

Foundations of Government



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American Government

- What is government?
- What is the purpose of government?
- What about American government...how did we start and how did we get to where we are at today?
- Do we really have a democracy in America?

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American Government

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 2. Origins of American Government
 3. The Constitution
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 5. Congress...the Legislative Branch
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 8. Federal Courts and the Judicial Branch

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 9. The Political Process
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Chapter 1: Foundations of Government



Section 1: The Purposes of Government

Section 2: Forms of Government

Section 3: Democracy in the United States



Section 1 at a Glance

The Purposes of Government

- Government is the formal structures and institutions through which decisions are made for a body of people.
- Most governments today exercise power within the context of a state.
- Governments function to ensure national security, maintain order, resolve conflict, provide services, and provide for the public good.
- Many theories have been put forth to explain why governments exist and the source of government's authority.

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What Is Government?

Government is made up of the formal institutions and processes through which decisions are made for a group of people.

Three main components:

- **People**—Elected officials with authority and control over others; public servants who carry out day-to-day governmental business
- **Power**—Legislative to make laws; executive to carry out, enforce, and administer laws; judicial to interpret laws and to settle disputes
- **Policy**—Decision made by government in pursuit of a goal; can be a law, a government program, or a set of government actions

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READING CHECK

Summarizing

Describe the three main components of most governments.

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READING CHECK

Summarizing

Describe the three main components of most governments.

Answer(s): *people—rulers and the ruled; power—government authority; policies—decisions made by government*

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Characteristics of a State

State:

political unit with the power to make and enforce laws over a group of people living within a clearly defined territory

Characteristics:

- Population—Must have people; number does not matter
- Territory—Must have clearly defined and recognized borders
- Government—Must have a government that issues and enforces rules for the people living within its territory; government must be recognized from within and by other nation states in the international community
- Sovereignty—Must have supreme power to act within its territory and to control its external affairs

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Foundations of Government

Origins of the State

Many theories have been put forth to explain how and why the state came into being. Among them are

Divine Right Theory

States are founded by God or the gods, and the ruler possesses a “divine right” to rule.

Evolution Theory

States form gradually over time, growing from family and extended kinship groups.

Social Contract Theory

States form when people reach a “contract” to surrender some power to a common authority in return for security.

Force Theory

States form when an individual or group uses force to make enough people submit to a central authority.

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READING CHECK

Identifying the Main Idea

Why is sovereignty important to a state?

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READING CHECK

Identifying the Main Idea

Why is sovereignty important to a state?

Answer(s): *A state needs to have both the power to act within its territory and authority over its external affairs.*

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Foundations of Government

FUNCTIONS OF GOVERNMENT

QUICK
FACTS

Ensure National Security

- Protect the nation's people and territory from external threats

Maintain Order

- Maintain internal order through police and the legal system

Resolve Conflict

- Provide means to resolve conflicts through politics and the legal system

Provide Services

- Provide a variety of services, ranging from education to public transportation, which are paid for by tax dollars

Provide for the Public Good

- Make decisions and policies that attempt to balance the public good with the needs of smaller segments of the population

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Functions of Government

Ensure National Security

- Guard its territory and its people against external threats
- Create and maintain national defense forces including military personnel, weaponry, and operations, as well as peacekeeping missions
- Maintain good relations with other nations (diplomacy)

Maintain Order

- Laws help maintain order and protect rights, property, and lives
- Must have clear rules for unacceptable behavior and consequences
- Different societies have different ideas about lawful behavior and appropriate punishment
- Must have means to identify and punish wrongdoers

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Foundations of Government

Resolve Conflict

- Some use intimidation and force; most use **politics** and justice system
- Groups try to influence government decisions through politics

Provide Services

- People pay taxes to fund services such as parks, mail, and education
- Public goods include clean water, parks, and roads; restricted services may include medical care, high schools, and public housing

Provide for the Public Good

- Definitions of “public” and “public good” change over time
- These questions are addressed through the political process

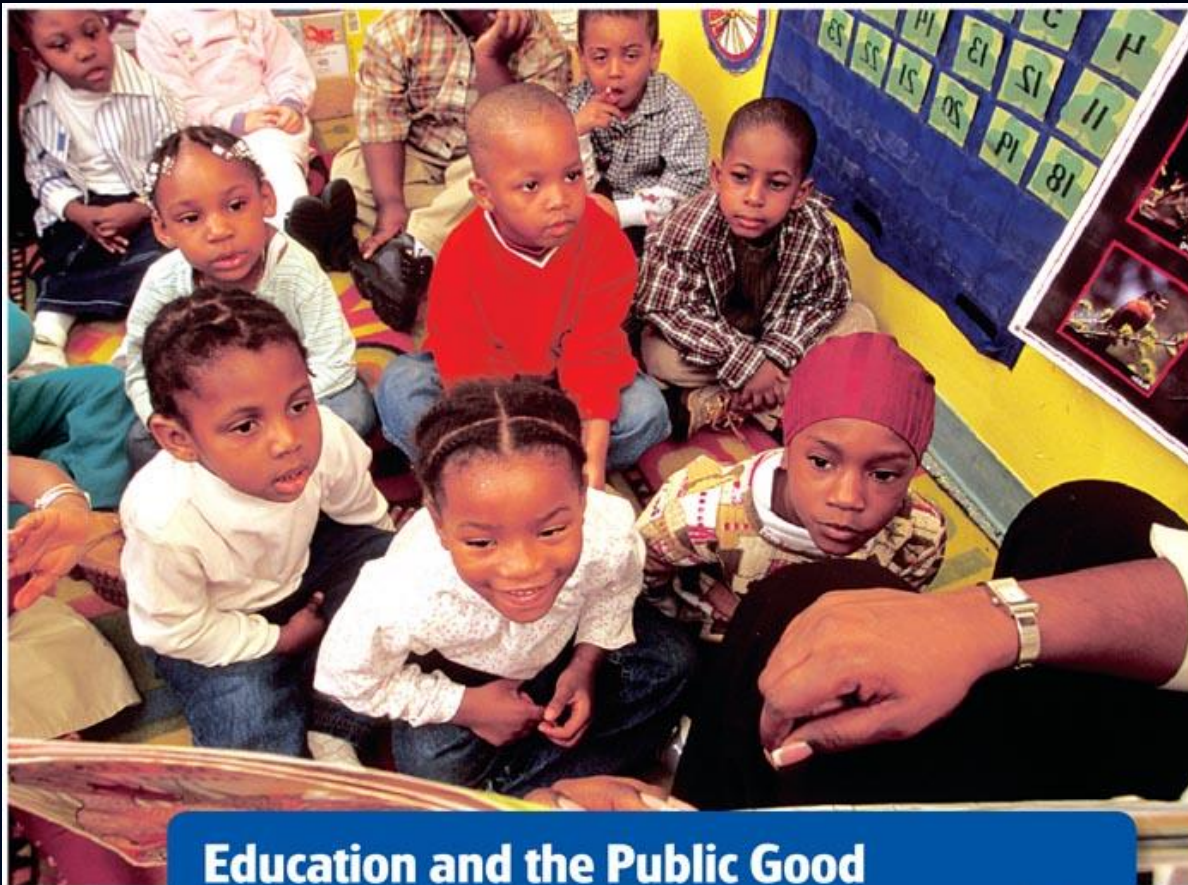
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Education and the Public Good

An educated citizenry is key to the maintenance of democracy. In the United States, students start school as young as age three, and more than one-half of high school graduates continue to college.

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Theories of Rule

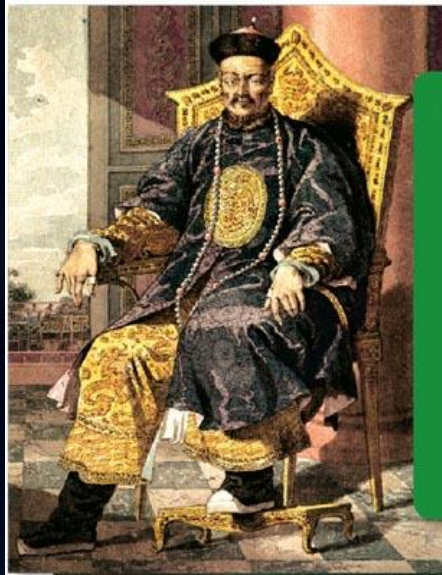
Legitimacy of Rulers

- What makes some forms of rule more acceptable than others?
- Rulers often have **legitimacy**. They are seen as right and proper by important segments of a nation's population, so their governance is voluntarily accepted by the people.

Divine Right

- Ruler is believed to be chosen by God or the gods
- Believed in ancient China, ancient Egypt, the Inca Empire, the Roman Empire, Japan until the mid-twentieth century, and seventeenth-century Europe
- European political and religious theory by Bossuet argued for the **divine right of kings**

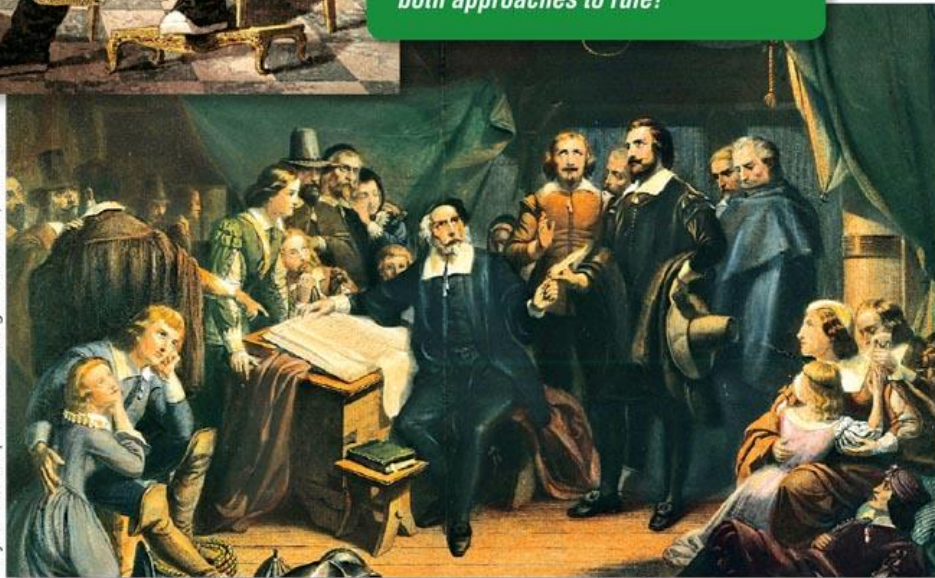
Foundations of Government



Sources of Power

Chinese emperors, such as the Emperor Qianlong (left, ruled 1735–1796) had to serve their people well to keep the “Mandate of Heaven.” By signing the Mayflower Compact in 1620, the Pilgrims (below) agreed to a social contract and formed a government “for the general good of the colony.” *How did the will of the people figure into both approaches to rule?*

Mayflower Compact The Granger Collection, New York



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Foundations of Government

Natural Law and Natural Rights

- Natural law is a system of rules derived from the natural world.
- Natural law binds citizens and rulers alike.
- All people possess natural, or human, rights.
- Supported by Aristotle, Cicero, Augustine, and Thomas Aquinas

The Social Contract

- **Social contract theory:** governments formed when people agreed to submit to state authority in return for protection and support
- Government is legitimate only so long as the power is given to the state.
- Contributed to by Hobbes, Locke, and Rousseau

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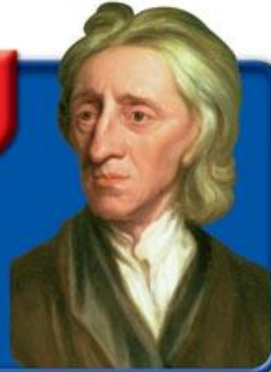
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PROFILES IN GOVERNMENT

John Locke

1632-1704



John Locke lived during one of the most turbulent political and intellectual periods in English history. During his lifetime, Locke saw great change, conflict,

and experiment in governmental institutions—including debates over religious tolerance and the English monarchy being abolished and later restored—that culminated in the Glorious Revolution and the beginning of the end of the absolute power of the monarchy in Britain.

One of the most influential thinkers of his time, Locke was an inspiration to the Framers of the U.S. Constitution. In particular, the Framers took notice of Locke's social contract theory and his views on natural rights. Locke believed that people were naturally good and that they formed governments in order to preserve the public good. According to Locke, a government had a duty to protect its citizens' natural rights to life, liberty, and property.

Making Inferences How do you think Locke's view of human nature influenced his ideas about government?

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READING CHECK

Summarizing

What assumptions about human nature did Locke and Rousseau make?

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Summarizing

What assumptions about human nature did Locke and Rousseau make?

Answer(s): *that people are good in their natural state*

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Debating the Issue: *Eminent Domain*

The Fifth Amendment to the U.S. Constitution guarantees “life, liberty, and property,” and states that no person’s property can be taken by the government for public use without just compensation. Still the national and state governments can exercise eminent domain, or the power to take private property for public use, presumably to serve the public good.

In exchange, eminent domain compels the government to pay property owners a fair price for their land. In cases where the rights of property owners and the power of government are at odds, conflicts arise. Who decides what amounts to “the greater public good”? Whose rights are more important? Who determines a fair price?

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Section 2 at a Glance

Forms of Government

- Forms of government can be grouped into categories based on who exercises authority and how power is distributed.
- Within a government, how power is shared between a central government and local governments determines whether a government has a unitary, federal, or confederal system.
- Most democratic governments have either a presidential or parliamentary system of government. In presidential systems, power is divided between executive and legislative branches. In parliamentary systems, the functions of the executive and legislative branches are often combined.

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Forms of Government

Main Idea

Different forms of governments are categorized based on who exercises authority and how power is organized.

Reading Focus

- What are the classic forms of government?
- How is national power organized differently in unitary, federal, and confederal systems?
- In what ways do presidential and parliamentary systems differ?

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The Power of Government

ONE PEOPLE **Two** Koreas

Despite their differences, South Korean president Roh Moo-hyun (above, with his wife) and North Korean dictator Kim Jong Il (right) signed a wide-ranging peace and prosperity pact on October 4, 2007.



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Foundations of Government

CLASSIC FORMS OF GOVERNMENT

FORM	CHARACTERISTICS
Monarchy Example: Jordan	<ul style="list-style-type: none">• Ruled by a monarch, usually a king or a queen, who belongs to a royal family• Power is inherited• Absolute monarchs have unlimited power
Constitutional Monarchy Example: United Kingdom	<ul style="list-style-type: none">• Based on the idea that there are limits to the rightful power of a government over its citizens• Power of the monarch is limited by law; the real power lies in another branch of government• May coexist with other forms of government, such as representative democracy
Dictatorship Example: Cuba	<ul style="list-style-type: none">• Single dictator or a small group holds absolute authority and makes all decisions• Violence and force used to maintain rule
Totalitarian Regimes Example: North Korea	<ul style="list-style-type: none">• Dictator holds ultimate authority• Government tightly controls all aspects of life—political, social, and economic• No formal or informal limits on government

FORM	CHARACTERISTICS
Oligarchy/ Aristocracy Example: ancient Greece (Sparta)	<ul style="list-style-type: none">• Small group of powerful people make most government decisions for their own benefit• Membership in the ruling group may be based on wealth, family, or military power
Theocracy Example: Iran	<ul style="list-style-type: none">• Rulers claim to represent and be directed by a set of religious ideas• Laws are rooted in a particular religion or religious doctrine• Government power is unlimited
Direct Democracy Example: ancient Greece (Athens)	<ul style="list-style-type: none">• Government by the people; citizens are the ultimate source of government authority• Citizens come together to discuss and pass laws and select leaders• Works best in small communities
Republic/ Representative Democracy Example: ancient Rome, United States	<ul style="list-style-type: none">• Government by the people; citizens are the ultimate source of government authority• Indirect form of democracy; citizens elect representatives to make government decisions on their behalf• Representatives elected for set terms

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The Classic Forms

Monarchy

- Government is headed by one person with supreme authority
- In absolute monarchy, powers are unlimited and unchecked
- Constitutional monarchy most common form today
 - Monarch is ceremonial head of state
 - Real power belongs to another part of the government

Dictatorship

- One person, or a small group of people, holds unlimited power
- Power is maintained by force
- Most dictators head authoritarian or totalitarian regimes
- An **oligarchy** is led by a small group of people
- Dictatorships can be secular or theocracies

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Foundations of Government

Democracy

- “Rule by the people”
- In a pure democracy, the people make major government decisions through a process of majority rule.
- In a **direct democracy**, such as Athens, citizens meet regularly to discuss issues and vote for leaders.
- Athens was actually an elite-based system.
- In a **republic**, the people elect representatives to make decisions on their behalf.
- In a representative democracy, the people are the source of authority.
 - Elected representatives closely follow the wishes of the people
 - Elections are free and fair
 - Everyone can participate equally in the political process

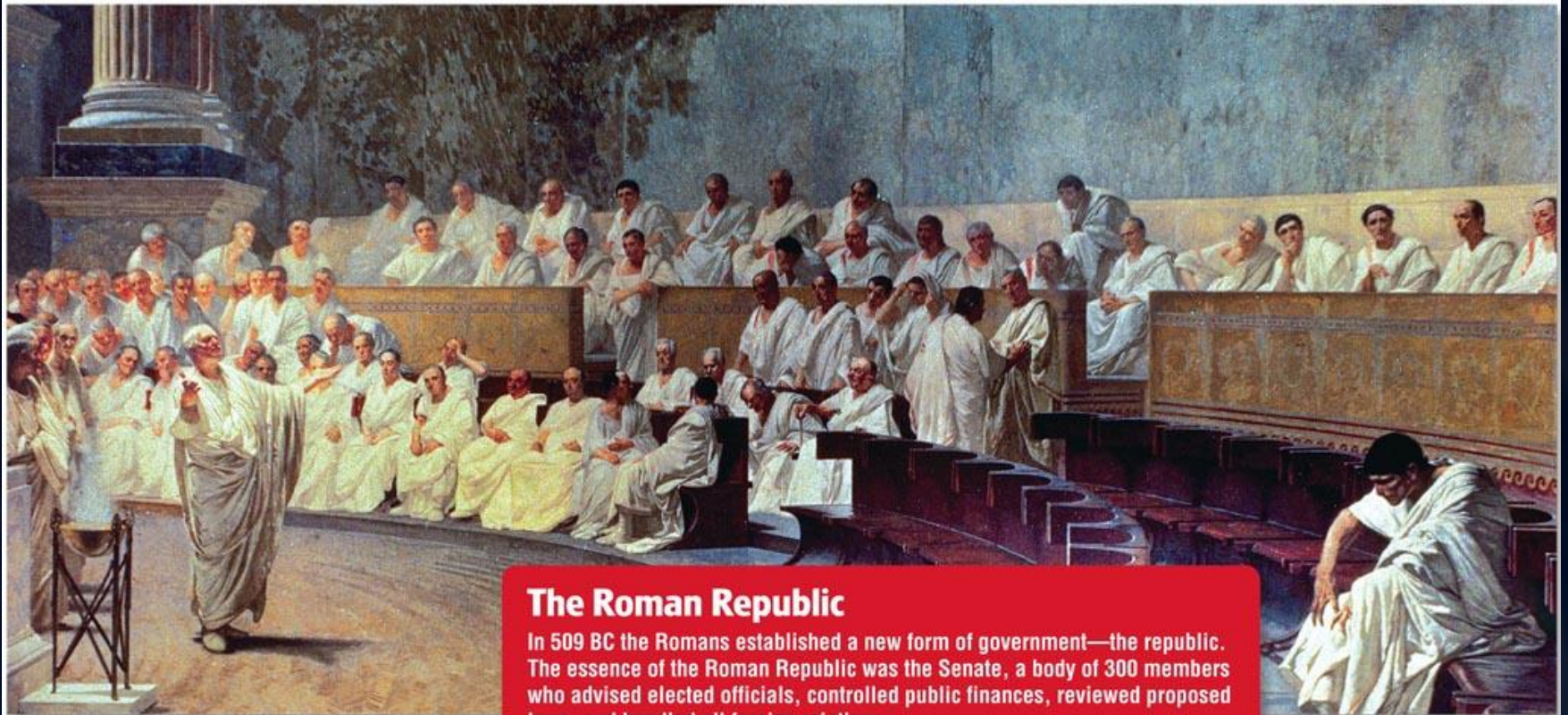
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Foundations of Government



The Roman Republic

In 509 BC the Romans established a new form of government—the republic. The essence of the Roman Republic was the Senate, a body of 300 members who advised elected officials, controlled public finances, reviewed proposed laws, and handled all foreign relations.

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READING CHECK

Identifying the Main Idea

Who holds political power in a representative democracy?

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READING CHECK

Identifying the Main Idea

Who holds political power in a representative democracy?

Answer(s): *the people*

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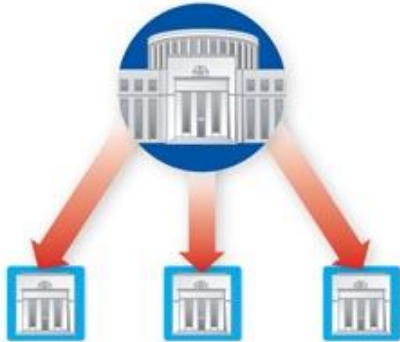
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Foundations of Government

POWER IN THREE SYSTEMS OF GOVERNMENT

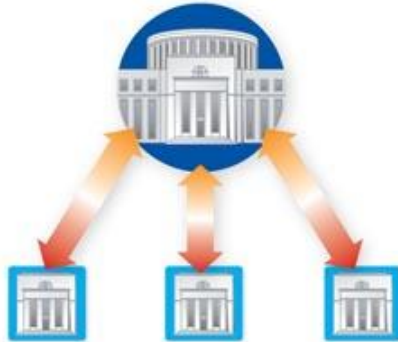
● Central government ■ States and regions ⇄ Flow of power



Unitary

Power is concentrated in the central government. Regional governments carry out decisions made by the central government.

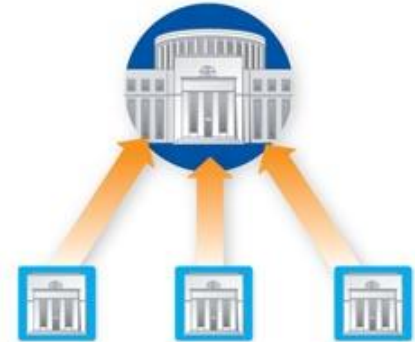
Examples: United Kingdom, Japan



Federal

National, state, and regional governments share power. All levels have the power to make their own laws, elect officials, and create agencies.

Examples: United States, India



Confederal

Independent states join together in a *confederation* and delegate limited powers to a central government. The central government only has powers given to it by the states.

Examples: United States under the Articles of Confederation, European Union

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Organizing National Power

National power

- Consists of a number of smaller administrative units
- Control can be centralized or spread across geographic regions

Unitary systems

- Sovereignty rests in a single, national government with ultimate authority
- Has the power to change or abolish local governments

Federal systems

- Divides power between a national government and smaller regional governments
- Levels act independently, but cannot abolish or reorganize the other level

Confederal systems

- Independent states join forces in a central government
- States delegate limited powers to the central government for common interests

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READING CHECK

Comparing

How is power divided in federal, unitary, and confederal systems?

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READING CHECK

Comparing

How is power divided in federal, unitary, and confederal systems?

Answer(s): *federal—power shared between national government and regional governments; unitary—ultimate power rests with central national government, though local governments may be granted some powers; confederal—independent states keep power, yielding little power to the central government*

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Foundations of Government

Presidential and Parliamentary Systems

Many of the world's presidential systems have been modeled on the U.S. system, while the world's parliamentary systems have taken the British system as a model. In July 2007, President George Bush welcomed a newly elected British Prime Minister, Gordon Brown, on his first official visit to the United States.



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Presidential

ADVANTAGES

- President is elected by the people for a fixed term and cannot be dismissed
- Separation of powers prevents abuses of authority
- Independent of other branches of government
- President is able to make decisions quickly and independently

DISADVANTAGES

- Difficult to remove an unsuitable president from office
- Separation of powers may lead to gridlock
- Branches of government may have different agendas
- Presidents may become too strong
- Many presidential systems have become authoritarian

Parliamentary

ADVANTAGES

- The legislative and executive branches are often united in purpose
- Prime minister directly accountable to parliament
- Easier to pass legislation

DISADVANTAGES

- Few checks and balances
- Prime minister selected by the legislative branch, not by the people
- Prime minister lacks independence

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Presidents and Parliaments

- Governments are formed through historical circumstances.
- Today most countries have some form of democratic government, either a **presidential system** or a **parliamentary system**.

Presidential

- President—Elected by the people for a limited term of office
- Head of state and in charge of executive branch
- Deals with cabinet members, policy, armed forces, foreign affairs, domestic legislation
- Powers checked by legislative branch

Parliamentary

- Most democracies modeled after British system
- Executive and legislative combined
- Prime minister chosen by and from parliament (elected legislature); member of majority party
- Appoints cabinet members from majority party

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READING CHECK

Contrasting

How does electing a president differ from electing a prime minister?

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READING CHECK

Contrasting

How does electing a president differ from electing a prime minister?

Answer(s): *A president is elected by the people whereas a prime minister is elected by the legislature, or parliament.*

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Section 3 at a Glance

Democracy in the United States

- American democracy has been guided by a core set of democratic ideals—liberty, equality, and self-government—since our nation’s earliest days.
- U.S. citizens ensure the continuation of democracy by committing to uphold basic principles of American democracy, including the worth of the individual, the rule of law, majority rule/minority rights, compromise, and participatory citizenship.
- Economic freedom and the free enterprise system have a special place in American democracy and help preserve liberties and limit government.

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Democracy in the United States

Main Idea

American democracy is characterized by core democratic ideals and principles, as well as by the free enterprise system.

Reading Focus

- Why are the ideals of liberty, equality, and self-government important to American democracy?
- What are the principles of American democracy?
- Why is the free enterprise system important to American democracy?

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WHY IT
MATTERS

Approaching an Ideal

Small Steps toward Democracy



First-grade student Ruby Bridges leaves William Frantz Elementary School in New Orleans under protection of federal marshals in 1960.

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Ideals of American Democracy

Ideal—Conception of something in its most perfect form

Core ideals of American democracy—**Liberty, equality, self-government**

- Used from the beginning of our republic
- Recorded in our nation's founding documents
- Still guide our government

Liberty

- Ability of people to act and think as they choose
- Choices must do no harm to the liberty or well-being of others
- Freedom from government control
- Freedom to exercise citizens' rights guaranteed under the Constitution

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Foundations of Government

Equality

- All people possess a fundamental, moral worth
- Their worth entitles them to fair treatment and equal opportunity
- Equality must be balanced with liberty to avoid despotism

Self-Government

- All people can rule themselves and do so as political equals
- People are the ultimate source of government authority
- Governments derive their powers from the consent of the governed
- People have a right to revolt against a government that has lost their consent

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READING CHECK

Summarizing

What steps did the Founders take to protect liberty?

Answer(s): *They identified basic rights of the people and then, through the First Amendment for example, declared them off-limits from government interference.*

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Principles of American Democracy

Worth of the Individual

- People can reach their highest potential if they pursue their own path
- There is natural capacity for reason, intellect, and self-determination
- Democracy values individual freedom, personal responsibility, self-reliance, and individual achievement

Rule of Law

- “A government of laws, not of men”
- U.S. government and officials are subject to limits on power
- Limits are spelled out in the Constitution

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Foundations of Government

Majority Rule, Minority Rights

- Decision making by **majority rule**, balanced by **minority rights**
- Individual rights are protected under a **liberal democracy**

Compromise

- Ability of two opposing groups to give up some demands and agree
- Necessary to keep the political process moving

Citizen Participation

- Citizens must be informed about public issues
- Many ways to participate peacefully, respectfully, and with tolerance

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READING CHECK

Drawing Conclusions

Why is it important to protect minority rights in a democracy?

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READING CHECK

Drawing Conclusions

Why is it important to protect minority rights in a democracy?

Answer(s): *possible answer—because a minority is no less entitled to their rights than the majority is entitled to theirs*

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Landmark Supreme Court Cases

Gideon v. Wainwright (1963)

Why It Matters:

The U.S. Supreme Court has ruled on a number of cases concerning democratic ideals and principles. In *Gideon v. Wainwright*, the Court considered whether the right to counsel was necessary to guarantee a defendant's liberty and ensure equality under the law.

Free Enterprise

- Economic freedom
- **Free enterprise** allows both people and businesses to make their own economic choices
 - How to produce, distribute, and exchange goods and services
 - Limited interference from government
 - Also protects rights of ownership to property and to results of one's labor
- Key to preserving other freedoms and to allowing people to build wealth, thereby empowering them to limit governmental power
- Free market is essential
 - Open competition results in better products offered at lower prices
 - Those who succeed in the competition will prosper
 - Prosperity will benefit society and the economy

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The Free Market and the Individual

The U.S. free enterprise system is based on the free market and driven by individuals. As president and Chief Executive Officer of eBay, Margaret Whitman leads businesses in a new frontier of the free market—the Internet.

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Summarizing

Why did the Founders think protecting economic freedom was important?

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READING CHECK

Summarizing

Why did the Founders think protecting economic freedom was important?

Answer(s): *They believed it was the key to protecting other freedoms.*

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We the People: The Citizen and the Constitution

Constitutional Government

Our nation's Founders struggled with how best to prevent government abuse of power. Their answer was to establish a constitutional government that protected individual rights by placing limits on what government can do and how it can exercise power.

- **What is a constitution?**
- **How did the Founders characterize higher law?**
- **Why did the Founders fear government abuse of power?**
- **What kinds of governments may be constitutional governments?**