

Bureaucrats and Interest Groups: An Integrative Literature Review

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Supplementary files (appendices)

Literature review protocol

The study combined a semi-systematic search with an integrative literature review (qualitative content analysis). As the project encompassed different fields and broad research questions, a systematic review was not feasible.

Goals

- i) Having an overview on connections between research literatures on bureaucracy, interest groups and lobbying, and public policies.
- ii) Mapping recent studies on political connections of bureaucrats and their interactions with interest groups.
- iii) Reformulating analytical frameworks on patronage and politicization of the bureaucracy.

The research literature aimed at investigating how the materials analyse the political connections of bureaucrats (with a focus on interest groups and political parties) and how authors measure the politicisation of bureaucracy.

Tasks

1. Defining initial search terms.
2. Conducting tests in databases
3. Refining search terms
4. Using search terms in different databases
5. Merging databases in the reference manager
6. Correcting bibliometric data and checking duplicates
7. Reading all abstracts
8. Selecting papers for catalogues based on abstracts.
9. Building final catalogues (divided by themes and relevance to research questions) x
10. Refining search (search terms in other languages, new corrections, reviewing selection)
11. Downloading full-texts and organising folders
12. Final adjustments
13. Analysing the content qualitatively (content analysis) – full texts (codification - integrating concepts)

BASES:

Scopus (.csv, OR has precedence, {} for exact terms)* you must exclude “correspondence address” and “funding text” to visualise data through VOS Viewer

Web of Science (.txt, AND has precedence – ADD (), “” for exact terms)

Mendeley (Ris/BiBTeX)

Periódico CAPES (SciELO, JSTOR, among others) + other texts added by the researcher and her supervisor.

Software and tools:

Mendeley (reference manager/organisation)

VoS Viewer (initial visualisation of bibliometric data)

R (analysis of bibliometric data)

NVivo (content analysis)

PREVIOUS SEARCHES (PILOT)

- BBIGL: (Bureaucracy*OR*Bureaucrats) AND (Interest Groups*OR*Lobbying)
 - Catalogue BR: 116 documents
 - Keywords: min. oc. = 2 (m. 30-40 words meeting the criteria)
 - Scopus: 273 documents
 - Keywords: min. oc.= 3 (70 meeting the criteria) for all keywords and 2 for authors keywords (66 meeting the criteria)
 - Countries: min. oc.= 2 (29 meeting the criteria)
 - Authors: min. oc= 2 (39 meeting the criteria)
 - Web of Science: 442 documents
 - Keywords: min. oc. = 5 for all keywords (93 words meeting the criteria) x 3 for authors keywords (64 meeting the criteria)
 - Countries: min. oc. = 2 (41 meeting the criteria)
 - Authors: min. oc. = 2 (39 meeting the criteria)
- BPo: (Bureaucracy) AND (Politicization*OR*Politicisation)
 - Scopus: 177 documents
 - Web of Science: 137 documents
- BPa: (Bureaucracy) AND (Patronage)
 - Scopus: 175 documents
 - Web of Science: 153 documents
- BAP: (Bureaucracy) AND (Appointments)
 - Scopus: 142 documents
 - Web of Science: 138 documents
- OAP: (Officers or Officials) AND (Appointments)
 - Scopus: 1,114 results

- Web of Science: 784 documents
- OIGL: (Officers or Officials) AND (Interest groups or Lobbying)
 - Scopus: 804 documents
 - Web of Science: 2,471 documents
- OBIGLP: (Officers or Officials) AND (Interest groups or Lobbying) AND (Parties)
 - Scopus: 140 documents
 - WoS: 212 documents

OBS: Some terms (“human”, “article”, among others) were excluded from the map analysis.

FINAL SEARCH

(Files’ names: Final Base Search Terms CM Period)

IGs + Bureaucracy

Scopus: (TITLE-ABS-KEY (bureaucracy OR bureaucrat OR {civil servants} OR {government officers} OR {government officials}) AND TITLE-ABS-KEY ({interest groups} OR {lobbying} OR {advocacy} OR {pressure groups} OR {interest organizations} OR {lobbyists})) AND PUBYEAR > 1999 AND PUBYEAR < 2023 AND PUBYEAR > 1999 AND PUBYEAR < 2023 **[805 results]**

WoS:

(bureaucracy OR bureaucrats OR "civil servants" OR "government officers" OR "government officials") AND ("interest groups" OR "lobbying" OR "advocacy" OR "pressure groups" OR "interest organizations" OR "lobbyists") **[576 results]**

Politicisation/politics of the bureaucracy

Scopus:

1 - (TITLE-ABS-KEY (bureaucracy OR bureaucrat OR {civil servants} OR {government officers} OR {government officials}) AND TITLE-ABS-KEY (politicization)) AND PUBYEAR > 1999 AND PUBYEAR < 2023 **[264 results]**

2- (TITLE-ABS-KEY (bureaucracy OR bureaucrats OR {civil servants} OR {government officers} OR {government officials}) AND TITLE-ABS-KEY (politicization OR politics)) AND PUBYEAR > 2001 AND PUBYEAR < 2023 AND PUBYEAR > 2001 AND PUBYEAR < 2023 **[3,422 results]**

WoS

1- (bureaucracy OR bureaucrats OR "civil servants" OR "government officers" OR "government officials") AND politicization **[184 results]**

2- (bureaucracy OR bureaucrats OR "civil servants" OR "government officers" OR "government officials") AND (politicization OR politics) [3,255 results]

Patronage of bureaucracy

Scopus:

(TITLE-ABS-KEY (bureaucracy OR bureaucrat OR {civil servants} OR {government officers} OR {government officials}) AND TITLE-ABS-KEY (patronage)) AND PUBYEAR > 1999 AND PUBYEAR < 2023 [264 results]

WoS

(bureaucracy OR bureaucrats OR "civil servants" OR "government officers" OR "government officials") AND patronage [219 results]

TOTAL (QT) – General collection (previous searches + final search): 1,978

Qualitative analysis: >400

DATA – GRAPHS

Year

Institution

Languages

Catalogues (organized through Mendeley)

- **Filter 1:** The initial catalogue had more than 5.000 documents. After checking duplicates and excluding materials non-related to the general theme, the catalogue comprised 1,800 documents.
- **Filter 2:** After reading abstracts and keywords, other materials were excluded. The general catalogue (All KW) had 1,232 documents. This catalogue was used for building the first network maps through VoS Viewer. Publications on the private sector or other non-related themes were excluded from this general catalogue (see *Exclusion criteria* below)¹.
- **Filter 3:** After reading the abstracts and fragments of each text again, publications belonging to the general collection ("all keywords" = all search terms) were divided into three catalogues in addition to the final one:

¹ For example, there are other usages of the word "patronage" (Arts) and bureaucracy (procedures, not actors or private/union/companies' bureaucracy). Occasional mentions to bureaucracies in health reports or articles were also excluded. Politicisation may refer to other aspects rather than bureaucrats (politicisation of issues, for instance). Personal biographies of officers were also excluded.

- **Catalogue 1 (Politicisation, Professionalisation, Bureaucracy):** texts addressing issues related to civil service, professionalisation and politicisation of the public bureaucracy. It comprised journal articles, books, and other materials regarding political connections of public officers (e.g., their interaction with politicians). It also included texts on other topics related to public administration, such as political appointments, turnover, and the delivery of public services. Texts with empirical evidence on the profile of bureaucrats (characteristics such as socioeconomic variables) were also included.
- **Catalogue 2 (Interest Groups, Lobbying, Advocacy):** texts approaching issues related to interest groups, lobbying, and advocacy. There were several texts in the initial catalogue on specific policy domains.
- **Catalogue 3 (Interest Groups and Bureaucracy):** texts discussing interactions between interest groups and the public bureaucracy.
- **Final catalogue (for qualitative analysis):** texts on the relationship between bureaucrats and stakeholders in policymaking, such as interest groups and political parties. It also comprised texts which proposed methods to measure the politicisation of bureaucracy. This catalogue is focused on the Executive branch, intermediate/high-level officials, and the national level (*see Screening Criteria* below).
- Other criteria for the final catalogue: mention to keywords (officers/officials, bureaucrats, bureaucracy, patronage, politicization, among others) in abstracts, title, and texts; focus on the relationship between actors; period (catalogues focused on contemporary regimes → from 1900 on).
- General collection: the search was refined (with a new search with the final terms) and texts were added to the collection, whose final version had 1,978 documents.

1. Catalogue BR (previous research on the same topic based on *Periódicos CAPES*): 119 documents.

2. Collections (Scopus+WoS)²:

- a. BBIGL: 529 documents
- b. BPO: 348 documents
- c. BPA: 239 documents
- d. BAP: 194 documents
- e. OAP: 1,383 documents
- f. OBIGLP: 151 documents
- g. CSIGL: 121 documents

² Duplicated documents were checked in all collections. I also excluded non-related documents - for instance, specific papers about operations in certain sectors – e.g., Doctors and medical workers in specific procedures / e.g., *Exploring physicians' Dissatisfaction and Work-Related Stress*

- h. All search terms (All KW): 1,807 documents
- i. General Collection (after filtering all the previous searches): 1,978 documents
- j. Final collection: 482 (415 texts available)

3. General Collection (Quantitative analysis)

- a. Keywords
- b. Authors
- c. Countries

4. Final Collection (Qualitative analysis)

415/482 texts (texts not available excluded)

Exclusion criteria (Filter 1):

- Non-academic materials (newspapers, notes, among others).
- Non-related themes or topics (private sector, other activities rather than those belonging to the policy cycle).
- Generic mentions to the search terms (for instance, public officials were mentioned in the paper only because they were interviewed).

Screening criteria for the general collection (Filter 2):

- Themes: politicisation, patronage, political appointments, interaction between interest groups and officers.

Screening criteria for the final catalogue (Filter 3):

- **Period:** contemporary (studies on past imperial regimes were excluded)
- **Phase:** policymaking, rulemaking or political appointments
- **Level of Government:** Executive branch, federal agencies, and committees. State-owned enterprises were excluded.
 - o National and regional level (EU). Exceptions: papers focusing on the relationship between IGs and national delegations or the central government and subnational unities, papers with a comparative design
- **Type of bureaucrat:** Intermediate or high-level posts (street-level bureaucrats and armed forces³ excluded from the qualitative analysis).
- Comparative studies were prioritised.
- **Type of material:** journal articles and chapters (books and reports excluded)

Codebook (Content Analysis)

³ Except for military servants occupying traditionally civic posts. Police was considered as an armed force.

Name	Description	Files	References
Actors	Agents in general mentioned by the text - even if they are not taking any political activity.	406	5819
Bureaucrats or government employees		364	2062
Lower tier officers or junior		6	8
Military official or armed forces		3	6
Street-level bureaucrats		11	16
Top public officers or senior		80	250
Citizens (public)		46	97
Interest groups		158	750
Lobbyists		40	106
Ministers		91	325
NGOs or nonprofit organisations		19	28
Political parties		201	867
Politicians or elected officials		272	968
President, PM or Executive leader		124	578
Social movements		5	20
Trade unions or professional associations		8	13
Classification IGs	Stakeholders undertaking lobbying activities. General categories based on Baroni et al. (2014), Chalmers (2014) - Transparency Register	100	573
Academic institutions		3	3
Citizen or public interest groups		32	60
Social movements		2	2
Firms, trade associations or business groups		73	192
Government officials or agencies		17	25
NGOs or nonprofit organisations		17	33

Name	Description	Files	References
Politicians or elected officials		4	5
Religious organisations		2	4
Think tanks or research institutions		12	16
Unions or professional associations		25	47
Countries or regions		397	3810
Afghanistan		1	2
Africa		17	25
Argentina		19	55
Armenia		1	1
Asia		11	18
Australia		32	49
Austria		21	36
Bangladesh		8	19
Belgium		18	39
Benin		3	23
Bolivia		3	4
Botswana		4	5
Brazil		43	120
Bulgaria		10	17
Cambodia		2	6
Canada		42	79
Chile		19	71
China		25	70
Colombia		12	17
Congo		1	1
Costa Rica		5	7
Croatia		7	9
Cuba		3	4
Cyprus		3	3
Czech Republic		17	56
Denmark		46	152
Dominican Republic		7	29
Ecuador		6	11
Egypt		2	2
El Salvador		2	4

Name	Description	Files	References
Eritrea		1	3
Estonia		14	33
Ethiopia		2	3
Europe or European Union		97	244
Finland		11	29
France		51	85
Germany		59	147
Ghana		13	40
Greece		19	34
Guatemala		2	4
Honduras		1	1
Hong Kong		1	2
Hungary		28	139
Iceland		3	5
India		21	44
Indonesia		13	26
Iraq		2	3
Ireland		15	19
Israel		7	13
Italy		30	73
Japan		23	39
Kenya		4	4
Korea		25	60
Kosovo		3	14
Kyrgyzstan		0	0
Lao		1	1
Latin America		32	80
Latvia		11	22
Liberia		1	1
Libya		1	1
Lithuania		12	22
Luxembourg		2	2
Macedonia		1	1
Madagascar		1	1
Malawi		2	2
Malaysia		7	23

Name	Description	Files	References
Mexico		18	52
Montenegro		1	2
Mozambique		1	1
Namibia		0	0
Nepal		5	8
Netherlands		34	64
New Zealand		21	44
Nicaragua		2	5
Niger		1	1
Nigeria		4	4
Norway		15	35
Pakistan		11	24
Panama		3	3
Paraguay		6	18
Peru		8	24
Philippines		7	27
Poland		18	64
Portugal		17	48
Romania		10	13
Russia		16	46
Rwanda		2	2
Senegal		3	3
Serbia		5	6
Singapore		6	8
Slovakia		17	41
Slovenia		10	36
Somalia		1	1
South Africa		11	37
Spain		27	48
Sri Lanka		4	17
Sweden		36	103
Switzerland		6	6
Taiwan		9	27
Tanzania		2	3
Thailand		6	29
Timor Leste		1	1
Trinidad and Tobago		0	0

Name	Description	Files	References
Tunisia		1	2
Turkey		13	38
Uganda		5	7
Ukraine		5	6
United Kingdom		101	255
United States		216	467
Uruguay		4	8
Venezuela		6	12
Vietnam		3	3
Yugoslavia		1	1
Zambia		2	2
Zimbabwe		1	1
Dichotomies or tensions		116	318
Loyalty x Competence		19	41
Merit x Trust		15	30
Politics x Administration		110	272
blurred boundaries between politics and administration		4	6
politics separated from administration		5	7
Technical (Merit) x Political		44	81
Interactions and relationships		159	1020
Bureaucrats and elites		2	6
Bureaucrats and firms		3	13
Bureaucrats and parties		16	20
Bureaucrats and politicians or elected officials		72	154
Bureaucrats and the public		13	18
IGs and bureaucrats		86	293
IGs and elected officials		32	97
IGs and parties		8	20
IGs, bureaucrats, and parties		2	2
Patronage		144	905

Name	Description	Files	References
Concept of patronage		43	59
allocation of public offices by political parties		19	30
clientelistic relationship		2	2
concept of patronage is not clear		3	3
discretionary distribution of posts		8	8
distribution of posts by merit-based criteria		0	0
distribution of posts by non-merit criteria		11	11
distribution of public jobs by political criteria		2	2
distribution of public jobs to allies		11	14
exchange of goods for electoral support		4	6
patron-client relationships		7	8
pork-barrel allocations		1	1
selection by political leaders		2	2
Patronage goals	Based on Bearfield's typology (2009) and bibliometrics research.	19	54
Control over the government	It includes not only control over policies but also linkages with the State (Di Mascio, 2014) and control over state resources (usually connected with party-building).	15	32
Creation of political organisations		2	2
Democratic goals		0	0
Policy goals		5	7
Political support or loyalty		15	27
Reforms		2	2
Reward to partisans or allies		12	21
State building		0	0
Value of patronage		17	59

Name	Description	Files	References
Benefits		9	16
Costs		11	15
Rent-seeking benefits		5	5
Views on patronage		29	110
Negative		26	41
Neutral		0	0
Positive		9	20
Political institutions		97	429
Electoral system		6	8
Informal institutions		4	7
Other variables		8	16
Organisation structure		1	1
Policy domain		6	14
Party system		33	50
Multi party		16	18
Single party		5	5
Two parties		1	1
Political regime		41	83
Autocracy		20	35
Democracy		28	46
Flawed democracy		0	0
Hybrid regime		1	1
Separation of powers		6	7
Federalist system		3	3
Unitary system		1	1
System of government		35	66
Coalitional presidentialism		9	12
Parliamentarism		17	24
Presidentialism		20	32
Semi-presidentialism		2	2
Politicisation of the bureaucracy		186	1411
Bureaucrats as technocrats		1	1
Bureaucrats' ideology or interest in politics		1	1

Name	Description	Files	References
Bureaucrats' political roles		17	35
Discretionary choice		2	2
Loyalty to the president or superiors		9	20
Partisan loyalty or influence	Partisan loyalty from bureaucrats or partisan power in appointing individuals to positions. It includes partisan affiliation and other types of engagement.	22	47
Other types of partisan engagement		0	0
Partisan affiliation		1	1
Political interference in bureaucratic activities		2	2
Political intervention in appointments	Political influence in selecting, deselecting or promoting bureaucrats.	14	22
Political links of bureaucrats		6	8
Political or personal connections	Broad definition: political connections of bureaucrats in general (no specification).	10	10
Political vs merit-based criteria		37	62
Politician-civil servant interaction		3	4
Profile of bureaucrats		53	152
Age		11	15
Career type	outsider or career civil servant	14	22
Education		20	25
Gender		16	23
Other political activities		5	5
Partisan affiliation or engagement		21	45
Professional experience		16	20
experience in the private sector		1	1
experience in the public sector		3	4
Race		2	3
Social background		4	4
Related topics		392	4730
Administrative traditions		19	59

Name	Description	Files	References
Bureaucratic autonomy		63	184
Civil service reform		59	211
Civil-military relations		3	15
Clientelism		42	123
Control over the bureaucracy or policies	Control over the bureaucracy by the political authority (ministers, president, etc)	108	294
Corruption		101	328
Democracy		71	141
Division of Powers		17	40
Evaluation or performance assessment		2	4
Executive-legislative relations		18	41
IGs strategies		23	93
Interest group influence		46	134
Interest representation		7	29
Oversight and accountability		48	112
Policymaking		111	190
Political appointments		228	1355
Professionalisation of the bureaucracy		69	152
Recruitment processes		118	417
Representative bureaucracy		24	49
Responsiveness		83	189
Revolving doors		24	94
Service delivery		32	52
State capacity		21	48
State capture		32	59
State-society relations		6	9
Turnover or tenure		59	236
Venue choice		22	71
Research and methods		343	2852
Data sources		135	209
Gaps in the literature		143	223
General methodology		71	80
Formal modeling		32	36

Name	Description	Files	References
Interpretive-Phenomenology		1	1
Mixed methods		10	13
Qualitative		34	38
Quantitative		47	55
Theoretical discussion		2	2
Measurement and variables		69	174
Corruption		5	11
IG influence		5	5
Party engagement		2	4
Patronage		14	30
Politicisation		27	49
Professionalism or competence		8	10
Methods and techniques		238	440
Case studies		53	62
Comparative studies		12	15
Content analysis		8	8
Descriptive statistics		7	7
Discourse analysis		0	0
Documentary research		33	37
Ethnographic research		6	8
Focus group		5	5
In-depth interviews		82	111
Inferential statistics		1	1
Literature review		12	14
Methods not clear		1	1
Network analysis		7	14
Participant observation		5	5
QCA		2	5
Quasi-experimental designs		3	3
Regression models		155	195
Surveys		89	129
Theoretical framework		87	289
Game theory		6	6
Informational theories		1	6

Name	Description	Files	References
Institutional theories	Institutional theories in political science.	13	27
Organizational theories		2	3
Political economy		6	7
Political sociology		1	1
Principal-agent theory or delegation		54	88
Rational choice	It includes social/public choice theories as they are based on the concept of rationality and economic analytical models.	13	17
Spatial models		0	0