

Chapter 7

The Presidency

7-1 From Presidential Power

Richard E. Neustadt

In his classic treatise Presidential Power, Richard E. Neustadt presents a problem that confronts every occupant of the White House: His authority does not match the expectations for his performance. We expect our presidents to be leaders, Neustadt tells us, but the office guarantees no more than that they will be clerks. In the following excerpt, Neustadt explains that the key to presidential success lies in persuasion and shows how the ability to persuade depends on bargaining.

The limits on command suggest the structure of our government. The Constitutional Convention of 1787 is supposed to have created a government of "separated powers." It did nothing of the sort. Rather, it created a government of separated institutions *sharing* powers.¹ "I am part of the legislative process," Eisenhower often said in 1959 as a reminder of his veto.² Congress, the dispenser of authority and funds, is no less part of the administrative process. Federalism adds another set of separated institutions. The Bill of Rights adds others. Many public purposes can only be achieved by voluntary acts of private institutions; the press, for one, in Douglass Cater's phrase, is a "fourth branch of government."³ And with the coming of alliances abroad, the separate institutions of a London, or a Bonn, share in the making of American public policy.

What the Constitution separates our political parties do not combine. The parties are themselves composed of separated organizations sharing public authority. The authority consists of nominating powers. Our national parties are confederations of state

and local party institutions, with a headquarters that represents the White House, more or less, if the party has a President in office. These confederacies manage presidential nominations. All other public offices depend upon electorates confined within the states.⁴ All other nominations are controlled within the states. The President and congressmen who bear one party's label are divided by dependence upon different sets of voters. The differences are sharpest at the stage of nomination. The White House has too small a share in nominating congressmen, and Congress has too little weight in nominating presidents for party to erase their constitutional separation. Party links are stronger than is frequently supposed, but nominating processes assure the separation.⁵

The separateness of institutions and the sharing of authority prescribe the terms on which a President persuades. When one man shares authority with another, but does not gain or lose his job upon the other's whim, his willingness to act upon the urging of the other turns on whether he conceives the action right for him. The essence of a President's persuasive

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task is to convince such men that what the White House wants of them is what they ought to do for their sake and on their authority. (Sex matters not at all; for *man* read *woman*.)

Persuasive power, thus defined, amounts to more than charm or reasoned argument. These have their uses for a President, but these are not the whole of his resources. For the individuals he would induce to do what he wants done on their own responsibility will need or fear some acts by him on his responsibility. If they share his authority, he has some share in theirs. Presidential "powers" may be inconclusive when a President commands, but always remain relevant as he persuades. The status and authority inherent in his office reinforce his logic and his charm.

Status adds something to persuasiveness; authority adds still more. When Truman urged wage changes on his secretary of commerce [Charles Sawyer] while the latter was administering the [recently seized] steel mills, he and Secretary Sawyer were not just two men reasoning with one another. Had they been so, Sawyer probably would never have agreed to act. Truman's status gave him special claims to Sawyer's loyalty or at least attention. In Walter Bagehot's charming phrase, "no man can *argue* on his knees." Although there is no kneeling in this country, few men—and exceedingly few cabinet officers—are immune to the impulse to say "yes" to the President of the United States. It grows harder to say "no" when they are seated in his Oval Office at the White House, or in his study on the second floor, where almost tangibly he partakes of the aura of his physical surroundings. In Sawyer's case, moreover, the President possessed formal authority to intervene in many matters of concern to the secretary of commerce. These matters ranged from jurisdictional disputes among the defense agencies to legislation pending before Congress and, ultimately, to the tenure of the secretary, himself. There is nothing in the record to suggest that Truman voiced specific threats when they negotiated over wage increases. But given his formal powers and their relevance to Sawyer's other interests, it is safe to assume that Truman's very advocacy of wage action conveyed an implicit threat.

A President's authority and status give him great advantages in dealing with the men he would persuade. Each "power" is a vantage point for him in the degree that other men have use for his authority. From the veto to appointments, from publicity to budgeting, and so down a long list, the White House now controls the most encompassing array of vantage points in the American political system. With hardly an exception, those who share in governing this country are aware that at some time, in some degree, the doing of *their* jobs, the furthering of *their* ambitions, may depend upon the President of the United States. Their need for presidential action, or their fear of it, is bound to be recurrent if not actually continuous. Their need or fear is his advantage.

A President's advantages are greater than mere listing of his "powers" might suggest. Those with whom he deals must deal with him until the last day of his term. Because they have continuing relationships with him, his future, while it lasts, supports his present influence. Even though there is no need or fear of him today, what he could do tomorrow may supply today's advantage. Continuing relationships may convert any "power," any aspect of his status, into vantage points in almost any case. When he induces other people to do what he wants done, a President can trade on their dependence now and later.

The President's advantages are checked by the advantages of others. Continuing relationships will pull in both directions. These are relationships of mutual dependence. A President depends upon the persons whom he would persuade; he has to reckon with his need or fear of them. They too will possess status or authority, or both, else they would be of little use to him. Their vantage points confront his own; their power tempers his.

Persuasion is a two-way street. Sawyer, it will be recalled, did not respond at once to Truman's plan for wage increases at the steel mills. On the contrary, the secretary hesitated and delayed and only acquiesced when he was satisfied that publicly he would not bear the onus of decision. Sawyer had some points of vantage all his own from which to

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resist presidential pressure. If he had to reckon with coercive implications in the President's "situations of strength," so had Truman to be mindful of the implications underlying Sawyer's place as a department head, as steel administrator, and as a cabinet spokesman for business. Loyalty is reciprocal. Having taken on a dirty job in the steel crisis, Sawyer had strong claims to loyal support. Besides, he had authority to do some things that the White House could ill afford. . . . [H]e might have resigned in a huff (the removal power also works two ways). Or . . . he might have declined to sign necessary orders. Or he might have let it be known publicly that he deplored what he was told to do and protested its doing. By following any of these courses Sawyer almost surely would have strengthened the position of management, weakened the position of the White House, and embittered the union. But the whole purpose of a wage increase was to enhance White House persuasiveness in urging settlement upon union and companies alike. Although Sawyer's status and authority did not give him the power to prevent an increase outright, they gave him capability to undermine its purpose. If his authority over wage rates had been vested by a statute, not by revocable presidential order, his power of prevention might have been complete. So Harold Ickes [Sr.] demonstrated in the famous case of helium sales to Germany before the Second World War.⁶

The power to persuade is the power to bargain. Status and authority yield bargaining advantages. But in a government of "separated institutions sharing power," they yield them to all sides. With the array of vantage points at his disposal, a President may be far more persuasive than his logic or his charm could make him. But outcomes are not guaranteed by his advantages. There remain the counter pressures those whom he would influence can bring to bear on him from vantage points at their disposal. Command has limited utility; persuasion becomes give-and-take. It is well that the White House holds the vantage points it does. In such a business any President may need them all—and more.

This View of Power as akin to bargaining is one we commonly accept in the sphere of congressional relations. Every textbook states and every legislative session demonstrates that save in times like the extraordinary Hundred Days of 1933—times virtually ruled out by definition at mid-century—a President will often be unable to obtain congressional action on his terms or even to halt action he opposes. The reverse is equally accepted: Congress often is frustrated by the President. Their formal powers are so intertwined that neither will accomplish very much, for very long, without the acquiescence of the other. By the same token, though, what one demands the other can resist. The stage is set for that great game, much like collective bargaining, in which each seeks to profit from the other's needs and fears. It is a game played catch-as-catch-can, case by case. And everybody knows the game, observers and participants alike.

The concept of real power as a give-and-take is equally familiar when applied to presidential influence outside the formal structure of the federal government. . . . When he deals with [governors, union officials, company executives and even citizens or workers] a President draws bargaining advantage from his status or authority. By virtue of their public places or their private rights they have some capability to reply in kind.

In spheres of party politics the same thing follows, necessarily, from the confederal nature of our party organizations. Even in the case of national nominations a President's advantages are checked by those of others. In 1944 it is by no means clear that Roosevelt got his first choice as his running mate. In 1948 Truman, then the President, faced serious revolts against his nomination. In 1952 his intervention from the White House helped assure the choice of Adlai Stevenson, but it is far from clear that Truman could have done as much for any other candidate acceptable to him.⁷ In 1956 when Eisenhower was President, the record leaves obscure just who backed Harold Stassen's efforts to block Richard Nixon from renomination as vice president. But evidently everything did not go quite as Eisenhower

wanted, whatever his intentions may have been.⁸ The outcomes in these instances bear all the marks of limits on command and of power checked by power that characterize congressional relations. Both in and out of politics these checks and limits seem to be quite widely understood.

Influence becomes still more a matter of give-and-take when Presidents attempt to deal with allied governments. A classic illustration is the long unhappy wrangle over Suez policy in 1956. In dealing with the British and the French before their military intervention, Eisenhower had his share of bargaining advantages but no effective power of command. His allies had their share of counterpressures, and they finally tried the most extreme of all: action despite him. His pressure then was instrumental in reversing them. But had the British government been on safe ground at home, Eisenhower's wishes might have made as little difference after intervention as before. Behind the decorum of diplomacy—which was not very decorous in the Suez affair—relationships among allies are not unlike relationships among state delegations at a national convention. Power is persuasion, and persuasion becomes bargaining. The concept is familiar to everyone who watches foreign policy.

In only one sphere is the concept unfamiliar: the sphere of executive relations. Perhaps because of civics textbooks and teaching in our schools, Americans instinctively resist the view that power in this sphere resembles power in all others. Even Washington reporters, White House aides, and congressmen are not immune to the illusion that administrative agencies comprise a single structure, "the" executive branch, where presidential word is law, or ought to be. Yet . . . when a President seeks something from executive officials his persuasiveness is subject to the same sorts of limitations as in the case of congressmen, or governors, or national committeemen, or private citizens, or foreign governments. There are no generic differences, no differences in kind and only sometimes in degree. The incidents preceding the dismissal of [General Douglas] MacArthur and the incidents surrounding seizure of the steel mills make it

plain that here as elsewhere influence derives from bargaining advantages; power is a give-and-take.

Like our governmental structure as a whole, the executive establishment consists of separated institutions sharing powers. The President heads one of these; cabinet officers, agency administrators, and military commanders head others. Below the departmental level, virtually independent bureau chiefs head many more. Under mid-century conditions, federal operations spill across dividing lines on organization charts; almost every policy entangles many agencies; almost every program calls for interagency collaboration. Everything somehow involves the President. But operating agencies owe their existence least of all to one another—and only in some part to him. Each has a separate statutory base; each has its statutes to administer; each deals with a different set of subcommittees at the Capitol. Each has its own peculiar set of clients, friends, and enemies outside the formal government. Each has a different set of specialized careerists inside its own bailiwick. Our Constitution gives the President the "take-care" clause and the appointive power. Our statutes give him central budgeting and a degree of personnel control. All agency administrators are responsible to him. But they also are responsible to Congress, to their clients, to their staffs, and to themselves. In short, they have five masters. Only after all of those do they owe any loyalty to each other.

"The members of the cabinet," Charles G. Dawes used to remark, "are a president's natural enemies." Dawes had been Harding's budget director, Coolidge's vice president, and Hoover's ambassador to London; he also had been General Pershing's chief assistant for supply in World War I. The words are highly colored, but Dawes knew whereof he spoke. The men who have to serve so many masters cannot help but be somewhat the "enemy" of any one of them. By the same token, any master wanting service is in some degree the "enemy" of such a servant. A President is likely to want loyal support but not to relish trouble on his doorstep. Yet the more his cabinet members cleave to him, the more they may need help from him in fending off the wrath of rival masters.

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Help, though, is synonymous with trouble. Many a cabinet officer, with loyalty ill rewarded by his lights and help withheld, has come to view the White House as innately hostile to department heads. Dawes's dictum can be turned around.

A senior presidential aide remarked to me in Eisenhower's time: "If some of these cabinet members would just take time out to stop and ask themselves, 'What would I want if I were President?' they wouldn't give him all the trouble he's been having." But even if they asked themselves the question, such officials often could not act upon the answer. Their personal attachment to the President is all too often overwhelmed by duty to their other masters.

Executive officials are not equally advantaged in their dealings with a President. Nor are the same officials equally advantaged all the time. Not every officeholder can resist like a MacArthur or Sawyer. . . . The vantage points conferred upon officials by their own authority and status vary enormously. The variance is heightened by particulars of time and circumstance. In mid-October 1950, Truman, at a press conference, remarked of the man he had considered firing in August and would fire the next April for intolerable insubordination:

Let me tell you something that will be good for your souls. It's a pity that you . . . can't understand the ideas of two intellectually honest men when they meet. General MacArthur . . . is a member of the Government of the United States. He is loyal to that Government. He is loyal to the President. He is loyal to the President in his foreign policy. . . . There is no disagreement between General MacArthur and myself.⁹

MacArthur's status in and out of government was never higher than when Truman spoke those words. The words, once spoken, added to the general's credibility thereafter when he sought to use the press in his campaign against the President. And what had happened between August and October? Near victory had happened, together with that premature

conference on postwar plans, the meeting at Wake Island.

If the bargaining advantages of a MacArthur fluctuate with changing circumstances, this is bound to be so with subordinates who have at their disposal fewer powers, lesser status, to fall back on. And when officials have no powers in their own right, or depend upon the President for status, their counterpressure may be limited indeed. White House aides, who fit both categories, are among the most responsive men of all, and for good reason. As a director of the budget once remarked to me, "Thank God I'm here and not across the street. If the President doesn't call me, I've got plenty I can do right here and plenty coming up to me, by rights, to justify my calling him. But those poor fellows over there, if the boss doesn't call them, doesn't ask them to do something, what *can* they do but sit?" Authority and status so conditional are frail reliances in resisting a President's own wants. Within the White House precincts, lifted eyebrows may suffice to set an aide in motion; command, coercion, even charm aside. But even in the White House a President does not monopolize effective power. Even there persuasion is akin to bargaining. A former Roosevelt aide once wrote of cabinet officers:

Half of a President's suggestions, which theoretically carry the weight of orders, can be safely forgotten by a Cabinet member. And if the President asks about a suggestion a second time, he can be told that it is being investigated. If he asks a third time, a wise Cabinet officer will give him at least part of what he suggests. But only occasionally, except about the most important matters, do Presidents ever get around to asking three times.¹⁰

The rule applies to staff as well as to the cabinet, and certainly has been applied by staff in Truman's time and Eisenhower's.

Some aides will have more vantage points than a selective memory. Sherman Adams, for example, as the assistant to the President under Eisenhower,

scarcely deserved the appellation "White House aide" in the meaning of the term before his time or as applied to other members of the Eisenhower entourage. Although Adams was by no means "chief of staff" in any sense so sweeping—or so simple—as press commentaries often took for granted, he apparently became no more dependent on the President than Eisenhower on him. "I need him," said the President when Adams turned out to have been remarkably imprudent in the Goldfine case, and delegated to him, at least nominally, the decision on his own departure.¹¹ This instance is extreme, but the tendency it illustrates is common enough. Any aide who demonstrates to others that he has the President's consistent confidence and a consistent part in presidential business will acquire so much business on his own account that he becomes in some sense independent of his chief. Nothing in the Constitution keeps a well-placed aide from converting status into power of his own, usable in some degree even against the President—an outcome not unknown in Truman's regime or, by all accounts, in Eisenhower's.

The more an officeholder's status and his powers stem from sources independent of the President, the stronger will be his potential pressure on the President. Department heads in general have more bargaining power than do most members of the White House staff; but bureau chiefs may have still more, and specialists at upper levels of established career services may have almost unlimited reserves of the enormous power which consists of sitting still. As Franklin Roosevelt once remarked:

The Treasury is so large and far-flung and ingrained in its practices that I find it almost impossible to get the action and results I want—even with Henry [Morgenthau] there. But the Treasury is not to be compared with the State Department. You should go through the experience of trying to get any changes in the thinking, policy, and action of the career diplomats and then you'd know what a real problem was. But the Treasury and the State

Department put together are nothing compared with the Na-a-vy. The admirals are really something to cope with—and I should know. To change anything in the Na-a-vy is like punching a feather bed. You punch it with your right and you punch it with your left until you are finally exhausted, and then you find the damn bed just as it was before you started punching.¹²

In the right circumstances, of course, a President can have his way with any of these people. . . . [But] as between a President and his "subordinates," no less than others on whom he depends, real power is reciprocal and varies markedly with organization, subject matter, personality and situation. The mere fact that persuasion is directed at executive officials signifies no necessary easing of his way. Any new congressman of the Administration's party, especially if narrowly elected, may turn out more amenable (though less useful) to the President than any seasoned bureau chief "downtown." *The probabilities of power do not derive from the literary theory of the Constitution.*

There is a widely held belief in the United States that were it not for folly or for knavery, a reasonable President would need no power other than the logic of his argument. No less a personage than Eisenhower has subscribed to that belief in many a campaign speech and press-conference remark. But faulty reasoning and bad intentions do not cause all quarrels with Presidents. The best of reasoning and of intent cannot compose them all. For in the first place, what the President wants will rarely seem a trifle to the people he wants it from. And in the second place, they will be bound to judge it by the standard of their own responsibilities, not his. However logical his argument according to his lights, their judgment may not bring them to his view.

Those who share in governing this country frequently appear to act as though they were in business for themselves. So, in a real though not entire sense, they are and have to be. When Truman and MacArthur fell to quarreling, for example, the stakes were no less than the substance of American

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foreign policy, the risks of greater war or military stalemate, the prerogatives of Presidents and field commanders, the pride of a proconsul and his place in history. Intertwined, inevitably, were other stakes as well: political stakes for men and factions of both parties; power stakes for interest groups with which they were or wished to be affiliated. And every stake was raised by the apparent discontent in the American public mood. There is no reason to suppose that in such circumstances men of large but differing responsibilities will see all things through the same glasses. On the contrary, it is to be expected that their views of what ought to be done and what they then should do will vary with the differing perspectives their particular responsibilities evoke. Since their duties are not vested in a "team" or a "collegium" but in themselves, as individuals, one must expect that they will see things for themselves. Moreover, when they are responsible to many masters and when an event or policy turns loyalty against loyalty—a day-by-day occurrence in the nature of the case—one must assume that those who have the duties to perform will choose the terms of reconciliation. This is the essence of their personal responsibility. When their own duties pull in opposite directions, who else but they can choose what they will do?

When Truman dismissed MacArthur, the latter lost three posts: the American command in the Far East, the Allied command for the occupation of Japan, and the United Nations command in Korea. He also lost his status as the senior officer on active duty in the United States armed forces. So long as he held those positions and that status, though, he had a duty to his troops, to his profession, to himself (the last is hard for any man to disentangle from the rest). As a public figure and a focus for men's hopes he had a duty to constituents at home, and in Korea and Japan. He owed a duty also to those other constituents, the UN governments contributing to his field forces. As a patriot he had a duty to his country. As an accountable official and an expert guide he stood at the call of Congress. As a military officer he had, besides, a duty to the President, his constitutional

commander. Some of these duties may have manifested themselves in terms more tangible or more direct than others. But it would be nonsense to argue that the last negated all the rest, however much it might be claimed to override them. And it makes no more sense to think that anybody but MacArthur was effectively empowered to decide how he himself would reconcile the competing demands his duties made upon him.

... Reasonable men, it is so often said, *ought* to be able to agree on the requirements of given situations. But when the outlook varies with the placement of each man, and the response required in his place is for each to decide, their reasoning may lead to disagreement quite as well—and quite as reasonably. Vanity, or vice, may weaken reason, to be sure, but it is idle to assign these as the cause of . . . MacArthur's defiance. Secretary Sawyer's hesitations, cited earlier, are in the same category. One need not denigrate such men to explain their conduct. For the responsibilities they felt, the "facts" they saw, simply were not the same as those of their superiors; yet they, not the superiors, had to decide what they would do.

Outside the executive branch the situation is the same, except that loyalty to the President may often matter *less*. There is no need to spell out the comparison with governors of Arkansas, steel company executives, trade union leaders, and the like. And when one comes to congressmen who can do nothing for themselves (or their constituents) save as they are elected, term by term, in districts and through party structures differing from those on which a President depends, the case is very clear. An able Eisenhower aide with long congressional experience remarked to me in 1958: "The people on the Hill don't do what they might *like* to do, they do what they think they *have* to do in their own interest as they see it." This states the case precisely.

The essence of a President's persuasive task, with congressmen and everybody else, is to induce them to believe that what he wants of them is what their own appraisal of their own responsibilities requires them to do in their interest, not his. Because men

may differ in their views on public policy, because differences in outlook stem from differences in duty—duty to one's office, one's constituents, one-self—that task is bound to be more like collective bargaining than like a reasoned argument among philosopher kings. Overtly or implicitly, hard bargaining has characterized all illustrations offered up to now. This is the reason why: Persuasion deals in the coin of self-interest with men who have some freedom to reject what they find counterfeit.

A President draws influence from bargaining advantages. But does he always need them? . . . [S]uppose most players of the governmental game see policy objectives much alike, then can he not rely on logic (or on charm) to get him what he wants? The answer is that even then most outcomes turn on bargaining. The reason for this answer is a simple one: Most who share in governing have interests of their own beyond the realm of policy objectives. The sponsorship of policy, the form it takes, the conduct of it, and the credit for it separate their interest from the President's despite agreement on the end in view. In political government the means can matter quite as much as ends; they often matter more. And there are always differences of interest in the means.

Let me introduce a case externally the opposite of my previous examples: the European Recovery Program of 1948, the so-called Marshall Plan. This is perhaps the greatest exercise in policy agreement since the Cold War began. When the then secretary of state, George Catlett Marshall, spoke at the Harvard commencement in June 1947, he launched one of the most creative, most imaginative ventures in the history of American foreign relations. What makes this policy most notable for present purposes, however, is that it became effective upon action by the Eightieth Congress, at the behest of Harry Truman, in the election year 1948.¹³

Eight months before Marshall spoke at Harvard, the Democrats had lost control of both houses of Congress for the first time in fourteen years. Truman, whom the secretary represented, had just finished his second troubled year as President-by-succession.

Truman was regarded with so little warmth in his own party that in 1946 he had been urged not to participate in the congressional campaign. At the opening of Congress in January 1947, Senator Robert A. Taft, "Mr. Republican," had somewhat the attitude of a President-elect. This was a vision widely shared in Washington, with Truman relegated thereby to the role of caretaker-on-term. Moreover, within just two weeks of Marshall's commencement address, Truman was to veto two prized accomplishments of Taft's congressional majority: the Taft-Hartley Act and tax reduction.¹⁴ Yet scarcely ten months later the Marshall Plan was under way on terms to satisfy its sponsors, its authorization completed, its first-year funds in sight, its administering agency in being: all managed by as thorough a display of executive-congressional cooperation as any we have seen since the Second World War. For any President at any time this would have been a great accomplishment. In years before mid-century it would have been enough to make the future reputation of his term. And for a Truman, at this time, enactment of the Marshall Plan appears almost miraculous.

How was the miracle accomplished? How did a President so situated bring it off? In answer, the first thing to note is that he did not do it by himself. Truman had help of a sort no less extraordinary than the outcome. Although each stands for something more complex, the names of Marshall, Vandenberg, Patterson, Bevin, Stalin tell the story of that help.

In 1947, two years after V-J Day, General Marshall was something more than secretary of state. He was a man venerated by the President as "the greatest living American," literally an embodiment of Truman's ideals. He was honored at the Pentagon as an architect of victory. He was thoroughly respected by the secretary of the Navy, James V. Forrestal, who that year became the first secretary of defense. On Capitol Hill, Marshall had an enormous fund of respect stemming from his war record as Army chief of staff, and in the country generally no officer had come out of the war with a higher reputation for judgment, intellect, and probity. Besides, as secretary of state, he had behind him the first generation of matured foreign service

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officers produced by the reforms of the 1920s, and mingled with them, in the departmental service, were some of the ablest of the men drawn by the war from private life to Washington. In terms both of staff talent and staff use, Marshall's years began a State Department "golden age" that lasted until the era of McCarthy. Moreover, as his undersecretary, Marshall had, successively, Dean Acheson and Robert Lovett, men who commanded the respect of the professionals and the regard of congressmen. (Acheson had been brilliantly successful at congressional relations as assistant secretary in the war and postwar years.) Finally, as a special undersecretary Marshall had Will Clayton, a man highly regarded, for good reason, at both ends of Pennsylvania Avenue.

Taken together, these are exceptional resources for a secretary of state. In the circumstances, they were quite as necessary as they obviously are relevant. The Marshall Plan was launched by a lame-duck Administration "scheduled" to leave office in eighteen months. Marshall's program faced a congressional leadership traditionally isolationist and currently intent upon economy. European aid was viewed with envy by a Pentagon distressed and virtually disarmed through budget cuts, and by domestic agencies intent on enlarged welfare programs. It was not viewed with liking by a Treasury intent on budget surpluses. The plan had need of every asset that could be extracted from the personal position of its nominal author and from the skills of his assistants.

Without the equally remarkable position of the senior senator from Michigan, Arthur H. Vandenberg, it is hard to see how Marshall's assets could have been enough. Vandenberg was chairman of the Senate Foreign Relations Committee. Actually, he was much more than that. Twenty years a senator, he was the senior member of his party in the chamber. Assiduously cultivated by FDR and Truman, he was a chief Republican proponent of bipartisanship in foreign policy and consciously conceived himself its living symbol to his party, to the country, and abroad. Moreover, by informal but entirely operative agreement with his colleague Taft, Vandenberg

held the acknowledged lead among Senate Republicans in the whole field of international affairs. This acknowledgment meant more in 1947 than it might have meant at any other time. With confidence in the advent of a Republican administration two years hence, most of the gentlemen were in a mood to be responsive and responsible. The war was over, Roosevelt dead, Truman a caretaker, theirs the trust. That the senator from Michigan saw matters in this light his diaries make clear.¹⁵ And this was not the outlook from the Senate side alone; the attitudes of House Republicans associated with the Herter Committee and its tours abroad suggest the same mood of responsibility. Vandenberg was not the only source of help on Capitol Hill. But relatively speaking his position there was as exceptional as Marshall's was downtown.

Help of another sort was furnished by a group of dedicated private citizens who organized one of the most effective instruments for public information seen since the Second World War: the Committee for the Marshall Plan, headed by the eminent Republicans whom FDR in 1940 had brought to the Department of War: Henry L. Stimson as honorary chairman and Robert P. Patterson as active spokesman. The remarkable array of bankers, lawyers, trade unionists, and editors, who had drawn together in defense of "internationalism" before Pearl Harbor and had joined their talents in the war itself, combined again to spark the work of this committee. Their efforts generated a great deal of vocal public support to buttress Marshall's arguments, and Vandenberg's, in Congress.

But before public support could be rallied, there had to be a purpose tangible enough, concrete enough, to provide a rallying ground. At Harvard, Marshall had voiced an idea in general terms. That this was turned into a hard program susceptible of presentation and support is due, in major part, to Ernest Bevin, the British foreign secretary. He well deserves the credit he has sometimes been assigned as, in effect, coauthor of the Marshall Plan. For Bevin seized on Marshall's Harvard speech and organized a European response with promptness and concreteness

beyond the State Department's expectations. What had been virtually a trial balloon to test reactions on both sides of the Atlantic was hailed in London as an invitation to the Europeans to send Washington a bill of particulars. This they promptly organized to do, and the American Administration then organized in turn for its reception without further argument internally about the pros and cons of issuing the "invitation" in the first place. But for Bevin there might have been trouble from the secretary of the treasury and others besides.¹⁶

If Bevin's help was useful at that early stage, Stalin's was vital from first to last. In a mood of self-deprecation Truman once remarked that without Moscow's "crazy" moves "we would never have had our foreign policy . . . we never could have got a thing from Congress."¹⁷ George Kennan, among others, had deplored the anti-Soviet overtone of the case made for the Marshall Plan in Congress and the country, but there is no doubt that this clinched the argument for many segments of American opinion. There also is no doubt that Moscow made the crucial contributions to the case.

By 1947 events, far more than governmental prescience or open action, had given a variety of publics an impression of inimical Soviet intentions (and of Europe's weakness) and a growing urge to "do something about it." Three months before Marshall spoke at Harvard, Greek-Turkish aid and promulgation of the Truman Doctrine had seemed rather to crystallize than to create a public mood and a congressional response. The Marshall planners, be it said, were poorly placed to capitalize on that mood, nor had the secretary wished to do so. Their object, indeed, was to cut across it, striking at the cause of European weakness rather than at Soviet aggressiveness, *per se*. A strong economy in Western Europe called, ideally, for restorative measures of continental scope. American assistance proffered in an anti-Soviet context would have been contradictory in theory and unacceptable in fact to several of the governments that Washington was anxious to assist. As Marshall, himself, saw it, the logic of his purpose forbade him to play his strongest congressional card. The Russians

then proceeded to play it for him. When the Europeans met in Paris, Molotov walked out. After the Czechs had shown continued interest in American aid, a Communist coup overthrew their government while Soviet forces stood along their borders within easy reach of Prague. Molotov transformed the Marshall Plan's initial presentation; Czechoslovakia assured its final passage, which followed by a month the takeover in Prague.

Such was the help accorded Truman in obtaining action on the Marshall Plan. Considering his politically straitened circumstances he scarcely could have done with less. Conceivably some part of Moscow's contribution might have been dispensable, but not Marshall's or Vandenberg's or Bevin's or Patterson's or that of the great many other men whose work is represented by their names in my account. Their aid was not extended to the President for his own sake. He was not favored in this fashion just because they liked him personally or were spellbound by his intellect or charm. They might have been as helpful had all held him in disdain, which some of them certainly did. The Londoners who seized the ball, Vandenberg and Taft and the congressional majority, Marshall and his planners, the officials of other agencies who actively supported them or "went along," the host of influential private citizens who rallied to the cause—all these played the parts they did because they thought they had to, in their interest, given their responsibilities, not Truman's. Yet they hardly would have found it in their interest to collaborate with one another or with him had he not furnished them precisely what they needed from the White House. Truman could not do without their help, but he could not have had it without unremitting effort on his part.

The crucial thing to note about this case is that despite compatibility of views on public policy, Truman got no help he did not pay for (except Stalin's). Bevin scarcely could have seized on Marshall's words had Marshall not been plainly backed by Truman. Marshall's interest would not have comported with the exploitation of his prestige by a president who undercut him openly or subtly or

even inadvertently. White House access gratifying to himself would not have identified whether would in searching

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even inadvertently at any point. Vandenberg, presumably, could not have backed proposals by a White House that begrudged him deference and access gratifying to his fellow partisans (and satisfying to himself). Prominent Republicans in private life would not have found it easy to promote a cause identified with Truman's claims on 1948—and neither would the prominent New Dealers then engaged in searching for a substitute.

Truman paid the price required for their services. So far as the record shows, the White House did not falter once in firm support for Marshall and the Marshall Plan. Truman backed his secretary's gamble on an invitation to all Europe. He made the plan his own in a well-timed address to the Canadians. He lost no opportunity to widen the involvements of his own official family in the cause. Averell Harriman, the secretary of commerce; Julius Krug, the secretary of the interior; Edwin Nourse, the Economic Council chairman; James Webb, the director of the budget—all were made responsible for studies and reports contributing directly to the legislative presentation. Thus these men were committed in advance. Besides, the President continually emphasized to everyone in reach that he did not have doubts, did not desire complications and would foreclose all he could. Reportedly his emphasis was felt at the Treasury, with good effect. And Truman was at special pains to smooth the way for Vandenberg. The senator insisted on "no politics" from the Administration side; there was none. He thought a survey of American resources and capacity essential; he got it in the Krug and Harriman reports. Vandenberg expected advance consultation; he received it, step by step, in frequent meetings with the President and weekly conferences with Marshall. He asked for an effective liaison between Congress and agencies concerned; Lovett and others gave him what he wanted. When the senator decided on the need to change financing and administrative features of the legislation, Truman disregarded Budget Bureau grumbling and acquiesced with grace. When, finally, Vandenberg desired a Republican to head the new administering agency, his candidate, Paul Hoffman, was appointed despite

the President's own preference for another. In all these ways Truman employed the sparse advantages his "powers" and his status then accorded him to gain the sort of help he had to have.

Truman helped himself in still another way. Traditionally and practically, no one was placed as well as he to call public attention to the task of Congress (and its Republican leadership). Throughout the fall and winter of 1947 and on into the spring of 1948, he made repeated use of presidential "powers" to remind the country that congressional action was required. Messages, speeches, and an extra session were employed to make the point. Here, too, he drew advantage from his place. However, in his circumstances, Truman's public advocacy might have hurt, not helped, had his words seemed directed toward the forthcoming election. Truman gained advantage for his program only as his own endorsement of it stayed on the right side of that fine line between the "caretaker" in office and the would-be candidate. In public statements dealing with the Marshall Plan he seems to have risked blurring this distinction only once, when he called Congress into session in November 1947 asking both for interim aid to Europe and for peacetime price controls. The second request linked the then inflation with the current Congress (and with Taft), becoming a first step toward one of Truman's major themes in 1948. By calling for both measures at the extra session he could have been accused—and was—of mixing home-front politics with foreign aid. In the event no harm was done the European program (or his politics). But in advance a number of his own advisers feared that such a double call would jeopardize the Marshall Plan. Their fears are testimony to the narrowness of his advantage in employing his own "powers" for its benefit.¹⁸

It is symptomatic of Truman's situation that bipartisan accommodation by the White House then was thought to mean congressional consultation and conciliation on a scale unmatched in Eisenhower's time. Yet Eisenhower did about as well with opposition congresses as Truman did, in terms of requests granted for defense and foreign aid. It may be said

that Truman asked for more extraordinary measures. But it also may be said that Eisenhower never lacked for the prestige his predecessor had to borrow. It often was remarked, in Truman's time, that he seemed a split personality, so sharply did his conduct differentiate domestic politics from national security. But personality aside, how else could he, in his first term, gain ground for an evolving foreign policy? The plain fact is that Truman had to play bipartisanship as he did or lose the game.

Had Truman lacked the personal advantages his "powers" and his status gave him, or if he had been maladroit in using them, there probably would not have been a massive European aid program in 1948. Something of the sort, perhaps quite different in its emphasis, would almost certainly have come to pass before the end of 1949. Some American response to European weakness and to Soviet expansion was as certain as such things can be. But in 1948 temptations to await a Taft plan or a Dewey plan might well have caused at least a year's postponement of response had the outgoing Administration bungled its congressional or public or allied or executive relations. Quite aside from the specific virtues of their plan, Truman and his helpers gained that year, at least, in timing the American response. As European time was measured then, this was a precious gain. The President's own share in this accomplishment was vital. He made his contribution by exploiting his advantages. Truman, in effect, lent Marshall and the rest the perquisites and status of his office. In return they lent him their prestige and their own influence. The transfer multiplied his influence despite his limited authority in form and lack of strength politically. Without the wherewithal to make this bargain, Truman could not have contributed to European aid.

Bargaining advantages convey no guarantees. Influence remains a two-way street. In the fortunate instance of the Marshall Plan, what Truman needed was actually in the hands of men who were prepared to "trade" with him. He personally could deliver what they wanted in return. Marshall, Vandenberg, Harriman, et al., possessed the prestige, energy, associations, staffs essential to the legislative effort.

Truman himself had a sufficient hold on presidential messages and speeches, on budget policy, on high-level appointments, and on his own time and temper to carry through all aspects of his necessary part. But it takes two to make a bargain. It takes those who have prestige to lend it on whatever terms. Suppose that Marshall had declined the secretaryship of state in January 1947; Truman might not have found a substitute so well equipped to furnish what he needed in the months ahead. Or suppose that Vandenberg had fallen victim to a cancer two years before he actually did; Senator Wiley of Wisconsin would not have seemed to Taft a man with whom the world need be divided. Or suppose that the secretary of the treasury had been possessed of stature, force, and charm commensurate with that of his successor in Eisenhower's time, the redoubtable George M. Humphrey. And what if Truman then had seemed to the Republicans what he turned out to be in 1948, a formidable candidate for President? It is unlikely that a single one of these "supposes" would have changed the final outcome; two or three, however, might have altered it entirely. Truman was not guaranteed more power than his "powers" just because he had continuing relationships with cabinet secretaries and with senior senators. Here, as everywhere, the outcome was conditional on who they were and what he was and how each viewed events, and on their actual performance in response.

Granting that persuasion has no guarantee attached, how can a President reduce the risks of failing to persuade? How can he maximize his prospects for effectiveness by minimizing chances that his power will elude him? The Marshall Plan suggests an answer: He guards his power prospects in the course of making choices. Marshall himself, and Forrestal and Harriman, and others of the sort held office on the President's appointment. Vandenberg had vast symbolic value partly because FDR and Truman had done everything they could, since 1944, to build him up. The Treasury Department and the Budget Bureau—which together might have jeopardized the plans these others made—were headed by officials whose prestige depended wholly on their jobs. What

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Truman needed from those "givers" he received, in part, because of his past choice of men and measures. What they received in turn were actions taken or withheld by him, himself. The things they needed from him mostly involved his own conduct where his current choices ruled. The President's own actions in the past had cleared the way for current bargaining. His actions in the present were his trading stock. Behind each action lay a personal choice, and these together comprised his control over the give-and-take that gained him what he wanted. In the degree that Truman, personally, affected the advantages he drew from his relationships with other men in government, his power was protected by his choices.

By "choice" I mean no more than what is commonly referred to as "decision": a President's own act of doing or not doing. Decision is so often indecisive, and indecision is so frequently conclusive, that *choice* becomes the preferable term. "Choice" has its share of undesired connotations. In common usage it implies a black-and-white alternative. Presidential choices are rarely of that character. It also may imply that the alternatives are set before the choice maker by someone else. A President is often left to figure out his options for himself. . . .

If Presidents could count upon past choices to enhance their current influence, as Truman's choice of men had done for him, persuasion would pose fewer difficulties than it does. But Presidents can count on no such thing. Depending on the circumstances, prior choices can be as embarrassing as they were helpful in the instance of the Marshall Plan. . . . Truman's hold upon MacArthur was weakened by his deference toward him in the past.

Assuming that past choices have protected influence, not harmed it, present choices still may be inadequate. If Presidents could count on their own conduct to provide them enough bargaining advantages, as Truman's conduct did where Vandenberg and Marshall were concerned, effective bargaining might be much easier to manage than it often is. In the steel crisis, for instance, Truman's own persuasiveness with companies and union, both, was burdened by the conduct of an independent wage board and of

government attorneys in the courts, to say nothing of Wilson, Arnall, Sawyer, and the like. Yet in practice, if not theory, many of *their* crucial choices never were the President's to make. Decisions that are legally in others' hands, or delegated past recall, have an unhappy way of proving just the trading stock most needed when the White House wants to trade. One reason why Truman was consistently more influential in the instance of the Marshall Plan than in the steel case or the MacArthur case is that the Marshall Plan directly involved Congress. In congressional relations there are some things that no one but the President can do. His chance to choose is higher when a message must be sent, or a nomination submitted, or a bill signed into law, than when the sphere of action is confined to the executive, where all decisive tasks may have been delegated past recall.

But adequate or not, a President's choices are the only means in his own hands of guarding his own prospects for effective influence. He can draw power from continuing relationships in the degree that he can capitalize upon the needs of others for the Presidency's status and authority. He helps himself to do so, though, by nothing save ability to recognize the preconditions and the chance advantages and to proceed accordingly in the course of the choice making that comes his way. To ask how he can guard prospective influence is thus to raise a further question: What helps him guard his power stakes in his own acts of choice?

Notes

1. The reader will want to keep in mind the distinction between two senses in which the word *power* is employed. When I have used the word (or its plural) to refer to formal constitutional, statutory, or customary authority, it is either qualified by the adjective "formal" or placed in quotation marks as "power(s)." Where I have used it in the sense of effective influence on the conduct of others, it appears without quotation marks (and always in the singular). Where clarity and convenience permit, *authority* is substituted for "power" in the first sense and *influence* for power in the second.

2. See, for example, his press conference of July 22, 1959, as reported in the *New York Times*, July 23, 1959.
3. See Douglass Cater, *The Fourth Branch of Government* (Boston: Houghton Mifflin, 1959).
4. With the exception of the vice presidency, of course.
5. See David B. Truman's illuminating study of party relationships in the Eighty-first Congress, *The Congressional Party* (New York: Wiley, 1959), especially chaps. 4, 6, 8.
6. As secretary of the interior in 1939, Harold Ickes refused to approve the sale of helium to Germany despite the insistence of the State Department and the urging of President Roosevelt. Without the secretary's approval, such sales were forbidden by statute. See *The Secret Diaries of Harold L. Ickes* (New York: Simon & Schuster, 1954), vol. 2, especially pp. 391-93, 396-99.
In this instance the statutory authority ran to the secretary as a matter of his discretion. A President is unlikely to fire cabinet officers for the conscientious exercise of such authority. If the President did so, their successors might well be embarrassed both publicly and at the Capitol were they to reverse decisions previously taken. As for a President's authority to set aside discretionary determinations of this sort, it rests, if it exists at all, on shaky legal ground not likely to be trod save in the gravest of situations.
7. Truman's *Memoirs* indicate that having tried and failed to make Stevenson an avowed candidate in the spring of 1952, the President decided to support the candidacy of Vice President Barkley. But Barkley withdrew early in the convention for lack of key northern support. Though Truman is silent on the matter, Barkley's active candidacy nearly was revived during the balloting, but the forces then aligning to revive it were led by opponents of Truman's Fair Deal, principally Southerners. As a practical matter, the President could not have lent his weight to their endeavors and could back no one but Stevenson to counter them. The latter's strength could not be shifted, then, to Harriman or Kefauver. Instead the other Northerners had to be withdrawn. Truman helped withdraw them. But he had no other option. See Harry S. Truman, *Memoirs*, vol. 2, *Years of Trial and Hope* (Garden City, N.Y.: Doubleday, Time Inc., 1956), pp. 495-96.
8. The reference is to Stassen's public statement of July 23, 1956, calling for Nixon's replacement on the Republican ticket by Governor Herter of Massachusetts, the later secretary of state. Stassen's statement was issued after a conference with the President. Eisenhower's public statements on the vice-presidential nomination, both before and after Stassen's call, permit of alternative inferences: either that the President would have preferred another candidate, provided this could be arranged without a showing of White House dictation, or that he wanted Nixon on condition that the latter could show popular appeal. In the event, neither result was achieved. Eisenhower's own remarks lent strength to rapid party moves that smothered Stassen's effort. Nixon's nomination thus was guaranteed too quickly to appear the consequence of popular demand. For the public record on this matter see reported statements by Eisenhower, Nixon, Stassen, Herter, and Leonard Hall (the National Republican Chairman) in the *New York Times* for March 1, 8, 15, 16; April 27; July 15, 16, 25-31; August 3, 4, 17, 23, 1956. See also the account from private sources by Earl Mazo in *Richard Nixon: A Personal and Political Portrait* (New York: Harper, 1959), pp. 158-87.
9. Stenographic transcript of presidential press conference, October 19, 1950, on file in the Truman Library at Independence, Missouri.
10. Jonathan Daniels, *Frontier on the Potomac* (New York: Macmillan, 1946), pp. 31-32.
11. Transcript of presidential press conference, June 18, 1958, in *Public Papers of the Presidents Dwight D. Eisenhower, 1958* (Washington, D.C.: National Archives, 1959), p. 479. In the summer of 1958, a congressional investigation into the affairs of a New England textile manufacturer, Bernard Goldfine, revealed that Sherman Adams had accepted various gifts and favors from him (the most notoriety attached to a vicuna coat). Adams also had made inquiries about the status of a Federal Communications Commission proceeding in which Goldfine was involved. In September 1958 Adams was allowed to resign. The episode was highly publicized and much discussed in that year's congressional campaigns.
12. As reported in Marriner S. Eccles (*Beckoning Frontiers*, New York: Knopf, 1951), p. 336.
13. In drawing Marshall P. participated (New York the recent s *Plan and* Press, 195. *Memoirs*, v Jr., ed., *Th* (Boston: H. ff.; and on an instance knowledge, in the prod
14. Secretary N became kn Harvard or vetoed the three days l tax reducti of the Eigh 3950), a r improved on narrowly st
15. *Private Pap* 446.
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13. In drawing together these observations on the Marshall Plan, I have relied on the record of personal participation by Joseph M. Jones, *The Fifteen Weeks* (New York: Viking, 1955), especially pp. 89–256; on the recent study by Harry Bayard Price, *The Marshall Plan and Its Meaning* (Ithaca: Cornell University Press, 1955), especially pp. 1–86; on the Truman *Memoirs*, vol. 2, chaps. 7–9; on Arthur H. Vandenberg Jr., ed., *The Private Papers of Senator Vandenberg* (Boston: Houghton Mifflin, 1952), especially pp. 373 ff.; and on notes of my own made at the time. This is an instance of policy development not covered, to my knowledge, by any of the university programs engaged in the production of case studies.
14. Secretary Marshall's speech, formally suggesting what became known as the Marshall Plan, was made at Harvard on June 5, 1947. On June 20 the President vetoed the Taft-Hartley Act; his veto was overridden three days later. On June 16 he vetoed the first of two tax reduction bills (HR 1) passed at the first session of the Eightieth Congress; the second of these (HR 3950), a replacement for the other, he also disapproved on July 18. In both instances his veto was narrowly sustained.
15. *Private Papers of Senator Vandenberg*, pp. 378–79, 446.
16. The initial reluctance of the Secretary of the Treasury, John Snyder, to support large-scale spending overseas became a matter of public knowledge on June 25, 1947. At a press conference on that day he interpreted Marshall's Harvard speech as a call on Europeans to

help themselves, by themselves. At another press conference the same day, Marshall for his own part had indicated that the United States would consider helping programs on which Europeans agreed. The next day Truman held a press conference and was asked the inevitable question. He replied, "General Marshall and I are in complete agreement." When pressed further, Truman remarked sharply, "The secretary of the treasury and the secretary of state and the President are in complete agreement." Thus the President cut Snyder off, but had programming gathered less momentum overseas, no doubt he would have been heard from again as time passed and opportunity offered.

The foregoing quotations are from the stenographic transcript of the presidential press conference June 26, 1947, on file in the Truman Library at Independence, Missouri.

17. A remark made in December 1955, three years after he left office, but not unrepresentative of views he expressed, on occasion, while he was President.
18. This might also be taken as testimony to the political timidity of officials in the State Department and the Budget Bureau where that fear seems to have been strongest. However, conversations at the time with White House aides incline me to believe that there, too, interjection of the price issue was thought a gamble and a risk. For further comment see my "Congress and the Fair Deal: A Legislative Balance Sheet," *Public Policy*, vol. 5 (Cambridge: Harvard University Press, 1954), pp. 362–64.