the Federal Constitution states that "Servants who, by virtue of public entrance examinations, are appointed to effective posts, acquire tenure after three years of actual service."

The civil servants are listed as a category of public servants: they are permanent staff, professionals in the service of Public Administration. In the Brazilian Penal Code, however, there is reference to a public official, which has broader scope than the public server. One board member, for example, by exercising a public function (help in the electoral process), is a civilian employee (in respect of acts performed as a board member), despite a public transient and unpaid.

Entrance

Filling is the administrative act of filling public office in Brazil regulated by Law No. 8112 of November 11, 1990 . Under the legislation, the provision may be given by appointment, promotion, rehabilitation, recovery, recovery, reintegration and renewal.Each of these forms of provision has a special significance in public administration and specify the legal form of access to public office in Brazil.

Compensation

The fee payment for services rendered to the state civil servant is given as follows:

- I Maturity: the cash consideration for the exercise of public office, with the rate fixed by law;
- II Remuneration: Salary is the effective position, plus the permanent pecuniary advantages determined by law;
- III Grant: is the exclusive and fixed fee payment in a lump sum, sealed the addition of any bonus, extra, bonus, award, grant or other type of representation remuneration. This type of pay is not the general rule and applies to cases that the law specify;

Earning.

- IV: the return of money paid to exercente of public office when going from activity to inactivity, or when he retires;
- V board: cash is retribution paid to the persons to whom the law attributes the condition of receiving the public servant who died.

CF/88 Article 39 § 4: The State of Power, the holder of an elective office, Ministers of State and Municipal and State Secretaries shall be paid exclusively by fixed allowance in a lump sum, sealed the addition of any bonus, additional allowance, award, grant or other type of representation remuneration, obeyed in any case the provisions of art. 37, X and X Any salary within the public service may exceed the value of allowances paid to Justices of the Supreme Court (STF) and the salaries of the offices of the Legislative and the Judiciary can not be higher than those paid by the executive. Despite these rules exist, many people are wondering if they are indeed obeyed.

Public Service of Canada

The Public Service of Canada (known as the Civil Service of Canada prior to 1967) is the civil service of the Government of Canada. Its function is to serve as the staff of the Canadian Crown. The head of the Public Service of Canada is the Clerk of the Privy Council and he or she is Canada's senior serving civil servant.

The Public Service is divided into various subsidiary administrative units such as departments, agencies, commissions, Crown corporations, and other federal organizations. Over 40% of the Public Service of Canada is located in the National Capital Region, although there are employees working at approximately 1,600 locations across Canada. The Public Service of Canada is the country's single largest employer.

Purpose

The purpose of the Public Service of Canada is to serve the constitutional democratic Canadian state. As is suggested by referring to the Public Service of Canada as part of the "executive branch", its fundamental purpose is to execute or carry out state decisions.

The decisions of the state take various forms and are taken in various ways. The most fundamental decisions of the state are those expressed in the constitution. Altering these decisions often requires the participation of multiple Canadian legislative assemblies (i.e. federal and provincial). It is the duty of the executive branch, including the public service, to execute or carry out the constitution—that is, to act in ways that are consistent with it.

The state also takes decisions through its legislatures, federal and provincial. The federal legislature of the Canadian state is Parliament, consisting of the Senate, the House of Commons and Her Majesty the Queen as head of state. When Parliament takes a decision, the result is generally a statute (though a particular house may also take lesser decisions such as resolutions of the house). The duty of the executive branch of the state, including the public service, is to execute or carry out the decisions that the state has taken by way of statutes.

A third way the state takes decisions is through the enactment of subordinate or delegated legislation. Statutes can and often do delegate to someone other than Parliament (often to the executive of the state) the power to make a subordinate form of legislation, generally referred to as regulations. The public service, as the administrative arm of the state, also has the duty to execute or carry out any regulations so enacted.

In addition to the fundamental role of carrying out decisions taken by the state, the public service also has a role to play in supporting the executive in its other main role or function. In addition to carrying out decisions already taken, the executive of the state has an important leadership role in helping the state to respond to the opportunities and challenges that arise in the ongoing operation of the state. In carrying out this forward-looking or planning role, the executive develops proposals relevant to each level of state decision. It may initiate a proposal to amend the constitution, it may introduce a bill (i.e. a proposal to Parliament to enact a new statute), or, acting within the delegated regulation-making powers already given, it may develop new regulations or amendments to existing ones.

The public service supports the executive in this planning role and this role also is service to the Canadian state. Because the public service is serving the state, not the executive, its purpose and duty is to perform this supportive role in a politically neutral way, giving impartial advice relating to the substance of the problems, opportunities and options available and leaving the political considerations to the political staff of the executive.

Structure

In 2007, there were approximately 200 departments (e.g., Health Canada), agencies (e.g., Parks Canada), commissions (e.g., Canadian Grain Commission), boards (e.g., Veterans Review and Appeal Board), councils (e.g., Canadian Judicial Council) and crown corporations (e.g., Royal Canadian Mint).

In a typical department, it is the minister who holds the respective portfolio who has overall responsibility for the management and direction of the department (i.e. the Minister of National Defence holds the Defence Portfolio, which includes many different organisations, one of which being the Department of National Defence). The deputy minister is the head of the department and is its senior serving civil servant, and therefore has responsibility for all of the department's

day-to-day operations. However, it is always the respective minister who is held accountable to parliament for its operations.

A variety of associate and assistant deputy ministers head the various sections of responsibility within a department (i.e. policy, finance and corporate services, environment and infrastructure, etc.). Within the jurisdiction of each Assistant Deputy Minister, is usually one to two Associate Deputy Ministers and beneath them two to five Directors-General who oversee more functional areas of each broad element of the department. Under Directors-General are Directors, who oversee various directorates, which are the core of any department. These directorates constitute the ground level in each department, and are the members of the civil service who implement state decisions, carry out research, and help to formulate proposals.

Personnel

Hiring

Hiring (or selection) of civil service employees is typically done through a selection process that is either open to employees of the Public Service only (internal) or open to the general public (external). External processes are typically done to recruit a greater number of applicants. Conversely, internal processes may be held for positions where there is considered to be an adequate internal candidates and/or to provide opportunities for advancement within the civil service.

The area of selection varies greatly depending on whether it is conducted as an internal or external process. The latter are open to Canadian citizens nationally, and sometimes internationally.

Since the 2005 coming into force of the 2003 Public Service Modernization Act, selection processes focus less on a rules-based concept of *best-qualified*, and more on a values-based approach that enables managers to hire qualified and competent individuals whose experience, skills and knowledge are the right fit given the position's current and future needs.

Federal civil service employees in Canada are employed by the state, but because of Canada's history and formal structure as a monarchy, they are often described as being employed by the Crown, who personifies the state and "enjoys a general capacity to contract in accordance with the rule of ordinary law." Since the Public Service Modernization Act came into force, individuals must take an oath of allegiance before they can assume their post.

Hiring in the core public administration is governed by the Public Service Employment Act, while other organizations hire independently.

Size and Distribution

The Public Service has expanded over the years as populations have grown. The number of services provided to Canadians has increased with the introduction of new offices throughout the country. The civil service has also been reduced several times, often due to restraint programs designed to reduce the cost of the civil service, such as the reductions of the mid 1990s led by Prime Minister Jean Chrétien, and most recently under the government of Prime Minister Stephen Harper in 2012.

Year	Size of Civil Service (CS)	national pop.	CS as a % of national pop.
1918	~ 5,000	~ 8,500,000	0.05%
post-World War I	55,000 (1923)	~ 13,500,000	0.41%
1970	198,000	21,500,000	0.92%
1975	273,000	23,400,000	1.2%
1983	251,000	25,367,000	0.99%
1986	217,000	26,101,000	0.83%
2008	263,000	32,248,000	0.82%
2009	274,000	33,894,000	0.81%
2010	283,000	34,149,200	0.83%
2011	282,352	34,483,975	0.82%
2012	278,092	34,670,352	0.80%
2013	262,817	35,056,100	0.75%
2014	257,138	35,427,524	0.73%

As of September, 2006, there were approximately 454,000 members employed by the Canadian federal government, divided as follows:

- Federal departments: 180,000
- Federal agencies: 60,000
- Parliamentary officers and administrators: 20,000
- Canadian Forces and Royal Canadian Mounted Police (RCMP): 106,000
- Federal business enterprises (including crown corporations): 88,000

Only those in the first three categories would be considered civil service employees.

There are approximately 80 distinct job classifications in the core civil service; most work in policy, operations or administrative functions. About 15% are scientists and professionals, 10% work in technical operations and 2.5% are executives.

About 42% of Canadian civil servants work in the National Capital Region (NCR) (Ottawa-Hull), 24% work elsewhere in Ontario or Quebec, 21% in Western Canada, and 11% in Atlantic Canada. Since the headquarters of most agencies are located in the NCR, about 72% of executives work in this area.

Canadian civil servants are also located in more than 180 countries (in the form of foreign service officers) and provide service in 1,600 locations in Canada.

Approximately 80% of federal civil service employees are represented by a bargaining agent (union). The greatest number of civil servants are members of the Public Service Alliance of Canada. They negotiate a collective bargaining agreement for blue collar workers, and most administrative staff.

Gender and Ethnicity

The Canadian Public Service has made significant efforts to reflect the gender balance, linguistic, and ethnic diversity in Canada.

Sub-group	Canadian Civil Service	Available Workforce
female	53%	52%
Francophone	32%	24%
self-identified visible minorities	8.1%	10.4%
self-identified people with disabilities	5.9%	3.6%
aboriginal	4.1%	2.5%

Historical Timeline

- Before responsible government, Canada had no real civil service; government officials were appointed by either the Crown or the colonial administration. provincial. These officials usually served for an unspecified period ("during the pleasure of the Crown") for as long as they were deemed fit for the position.
- 1849 - when responsible government began in 1849, there was a recognition that the roles of the political and non-political government officials needed to be defined and distinguished from one another.
- 1868 - the Canada Civil Service Act was enacted.
- The "Civil Service Act" of 1882 created a process for examining candidates for the civil service, with a Board of Civil Service Examiners.
- 1908 - the Civil Service Amendment Act created the Civil Service Commission, to oversee appointments to government positions (the "inside service").
- The Civil Service Act 1918 brought the outside service under the domain of the Commission, along with greater oversight with regards to appointments and promotions for members of the "inside service".
- 1920s - the Commission created of a competitive system of examinations for appointment and promotion (a merit system) as a viable alternative to the patronage system.
- 1921 - formal restrictions were placed against the employment of married women. Women already holding permanent positions who married had to resign. These restrictions were not removed until 1955.
- 1924 - The Civil Service Superannuation Act was intended to promote and protect a career civil service.
- 1932 - staff control regulations are established and Treasury Board is given authority over the Civil Service Commission's staffing responsibilities.
- 1949 - the number of World War II veterans assigned to positions in the civil service under the statutory veterans preference rises to 55,000.

- 1951 - The Financial Administration Act of 1951 provided final authority to the Treasury Board for management (administration and organization) of the public service.
- 1957 - The CSC establishes the Pay Research Bureau to provide objective information on rates of pay and conditions of employment in government and industry, and to recommend salary rates for civil servants.
- 1961 - The new Civil Service Act of 1961 gave civil servants the right of appeal against not only promotions, but also transfers, demotions, suspensions and dismissals.
- 1962 - The Government adopted recommendations by the Royal Commission on Government Organization (Glassco Commission) on the management of the Public Service, including delegating authority to departments to manage their own personnel and to be held accountable for efficient performance.
- 1966 - Bilingualism becomes an element of merit in the national capital area.
- 1967 - Public Service Employment Act (PSEA) and Public Service Staff Relations Act (PSSRA) come into effect. The PSEA gave the renamed Public Service Commission the responsibility for all the elements of the staffing process. The PSSRA created a collective bargaining regime in the civil service.
- early 1970s - rapid expansion of the public service.
- Late 1970s - significant reduction of public service.
- 1979 - The Bilingualism Bonus was introduced for public servants who met the bilingual language requirements of their positions.
- 1984 - the Commission on Equality in Employment issued its report, which recommended that targets and not quotas are the most effective means of achieving equity in the employment of members of under-represented groups.
- 1986 - further employment layoff programs again reduce the public service.
- 1992 - Public Service Reform Act amends both the PSEA and the Public Service Staff Relations Act. This provides more flexibility for managers to respond quickly to changing operational needs or to allow employees to acquire new skills. The Act also enabled the PSC to prescribe standards of competence to measure merit.
- 1995 - a restraint-focused federal budget leads to further reductions (45,000) in the size of the civil service.
- Late 1990s and early 2000s - rapid growth of the public service
- 2003 - Public Service Modernization Act is passed and comes into effect in 2004 and 2005. The Canada School of Public Service is formed.
- 2005 - New Public Service Employment Act is released with significant changes to the staffing system. Recruitment is now the responsibility of Deputy Heads. A new Public Service Staffing Tribunal is put in place to deal with complaints of abuse of authority in internal appointments. The Public Service Labour Relations also comes into effect. The Financial

Administration Act is also amended and provides for strong accountability on managers of the public service.

Hong Kong Civil Service

The Hong Kong Civil Service is managed by 13 policy bureaux in the Government Secretariat, and 67 departments and agencies, mostly staffed by civil servants. The Secretary for the Civil Service (SCS) is one of the Principal Officials appointed under the Accountability System and a Member of the Executive Council. He heads the Civil Service Bureau (CSB) of the Government Secretariat and is responsible to the Chief Executive (CE) for civil service policies as well as the overall management and development of the civil service. His primary role is to ensure that the civil service serves the best interests of the community and delivers various services in a trustworthy, efficient and cost effective manner. The CSB assumes overall policy responsibility for the management of the civil service, including such matters as appointment, pay and conditions of service, staff management, manpower planning, training, and discipline.

Appointment

Appointments to the civil service are based on open and fair competition. Candidates have to go through competitive appointment processes and are appointed only if they possess the qualifications and capabilities required for the job. Vacancies can be filled by promotion from within the service. In the case of basic ranks or where promotion is not possible or where there is a special need, vacancies are filled by open recruitment. To achieve the target of reducing the civil service establishment, the Government implemented a general recruitment freeze to the civil service with effect from April 1, 2003, with exemption granted only on very exceptional circumstances. Entry requirements for civil service posts in general are set on the basis of academic or professional qualifications obtainable from local institutions or professional bodies (or equivalent), technical skills, work experience, language proficiency and other qualities and attributes as required. To achieve the aim of a civil service which is biliterate (Chinese and English) and trilingual (generally conversant in spoken Cantonese, English and Mandarin), language proficiency in Chinese and English is also required. From January 2003 onwards, for civil service posts requiring degree or professional qualifications, applicants should pass the two language papers (Use of Chinese and Use of English) in the Common Recruitment Examination before job application. For civil service posts with general academic qualifications set below degree level, applicants should attain at least Grade E in Chinese and English (Syllabus B) in the Hong Kong Certificate of Education Examination, or equivalent. In accordance with the Basic Law, new recruits appointed on or after July 1, 1997 must be permanent residents of the Hong Kong Special Administrative Region, save for certain specified exceptions.

Promotion

Officers are promoted on the criteria of character, ability, experience and prescribed qualifications. All eligible officers are considered on an equal basis. The officer selected for promotion must be the most meritorious one who is able and ready to perform duties at a higher rank.

Public Service Commission

The commission is an independent statutory body responsible for advising the CE on civil service appointment, promotion and disciplinary matters. In practice, the advice is rendered to the SCS and the CSB deals with the commission on individual cases. The chairman and members of the commission are appointed by the CE. The commission seeks to ensure the impartiality and fairness in appointments to the civil service and also advises on discipline matters. In accordance with the Public Service Commission Ordinance, advice of the commission has to be sought for appointment or promotion of officers to middle and senior ranking posts (excluding the disciplined ranks of the Hong Kong Police Force). The commission is also consulted on changes in appointment procedures applicable to civil service posts.

Independent Advisory Bodies on Pay and Conditions of Service

Three independent bodies advise the Government on matters relating to pay and conditions of service. Their members are selected from outside the Government. The Standing Committee on Directorate Salaries and Conditions of Service advises on matters affecting the directorate. The Standing Commission on Civil Service Salaries and Conditions of Service advises on the principles and practices governing the pay and conditions of service of all non-directorate staff except those in the judicial and disciplined services. The Standing Committee on Disciplined Services Salaries and Conditions of Service advises on the pay and conditions of service of all disciplined services staff except the heads of the services who remain under the purview of the Standing Committee on Directorate Salaries and Conditions of Services.

Pay policy and System

It is the Government's established policy to offer sufficient remuneration to attract, retain and motivate staff of a suitable calibre to provide the public with an effective, efficient and high quality service. In order to ensure that civil service pay is regarded as fair and reasonable by both civil servants who provide the service and the public who foot the bill, the Government adopts the principle that the level of civil service pay should be broadly comparable with private sector pay. In 2003, the CSB embarked on an exercise to develop an improved civil service pay adjustment mechanism for long-term adoption in the civil service. The exercise has stemmed from the recommendations arising from the Review of Civil Service Pay Policy and System. Under the improved civil service pay adjustment mechanism, the conduct of periodic pay level surveys will be the principal means to ascertain whether civil service pay is broadly comparable to private sector pay and thus, in compliance with the established civil service pay policy. The CSB issued a consultation paper in November 2004, setting out the methodology of the pay level survey as recommended by a consultant and the proposals on the application of the survey results to the civil service. The field work of the pay level survey was to be carried out on the basis of April 2005 private sector pay, but implementation was delayed a year. In April 2007, the results were announced: 20 years after the previous such Pay Level Survey, none of the jobs in the public sector was found to be paid more than 5% above or below its private sector equivalent.

Apart from salaries, civil servants are eligible for various fringe benefits depending on their terms of appointment, rank, salary point, length of service, and other eligibility rules. Proactive steps

have been taken over the years to modernise the provision of fringe benefits to civil servants. The payment of many fringe benefit type of allowances has been either ceased or tightened up for new recruits offered appointment on or after June 1, 2000 to reflect present day circumstances . In June 2004, the CSB has commenced a review on fringe benefit type of allowances to ensure that payment of civil service allowances is in line with today's circumstances, to enhance control over government expenditure in this area, and to improve efficiency in the administration of these allowances.

Training and Development

The main objectives of training and development are to equip civil servants with updated knowledge and skills, and to develop their potential so that they can continue to improve their performance and provide quality service to the public. Training and development programmes are carefully designed to enhance performance and to support the core values of the civil service. Job-related training is arranged by departments while induction and grade specific management training for general grade members are in general provided by respective grade management. Full-time and part-time courses are provided, either locally or overseas, for staff to obtain the requisite knowledge. The CSB provides robust training and development support to departments through its Civil Service Training and Development Institute. There are four core service areas: senior executive development, national studies programmes, human resources management consultancy service and promotion of a continuous learning culture. Senior executive development programmes include leadership development and national studies programmes for directorate and potential directorate officers. Advisory services on Human Resources Development (HRD) and succession planning are also provided. National studies programmes include courses at Mainland institutes like the National School of Administration, Foreign Affairs University, Tsinghua University and Peking University. There are also local programmes on national affairs and the Basic Law, as well as staff exchange programme with the Mainland. To promote a continuous learning culture, an e-learning portal, the Cyber Learning Centre Plus has been launched. The comprehensive suite of learning resources and training information in there help staff learn at their own pace. The Institute also disseminates best practices in HRD through its advisory services in training needs analysis, learning strategies, development of competency profiles, and performance management systems, etc.

Performance Management

Through the performance appraisal process, staff at different levels are made aware of the standard of performance expected of them. Proper management of the process helps maximise individual performance and enhance the corporate efficiency and effectiveness of the civil service as a whole. As an integral part of the overall human resource management functions, it is a major tool in human resource planning (e.g. succession planning), development (e.g. training and job rotation), and management (e.g. confirmation, promotion, posting and disciplinary action). Performance appraisal of staff is an ongoing process. While appraisal reports would normally be completed annually, regular communication between managers and staff on performance is essential. Transparency and objectivity of the appraisal process are also emphasised. To improve the system, department management is encouraged to put in place assessment panels to undertake levelling and moderating work among appraisal reports, identify under-performers/outstanding performers for appropriate action, adopt other management tools including target-based assessment and

core competencies assessment, and ensure supervisors do an honest, objective and timely assessment of their subordinates. The performance management system ensures good performance and exemplary service are rewarded and given due recognition, whilst under-performers are managed, counselled and offered assistance to bring their performance up to requirement. For persistent substandard performers who fail to improve, action will be taken to retire them in the public interest. In recognition of long and meritorious services, there are the Long and Meritorious Service Travel Award Scheme, the Long and Meritorious Service Award Scheme and the Retirement Souvenir Scheme. A commendation system also exists to give recognition to exemplary performance.

Staff Discipline

Disciplinary action is taken against an act of misconduct to achieve a punitive, rehabilitative and deterrent effect. All disciplinary actions are handled promptly and in accordance with established procedures and the principles of natural justice to help enhance management credibility and staff morale.

Staff Relations

There is both a central and a departmental staff consultative machinery. Centrally, there are the Senior Civil Service Council, the Model Scale 1 Staff Consultative Council, the Police Force Council, and the Disciplined Services Consultative Council. Through these channels, the Government consults its staff on any major changes, which affect their conditions of service. At the departmental level, there are Departmental Consultative Committees which aim to improve co-operation and understanding between management and staff through regular exchanges of views. There are established channels to deal with staff grievances and complaints. Individual members of staff with problems can receive counselling, advice and help. A Staff Suggestions Scheme is run by both the CSB and departments to encourage staff to make suggestions for improving the efficiency of the civil service. Awards are given to those whose suggestions are found useful. A Staff Welfare Fund caters for the interests of staff. A Staff Relief Fund provides assistance to meet unforeseen financial needs to staff.

Reform

Consultation of civil service reform took place in March 1999. The aim of civil service reform is to make Hong Kong civil servants more flexible and prepare themselves to face the changes and increasingly demanding challenges in the years ahead and meet the demands of society.

French Civil Service

The French Civil Service (French: *fonction publique française*) is the set of civil servants (*fonctionnaires*) working for the French government.

Not all employees of the state and public institutions or corporations are civil servants; however, the media often incorrectly equate “government employee” or “employee of a public corporation” with *fonctionnaire*. For instance, most employees of RATP and SNCF (road and rail transport

authorities) are not civil servants. The Civil Service is also sometimes incorrectly referred to as the *administration*, but, properly speaking, the *administration* is the compound of public administrations and public administrative establishments, not their employees.

About half of the civil servants are employed in the French public education system.

Most employment positions in the French civil service are open to citizens of the European Union. Others, especially in police and justice, are specifically reserved for nationals, while a minority are open regardless of citizenship.

Divisions

The Civil Service is divided into:

- the civil service of the State (*fonction publique de l'État*);
- the judiciary (*magistrature*);
- the civil service of public hospitals (*fonction publique hospitalière*);
- the civil service of local governments (*fonction publique territoriale*).

Technically, *fonction publique* may also refer to *fonction publique militaire*, the personnel of military status. They are generally counted apart. There also exist *ouvriers d'État* - that is, State Workers - for industrial functions.

Corps and Ranks

Civil servants of the State are divided into corps (administration), which may themselves be divided into ranks (*grades*) (called *classes* in certain corps). Corps are grouped in 3 categories (formerly 4) named A to C, in decreasing order of educational knowledge theoretically required, A meaning "college graduate". For instance, the corps of professors of the universities is a category A corps divided into 3 classes, in increasing order of seniority: second class (equivalent to an American associate professor), first class (full professor), exceptional class (leading full professor in his area). Generally, to avoid rank inflation, the number of civil servants in the higher ranks (especially "exceptional class") is contrained by a maximal percentage of the total number of civil servants of the corps. Each corps has a set of possible job or task descriptions and may have its own particular statutes.

Other French Civil Services have different organisations; for instance the Fonction Publique Territoriale is not divided between rigid "corps" but between "cadres d'emploi" (type of job).

Grands Corps de l'Etat

Certain corps enjoying particular prestige are called the "grands corps de l'Etat":

- Grand Technical Corps of the State, consisting of engineers, generally recruited at École polytechnique (also at the écoles normales supérieures). In practice, they are more likely to be employed in executive positions than in purely technical positions.

    - Corps des mines, merged with the Corps of Telecommunications in 2009
    - Corps des ponts
    - Corps des télécommunications, merged into the Corps des mines in 2009
    - Corps de l'armement
    - Corps de l'INSEE
- Grand Administrative Corps of the State, generally recruited through the École nationale d'administration
    - Conseil d'État
    - Inspection générale des finances.
    - Cour des comptes

High-level administrative positions are typically paid much less than the equivalent positions in private industries. However, members of grand Corps often practice *pantouflage* — that is, they take temporarily (and sometimes permanent) leave from government work and go work in industry. Occasionally, people from a ministry supervising some industry would later go to work in that same industry; this practice was later prohibited. *Pantouflage* however still exists, and the cozyness between some industrial, political and administrative circles is regularly denounced.

Members of the great administrative corps are well represented in politics. This is facilitated by civil servants (of any level) being able to exercise elected office on a temporary leave (*détachement*) from government.

Duties

Civil servants have duties; failure to carry them out may result in disciplinary action, up to discharge. The main duties are:

Full Commitment to Professional Activity

A civil servant should devote his full professional activity to his appointed task. By exception, a civil servant may in addition to his regular activities write books; he may also accomplish certain tasks (teaching...) with the permission of his hierarchical supervisor.

Morality

One cannot be a civil servant if one has been convicted of a crime incompatible with one's functions.

In certain exceptional cases, certain aspects of the private life of a civil servant may be termed incompatible with his functions. For instance, it is inappropriate for a member of the police or the judiciary to live with a delinquent partner or a prostitute. Appreciation of what is appropriate or not is largely a matter of case law.

Reserve

A civil servant should not, by his actions and especially by his declarations, cause harm to institutions.

Generally speaking, a civil servant should always refrain from enunciating personal opinions in a manner that can be construed as expressing the official opinion of the French government or a public institution. Obviously, this is more of a matter for the higher managerial positions. Agents operating abroad should be especially prudent. For instance, an ambassador should refrain from making any private comment on international issues.

The academic freedom of university professors is a principle recognized (in theory) by the laws of the Republic, as defined by the Constitutional Council; furthermore, statute law declares about higher education that *teachers-researchers [university professors and assistant professors], researchers and teachers are fully independent and enjoy full freedom of speech in the course of their research and teaching activities, provided they respect, following university traditions and the dispositions of this code, principles of tolerance and objectivity* (Education Code, L952-2).

Hierarchical Obedience

A civil servant must accomplish the orders given by his hierarchical supervisor, unless those orders are evidently illegal and contrary to public interest.

While the hierarchical authority is normally responsible for assigning civil servants to positions and evaluating their work, certain corps of civil servants follow specific rules regarding the management, evaluation and discipline of their members. For instance, professors and researchers are evaluated by elected committees of their peers.

Professional Discretion

Civil servants must not reveal private or secret information that they have gained in the course of their duties.

Honesty

Civil servants must not use the means at their professional disposal for private gain.

Neutrality

Civil servant must be neutral with respect to the religious or political opinions, origin, or sex, and should refrain from expressing their own opinions.

Recruitment and Career

Most positions are open to citizens of the European Union. Certain positions involving the main powers of the state (e.g. Police) are open only to French nationals. Some rare positions, e.g. university professors and researchers, are open regardless of citizenship.

As an exception to the general rules concerning workers, civil servants do not sign contracts; their situation is defined by statutory and regulatory dispositions, most notably the General Statute of the Civil Servants (*Statut Général des Fonctionnaires*).

The general rule is that civil servants are recruited through competitive exams, either:

- external, reserved to competitors fulfilling certain conditions of diplomas and age;
- internal, reserved to civil servants in certain positions;
- external, reserved to competitors having certain professional experience and age.

The most common method is to organize written and/or oral exams in subjects pertaining to the tasks to be accomplished. For certain positions, such as professorships in universities, the exam, organized locally for each position or each set of similar positions, consists in the submission of a file listing the professional qualifications and experience of the candidate, followed by an interview. In all cases, a committee ranks candidates by order of preference; the positions are filled by the candidates accepting them called in that order of preference. For some top managerial positions, nominations are at the discretion of the executive.

High level nominations are made by the President of the Republic in the council of ministers. The rest are by the head of the agency they belong to, or by a minister; in fact, they are in general appointed by some person who has received from the head of agency or minister the authority to do so.

Pay

The pay of a civil servant is composed of:

- a base pay known as *traitement*
- possible overtime pay
- possible bonuses, which depend on the particular job assignment and possibly of the individual worker.

The *traitement* is for most civil servants fixed by multiply an index by the value of the index point in Euros. The value of the index point is set by the executive and is raised regularly to compensate for inflation. The index depends on the corps, rank and seniority in rank (*échelon*).

In the case of high-level civil servants known as *hors échelle*, the corps, rank and seniority correspond to a letter code (e.g. A1, E2, G); the corresponding yearly pay can then be looked up in tables set by the executive. For instance, the topmost *traitement*, corresponding to pay grade G, is €82737.67 per year, starting 1 July 2009.

There are special rules for the pays of elected officials and government ministers.

Statistics

On December 31, 1999, official statistics give for the state civil service:

Ministries	Civil servants	Ouvriers EVY	Other civilian employees	Military personnel	Total
Foreign affairs	7,159	150	6,767	974	15,050
Agriculture	29,724	34	8,316	23	38,097
Veteran affairs	1,934	76	337	20	2,367
Cooperation with foreign countries	1,851		1,660	585	4,096
Culture	12,212		2,532		14,744
Defense	33,324	49,763	7,979	318,057	409,123
Economy, finances and industry	187,728	739	16,005	348	204,820
National education	942,651		96,487	4	1,039,142
Employment and solidarity	22,928		7,158	22	30,108
Higher education	117,411	8	17,088		134,507
Equipment, housing, transportation	95,797	9,508	11,359	547	117,211
Interior (including police)	161,978	1,593	20,410 (1)	34	184,015
Youth and sports	6,411		4,093		10,504
Justice	61,232		4,764	2	65,998
Overseas affairs	2,171		468	865	3,504
Research	20		9,041		9,061
Services of the prime minister	1,367	666	1,127		3,160
Total	1,685,898	62,537	215,591	321,481	2,285,507

(1) Including 12,000 young employees on limited time contracts.

Beamter

The German word *Beamter* (female: *Beamtin* or *Beamte*, plural: *Beamte*) means civil servant, and is pronounced, with a glottal stop between the "e" and the "a". This English translation is ambiguous, as German law draws a distinction between two classes of public servants, namely regular public employees (*Angestellte*), who are generally subject to the same body of laws and regulations as employees in the private sector, and Beamte with their own, particular legal status. This distinction is not drawn in most other states.

The conceptual foundation of Beamte is to be found in the "enlightened rule" of monarchs practised in 18th-century Prussia and other German states. These states did not accept "radical" concepts such as democracy or popular sovereignty, but they did struggle to professionalise their public services and to reduce corruption and favouritism. The idea was that whoever represents the state by undertaking official duties which only the state may legally provide (*hoheitliche Aufgaben*), such as issuing official documents, teaching state-approved curricula to students, preaching in state-approved churches, or making any other kind of official decisions, should have a special legal status and relationship with the state characterised by a higher-than-normal degree of loyalty. At bottom, that loyalty is regarded as mutual, with Beamte having a special duty of service

(*Dienstpflicht*) going beyond the duties of salaried workers, with the state having a special duty of seeing to their welfare (*Fürsorgepflicht*) that likewise goes beyond what would be expected of a commercial employer.

While soldiers and judges are not considered Beamte in Germany, many of the same rules apply to them. However, unlike Beamte, judges are not subject to the usual hierarchy and order of command of government, in order to preserve judicial independence. Similarly, unlike Beamte, soldiers cannot be ordered to act in any manner unrelated to the defence of the state (with the exception of providing peaceful aid in specific emergency situations laid down by law), so as to preserve the civilian nature of the German government.

Advantages

In modern times, many state functions are carried out by non-Beamte. This is in part due to the financial burden imposed on the state by having Beamte, a status that comes with a range of privileges. These include a special health plan, the *Beihilfe*, which covers 50% of most health care expenses, the other part being the responsibility of the Beamter himself and usually being covered by taking out private health insurance; an index-linked pension of at most 71.25% of the last salary, paid directly by the state rather than by the usual public pension insurance provider; and most importantly, the virtual impossibility of losing one's job - basically, the state may transfer Beamte who do not perform well to other, often less desirable (but not less paid), posts, but may only terminate employment entirely in cases of serious felonies. It is a common feature of most governments that Beamte are virtually non-dismissible. Thus in the United Kingdom, civil servants, although technically employed at the queen's pleasure, were for a long time regarded as having such a status, although a number of civil servants were made redundant in the wake of the 2009 recession. German Beamte, by contrast, hold tenure for life as protected by Art. 33(5) of the Basic Law: appointment is for life and subject to public law, not private-law employment regulations. There is no contract of employment between the Beamter and the state entity employing him. Entities that may employ Beamte include, other than the federal government, the 16 state government and all local authorities, certain corporations, agencies and foundations governed by public law, such as the Catholic and Lutheran churches, whose priests have a status similar to that of Beamte. These are not, however, employed by the state but by the churches in their capacity as corporations of public law.

Compared to employees *stricto sensu*, Beamte are exempt from all payroll taxes, although they are naturally subject to income tax (and unlike state pension, the pensions of Beamte are equally subject to income tax) and private medical insurance. Beamte may not generally opt into Germany's public health insurance services covering most, if not all, German employees, both in the public and private sectors. Spouses and dependent children of Beamte have to be insured individually through private insurance, although they also receive Beihilfe.

Disadvantages

One notable disadvantage is that Beamte, unlike all other public or private employees, lack the right to strike. Furthermore, their salary and working hours are determined by law, rather than by negotiations between employers and unions. As a result, the usual working week for ordinary public employees is 38.5 hours, whereas for Beamte it is now between 40 and 42 hours, depending on the entity employing the Beamter.

Beamte committing a crime - whether on or off duty - face double punishment, by being subject to both the criminal law and internal disciplinary procedures.

Beamte have fewer rights to engage in political work. Some people believe that once *Beamtenstatus* (i.e. tenure for life as a civil servant) is conferred, civil servants lack further professional motivation, to the detriment of those they are appointed to serve.

Becoming a Beamter

A prospective Beamter must be a national of the Federal Republic of Germany or of a member state of the European Union (although there are now multiple exceptions), and must generally achieve the status by the age of 35. There are four professional tracks for Beamte, depending on their education:

- *Einfacher Dienst* (simple or lower service), mainly for positions of menial work, which has mostly fallen out of use. Similar to enlisted ranks excluding non-commissioned officers.
- *Mittlerer Dienst* (middle service), mainly for positions requiring roughly the equivalent of a completed apprenticeship. Similar to non-commissioned officers.
- *Gehobener Dienst* (upper service), mainly for positions requiring a bachelor's degree or its equivalent. This bachelor's degree is often obtained whilst studying at a public institute of higher education provided, and working as a trainee Beamter. Similar to commissioned officer (who however obtain their master's degree before taking up a troop post).
- *Höherer Dienst* (senior service), restricted to graduates holding a master's degree or its equivalent. Similar to officers of rank major and above, and to all judges.

Teachers of primary and II and III class secondary schools have a position unofficially between upper and senior service (to which latter the I class secondary school teachers belong, as they begin their service in the highest pay grade of upper service and can by promotion reach senior service (yet in the case of primary teachers, promotion is practically restricted to the principal).

Conferral of the status of Beamter does not involve any contract, but letters of appointment (*Ernennungsurkunde*). The new Beamter‘s first task is to swear his oath of office, including a pledge to uphold federal laws and the constitution (*Grundgesetz*), and - where the employing entity is not the federal government - the constitution and laws of the respective state.

There are typically three steps involved in becoming a Beamter with full tenure for life:

1. For all four career tracks (lower, middle, upper and senior civil service) there are specially-designed training schemes lasting one year (lower service), two years (middle and senior service) or three years (upper service), including oral and written exams as well as a dissertation. There are exceptions for highly technical tasks. Trainee Beamte usually have the title *Anwärter*, preceded by the official term of the position, e.g. *Regierungssekretärsanwärter (RSA)* (Trainee Government Secretary) or *Kriminalkommissaranwärter (KKA)* (Trainee Detective Inspector). Trainee officials of the senior service are called *Referendare*, e.g. *Studienreferendar* for a trainee teacher. They receive a special salary and hold the legal status of Beamter, albeit without tenure for life.

2. The trainee period is followed by a probationary period. This period usually lasts three years, occasionally longer. The salary is based on the salary grade which the Beamter will hold upon achieving tenure for life. Usually, the designation of office precedes the abbreviation "z. A." (*zur Anstellung*), which means "to be employed", e.g. *Regierungsinspektor z. A.* Again, there is an exception with regard to the senior service, where probationary Beamte may be called *Rat z. A.* (e.g. *Studienrat z. A., Regierungsrat z. A.*), or, alternatively, *Assessor*, although this is now less common.
3. The official becomes a *Beamter auf Lebenszeit*, i.e. a Beamter with full tenure for life.

It should be borne in mind that, whether applicants undergo steps 1, 2, or 3, they are already hold the status of Beamter, although initially in training or on probation.

Fields of Work

The status of Beamter is held by administrative officials, but also by policemen, prison guards, customs officers, most teachers and university professors, and other professionals in the public service, and by certain holders of political offices such as mayors (but not ministers, who have a peculiar, but similar, status governed by public law). For holders of political office, the status of Beamter is not permanent, only applying during the term of office. Furthermore, while most teachers in the Western states of Germany are Beamte, this is not necessarily the case in Eastern states. Berlin, for example, has abolished the status of Beamter for teachers.

Formerly, Beamter status used to be bestowed more liberally. As it results in permanent tenure, there are still many Beamte amongst those working for the German post office (Deutsche Post and Deutsche Telekom), the railway services (Deutsche Bahn), and other public utility companies, many of which are either no longer state-owned or have been converted into companies governed by private rather than public law. New employees at those entities are no longer made Beamte. Privatisation and reductions in the number of established posts have reduced the overall number of Beamte. Since 1991, the number of Beamte has declined by 1.4 million to c. 3.9 million. This meant that, as of January 2007, reunited Germany had fewer Beamte than the old Federal Republic of Germany.

Local authority staff is split: about one-third are Beamte, mostly in higher administrative positions, and two-thirds are ordinary employees.

Income

All Beamte were once paid according to the Bundesbesoldungsgesetz (Federal Payment Act), regardless of who the employing entity was (the federal government, the 16 states, local authorities or other corporations, agencies and foundations governed by public law). This has now changed. The 16 states have the option to vary salaries. Nonetheless, the Federal Government still keeps a close eye on the respective "Landesbesoldungsgesetze", which may only differ up to 5% from the Federal Salary Scheme.

In Germany, Beamte have permanent tenure, i.e. they cannot normally be dismissed, receive certain privileges, and are usually remunerated more generously than ordinary employees. In addition, they are exempt from all social security contributions such as pension or unemployment

insurance. Dismissal is permissible for prolonged periods of illness, i.e. three months within half a year. It is also possible to *dismiss* the Beamter during the probationary period, and thereafter the Beamter can be retired and given a pension on the basis of his years of service.

In the new *Länder* which once constituted the German Democratic Republic, most teachers are not Beamte, with the possible exception of head teachers and certain specialists (lecturers teaching at schools providing vocational education or at grammar schools).

Salary is usually counted by month (as opposed to the anglophone, or also German tax law, custom to count it by year). Apart from the salary group, it also depends (in orders A, R and C) on the amount of years served. Bypassing additions (for family or special positions, etc.) and variations in sub-federal law, the monthly salary for the lowest possible order (A2) is €1845.90, that for a beginning detective (A9) is €2441.26, that for a beginning Gymnasium teacher (A13) or state attorney or local judge (R1) is in either case €3780.31, that of a Gymnasium principal (A16) at the end of his career may be up to 6649.87 and that of a State Secretary is €12508.46.

Beamte only pay income tax but don't pay social taxes. This means that their income after tax is much higher than from other civil servants or workers in private companies having the same salary range.

Designations of Office

In the German civil service (regardless of whether concerning the federal government, the 16 states or other entities), the official title of designation held by the Beamter is tied to one of the salary grades of the Federal Payment Act, on which the individual states base their own remuneration legislation.

The following lists are very generalized, especially in order *B* Beamte tend to have very specialized titles; thus, mayors, ambassadors, lords-lieutenant of districts and provinces will be fitted in somewhere depending on the importance of their office. For information's sake, judges and federal ministers who are *not* Beamte are included (Staatsanwälte are, though). In the table, the same thing has been done to the general military ranks (without notice of naval ranks and other deviations).

Lower service

- A1: Amtsgehilfe (*now abolished*)
- A2: Oberamtsgehilfe, Wachtmeister
- A3: Hauptamtsgehilfe, Oberwachtmeister
- A4: Amtsmeister, Hauptwachtmeister
- A5: Oberamtsmeister, Erster Hauptwachtmeister
- A6: Oberamtsmeister, Erster Hauptwachtmeister

Middle Service:

- A5: Werkführer, Assistant (*now rare*)

- A6: Werkmeister, Oberassistent, Sekretär
- A7: Meister, Obersekretär
- A8: Obermeister, Hauptsekretär, e.g. Brandobermeister (fire fighter), Polizeiobermeister (policeman)
- A9: Hauptmeister, Amtsinspektor

Upper service

- A9: Inspektor, f.e. Regierungsinspektor
- A10: Oberinspektor
- A11: Amtmann
- A12: Amtsrat
- A13: Oberamtsrat

Upper service at the police (police officer)

- A9: Kommissar, f.e. Kriminalkommissar or Polizeikommissar
- A10: Oberkommissar
- A11: Hauptkommissar
- A12: Hauptkommissar
- A13: Erster Hauptkommissar, f.e. Erster Kriminal- or Polizeihauptkommissar

Senior Service

- A13: Rat, e.g.: Studienrat, Akademischer Rat, Major, Medizinalrat, Baurat, Bibliotheksrat, Verwaltungsrat, Regierungsrat
- A14: Oberrat, e.g. Akademischer Oberrat, Oberstudienrat, Chemieoberrat, Biologieoberrat, Oberregierungsrat
- A15: Direktor, e.g. Polizeidirektor, Kriminaldirektor, Psychologiedirektor, Pharmaziedirektor,
- A16: Leitender Direktor, e.g. Leitender Finanzdirektor, Leitender Medizinaldirektor, Ministerialrat, Oberstudiendirektor
- B1: Direktor und Professor
- B2: Abteilungsdirektor (Director of a Department)
- B3: Ministerialrat (Ministerial ~ counsellor/Counsellor [councillor[BE], councilor[AE]] to the Ministry)
- B4: Erster Direktor
- B5: Ministerialdirigent (on state level in positions of lesser importance)

- B6: Ministerialdirigent (on federal level)
- B7: Präsident (of larger federal offices)
- B8: Präsident (of a limited number of federal offices)
- B9: Ministerialdirektor (~Undersecretary of State), Bürgermeister (Lord Mayor)
- B10: Präsident der BaFin) (and other rare posts)
- B11: Staatssekretär (state secretary - this applies only to permanent, not parliamentary, secretaries of state, though federal parliamentary secretaries receive similar payment)
- Bundesminister: 1 x B11 (Federal Ministers)
- Bundeskanzler: 1 x B11 (Federal Chancellor)
- Bundespräsident: 1 5/6 x B11 (Federal President)

(The last three do not qualify as Beamte *stricto sensu*.)

- W1: Juniorprofessor
- W2: Professor
- W3: Professor (as a director of an institute or holder of a Chair)
- C1: Wissenschaftlicher/Künstlerischer Assistent
- C2: Wissenschaftlicher/Künstlerischer Oberassistent
- C3: Professor (Extraordinarius)
- C4: Professor (Ordinarius; Lehrstuhlinhaber -rare-)
- R1: Staatsanwalt, Richter am Amtsgericht, Richter am Landgericht
- R2: Oberstaatsanwalt, Richter am Oberlandesgericht, Vorsitzender Richter am Landgericht
- R3: Leitender Oberstaatsanwalt R3, Vorsitzender Richter am Oberlandesgericht
- R4: Leitender Oberstaatsanwalt R4
- R5: Generalstaatsanwalt
- R6: Bundesanwalt, Richter am Bundesgerichtshof
- R7: Abteilungsleiter bei der Bundesanwaltschaft
- R8: Vorsitzender Richter am Bundesgerichtshof
- R9: Generalbundesanwalt
- R10: Präsident(en) der Bundesgerichte, Richter am Bundesverfassungsgericht
- 1 1/6 x B11: Vizepräsident des Bundesverfassungsgerichts
- 1 x B11 Präsident des Bundesverfassungsgerichts

Salary Orders B, C, W and R all belong to the Senior Service; the Order B follows on from Order A.

Some titles can roughly be compared to offices held by British or other civil servants.

Overview

Scheme	Grade	Office name/term	Examples (Abbr. only for internal usage)	cf. Military rank	Civil service career law
A	2	Oberamtsgehilfe			Lower service
A	3	Hauptamtsgehilfe		Grenadier, Gefreiter	
A	4	Amtsmeister		Obergefreiter, Hauptgefreiter	
A	5	Oberamtsmeister		Stabsgefreiter, Oberstabsgefreiter, Unteroffizier	
A	6	Oberamtsmeister Erster Klasse			
A	6	Sekretär	Regierungssekretär (RS)	Stabsunteroffizier	Middle Service
A	7	Meister, Obersekretär	Polizeimeister (PM)	Feldwebel, Oberfeldwebel	
A	8	Obermeister, Hauptsekretär	Regierungshauptsekretär (RHS)	Hauptfeldwebel	
A	9	Hauptmeister, Amtsinspektor	Brandhauptmeister (BHM)	Stabsfeldwebel, Oberstabsfeldwebel	
A	9	Inspektor, Kommissar	Regierungsinspektor	Leutnant	Upper service
A	10	Oberinspektor, Oberkommissar	Zolloberinspektor (ZOI)	Oberleutnant	
A	11	Amtmann, Hauptkommissar	Regierungsamtsmann (RA)	Hauptmann	
A	12	Amtsrat, Hauptkommissar A12	Kriminalhauptkommissar (KHK)	Hauptmann	
A	13	Oberamtsrat, Erster Hauptkommissar	Regierungsoberamtsrat (ROAR)	Stabshauptmann	
A	13	Rat	Studienrat (StR)	Major	Senior Service
A	14	Oberrat	Regierungsoberrat (ROR)	Oberstleutnant	
A	15	Direktor	Kriminaldirektor (KD)	Oberstleutnant	
A	16	Leitender Direktor, Oberdirektor, Ministerialrat	Leitender Regierungsdirektor (LRD/LtdRD)	Oberst	

There are also colonels in B3 paygrade. The paygrade of a brigadier general is B6, that of a major general B7, that of a lieutenant general B9 and that of a full general B10.

Federal Oath of Office of the Federal Republic of Germany

- German original, only valid for Beamte of federal and federal state agencies:

*Ich schwöre, das Grundgesetz für die Bundesrepublik Deutschland und alle in der Bundesrepublik geltenden Gesetze zu wahren und meine Amtspflichten gewissenhaft zu erfüllen.*The oath can be sworn both with or without the religious annotation: *So wahr mir Gott helfe* at the end.

- English translation:

I swear to uphold the Basic Law of the Federal Republic of Germany and all laws valid in the Federal Republic and to fulfil my official duties conscientiously. [So help me God].

Beamte, Richter and Soldaten

Although officially not having the status of Beamte, Richter (*judges*) and Soldaten (*soldiers* for a fixed term of two years above; this does not include [former] conscripts and volunteers of up to 23 months) have similar rights and duties to Beamte. For one thing, they are also paid according to the Bundesbesoldungsgesetz; soldiers according to Orders A and B, and judges according to Order R, as are public prosecutors. The latter are, nevertheless, Beamte; soldiers and judges are not. Furthermore, they practically cannot be dismissed, and have the same income. Soldiers and judges are also expected to swear an oath on the Constitution.

Judges are not Beamte, although they were until the mid-1950s. Until then, judges were also paid according to Order A, and usually had the titles "Justiz-" or "Gerichtsrat". However, officials represent the executive branch of government, while judges are independent of the government. Beamte have a duty to obey direct orders from a superior, which is incompatible with an independent system of justice.

Public Image of Beamten

Beamte suffer from an image problem in Germany. A study conducted by the German Civil Service Federation (DBB) concluded that 61% of the German population thought Beamte to be "lazy, lethargic, inflexible, stubborn or corrupt". Other common points of contention, among the German public, are that Beamte are paid excessive salaries and cannot be removed from their positions for any reason other than engaging in serious criminal conduct or being incapacitated.

The Bundesbesoldungsgesetz

There are several different Salary Orders (Besoldungsordnungen): A (for most Beamte and soldiers), B (for ministerial officials), C (for university professors and lecturers; now replaced by W for newly employed lecturers), R (for public prosecuters and all judges) and W for university lecturers and professors. The salaries in order A are organised in steps, i.e. the longer a Beamter has worked, the better he or she is paid. The different groups reach from A2 to A 16 (A1 was abolished in the 1970s). A2 to A5/6 belong to the Lower Service, A 6 to A 9 to the Middle Service, A 9 to A 13 to the Upper Service and A 13 to A 16 to the Senior Service. The other orders, B, C, R and W, also belong to the Senior Service. German law refers to this as the principle of career tracks or Laufbahnprinzip, based on academic qualifications.

- Beamte of the Middle Service are required to have passed their Realschulabschluss, preferably some further experience. This can be compared to GCSEs in the United Kingdom (other than Scotland), or the American High School diploma.
- To join the Upper Service, all applicants need the Abitur (equivalent to A-levels), followed by taking a degree at a college owned by entity for the purpose of training future Beamte.
- Traditionally, most Beamte in the Senior Service held a University State Exam, then equivalent to a university diploma or magister, at a time when law and teacher training was still regulated by the state (law still is). However, the common requirement these days is a Master's degree or equivalent, or a State Exam in law. Grammar-school teachers now commonly hold a B.A. in two or three subjects, and a Master's in Education. In Baden-Württemberg, the annual starting salary for a single teacher without children (A13) is €45,511.92 pre-tax (c. £38,500; US$58,600).

Beamte in other Countries and in the European Union Public Authorities

Although a common translation for Beamter is *Civil Servant*, there are major differences from the British Civil Service, which refers to employees within government departments and not, for example, teachers or postmen. A better translation is *public servant*, being permanently employed within the public sector.

Another country whose entire administrative structure is based on an officialdom comparable to that of Germany is Austria, where Beamte even often have the same titles, e.g. *Rat* ("councillor" or "counsellor"). Most cantons and the federal government of Switzerland have abolished their officialdom. France and the Netherlands are also countries traditionally administered by Beamte.

According to the respective salary schemes, the European officials (European Union public authorities in Brussels, Strasbourg, Vienna etc.) are the best-paid ones, not the German.

Civil Service of Japan

The Japanese civil service has over one million employees, with 400,000 workers in postal service, or Japan Post (since 2003), being the biggest part, whilst the Japan Self-Defence Forces being the second biggest, with 247,000 personnel. In the post-war period, this figure has been even higher, but the privatization of a large number of public corporations since the 1980s, among them NTT and Japanese National Railways, already reduced the number. Postal privatization is the next step. Still, the government as an employer is held in high regard. After the breakdown of the Japanese asset price bubble in the early 1990s, wages and privileges in the private sector were cut, but public service workers still enjoy many of the benefits introduced in the boom years.

National government civil servants are divided into "special" and "regular" categories. Appointments in the special category are governed by political or other factors and do not involve competitive examinations. This category includes cabinet ministers, heads of independent agencies, members of the Self-Defence Forces, Diet officials, and ambassadors. The core of the civil service is composed of members of the regular category, who are recruited through competitive exam-

inations. This group is further divided into junior service and upper professional levels, the latter forming a well-defined civil service elite.

Elite Bureaucrats

In trying to discover "who's in charge here," many Japan analysts have pointed to the elite bureaucracy as the people who really govern Japan, although they composed only a tiny fraction of the country's more than 1 million national government employees. Several hundred of the elite are employed at each national ministry or agency. Although entry into the elite through open examinations does not require a college degree, the majority of its members are alumni of Japan's most prestigious universities. The University of Tokyo law faculty is the single most important source of elite bureaucrats. After graduation from college and, increasingly, some graduate-level study, applicants take a series of difficult higher civil service examinations: in 2009, for example, 22,186 took the tests of higher (the 1st grade) civil service, but only 1,494, or 6.7 percent, were successful. Of those who were successful, only 660 were actually hired. Like the scholar-officials of imperial China, successful candidates were hardy survivors of a grueling education and testing process that necessarily began in early childhood and demanded total concentration. The typical young bureaucrat, who is in most cases male, is an intelligent, hardworking, and dedicated individual. But some bureaucrats, critics argue, lack imagination and compassion for people whose way of life is different from their own. Recently, many top-class candidates in universities prefer to choose financial companies or certificate of lawyers and accountants rather than civil services, however. This is because salary in civil services is lower especially when they are young, and civil services undergo significant criticism and reforms these days.

The public's attitude toward the elite is ambivalent. The elite enjoy great social prestige, but its members are also resented. They live in a realm that is at least partly public, yet far removed from the lives of ordinary people. Compared with politicians, they are generally viewed as honest. Involvement of top officials in scandals such as the Recruit affair, however, had to some extent tarnished their image.

Japan's elite bureaucrats are insulated from direct political pressure because there are very few political appointments in the civil service. Cabinet ministers are usually career politicians, but they are moved in and out of their posts quite frequently (with an average tenure of under a year), and usually have little opportunity to develop a power base within a ministry, or force their civil service subordinates to adopt reforms. Below the cabinet minister is the administrative vice minister. Administrative vice ministers and their subordinates are career civil servants whose appointments are determined in accordance with an internally established principle of seniority.

History

Pre-modern Japan

The Japanese had been exposed to bureaucratic institutions at least by the early seventh century A.D. (Nara period), when the imperial court adopted the laws and government structure of Tang China. However, the distinctive Chinese (confucian) institution of civil service examinations never took root, and the imported system was never successfully imposed on the country at large. But by the middle of the Tokugawa period (1600-1867), the samurai class functions had evolved from

military to clerical and administrative functions. Following the Meiji Restoration (1868), the new elite, which came from the lower ranks of the samurai, established a Western-style civil service.

Occupied Japan

Although the United States occupation dismantled both the military and zaibatsu establishments, it did little, outside of abolishing the prewar Home Ministry, to challenge the power of the bureaucracy. There was considerable continuity —in institutions, operating style, and personnel — between the civil service before and after the occupation, partly because General Douglas MacArthur's staff ruled indirectly and depended largely on the cooperation of civil servants. A process of mutual co-optation occurred. Also, United States policy planners never regarded the civil service with the same opprobrium as the military or economic elites. The civil service's role in Japan's militarism was generally downplayed. Many of the occupation figures themselves were products of President Franklin D. Roosevelt's New Deal and had strong faith in the merits of civil service professionalism. Finally, the perceived threat of the Soviet Union in the late 1940s created a community of interests for the occupiers and for conservative, social order-conscious administrators.

1970s and 1980s

In a 1975 article, political scientist Chalmers Johnson quotes a retired vice minister of the Ministry of International Trade and Industry (MITI) who said that the Diet was merely "an extension of the bureaucracy". The official claimed that "the bureaucracy drafts all the laws.... All the legislature does is to use its powers of investigation, which for about half the year keeps most of the senior officials cooped up in the Diet."

In the years since this official made his proud boast, however, it became apparent that there were limits to the bureaucrats' power. The most important was the Liberal Democratic Party of Japan's growing role in policy formation. Political scientist B.C. Koh suggested that in many cases members of the LDP policy-oriented tribes (zoku) had greater expertise in their fields than elite bureaucrats. Before the latter drafted legislation, they had to consult and follow the initiatives of the party's Policy Research Council. Many analysts consider the role of the bureaucracy in drafting legislation to be no greater than that of its counterparts in France, Germany, and other countries. Also, the decision of many retired bureaucrats to run as LDP candidates for the Diet might not reflect, as had been previously assumed, the power of the officials but rather the impatience of ambitious men who wanted to locate themselves, politically, "where the action is."

An intense rivalry among the ministries came into play whenever major policy decisions were formulated. Elite civil servants were recruited by and spent their entire careers in a single ministry. As a result, they developed a strong sectional solidarity and zealously defended their turf. Nonbureaucratic actors—the politicians and interest groups—could use this rivalry to their own advantage.

1990s

The Ministry of Finance is generally considered the most powerful and prestigious of the ministries. Its top officials are regarded as the cream of the elite. Although it was relatively unsuccessful in the 1970s when the deficit rose, the ministry was very successful in the 1980s in constraining government spending and raising taxes, including a twelve-year battle to get a consumption tax passed.

The huge national debt in the early 1990s, however, may be evidence that this budget-minded body had been unsuccessful in the previous decade in curbing demands for popular policies such as health insurance, rice price supports, and the unprofitable nationwide network of the privatized Japan Railways Group. Ministry of International Trade and Industry (MITI) frequently encountered obstacles in its early postoccupation plans to reconsolidate the economy. It has not always been successful in imposing its will on private interests, politicians, or other ministries. According to law professor John Owen Haley, writing in the late 1980s, MITI's practice of gyōsei shidō, or administrative guidance, often described as evidence of the bureaucracy's hidden power, was in fact a second-best alternative to "express statutory authority that would have legitimated its exercise of authority." Administrative reform policies in the 1980s imposed ceilings on civil service staff and spending that probably contributed to a deterioration of morale and working conditions.

Still another factor limiting bureaucratic power was the emergence of an affluent society. In the early postwar period, the scarcity of capital made it possible for the Ministry of Finance and MITI to exert considerable influence over the economy through control of the banking system. To a decreasing extent, this scarcity remained until the 1980s because most major companies had high debt-equity ratios and depended on the banks for infusions of capital. Their huge profits and increasing reliance on securities markets in the late 1980s, however, meant that the Ministry of Finance had less influence. The wealth, technical sophistication, and new confidence of the companies also made it difficult for MITI to exercise administrative guidance. The ministry could not restrain aggressive and often politically controversial purchases by Japanese corporate investors in the United States, such as Mitsubishi Estate's October 1989 purchase of Rockefeller Center in New York City, which, along with the Sony Corporation's acquisition of Columbia Pictures several weeks earlier, heated up trade friction between the two countries.

The whole issue of trade friction and foreign pressure tended to politicize the bureaucracy and promote unprecedented divisiveness in the late 1980s and early 1990s. During the Structural Impediments Initiative talks held by Japan and the United States in early 1990, basic changes in Japan's economy were discussed: reforms of the distribution and pricing systems, improvement of the infrastructure, and elimination of official procedures that limited foreign participation in the economy. Although foreign pressure of this sort is resented by many Japanese as an intrusion on national sovereignty, it also provides an opportunity for certain ministries to make gains at the expense of others. There is hardly a bureaucratic jurisdiction in the economic sphere that is not in some sense affected.

Internationally minded political and bureaucratic elites have found their market-opening reforms, designed to placate United States demands, repeatedly sabotaged by other interests, especially agriculture. Such reactions intensified United States pressure, which in turn created a sense of crisis and a siege mentality within Japan. The "internationalization" of Japan's society in other ways also divided the bureaucratic elite. MITI, the Ministry of Labor, and the Ministry of Justice had divergent views on how to respond to the influx of unskilled, usually South Asian and Southeast Asian, laborers into the labor-starved Japanese economy. An estimated 300,000 to 400,000 of them worked illegally for small Japanese firms in the late 1980s. Ministry of Education, Science, and Culture revision of guidelines on the writing of history textbooks, ostensibly a domestic matter, aroused the indignation of Japan's Asian neighbors because the changes tended to soften accounts of wartime atrocities.

2000s

Civil services in Japan underwent significant changes and reforms to work more efficiently in severe budget situation of the government. In 2001, Central Government Reform was implemented to merge existing ministries, strengthen the operation of cabinet and achieve more efficient work. Criticism to civil services from media and people has got stronger against some scandals, amakudari practice to assure the advantages of high-rank officials after retirement, salary standard and many other factors.

In 2009 general election, the Democratic Party of Japan (DPJ) came to power after the regime of Liberal Democratic Party of Japan (LDP) lasted for many years. DPJ set up the policy of "leadership by politics", criticized the initiative of bureaucracy in the era of LDP and will reform civil service. Decision-making style in the government and ministry in Japan is changing significantly.

At 2007, Junichiro Koizumi achieved Postal privatisation bills. He reformed Independent Administrative Institution staff as privatizated officer, which reduced a half of civil service.

References

- Paludan, Ann (1998). Chronicle of the Chinese Emperors: The Reign-by-Reign Record of the Rulers of Imperial China. New York, New York: Thames and Hudson. ISBN 0-500-05090-2
- Naithani, Sadhana (2006). In quest of Indian folktales: Pandit Ram Gharib Chaube and William Crooke. Indiana University Press. p. 6. ISBN 978-0-253-34544-8.
- Goel, S.L. Public Personnel Administration : Theory and Practice. Deep and Deep Publications, 2008. ISBN 9788176293952.
- Maheshwari, Shriram. Problems and Issues in Administrative Federalism. Allied Publishers. ISBN 9788170233428.
- Government of Canada. "Population of the Federal Public Service". Her Majesty the Queen in Right of Canada. Retrieved 25 June 2016.
- Australian Public Service Commission (2015), APS at a glance, Australian Government, archived from the original on 26 January 2016
- Australian Public Service Commission, Table 5: All employees: location by base classification and employment category, 30 June 2016, Australian Government, archived from the original on 22 November 2016
- "The Indian Administrative Service Meets Big Data". Carnegie Endowment for International Peace. Retrieved 15 November 2016.
- "IAS Reforms: Cleaning Rust From the Frame". Carnegie Endowment for International Peace. Retrieved 15 November 2016.
- "Government takes strict action against defaulting/non performing tax officials/officers". Press Information Bureau. Retrieved 12 May 2016.

Permissions

All chapters in this book are published with permission under the Creative Commons Attribution Share Alike License or equivalent. Every chapter published in this book has been scrutinized by our experts. Their significance has been extensively debated. The topics covered herein carry significant information for a comprehensive understanding. They may even be implemented as practical applications or may be referred to as a beginning point for further studies.

We would like to thank the editorial team for lending their expertise to make the book truly unique. They have played a crucial role in the development of this book. Without their invaluable contributions this book wouldn't have been possible. They have made vital efforts to compile up to date information on the varied aspects of this subject to make this book a valuable addition to the collection of many professionals and students.

This book was conceptualized with the vision of imparting up-to-date and integrated information in this field. To ensure the same, a matchless editorial board was set up. Every individual on the board went through rigorous rounds of assessment to prove their worth. After which they invested a large part of their time researching and compiling the most relevant data for our readers.

The editorial board has been involved in producing this book since its inception. They have spent rigorous hours researching and exploring the diverse topics which have resulted in the successful publishing of this book. They have passed on their knowledge of decades through this book. To expedite this challenging task, the publisher supported the team at every step. A small team of assistant editors was also appointed to further simplify the editing procedure and attain best results for the readers.

Apart from the editorial board, the designing team has also invested a significant amount of their time in understanding the subject and creating the most relevant covers. They scrutinized every image to scout for the most suitable representation of the subject and create an appropriate cover for the book.

The publishing team has been an ardent support to the editorial, designing and production team. Their endless efforts to recruit the best for this project, has resulted in the accomplishment of this book. They are a veteran in the field of academics and their pool of knowledge is as vast as their experience in printing. Their expertise and guidance has proved useful at every step. Their uncompromising quality standards have made this book an exceptional effort. Their encouragement from time to time has been an inspiration for everyone.

The publisher and the editorial board hope that this book will prove to be a valuable piece of knowledge for students, practitioners and scholars across the globe.

Index

A

Absolute Monarchy, 164, 180, 196-197, 201, 203, 208, 216, 222, 225
Administrative Discretion, 140-144, 162
Advocacy, 51, 64, 83, 140, 147-152, 162, 199, 221, 265
Advocacy Evaluation, 140, 150-151
Advocacy Monitoring, 64
Assessing Efficiency, 45
Assessing Needs, 40
Assessing Program Theory, 42
Authoritarian Regime, 158, 192, 213
Autocracy, 163, 180, 192, 196, 223

B

Budget Constraints, 48

C

Civic Engagement, 147, 262-263, 278
Civil Service, 1, 74, 279-289, 291, 293, 295-299, 301-303, 305-307, 309-317, 319-321, 323, 325, 327, 329-334
Civil Society, 18, 31, 65-66, 148, 157, 162, 164, 196, 264
Conceptual Utilization, 50-51
Consensus Democracy, 178
Constitutional Democracy, 83, 186, 189
Constitutional Monarchy, 167, 176, 186, 197, 201, 208, 222, 224
Creative Democracy, 180
Crowned Republic, 186, 197

D

Data Constraints, 48
Decentralization, 9, 158, 160
Decision-making Models, 8-9
Deliberative Democracy, 181-182, 187, 189, 265
Delivery Models, 231-232, 237, 246
Democratic Regime, 158
Dependent Variables, 107, 150-151
Dictatorship, 163-164, 177, 189-194, 196, 214, 228
Dunleavy's Bureau-shaping, 9

E

E-democracy, 235, 237, 242, 255-257, 259-269, 278
E-governance, 232, 234, 238, 240, 242-248, 251-255, 260, 276, 278
E-government, 231-247, 249-255, 257, 259, 261-263, 265, 267, 269, 271-273, 275, 277-278
E-government Development Index, 231, 242
Electronic Direct Democracy, 268
Evidence Based Models, 34
External Evaluators, 52
External Program Evaluators, 51

F

Five-tiered Approach, 49
Fraudulent Elections, 183-184

G

Good Governance, 158-159, 299
Government Policy, 1, 20, 25, 29, 82, 86
Government Responsiveness, 260
Government Transparency, 235-236, 266, 268

H

Human Resources, 1, 27, 88, 90-92, 121, 315
Human Rights, 8, 27, 55, 135, 153, 156-157, 163-164, 171 172, 184, 191, 255

I

Intergovernmental Organization, 279
Internal Evaluators, 52
Internet Access, 75, 234, 236, 244-245, 252, 259, 277

L

Liberal Democracy, 164, 169-170, 177, 187, 212, 229
Liquid Democracy, 269

M

Media Campaigns, 147, 151, 245
Military Intervention, 155

N

Nation-building, 155
Nationalization, 23
New Public Management, 7, 10, 158-159
Niskanen's Budget-maximizing, 9
Non-governmental Organizations, 27, 32-33, 35, 74
Nonprofit Organizations, 32

O

Oligarchy, 97, 163-164, 180, 183, 188, 192, 194-195, 203

Organizational Theory, 1, 8, 88, 92, 94, 102

P

Parliamentary Republic, 186

Peace Building, 156-157

Personality Cultism, 210

Persuasive Utilization, 50-51

Policy Alienation, 61-63

Policy Analysis, 1-2, 7-8, 12, 14, 18, 20, 25, 31-34, 38, 65 71, 73, 150

Policy Monitoring, 63-66

Policy Studies, 31-32

Political Instability, 172, 183

Political Repression, 210

Political Self-determination, 255

Politics-administration Dichotomy, 6, 140, 145-146

Postal Service, 142, 288, 300, 330

Predatory Theory, 154-155, 160

Privatization, 9, 25, 330

Process Model, 35

Program Evaluation, 31-32, 38-39, 45-47, 49-50, 52-53, 56-57, 66, 68, 150

Public Management, 3, 7, 10-11, 14-15, 68, 158-159, 241, 252

Public Policy, 3, 8, 12-15, 18-19, 21, 25, 30-31, 34-35, 37 39, 44, 53, 67-69, 71, 73, 75, 77, 79, 81, 83, 85-87, 135, 140, 148, 150, 182, 241, 247, 262, 278

Public Policy Advocacy Design, 150

Public Policy Making, 67-68, 81

Public Sector, 6-7, 31-32, 36, 62, 68, 87, 137, 159, 231, 235, 237, 249, 279, 284-286, 288, 297, 314, 330

Public Servants, 1-2, 8, 13, 235-236, 262, 266, 284, 286, 291-292, 295, 306, 312, 321

Public Service, 1, 4, 8, 10-11, 13, 37, 135, 242, 248, 275 276, 279, 283-286, 289-295, 299, 301, 307-314, 324, 330, 334

Public Speaking, 147

Public Transportation, 243

R

Rational Model, 36-37

Representative Democracy, 164-165, 173-175, 177, 179, 183, 185-188, 229, 261, 268

S

Shoestring Approach, 47-49

Social Services, 27

State Structures, 158

State-building, 152-158, 160-162

Systems Analysis, 32

T

Time Constraints, 47-48

Totalitarianism, 163, 189, 192, 196, 210-215

Transnational Advocacy, 150, 265

V

Variables Affecting Utilization, 51

W

Wikidemocracy, 269-270

Y

Youth Engagement, 263