

1 Government and the State

Objectives You may wish to call students' attention to the objectives in the Section Preview. The objectives are reflected in the main headings of the section.

Bellringer Ask students what their lives would have been like if, from an early age, they had been free to do whatever they wanted without parental oversight. Discuss the various roles of parents. Explain that in this section, students will consider the roles of government and how government affects people's lives.

Vocabulary Builder Ask students to discuss how the first six terms in the Political Dictionary are related. Help students see that a government uses the powers outlined in a constitution to enact and carry out public policy.

Lesson Plan

Teaching the Main Ideas L3


H-SS 12.7.5

1. Focus Tell students that governments exist because people need them. Ask students to discuss what they know about what the United States government does for the American people.

2. Instruct Ask students to name the three basic kinds of power that a government exercises. Briefly discuss the difference between a government and a state. Then list and discuss the main purposes of the American system of government.

3. Close/Reteach Remind students that government exists to create and carry out society's public policies. Ask each student to write down one important thing that they learned from this section. Encourage students to share their pieces of information with the rest of the class.

Point-of-Use Resources

 **Block Scheduling with Lesson Strategies** Activities for Chapter 1 are presented on p. 19.

Section Preview

OBJECTIVES

1. **Define** government and the basic powers every government holds.
2. **Describe** the four defining characteristics of the state.
3. **Identify** four theories that attempt to explain the origin of the state.
4. **Understand** the purpose of government in the United States and other countries.

WHY IT MATTERS

Government is essential to the existence of human beings in a civilized society. What any particular government is like and what that government does have an extraordinary impact on the lives of all people who live within its reach.

POLITICAL DICTIONARY

- ★ **government**
- ★ **public policy**
- ★ **legislative power**
- ★ **executive power**
- ★ **judicial power**
- ★ **constitution**
- ★ **dictatorship**
- ★ **democracy**
- ★ **state**
- ★ **sovereign**

This is a book about government—and, more particularly, about government in the United States. Why should you read it? Why should you study government? These are legitimate questions, and they can be answered in several different ways—as you will see throughout the pages of this book. But, for now, consider this response: you should know as much as you possibly can about government because government affects *you* in an uncountable number of very important ways. It does so today, it did so yesterday, it will tomorrow, and it will do so every day for the rest of your life.

Think of our point here in this light: What would your life be like *without* government? Who would protect you, and all of the rest of us, against the attacks of terrorists and against other threats from abroad? Who would provide for education, guard the public's health, and protect the environment? Who would pave the streets, regulate traffic, punish criminals, and respond to fires and other human-made and natural disasters? Who would protect civil rights and care for the elderly and the poor? Who would protect consumers and property owners?

Government does all of these things, of course—and much more. In short, if government did not exist, we would have to invent it.

What Is Government?

Government is the institution through which a society makes and enforces its public policies. Government is made up of those people who exercise its powers, all those who have authority and control over people.

The **public policies** of a government are, in short, all of those things a government decides to do. Public policies cover matters ranging from taxation, defense, education, crime, and health care to transportation, the environment, civil rights, and working conditions. The list of public policy issues is nearly endless.

Governments must have power in order to make and carry out public policies. Power is the ability to command or prevent action, the ability to achieve a desired end.

Every government has and exercises three basic kinds of power: (1) **legislative power**—the power to make law and to frame public policies; (2) **executive power**—the power to execute, enforce, and administer law; and (3) **judicial power**—the power to interpret laws, to determine their meaning, and to settle disputes that arise within the society. These powers of government are often outlined in a country's constitution. A **constitution** is the body of fundamental laws



Block Scheduling Strategies

Consider these suggestions to manage extended class time:

■ Write this quotation from the text on the board: "If men were angels no government would be necessary." Have students respond to this quotation. If they agree with it ask them to provide examples in support; if they disagree, encourage them to find or draft a more appropriate quotation.

■ Divide the class into small groups, assigning each one of the six purposes of government described in the text. Have each group create a collage that illustrates the meaning of its assigned principle. Encourage students to use clippings from magazines, illustrated quotations, or their own artwork in their collages.

setting out the principles, structures, and processes of a government.

The ultimate responsibility for the exercise of these powers may be held by a single person or by a small group, as in a **dictatorship**. In this form of government, those who rule cannot be held responsible to the will of the people. When the responsibility for the exercise of these powers rests with a majority of the people, that form of government is known as a **democracy**. In a democracy, supreme authority rests with the people.

Government is among the oldest of all human inventions. Its origins are lost in the mists of time. But, clearly, government first appeared when human beings realized that they could not survive without some way to regulate both their own and their neighbors' behavior.

The earliest known evidences of government date from ancient Egypt. More than 2,300 years ago, the Greek philosopher Aristotle observed that “man is by nature a political animal.”¹ As he wrote those words, Aristotle was only recording a fact that, even then, had been obvious for thousands of years.

What did Aristotle mean by “political”? That is to say, what is “politics”? Although people often equate the two, politics and government are very different things. Politics is a process, while government is an institution.

More specifically, politics is the process by which a society decides how power and resources will be distributed within that society. Politics enables a society to decide who will reap the benefits, and who will pay the costs, of its public policies.

The word *politics* is sometimes used in a way that suggests that it is somehow immoral or something to be avoided. But, again, politics is a *process*, the means by which government is conducted. It is neither “good” nor “bad,” but it is necessary. Indeed, it is impossible to conceive of government without politics.

The State

Over the course of human history, the state has emerged as the dominant political unit in the world. The **state** can be defined as a body of people, living in a defined territory, organized politically (that is, with a government), and with the power to make and enforce law without the consent of any higher authority.



▲ **Patriotism in a Time of Crisis** Americans showed their pride in their country and support for their government in the wake of the terrorist attacks on the World Trade Center and the Pentagon. **H-SS 12.2.4**

There are more than 190 states in the world today. They vary greatly in size, military power, natural resources, and economic importance. Still, each of them possesses all four characteristics of a state: population, territory, sovereignty, and government.

Note that the state is a legal entity. In popular usage, a state is often called a “nation” or a “country.” In a strict sense, however, the word *nation* is an ethnic term, referring to races or other large groups of people. The word *country* is a geographic term, referring to a particular place, region, or area of land.

Population

Clearly, a state must have people—a population. The size of that population, however, has nothing directly to do with the existence of a state. One of the world’s smallest states, in population terms, is San Marino. Bounded on all sides by Italy, it has only some 27,000

¹In most of the world’s written political record, the words *man* and *men* have been widely used to refer to all of humankind. This text follows that form when presenting excerpts from historical writings or documents and in references to them.

Reading Strategy

Summarizing

Preview the section, pointing out the headings and subheadings. Have students, as they read, determine the main idea of the information following each of these headings. Tell students to put all these main idea statements together in one paragraph, which will serve as a summary of the section.

Point-of-Use Resources

Guided Reading and Review Unit 1 booklet, p. 2 provides students with practice identifying the main ideas and key terms of this section.

Lesson Planner For complete lesson planning suggestions, see the Lesson Planner booklet, section 1.

Political Cartoons See p. 4 of the Political Cartoons booklet for a cartoon relevant to this section.

Section Support Transparencies Transparency 7, *Visual Learning*; Transparency 106, *Political Cartoon*

Go Online
PHSchool.com

For career-related links and activities, visit the *Magruder's American Government* companion Web site in the Social Studies area at the Prentice Hall School Web site.

Make It Relevant

Careers in Government—Cartographer

The international borders of many states have changed dramatically in recent years, as the cartographers, or mapmakers, of the Federal Government can attest to. Federal maps play vital roles in the nation’s defense, foreign relations, and foreign trade, and provide policymakers with important visual tools. In addition, government cartographers (who also work at the State and local levels) create a

vast array of domestic maps, which are used by everyone from tourists to hikers to businesses.

Skills Activity Have small groups of students make geographical or theme maps of their community. Then have individual students write paragraphs explaining why they would or would not be interested in a career as a government cartographer.

Background Note

Common Misconceptions

Most people think that boundary lines between states exist only on maps. In truth, though, many of the world's borders are actual, tangible lines on the Earth. The Great Wall of China was built in sections beginning in the 7th century B.C. as borders between warring Chinese kingdoms. Over centuries it was extended, and in the 16th century, during the Ming dynasty, it was established as the boundary between Mongolia and China. Today, there is an artificial sand wall 1,000 miles long between Morocco and Western Sahara. The long border shared by the United States and Canada is marked, in places, by a straight clear cut through the forest, 20 feet wide. In places like these, the abstract concept of state borders becomes a physical reality.

The Four Characteristics of the State



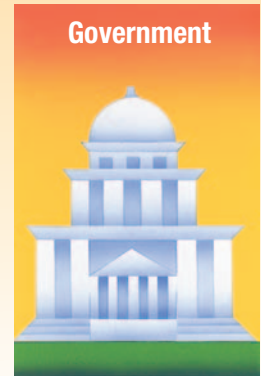
Population



Territory



Sovereignty



Government

Interpreting Charts To be considered a state, a group of people must have a defined body of land and an independent, sovereign government. **Does your school qualify as a state? If not, which requirements does it lack?**

people. The People's Republic of China is the world's most populous state with more than 1.3 *billion* people—just about one fifth of the world's population. The nearly 300 million who live in the United States make it the world's third most populous, after China and India.

The people who make up a state may or may not be *homogeneous*. The adjective *homogeneous* describes members of a group who share customs, a common language, and ethnic background. Today, the population of the United States includes people from a wide variety of backgrounds. Still, most Americans think of themselves as exactly that: Americans.

Territory

Just as a state cannot exist without people, so it must have land—territory, with known and recognized boundaries. The states in today's world vary as widely in terms of territory as they do in population. Here, too, San Marino ranks among the world's smallest states. It covers less than 24 square miles—smaller than thousands of cities and towns in the United States.²

Russia, the world's largest state, stretches across some 6.6 million square miles. The total area of the United States is 3,787,425 square miles.

Sovereignty

Every state is **sovereign**—it has supreme and absolute power within its own territory and can decide its own foreign and domestic policies. It is neither subordinate nor responsible to any other authority.

Thus, as a sovereign state, the United States can determine its form of government. Like any other state in the world, it can frame its economic system and shape its own foreign policies. Sovereignty is the one characteristic that distinguishes the state from all other, lesser political units.

The States within the United States are not sovereign and so are not states in the international, legal sense. Each State is subordinate to the Constitution of the United States.³

Government

Every state is politically organized. That is, every state has a government. Recall, a government is the institution through which society makes and

²The United States also recognizes the State of Vatican City, with a permanent population of some 900 persons and a roughly triangular area of only 109 acres. The Vatican is wholly surrounded by the City of Rome. American recognition of the Vatican, which had been withdrawn in 1867, was renewed in 1984.

³In this book, state printed with a small "s" denotes a state in the family of nations, such as the United States, Great Britain, and Mexico. State printed with a capital "S" refers to a State in the American union.

Answer to . . .

Interpreting Charts Possible answer: No, schools do not have independent, sovereign governments, and most schools do not have their own territory.

enforces its public policies. A government is the agency through which the state exerts its will and works to accomplish its goals. Government includes the machinery and the personnel by which the state is ruled.

Government is necessary to avoid what the English philosopher Thomas Hobbes (1588–1679) called “the war of every man against every man.” Without government, said Hobbes, there would be “continual fear and danger of violent death and life [would be] solitary, poor, nasty, brutish, and short.” The world has seen a number of examples over recent years of what happens when a government disappears: In Lebanon, Bosnia, Somalia, and many other places, life became “nasty, brutish, and short.”

Major Political Ideas

For centuries, historians, philosophers, and others have pondered the question of the origin of the state. What set of circumstances first brought it into being?

Over time, many different answers have been offered, but history provides no conclusive evidence to support any of them. However, four theories have emerged as the most widely accepted explanations for the origin of the state.

The Force Theory Many scholars have long believed that the state was born of force. They

hold that one person or a small group claimed control over an area and forced all within it to submit to that person’s or group’s rule. When that rule was established, all the basic elements of the state—population, territory, sovereignty, and government—were present.

The Evolutionary Theory Others claim that the state developed naturally out of the early family. They hold that the primitive family, of which one person was the head and thus the “government,” was the first stage in political development. Over countless years the original family became a network of related families, a clan. In time the clan became a tribe. When the tribe first turned to agriculture and gave up its nomadic ways, tying itself to the land, the state was born.

The Divine Right Theory The theory of divine right was widely accepted in much of the Western world from the fifteenth through the eighteenth centuries. It held that God created the state and that God had given those of royal birth a “divine right” to rule. The people were bound to obey their ruler as they would God; opposition to “the divine right of kings” was both treason and mortal sin.

During the seventeenth century, philosophers began to question this theory. Much of the thought upon which present-day democracies rest began as a challenge to the theory of divine right.



Force



Evolutionary



Divine Right



Social Contract

◀ Different explanations have been offered for the origin of the state. Pharaoh Akhenaten of Egypt (middle) believed that power flowed from Aten, the god of the sun disk. **Critical Thinking** Can more than one of these theories accurately explain the origin of the state? Explain why or why not. **H-SS 12.1.1**

Chapter 1 • Section 1

Background Note

Global Awareness

The ancient Chinese felt that a single ruler should govern all of humanity with a universal code of principles. The Chinese emperor, called the “Son of Heaven,” was believed by the Chinese people to be able to communicate with both Heaven and Earth. The emperor ruled through a complex bureaucracy of educated professionals. But although the government was based on a “mandate of heaven,” if the emperor’s rule was found to be unjust, the people were justified in rebelling against him. It was believed, too, that Heaven could show its displeasure by sending famine and other natural disasters.

Point-of-Use Resources

Close Up on Primary Sources

Jean-Jacques Rousseau, *The Social Contract* (1762), p. 54

Preparing for Standardized Tests

Have students read the passages under *Major Political Ideas* on pp. 7–8 and then answer the question below.

Which two theories might be used to explain the origins of Japan, which has an emperor typically chosen from the same familial lines?

- A the force theory and the divine right theory
- B the evolutionary theory and the force theory
- C the social contract theory and the divine right theory
- D the evolutionary theory and the divine right theory**

Answer to . . .

Critical Thinking Answers will vary. Students may suggest that as each of the four theories is widely accepted and equally plausible, any one of them could explain the origin of the state; however, the origin can never be known with complete “accuracy.”

Universal Access

L3

Time 90 minutes.**Purpose** To carry out a panel discussion about the origin of the state.**Grouping** Four groups.**Activity** Assign each group one of the different theories of the origin of the state. Each group should develop arguments that favor their theory over others. Groups will designate two members as “experts” in the field to present the group’s case.**Roles** Discussion leader, recorder, experts.**Close** Hold a panel discussion in which “experts” make their case as to why their theory is the best explanation for the origin of the state. Allow other students to ask questions of the panel members.**H-SS 12.1.1**

Point-of-Use Resources

 Government Assessment Rubrics

Cooperative Learning Project: Process, p. 20

 Block Scheduling with Lesson Strategies

Additional activities for Chapter 1 appear on p. 19.

The notion of divine right was not unique to European history. The rulers of many ancient civilizations, including the Chinese, Egyptian, Aztec, and Mayan civilizations, were held to be gods or to have been chosen by the gods. The Japanese emperor, the *mikado*, governed by divine right until 1945.

The Social Contract Theory In terms of the American political system, the most significant of the theories of the origin of the state is that of the “social contract.” Philosophers such as Thomas Hobbes, James Harrington (1611–1677), and John Locke (1632–1704) in England and Jean Jacques Rousseau (1712–1778) in France developed this theory in the seventeenth and eighteenth centuries.

Hobbes wrote that in earliest history humans lived in unbridled freedom, in a “state of nature,” in which no government existed and no person was subject to any superior power. That which people could take by force belonged to them. However, all people were similarly free in this state of nature. No authority existed to protect one person from the aggressive actions of another. Thus, individuals were only as safe as their own physical strength and intelligence could make them.

Human beings overcame their unpleasant condition, says the social contract theory, by agreeing with one another to create a state. By contract, people within a given area agreed to give up to the state as much power as was needed to promote the safety and well-being of all. In the contract (that is, through a constitution), the members of the state created a government to exercise the powers they had voluntarily given to the state.

In short, the social contract theory argues that the state arose out of a voluntary act of free people. It holds that the state exists only to serve the will of the people, that they are the sole source of political power, and that they are free to give or to withhold that power as they choose. The theory may seem far-fetched today. The great concepts that this theory promoted, however—popular sovereignty, limited government, and individual rights—were immensely important to the shaping of the American governmental system.

The Declaration of Independence (see pages 40–43) justified its revolution through the social contract theory, arguing that King George III and his ministers had violated the contract. Thomas Jefferson called the document “pure Locke.”

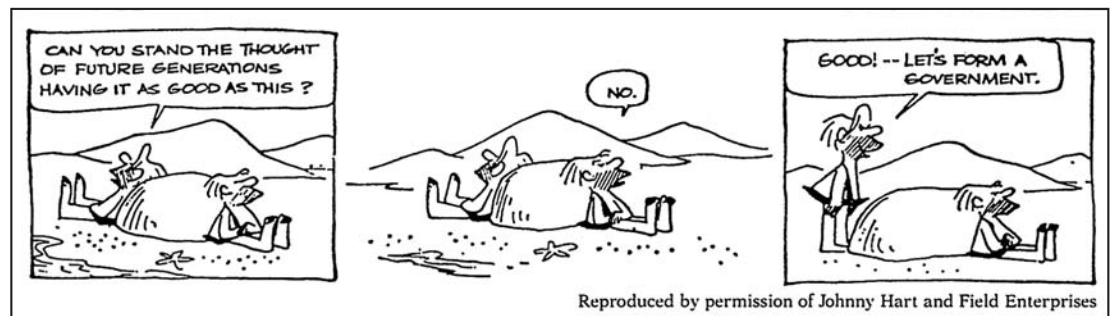
The Purpose of Government

What does government do? You can find a very meaningful answer to that question in the Constitution of the United States. The American system of government was created to serve the purposes set out there.



“We the People of the United States, in Order to form a more perfect Union, establish Justice, insure domestic Tranquility, provide for the common defence, promote the general Welfare, and secure the Blessings of Liberty to ourselves and our Posterity, do ordain and establish this Constitution for the United States of America.”

—Preamble to the Constitution



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Interpreting Political Cartoons American government was influenced strongly by the social contract theory. **How does this cartoon poke fun at that theory?**

Answer to . . .

Interpreting Political Cartoons By implying that government does not improve conditions, but makes them worse.

Form a More Perfect Union

The United States, which had just won its independence from Great Britain, faced an altogether uncertain future in the postwar 1780s. In 1781, the Articles of Confederation, the nation's first constitution, created "a firm league of friendship" among the 13 States. That league soon proved to be neither very firm nor very friendly. The government created by the Articles was powerless to overcome the intense rivalries and jealousies among the States that marked the time.

The Constitution of today was written in 1787. The original States adopted it in order to link them, and the American people, more closely together. That Constitution was built in the belief that in union there is strength.

Establish Justice

To provide justice, said Thomas Jefferson, is "the most sacred of the duties of government." No purpose, no goal of public policy, can be of greater importance in a democracy.

But what, precisely, is justice? The term is difficult to define, for justice is a concept—an idea, an invention of the human mind. Like other concepts such as truth, liberty, and fairness, justice means what people make it mean.

As the concept of justice has developed over time in American thought and practice, it has come to mean this: The law, in both its content and its administration, must be reasonable, fair, and impartial. Those standards of justice have not always been met in this country. We have not attained our professed goal of "equal justice for all." However, this, too, must be said: The history of this country can be told largely in terms of our continuing attempts to reach that goal.

"Injustice anywhere," said Martin Luther King, Jr., "is a threat to justice everywhere." You will encounter this idea again and again in this book.

Insure Domestic Tranquility

Order is essential to the well-being of any society, and keeping the peace at home has always been a prime function of government. Most people can only imagine what it would be like to live in a state of anarchy—without government, law, or order. In fact, people do live that way in some parts of the world today. For

Voices on Government

Barbara Jordan was the first African American woman ever elected to the Texas legislature. She went on to represent her State in the U.S. House of Representatives (1973–1979). Famous for her eloquent speeches, Barbara Jordan often seemed to serve as the conscience of the government. In her keynote speech at the 1976 Democratic National Convention, she noted:



"A nation is formed by the willingness of each of us to share in the responsibility for upholding the common good.

A government is invigorated when each of us is willing to participate in shaping the future of this nation. . . .

Let each person do his or her part. If one citizen is unwilling to participate, all of us are going to suffer. For the American idea, though it is shared by all of us, is realized in each one of us."

Evaluating the Quotation

How do Jordan's expectations for Americans relate to the basic ideas that underlie our democracy?

years now, Somalia, which is located on the eastern tip of Africa, has not had a functioning government; rival warlords control different parts of the country.

In *The Federalist* No. 51, James Madison observed: "If men were angels, no government would be necessary." Madison, who was perhaps the most thoughtful of the Framers of the Constitution, knew that most human beings fall far short of this standard.

Provide for the Common Defense

Defending the nation against foreign enemies has always been one of government's major responsibilities. You can see its importance in the fact that defense is mentioned far more often in the Constitution than any of the other functions of the government. The nation's defense and its foreign policies are but two sides of the same coin: the security of the United States.

Universal Access

L1

Divide the class into small groups. Assign each group one of the five government functions documented in the Constitution (and also in this section). Using newspapers, magazines, and various art supplies, ask groups to create a collage that illustrates how government carries out that particular function on a daily basis. **SN**

Background Note

Economics

A portion of each year's federal budget is allocated to federal departments that seek in some way to promote "the general welfare." For example, in 2006, the Department of Education spent about \$56 billion in areas of education not covered by State and local funds. The Environmental Protection Agency was responsible for about \$7.6 billion in the fiscal year 2006 budget. The agency used the money to restore and preserve the quality of the environment. The Food and Drug Administration, which tests various foods and medicines to ensure their safety for public use, estimated that the agency would need about \$1.5 billion for fiscal year 2006.

Point-of-Use Resources



Close Up on Participation

Protecting the Environment, pp. 10–11, uses the topic of environmental awareness to help students plan and carry out service learning projects.

Spotlight on Technology



Magruder's American Government Video Collection

The Magruder's Video Collection explores key issues and debates in American government. Each segment examines an issue central to chapter content through use of historical and contemporary footage. Commentary from civic leaders in academics, government, and the media follow each segment. Critical-thinking questions focus students' attention on key issues, and may be used to stimulate discussion.

Use the Chapter 1 video segment to explore the roots of American constitutional government. (time: about 5 minutes) This segment examines the ideas of the Enlightenment thinkers from whom the Framers drew inspiration. It concludes with an examination of the Iroquois League, whose system of government in part parallels that of the American States.

Answer to . . .

Evaluating the Quotation Democracy is most effective when individuals work together for the common good; Jordan encourages Americans to participate in government and uphold the common good.

Point-of-Use Resources



Guide to the Essentials Chapter 1, Section 1, p. 14 provides support for students who need additional review of section content. Spanish support is available in the Spanish edition of the Guide on p. 7.



Quiz Unit 1 booklet, p. 3 includes matching and multiple-choice questions to check students' understanding of Section 1 content.



Presentation Pro CD-ROM Quizzes and multiple-choice questions check students' understanding of Section 1 content.

Answers to . . .

Section 1 Assessment

1. A state is a body of people living in a defined territory with a government and the power to make laws without the consent of a higher authority; a government is the institution through which states make and enforce their policies.
2. Dictatorships are ruled by a single person or a small group of people.
3. Constitutions include the fundamental laws that set out the principles, structures, and processes of governments.
4. Examples include interpreting laws, determining the meanings of laws, and settling societal disputes.
5. Possible answer: Local governments should not be sovereign, because their powers would then conflict with those of the Federal Government. If cities were sovereign, their leaders could choose a form of government different than that of the Federal Government. Such an arrangement would cause chaos.
6. Philosophers such as Thomas Hobbes and John Locke developed the social contract theory, which challenged the idea of divine right and formed the basis for the American Declaration of Independence.
7. The Preamble says that the people agreed to join together to create a state with a constitution.

The United States has become the world's most powerful nation, but the world remains a dangerous place. The United States must maintain its vigilance and its armed strength. Just a glance at today's newspaper or at one of this evening's television news programs will furnish abundant proof of that fact.

Promote the General Welfare

Few people realize the extent to which government acts as the servant of its citizens, yet you can see examples everywhere. Public schools are one illustration of government's work to promote the general welfare. So, too, are government's efforts to protect the quality of the air you breathe, the water you drink, and the food you eat. The list of tasks government performs for your benefit goes on and on.

Some governmental functions that are common in other countries—operating steel mills, airlines, and coal mines, for example—are not carried out by government in this country. In general, the services that government provides in the United States are those that benefit all or most people. These are the services that are not very likely to be provided by the voluntary acts of private individuals or groups.

Secure the Blessings of Liberty

This nation was founded by those who loved liberty and prized it above all earthly possessions. They believed with Thomas Jefferson that “the God who gave us life gave us liberty

at the same time.” They subscribed to Benjamin Franklin's maxim: “They that can give up essential liberty to obtain a little temporary safety deserve neither liberty nor safety.”

The American dedication to freedom for the individual recognizes that liberty cannot be absolute. It is, instead, a relative matter. No one can be free to do whatever he or she pleases, for that behavior would interfere with the freedoms of others. As Clarence Darrow, the great defense lawyer, once said: “You can only be free if I am free.”

Both the Federal Constitution and the State constitutions set out many guarantees of rights and liberties for the individual in this country. That does not mean that those guarantees are so firmly established that they exist forever, however. To preserve and protect them, each generation must learn and understand them anew, and be willing to stand up for them when necessary.

For many people, the inspiration to protect our rights and liberties arises from deep feelings of patriotism. Patriotism is the love of one's country; the passion which aims to serve one's country, either in defending it from invasion, or by protecting its rights and maintaining its laws and institutions in vigor and purity. Patriotism is the characteristic of a good citizen, the noblest passion that animates a man or woman in the character of a citizen. As a citizen, you, too, must agree with Jefferson: “Eternal vigilance is the price of liberty.”

Section 1 Assessment

Key Terms and Main Ideas

1. What is the difference between a **government** and a **state**?
2. Who holds power in a **dictatorship**?
3. What is the purpose of a **constitution**?
4. Give an example of a use of **judicial power**.

Critical Thinking

5. **Making Comparisons** The United States is sovereign, but the city or town in which you live is not. Do you think that your community should be sovereign? Why or why not?
6. **Recognizing Cause and Effect** Explain this comment: Much of the thought upon which present-day democratic



Standards Monitoring Online

For: Self-Quiz and vocabulary practice
Web Code: mqa-1011

government rests began as a challenge to the theory of the divine right of kings.

7. **Drawing Conclusions** Explain how the language of the Preamble reflects the idea of the social contract.

Go Online
PHSchool.com

For: An activity on political philosophers
Web Code: mqd-1011



Standards Monitoring Online

For additional assessment, have students access **Standards Monitoring Online** at
Web Code: mqa-1011

Go Online
PHSchool.com

Typing in the Web Code when prompted will bring students directly to detailed instructions for this activity.

2 Forms of Government

Objectives You may wish to call students' attention to the objectives in the Section Preview. The objectives are reflected in the main headings of the section.

Bellringer Ask students if they have ever referred to someone as a *dictator*, in anger or as a joke. Then ask if they have ever taken an informal vote on something—which movie to see, or activity to pursue—in order to make the decision *democratically*. Tell students that when they used these terms, they were referring to two types of government that are common throughout the world.

Vocabulary Builder Ask students to find base words or roots in the first five terms in the Political Dictionary. Have them use these word parts to try to determine the meaning of each term. They should check their suggested meanings against the definitions given in the section.

Lesson Plan

Teaching the Main Ideas L3

H-SS 12.9.3

1. Focus Tell students that governments can be classified according to their characteristics. Ask students to discuss what they know about different forms of government.

2. Instruct Ask students to name the three ways of classifying forms of government. Lead a discussion of each classification, using comparison and contrast to bring out the main differences between the forms of government discussed within each category.

3. Close/Reteach Remind students that the form of American government differs from that of many other governments in the world. Have students make a chart showing the three classifications, the forms of government discussed in each classification, and a brief description of each form.

2 Forms of Government

Section Preview

OBJECTIVES

1. **Classify** governments according to three sets of characteristics.
2. **Define** systems of government based on who can participate.
3. **Identify** different ways that power can be distributed, geographically, within a state.
4. **Describe** a government by how power is distributed between the executive branch and legislative branch.

WHY IT MATTERS

Governments come in many different forms—democratic or dictatorial, unitary or federal or confederate, presidential or parliamentary. But, whatever its form, government has an impact on nearly every moment and nearly every aspect of your life.

POLITICAL DICTIONARY

- ★ **autocracy**
- ★ **oligarchy**
- ★ **unitary government**
- ★ **federal government**
- ★ **division of powers**
- ★ **confederation**
- ★ **presidential government**
- ★ **parliamentary government**

Does the form a government takes, the way in which it is structured, have any importance? Political scientists, historians, and other social commentators have long argued that question. The English poet Alexander Pope weighed in with this couplet in 1733:

PRIMARY Sources “For Forms of Government
let fools contest; Whate’er is
best adminster’d is best. . . .”
—Essay on Man

Was Pope right? Does it matter what form a government takes? Pope thought not, but you can form your own opinion as you read this section.

Classifying Governments

No two governments are, or ever have been, exactly alike, for governments are the products of human needs and experiences. All governments can be classified according to one or more of their basic features, however. Over time, political scientists have developed many bases upon which to classify (and so to describe, compare, and analyze) governments.

Three of those classifications are especially important and useful. These are classifications according to (1) who can participate in the governing process, (2) the geographic distribution of governmental power within the state, and (3) the relationship between the legislative

(lawmaking) and the executive (law-executing) branches of the government.⁴

Who Can Participate

To many people, the most meaningful of these classifications is the one that depends on the number of persons who can take part in the governing process. Here there are two basic forms to consider: democracies and dictatorships.

Democracy

In a democracy, supreme political authority rests with the people. The people hold the sovereign power, and government is conducted only by and with the consent of the people.⁵

Abraham Lincoln gave immortality to this definition of democracy in his Gettysburg Address in 1863: “government of the people, by the people, for the people.” Nowhere is there a better, more concise statement of the American understanding of democracy.

A democracy can be either direct or indirect in form. A direct democracy, also called a pure democracy, exists where the will of the people

⁴Note that these classifications are not mutually exclusive. Each of them can be used to describe any national government in the world today.

⁵The word *democracy* is derived from the Greek words *dēmos* meaning “the people” and *kratia* meaning “rule” or “authority.” The Greek word *dēmokratia* means “rule by the people.”



Block Scheduling Strategies

Consider these suggestions to manage extended class time:

■ Present small groups of students with the following scenario: The class has been transported to an island or other isolated area, and must decide on a new government. Have each group list the type of government it wants, the functions it will perform, how it will benefit the people, and how leaders will be selected. When they have finished, have each group share its plan, and then have the

class vote on which one is best. Point out to students that no two governments are exactly alike.

■ Assign small groups of students a region of the world. Groups should choose several countries from their region and research the kind of government, geographic distribution, relationship between branches, and other government-related information for each country. Then have the class create a global map of government around the world.

is translated into public policy (law) directly by the people themselves, in mass meetings. Clearly, direct democracy can work only in small communities, where the citizenry can meet in a central place, and where the problems of government are few and relatively simple.

Direct democracy does not exist at the national level anywhere in the world today. However, the New England town meeting, which you will read about in Chapter 25, and the *Landsgemeinde* in a few of the smaller Swiss cantons are excellent examples of direct democracy in action.⁶

Americans are more familiar with the indirect form of democracy—that is, with representative democracy. In a representative democracy, a small group of persons, chosen by the people to act as their representatives, expresses the popular will. These agents of the people are responsible for carrying out the day-to-day conduct of government—the making and executing of laws and so on. They are held accountable to the people for that conduct, especially at periodic elections.

At these elections, the people have an opportunity to express their approval or disapproval of their representatives by casting ballots for or against them. To put it another way, representative democracy is government by popular consent—government with the consent of the governed.

Some people insist that the United States is more properly called a republic rather than a democracy. They hold that in a republic the sovereign power is held by those eligible to vote, while the political power is exercised by representatives chosen by and held responsible to those citizens. For them, democracy can be defined only in terms of direct democracy.

Many Americans use the terms *democracy*, *republic*, *representative democracy*, and *republican form of government* interchangeably, although they are not the same things. Whatever the terms used, remember that in a democracy the people are sovereign. They are the only source for any and all of government's power. In other words, the people rule.

⁶The *Landsgemeinde*, like the original New England town meeting, is an assembly open to all local citizens qualified to vote. In a more limited sense, lawmaking by initiative petition is also an example of direct democracy; see Chapter 24.



▲ **Direct Democracy Today** At this town meeting in New Hampshire, every adult citizen in the town enjoys the right to speak out and vote on issues. **Critical Thinking** Why are town meetings impractical in large cities? **H-SS 12.2.4**

Dictatorship

A dictatorship exists where those who rule cannot be held responsible to the will of the people. The government is not accountable for its policies, nor for how they are carried out. Dictatorship is probably the oldest, and it is certainly the most common, form of government known to history.⁷

Dictatorships are sometimes identified as either autocracies or oligarchies. An **autocracy** is a government in which a single person holds unlimited political power. An **oligarchy** is a government in which the power to rule is held by a small, usually self-appointed elite.

All dictatorships are authoritarian—those in power hold absolute and unchallengeable authority over the people. Modern dictatorships have tended to be totalitarian, as well. That is, they exercise complete power over nearly every aspect of human affairs. Their power embraces all matters of human concern.

The leading examples of dictatorship in the modern era have been those in Fascist Italy (from 1922 to 1943), in Nazi Germany (from 1933 to 1945), in the Soviet Union (from 1917

⁷The word *dictatorship* comes from the Latin *dictare*, meaning to dictate, issue orders, give authoritative commands. *Dictator* was the ancient Roman republic's title for the leader who was given extraordinary powers in times of crisis. Julius Caesar (100–44 B.C.) was the last of the Roman dictators.

Reading Strategy

Organizing Information/Outline

Ask students to copy down the main headings and subheadings in outline form, leaving space for details. Have them fill in the details as they read the section.

Background Note

Global Awareness

Economic depression and social dislocation were the major causes of fascism in Germany in the 1930s. As the country blamed for World War I, Germany was forced to pay reparations (or damages), crippling the nation's economy, causing food shortages and spiraling inflation in the 1920s, and desperate unemployment after the Great Depression struck. These conditions, combined with national grief over the thousands killed in battle and a national pride stung by defeat, created a sense of frustration that made the nation receptive to Nazism's promise of a glorious future.

Point-of-Use Resources

Guided Reading and Review Unit 1 booklet, p. 4 provides students with practice identifying the main ideas and key terms of this section.

Lesson Planner For complete lesson planning suggestions, see the Lesson Planner booklet, section 2.

Political Cartoons See p. 5 of the Political Cartoons booklet for a cartoon relevant to this section.

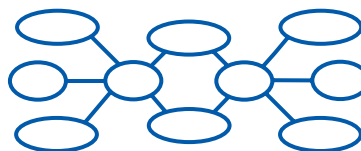
Section Support Transparencies Transparency 8, *Visual Learning*; Transparency 107, *Political Cartoon*

Organizing Information

To make sure students understand the main points of this section, you may wish to use the double web graphic organizer to the right.

Tell students that a double web can be used to compare and contrast two ideas. Have students use the double web to compare democracy with dictatorship.

Teaching Tip A template for this graphic organizer can be found in the Section Support Transparencies, Transparency 2.



Answer to . . .

Critical Thinking Cities have much larger populations than small towns; it would be impossible for everyone to express his or her opinions.

Universal Access

L4

Have students analyze the global government map the class created for the block scheduling activity on p. 12 and draw general conclusions such as: In which regions are most of the democracies? The dictatorships? Are there any patterns of government that they see? Then have students offer historical or geographical reasons for these patterns.

GT H-SS 12.3.4

Make It Relevant

Students Make a Difference

Their motto is “Democracy must be learned by each generation,” and each year teenagers in California practice what they preach by creating a simulation of their State government. More than 2200 high school students across the State participate in the YMCA Youth and Government program’s nine-month hands-on government experience. In the fall, local delegations meet to discuss State issues. The teenage delegates attend training sessions, write bills, and run for office. In February, the five-day Model Legislature and Court convenes in the actual offices of the State government in Sacramento.

When Courtney Wilkins, the 55th Youth Governor, reflected on her experience with Youth and Government, she noted: “Y&G taught me to be a great thinker, a strong speaker, and a compassionate and open person.”

until the late 1980s), and one that still exists in the People’s Republic of China (where the present regime came to power in 1949).

Although they do exist, one-person dictatorships are not at all common today. A few close approaches to such a regime can now be found in Libya, which has been dominated by Muammar al-Qaddafi since 1969, and in some other Arab and African states.

Most present-day dictatorships are not nearly so absolutely controlled by a single person or by a small group as may appear to be the case. Outward appearances may hide the fact that several groups—the army, religious leaders, industrialists, and others—compete for power in the political system.

Dictatorships often present the outward appearance of control by the people. The people often vote in popular elections; but the vote is closely controlled, and ballots usually contain the candidates of but one political party. An elected legislative body often exists, but only to rubber-stamp the policies of the dictatorship.

Typically, dictatorial regimes are militaristic in character. They usually gain power by force. The military holds many of the major posts in the government. After crushing all effective opposition at home, these regimes may turn to foreign aggression to enhance the country’s military power and prestige.



▲ **Dictatorship and Democracy in Germany** Today, the Federal Republic of Germany is a vigorous democracy. It was born out of the defeat of Adolf Hitler’s Nazi dictatorship in World War II. **H-SS 12.3.4**

Geographic Distribution of Power

In every system of government the power to govern is located in one or more places, geographically. From this standpoint, three basic forms of government exist: unitary, federal, and confederate governments.

Unitary Government

A **unitary government** is often described as a centralized government. All powers held by the government belong to a single, central agency. The central (national) government creates local units of government for its own convenience. Those local governments have only those powers that the central government chooses to give them.

Most governments in the world are unitary in form. Great Britain is a classic illustration. A single central organization, the Parliament, holds all of the government’s power. Local governments exist solely to relieve Parliament of burdens it could perform only with difficulty and inconvenience. Though unlikely, Parliament could do away with these and other agencies of local government at any time.

Be careful not to confuse the unitary form of government with a dictatorship. In the unitary form, all of the powers held by the government are concentrated in the central government. That government might not have *all* power, however. In Great Britain, for example, the powers held by the government are limited. British government is unitary and, at the same time, democratic.

Federal Government

A **federal government** is one in which the powers of government are divided between a central government and several local governments. An authority superior to both the central and local governments makes this **division of powers** on a geographic basis; and that division cannot be changed by either the local or national level acting alone. Both levels of government act directly on the people through their own sets of laws, officials, and agencies.

In the United States, for example, the National Government has certain powers and the 50 States have others. This division of powers is set out in the Constitution of the United States. The Constitution stands above both levels of government; and it cannot be changed unless the people,

Universal Access

L3

Have students choose the three terms in the following list that accurately describe the U.S.

Government: Unitary, federal, confederate, presidential, parliamentary, dictatorship, democracy. As they choose each term, have them explain the meaning in their own words.

ELL H-SS 12.9.3

acting through both the National Government and the States, agree to that change.

Australia, Canada, Mexico, Switzerland, Germany, India, and some 20 other states also have federal forms of government today. In the United States, the phrase “the Federal Government” is often used to identify the National Government, the government headquartered in Washington, D.C. Note, however, that each of the 50 State governments in this country is unitary, not federal, in form.

Confederate Government

A **confederation** is an alliance of independent states. A central organization, the confederate government, has the power to handle only those matters that the member states have assigned to it. Typically, confederate governments have had limited powers and only in such fields as defense and foreign affairs.

Most often, they have not had the power to make laws that apply directly to individuals, at least not without some further action by the member states. A confederate structure makes it possible for the several states to cooperate in matters of common concern and, at the same time, retain their separate identities.

Confederations have been rare in the modern world. The European Union (EU) is the closest approach to one today. The EU, formed by 11 countries in 1993, has established free trade among its now 25 member-nations, launched a common currency, and seeks to coordinate its members’ foreign and defense policies.

In our own history, the United States under the Articles of Confederation (1781 to 1789) and the Confederate States of America (1861 to 1865) are also examples of this form of government.

Relationship Between Legislative and Executive Branches

Political scientists also classify governments based on the relationship between their legislative and executive agencies. This grouping yields two basic forms of government: presidential and parliamentary.

Frequently Asked Questions

Government

Why do we have a federal system of government?

The Framers of the Constitution had to deal with several critical matters as they drafted a new fundamental law for the United States. Not the least: How could they possibly design a strong and effective central government for the nation and, at the same time, preserve the existing States? Their solution: Federalism—an arrangement in which the powers of government would be divided between the new National Government on the one hand, and the States on the other.

Why not a unitary system?

None of the Framers favored a strong central government based on the British (unitary) model. The revolutionary war had been fought in the name of local self-government, and the Framers were determined to preserve that cherished principle.

Any Questions?

What else would you like to know about United States government? Brainstorm two new questions and exchange them with a classmate. What did you learn?



Presidential Government

A **presidential government** features a separation of powers between the executive and the legislative branches of the government. The two branches are independent of one another and coequal. The chief executive (the president) is chosen independently of the legislature, holds office for a fixed term, and has a number of significant powers that are not subject to the direct control of the legislative branch.

The details of this separation of the powers of these two branches are almost always spelled out in a written constitution—as they are in the United States. Each of the branches is regularly given several powers with which it can block actions of the other branch.

The United States is the world’s leading example of presidential government. In fact, the United States invented the form. Most of the other presidential systems in the world today are also found in the Western Hemisphere.

CONSTITUTIONAL PRINCIPLES

Federalism

Since the nation’s founding, there has been a gradual shift in power from the States and to the National Government. However, this shift has not been steady. For example, World War II ushered in a period of federal activism with broad public support, while the Vietnam War caused a backlash against the Federal Government and led to increased conflict between States and the Federal Government. Today we look to the Federal Government to protect us in the face of terrorism. The debate over the nature of

American federalism is renewed in part with each new administration and every historical event.

Activity

Political theorists often use the metaphor of a cake to describe American federalism. Some suggest a layer cake for distinct types of government, others a marble cake for overlapping roles. Have students select a period of American history and offer such a metaphor for how federalism worked at that time.

Universal Access

L3

Remind students that governments can be classified according to three different sets of characteristics. Using these characteristics, have students create a flowchart that will enable others to identify what type a particular government is. Encourage them to use “If, then” or similar conditional statements throughout the chart. Ask for a volunteer to demonstrate to the class how their flowchart works.


LPR


Background Note

A Diverse Nation

Over two centuries before the Articles of Confederation were written, the Native American Iroquois nation forged the first viable confederate government in North America. The Iroquois Confederacy (or League) united five tribes—Mohawk, Oneida, Onondaga, Cayuga, and Seneca—in a defensive alliance, much like the Articles, in the area of today’s New York State. A council of representatives—chosen by leading women from each of the tribes—made key decisions on war and peace. Each tribe retained control over its own affairs, and none could be compelled to obey council directives against its will.

Point-of-Use Resources

 **The Enduring Constitution**
Federalism, p. 8

 **Simulations and Data Graphing CD-ROM** offers data graphing tools that give students practice with creating and interpreting graphs.

 **Basic Principles of the Constitution Transparencies** Transparencies 44–50, *Federalism*

Frequently Asked Questions

Students will research and answer questions written by their classmates. Have students present questions and answers to the class.

Point-of-Use Resources



Guide to the Essentials Chapter 1, Section 2, p. 15 provides support for students who need additional review of section content. Spanish support is available in the Spanish edition of the Guide on p. 8.



Quiz Unit 1 booklet, p. 5 includes matching and multiple-choice questions to check students' understanding of Section 2 content.



Presentation Pro CD-ROM Quizzes and multiple-choice questions check students' understanding of Section 2 content.

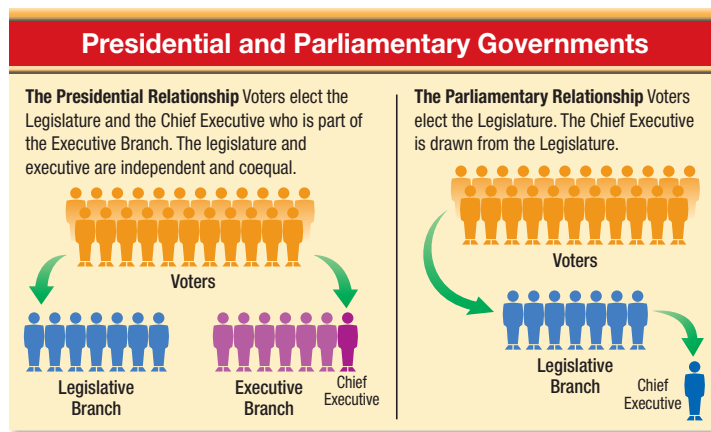
Answers to . . .

Section 2 Assessment

1. Concentration of power in a central government which creates local units of government for its convenience and delegates their powers.
2. Power is divided between a central government and several local governments.
3. In an oligarchy, a small elite holds power.
4. The U.S. Constitution establishes a separation of powers with a President heading the executive branch.
5. Answers should reveal that students understand the differences between presidential and parliamentary forms of government, especially in terms of the independence and accountability of the executive branch.
6. Students should recognize that the people hold political authority in a democracy. Therefore, any elected leaders must "follow the people" as well as provide leadership.

Answer to . . .

Interpreting Diagrams Parliamentary government.



Interpreting Diagrams Compare presidential and parliamentary forms of government. *In which form of government is the chief executive both elected from and part of the legislature?*

Parliamentary Government

In **parliamentary government**, the executive is made up of the prime minister or premier, and that official's cabinet. The prime minister and cabinet themselves are members of the legislative branch, the parliament. The prime minister is the leader of the majority party or of a likeminded group of parties in parliament and is chosen by that body. With parliament's approval, the prime minister selects the members of the cabinet from among the members of parliament. The executive is thus chosen by the legislature, is a part of it, and is subject to its direct control.

parliament chooses a new prime minister or, as often happens, all the seats of parliament go before the voters in a general election.

A majority of the governmental systems in the world today are parliamentary, not presidential, in form—and they are by a wide margin. Parliamentary government avoids one of the major problems of the presidential form: prolonged conflict and sometimes deadlock between the executive and legislative branches. On the other hand, it should be noted that the checks and balances of presidential government are not a part of the parliamentary system.

Section 2 Assessment

Key Terms and Main Ideas

1. What defines a **unitary government**?
2. How is power distributed in a **federal government**?
3. Who holds power in an **oligarchy**?
4. What specific trait gives the United States a **presidential system** of government?

Critical Thinking

5. **Making Comparisons** In a democracy, those who are responsible for the day-to-day conduct of government are accountable to the people for what is done in their name. Which form of government, presidential or parliamentary, do you think comes closer to this ideal? Why?



Standards Monitoring Online

For: Self-Quiz and vocabulary practice
Web Code: mqa-1012

6. **Drawing Inferences** More than a century ago, British prime minister Benjamin Disraeli (1804–1881) declared: "I must follow the people. Am I not their leader?" What do you think he meant when he made that comment?

Go Online

PHSchool.com

For: An activity on types of government
Web Code: mqd-1012



Standards Monitoring Online

For additional assessment, have students access **Standards Monitoring Online** at
Web Code: mqa-1012

Go Online
PHSchool.com

Typing in the Web Code when prompted will bring students directly to detailed instructions for this activity.

3 Basic Concepts of Democracy

Objectives You may wish to call students' attention to the objectives in the Section Preview. The objectives are reflected in the main headings of the section.

Bellringer Have students suppose that tomorrow they will vote in a national election, in which they will freely choose among the candidates of several parties. Then they will stand in line for hours waiting to buy food at the government-run market. Ask them what is wrong with this picture. Explain that in this section, they will learn about how democracy and free enterprise go hand in hand.

Vocabulary Builder Write the headings *Government* and *Economics* on the board. Ask students to put the terms from the Political Dictionary in one category or the other (or both). Have students explain their reasoning.

Lesson Plan

Teaching the Main Ideas L3

H-SS 12.10

1. Focus Tell students that several basic concepts form the foundation of American democracy. Ask students to discuss what they know about any of these concepts.

2. Instruct Ask students what rights the minority has in a democracy. Discuss the concept of "majority rule, minority rights" and the other basic concepts of democracy. Then focus on the concept of individual freedom and how it links democracy with the free enterprise system.

3. Close/Reteach Remind students that individual freedom is at the core of our democracy. Have students draw a double web diagram to organize the information in the section. The topics in the two main circles should be "Democracy" and "Free Enterprise System." Diagrams should show that individual freedom is a concept shared by both main topics.

Answer to . . .

Critical Thinking Worth of the individual and equality for all people.

3

Basic Concepts of Democracy

Section Preview

OBJECTIVES

1. **Understand** the foundations of democracy.
2. **Analyze** the connections between democracy and the free enterprise system.
3. **Identify** the role of the Internet in a democracy.

WHY IT MATTERS

Democracy insists on the fundamental importance of each and every individual. The free enterprise system is a natural counterpart to democracy—for it, too, is built on the concept of individualism.

POLITICAL DICTIONARY

- ★ **compromise**
- ★ **free enterprise system**
- ★ **law of supply and demand**
- ★ **mixed economy**

What do you make of James Bryce's assessment of democracy? "No government demands so much from the citizen as Democracy, and none gives so much back." What does democratic government demand from you? What does it give you in return?

Foundations

Democracy is not inevitable. It does not exist in the United States simply because Americans regard it as the best of all possible political systems. Rather, democracy exists in this country because the American people believe in its basic

concepts. It will continue to exist only for as long as we, the people, continue to subscribe to and practice those concepts.

Winston Churchill (1874–1965) once argued for democracy this way: "No one pretends that democracy is perfect or all-wise. Indeed, it has been said that democracy is the worst form of government except all those other forms that have been tried from time to time."

The American concept of democracy rests on these basic notions:

- (1) A recognition of the fundamental worth and dignity of every person;
- (2) A respect for the equality of all persons;
- (3) A faith in majority rule and an insistence upon minority rights;
- (4) An acceptance of the necessity of compromise; and
- (5) An insistence upon the widest possible degree of individual freedom.

Of course, these ideas can be worded in other ways. No matter what the wording, however, they form the very minimum that anyone who professes to believe in democracy must agree to.

Worth of the Individual

Democracy is firmly based upon a belief in the fundamental importance of the individual. Each individual, no matter what his or her station in life, is a separate and distinct being.

This concept of the dignity and worth of the individual is of overriding importance in democratic thought. At various times, of course, the welfare of one or a few individuals



▲ At Gettysburg, Pennsylvania, Abraham Lincoln declared that the United States was "conceived in liberty, and dedicated to the proposition that all men are created equal." **Critical Thinking** Which of the five foundations of democracy are best described by this quote?



Block Scheduling Strategies

Consider these suggestions to manage extended class time:

■ Have students, before they have read the section, list what they consider to be the basic rights of individuals. After they have finished, organize them into small groups and ask them to read the section. Then have each group revise their lists based on what they have read. Ask: What factors limit an individual's rights in a democracy, and why?

■ Ask students to list ways that the government is involved in the economy. Now have them consider how life would be different if the American economy was a pure free market economy rather than mixed. Have students write editorials that either urge the removal of government regulations in a specific industry or urge more government regulation of a specific industry.

is subordinated to the interests of the many in a democracy. People can be forced to do certain things whether they want to or not. Examples range from paying taxes to registering for the draft to stopping at a stop sign.

When a democratic society forces people to pay a tax or obey traffic signals, it is serving the interests of the many. However, it is *not* simply serving the interests of a mass of people who happen to outnumber the few. Rather, it is serving the many who, as individuals, together make up that society.

Equality of All Persons

Hand-in-hand with the belief in the worth of the individual, democracy stresses the equality of all individuals. It holds, with Jefferson, that “all men are created equal.”

Certainly, democracy does *not* insist on an equality of condition for all persons. Thus, it does not claim that all are born with the same mental or physical abilities. Nor does it argue that all persons have a right to an equal share of worldly goods.

Rather, the democratic concept of equality insists that all are entitled to (1) equality of opportunity and (2) equality before the law. That is, the democratic concept of equality holds that no person should be held back for any such arbitrary reasons as those based on race, color, religion, or gender. The concept holds that each person must be free to develop himself or herself as fully as he or she can (or cares to), and that each person should be treated as the equal of all other persons by the law.

We have come a great distance toward the goal of equality for all in this country. It is clear, however, that the journey is far from over.

Majority Rule, Minority Rights

In a democracy, the will of the people and not the dictate of the ruling few determines public policy. But what is the popular will, and how is it determined? Some device must exist by which these crucial questions can be answered. The only satisfactory device democracy knows is that of majority rule. Democracy argues that a majority of the people will be right more often than they will be wrong, and that the majority will also be right more often than will any one person or small group.



▲ **Equality of Opportunity** Under Title IX of the Educational Amendments of 1972, women must have the same athletic opportunities as men in schools and colleges. **H-SS 12.7.5**

Democracy can be described as an experiment or a trial-and-error process designed to find satisfactory ways to order human relations. Democracy does *not* say that the majority will always arrive at the best decisions on public matters. In fact, the democratic process does not intend to come up with “right” or “best” answers. Rather, the democratic process searches for *satisfactory* solutions to public problems.

Of course, democracy insists that the majority’s decisions will usually be more, rather than less, satisfactory. Democracy does admit the possibility of mistakes; it acknowledges the possibility that “wrong” or less satisfactory answers will sometimes be found. Democracy also recognizes that seldom is any solution to a public problem so satisfactory that it cannot be improved upon, and that circumstances can change over time. So, the process of experimentation, of seeking answers to public questions, is never-ending.

Certainly, a democracy cannot work without the principle of majority rule. Unchecked, however, a majority could destroy its opposition and, in the process, destroy democracy as well. Thus, democracy insists upon majority rule restrained by minority rights. The majority must always recognize the right of any minority to become, by fair and lawful means, the majority. The majority must always be willing to listen to a minority’s argument, to hear its objections, to bear its criticisms, and to welcome its suggestions.

Reading Strategy

Predicting


Have students read the first page of the section, stopping after the list of the five basic concepts underlying American democracy. Then have them predict which of these concepts links democracy with the free enterprise system. Have them read the rest of the section to verify their predictions.


Background Note


Recent Scholarship


“The Warren Court,” Morton J. Horwitz observes, “recognized not only that representation of minorities was an integral part of democracy but also that truly effective representation required that all people be guaranteed dignity and worth.” In *The Warren Court and the Pursuit of Justice*, Horwitz uses the decisions on civil rights and civil liberties cases to show how the concept of democracy was expanded during the reign of the Warren Court. Unlike the idea of democratic government outlined by the Framers, Horwitz asserts, this new, expanded understanding of democratic government included cultural as well as political components.

Point-of-Use Resources

 **Guided Reading and Review** Unit 1 booklet, p. 6 provides students with practice identifying the main ideas and key terms of this section.

 **Lesson Planner** For complete lesson planning suggestions, see the Lesson Planner booklet, section 3.

 **Political Cartoons** See p. 6 of the Political Cartoons booklet for a cartoon relevant to this section.

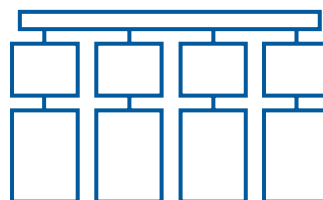
 **Section Support Transparencies** Transparency 9, *Visual Learning*; Transparency 108, *Political Cartoon*

Organizing Information

To make sure students understand the main points of this section, you may wish to use the tree map graphic organizer to the right.

Tell students that a tree map outlines a main topic, its main ideas, and its supporting details. Have students use a tree map to outline the basic principles on which American democracy rests.

Teaching Tip A template for this graphic organizer can be found in the Section Support Transparencies, Transparency 3.




Background Note

A Country United

The terrorist attacks of September 11, 2001, inspired Americans to unite around the core values of American democracy. Democrats and Republicans alike stood behind the President in his quest to defend freedom. People of diverse religions supported Arab Americans who may have been targeted for hate crimes. A kind of pluralism developed among the various institutions—the President, the Congress, and the media—where before there had been animosity and dissent. Perhaps even more importantly, the American people were brought together, united around their shared shock, pain, and sympathy for all who were affected by the tragic events.

Each year since the attacks, commemoration ceremonies have served to strengthen the bond. Moments of silence of the times when planes struck the World Trade Center towers and when each tower fell, tolling bells, the reading of the names of the victims, and a nighttime “Tribute in Light”—two beacons of light that can be seen 25 miles away—recall to Americans the strength of our fellow citizens and re-ignite pride in this democratic nation.

Point-of-Use Resources

 **Simulations and Debates** Majority Rule, pp. 46–47 provides students with a simulation of the interaction between a majority group and minority groups.

Answer to . . .

Interpreting Political Cartoons Public policy.

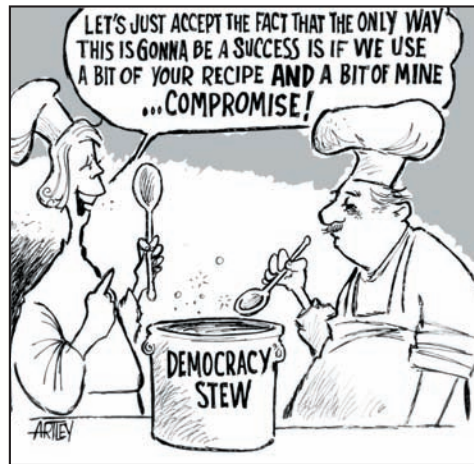
Necessity of Compromise

In a democracy, public decision making must be largely a matter of give-and-take among the various competing interests. It is a matter of **compromise** in order to find the position most acceptable to the largest number. Compromise is the process of blending and adjusting competing views and interests.

Compromise is an essential part of the democratic concept for two major reasons. First, remember that democracy puts the individual first and, at the same time, insists that each individual is the equal of all others. In a democratic society made up of many individuals and groups with many different opinions and interests, how can the people make public decisions except by compromise?

Second, few public questions have only two sides. Most can be answered in several ways. Take the apparently simple question of how a city should pay for the paving of a public street. Should it charge those who own property along the street? Or should the costs be paid from the city’s general treasury? Or should the city and the adjacent property owners share the costs? What about those who will use the street but do not live in the city? Should they have to pay a toll?

Remember, compromise is a process, a way of achieving majority agreement. It is never an end in itself. Not all compromises are good, and not all are necessary.



Interpreting Political Cartoons If the two chefs represent lawmakers in a democracy, what might the stew represent?

Individual Freedom

It should be clear by this point that democracy can thrive only in an atmosphere of individual freedom. However, democracy does not and cannot insist on *complete* freedom for the individual. Absolute freedom can exist only in a state of anarchy—the total absence of government. Anarchy can only lead, inevitably and quickly, to rule by the strong and ruthless.

Democracy does insist, however, that each individual must be as free to do as he or she pleases as far as the freedom of all will allow. Justice Oliver Wendell Holmes once had this to say about the relative nature of each individual’s rights: “The right to swing my fist ends where the other man’s nose begins.”

Drawing the line between the rights of one individual and those of another is far from easy. Still, the drawing of that line is a continuous and vitally important function of democratic government. As John F. Kennedy put it: “The rights of every man are diminished when the rights of one man are threatened.”

Striking the proper balance between freedom for the individual and the rights of society as a whole is similarly difficult—and vital. Abraham Lincoln once stated democracy’s problem in these words:

PRIMARY Sources “Must a government of necessity be too strong for the liberties of its own people, or too weak to maintain its own existence?”

—Response to a Serenade, November 10, 1864

Human beings desire both liberty and authority. Democratic government must work constantly to strike the proper balance between the two. The authority of government must be adequate to the needs of society. At the same time, that authority must never be allowed to become so great that it restricts the individual beyond necessity.

Democracy and the Free Enterprise System

The American commitment to freedom for the individual is deep-rooted, and it is as evident in the nation’s economic system as it is in the political system. The American economic system is often called the **free enterprise system**.

Preparing for Standardized Tests

Have students read the passages under *Individual Freedom* on this page and then complete the sentence below.

Individual freedom in a democracy can best be described as

- A** absolute.
- B** threatened by anarchy.
- C** balanced by societal and governmental rules.
- D** secondary to the rights of society.

It is an economic system characterized by the private ownership of capital goods, investments made by private decision, not by government directive, and success or failure determined by competition in the marketplace. The free enterprise system is based on four fundamental factors: private ownership, individual initiative, profit, and competition.

How the System Works

The free enterprise system is often called capitalism, and it is also known as the private enterprise system and as a market-based system. It does not rely on government to decide what items are to be produced, how much of any particular item should be produced, or how much any item is to sell for. Rather, those decisions are to be made by the market, through the **law of supply and demand**. That law states that when supplies of goods and services become plentiful, prices tend to drop. When supplies become scarcer, prices tend to rise.

Democracy and the free enterprise system are not the same thing. One is a political system, and the other is an economic system. However, both are firmly based on the concept of individual freedom. America's experience with both systems clearly suggests that the two reinforce one another in practice.

Government and the Free Enterprise System

The basis of the American economic system is the free market. However, government plays a role in the American economy, and always has. An economy in which private enterprise exists in combination with a considerable amount of government regulation and promotion is called a **mixed economy**. Government's participation in the economy serves a two-fold purpose: to protect the public and to preserve private enterprise.

Government's participation in the economy can be seen at every level in this country: national, State, and local. Here are but a few examples: Economic activities are *regulated* by government through antitrust laws, pure food and drug laws, anti-pollution standards, and city and county zoning ordinances and building codes.

The nation's economic life is *promoted* in a great number of public ways. The government



▲ Entrepreneurs are the foundation of the American system of free enterprise. Businesses like this pastry shop help consumers find the items they need at market prices. **Critical Thinking** What qualities define an entrepreneur? **H-SS 12.2.2**

grants money for transportation systems, scientific research, and the growing of particular food crops; builds roads and operates public schools; provides services such as the postal system, weather reports, and a national currency; and much more.

Thus some activities that might be carried out privately are in fact conducted by government. Public education, the postal system, local fire departments, city bus systems, and road building are examples of long standing.

How much should government participate, regulate and promote, police and serve? Many of the most heated debates in American politics center on that question, and we are often reminded of Abraham Lincoln's advice:

PRIMARY Sources “The legitimate object of government, is to do for a community of people, whatever they need to have done, but can not do, at all, or can not, so well do, for themselves—in their separate, and individual capacities.”

—Abraham Lincoln, July 1, 1854

Most Americans believe that a well-regulated free enterprise system—one of free choice, individual initiative, private enterprise—is the best guarantee of a better life for everyone.

Universal Access

L2

Refer students to the many quotations provided in the text by past government leaders. Ask students to choose one of the quotes that they feel made the strongest impression on them and have them create a political cartoon or other visual that demonstrates what the quote says. Ask for volunteers to share their cartoons or visuals with the class.

ELL

Universal Access

L3

Share the following quotation with students:

“Democracy is the recurrent suspicion that more than half of the people are right more than half of the time.”

—E.B. White

Ask students what White meant by his remark. Ask: How might White's comment be seen as a humorous expression of one of the basic concepts of democracy?

Point-of-Use Resources



ABC News Civics and Government Videotape Library

The Volunteer Summit (time: about 6 minutes)

PRENTICE HALL
TeacherEXPRESS™
Plan • Teach • Assess

Use this complete suite of powerful teaching tools to make planning lessons and administering tests quicker and easier.

Answer to . . .

Critical Thinking Answers will vary, but students might suggest ambition and initiative.

Point-of-Use Resources



Guide to the Essentials

Chapter 1, Section 3, p. 16 provides support for students who need additional review of section content. Spanish support is available in the Spanish edition of the Guide on p. 9.



Quiz

Unit 1 booklet, p. 7 includes matching and multiple-choice questions to check students' understanding of Section 3 content.



Presentation Pro CD-ROM

Quizzes and multiple-choice questions check students' understanding of Section 3 content.

Answers to . . .

Section 3 Assessment

1. Compromise is vital in a democracy as it ensures that public decisions are acceptable to all individuals and that all points of view have been considered.
2. Characteristics include private or corporate ownership of capital goods, investments that are determined by private decision rather than state control, and free markets.
3. When supplies of goods and services become plentiful, prices drop; when supplies become scarce, prices rise.
4. In a mixed economy, governments protect the public and also preserve private enterprise.
5. Promote free market: Encourage private ownership, individual initiative, profit motive, competition. Conflict with free market: regulate companies, food production, and pollution; establish zoning ordinances.
6. Answers will vary, but should suggest that while most decisions are made by the majority, the minority still retain their fundamental rights.

Answers to . . .

Government Online Advantage: It is an inexpensive way to campaign, recruit volunteers, and raise money. Disadvantage: Not every voter has access to a computer.



Government Online

Online Campaigning As it has just about everywhere else, the Internet has rapidly transformed electoral politics. How rapidly? Consider that the Democratic National Party didn't erect its first Web site until June 1995 (with the Republicans following days later).

The first major election in which the Internet made the difference was professional wrestler Jesse Ventura's upset victory in the 1998 Minnesota governor's race. Ventura's cash-strapped, third party campaign created a fresh, interactive Web site that allowed him to spread his message quickly and cheaply. By gathering visitors' email addresses, he was also able to recruit volunteers, raise money, and mobilize his voters on election day.

Web sites were a campaign staple by the 2000 presidential election, providing voters access to the candidates' detailed positions on the issues. After his victory in the New Hampshire Republican primary, Arizona Senator John McCain noted that his Web site helped him enlist thousands of new volunteers and raise millions of dollars.

That year, Web White & Blue, a nonprofit Web site, also hosted the first online presidential debate. It lasted 38 days and featured daily exchanges between the candidates, and their answers to questions from Internet users.



Use Web Code mqd-1016 to find out more about campaigning online and for help in answering the following question:

What are the advantages and disadvantages of online campaigning for candidates and voters?

Democracy and the Internet

At least 180 million Americans can now log on to the Internet to send and receive e-mail, to buy or sell practically anything, to entertain themselves, to inform themselves, and to do any number of other things. It is clear that cyberspace has

become a major marketplace and an important channel of communication.

Democracy demands that the people be widely informed about the government. Thus, democracy and the Internet would seem to be made for one another. Internet users can check out the Web sites of political candidates, discover what's happening in Congress, read the most recent Supreme Court decisions, and do much else. Theoretically, this makes knowledgeable participation in the democratic process easier than ever before.

However, the speed with which and the quantity in which information can be found on the World Wide Web does *not* guarantee the reliability of that data. There is a vast amount of unverifiable, often unverifiable, and frequently false information and biased analysis in cyberspace.

Some argue that elections should be held online. In fact, some cyber votes were cast in the Democratic Party's presidential primary in Arizona in 2000 and, most recently, in that party's presidential primary in Michigan in 2004. The Defense Department conducted a very small online voting project in connection with the presidential election in 2000, but cancelled plans for a much larger project in 2004 because it could find no way to guarantee the absolute integrity of an online voting system. A leap to online elections appears unlikely, however—at least in the near term, as you will see when we turn to the electoral process in Chapter 7 (page 194).

Section 3 Assessment

Key Terms and Main Ideas

1. Why is **compromise** an important part of democracy?
2. List three characteristics of the **free enterprise system**.
3. How does the **law of supply and demand** help determine the price of an item?
4. What is the role of government in a **mixed economy**?

Critical Thinking

5. **Recognizing Cause and Effect** List three examples of governmental actions that tend to promote the free market and three examples of governmental actions that might interfere with the free market.
6. **Drawing Inferences** Describe, in your own words, the responsibilities of the majority in a system of "majority rules, minority rights."



Standards Monitoring Online

For: Self-Quiz and vocabulary practice
Web Code: mqa-1013

7. **Predicting Consequences** (a) How might the growth of the Internet affect the relationship between government and the people? (b) What are some possible advantages and disadvantages of Internet voting?



For: An activity on the American economy
Web Code: mqd-1013

7 (a). Possible answers: It could encourage citizens to participate more in government because of access to information and online voting. People can communicate with each other and organize more easily around an issue.

(b). Advantages: The Internet makes it easier to be well-informed about government and to participate in the democratic process. Disadvantages: Reliability and accuracy of online information can be questionable.



Standards Monitoring Online

For additional assessment, have students access **Standards Monitoring Online** at
Web Code: mqa-1013



Typing in the Web Code when prompted will bring students directly to detailed instructions for this activity.