THE INDEPENDENT REGULATORY COMMISSIONER DATA BASE

A Multi User Data Base Created by a Grant from the National Science Foundation (SES-0095962)

Principal Investigator:
David C. Nixon
Department of Political Science
Georgia State University
Atlanta, GA 30303
email: poldcn@panther.gsu.edu
web: www.gsu.edu/~wwwirc

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Introduction

Overview

These data are intended to authoritatively document the personal, career, and political attributes of every commissioner and board member who has served on any of the fifteen federal independent regulatory agencies listed below, from 1897 to 2000. The database documents XXX individuals, who have been appointed a total of XXX times (appointees serve fixed and limited terms of service, but reappointments are common). This research is supported by a grant from the National Science Foundation (SES 00-95962), which began July 1, 2001 and ended August 31, 2003. For each appointment, the data indicates sequential factors, such as date of the nomination or the expiration of the term for the seat, and personal factors, such as the gender or party affiliation of the appointee. These data are intended to be the counterpart to the appellate and district court biographical databases (Zuk, Barrow & Gryski [ICPSR 6796], Goldman, Gryski & Zuk, respectively). A permanent web site provides access to the data and infile statements for these data at www.gsu.edu/~wwwirc. In order to increase its utility for a wide variety of potential applications, indicators on a broad range of variables of theoretical significance to bureaucracy scholars were coded. In addition, the data are assembled in such a way that the unit of analysis may be either cross-sectional (the appointment or the commissioner) or longitudinal (at any arbitrary aggregation of time) or panel data.

Agencies Covered in these Data

Civil Aeronautics Board (1940-1981)
Federal Reserve Board of Governors (1914-2000) [political appointees only]
Federal Trade Commission (1914-2000)
Interstate Commerce Commission (1887-1995)
National Labor Relations Board (1935-2000)
National Transportation Safety Board (1967-2000)

Unit of Analysis

The fundamental data structure is as follows: one observation appears for each appointment of each
individual to have ever served on the respective agencies. Each such appointment features a unique 9-digit identification code of the following sort:

\[
\text{eeoc00502}
\]

<table>
<thead>
<tr>
<th>agency</th>
<th>individual</th>
<th>appointment</th>
</tr>
</thead>
</table>

The first four digits indicate the name of the agency in a straightforward fashion (see Appendix 3 for explication of the agency abbreviations. The next three digits are individual-specific, providing a unique number for each commissioner or board member, in order of service on the agency. For any pairs of individuals who began service on the same date, those with a more distant term expiration are coded with lower numbers. For example, six of the first seven commissioners on the FCC began service July 11, 1934, but each to a different term. Thus, the commissioner appointed to the longest term, Eugene Sykes, is coded as fcc001. A researcher may extract the first seven digits, and aggregate across them to obtain data in which the commissioner is the unit of analysis.

The last two digits indicate the sequence of appointment, beginning with 01, the first. In all cases, if a commissioner was given a recess appointment, and was subsequently nominated and confirmed, the situation is treated as a single appointment. Special codes allow the researcher to identify such situations, and the dates allow the researcher to identify all the key actions taken. Occasionally, commissioners may serve under recess appointments without being confirmed (see Fisher 1997, 4th ed.). Such service is documented in this dataset, and special codes allow the researcher to identify such situations. More frequently, persons are considered as potential nominees, and sometimes actually nominated, but never confirmed. In the absence of a recess commission, they never actually serve on the agency, and these individuals are not documented in this data set (see Nixon & Goss 2001 for a discussion of the difficulty if not impossibility of documenting all failed appointments).

Variables

Variables in this data set may be categories in one of three groups:

1. Identification codes. A number of codes have been assembled to allow researchers to identify each unique person or appointment denoted in this data set.
   a. appointment ID
   b. appointment ID of immediate predecessor

2. Biographical. Time invariant characteristics of individuals are provided, including party ID, state of residence at time of appointment, gender, race/ethnicity, date of birth, and prior and subsequent employment experience. The coding scheme for employment experience is rooted in a number of “revolving door” analyses published in the literature (Gormley 1979; Eckert 1981; Cohen 1986; Spiller
1990), but go beyond just conflict of interest indicators to provide data on academic employment, public sector employment, and elective office. Data on occupational field are not explicitly provided because there is seldom any significant variation for commissioners on a given agency.

a. state of residence (at time of appointment)

b. party affiliation
c. gender
d. race/ethnicity
e. birthdate
f. name
g. employment prior to agency service
h. employment following agency service

3. Appointment Circumstances. For each appointment, the relevant circumstances have been denoted, including the ID of the immediate predecessor, the dates of nomination, confirmation, beginning of service, end of service, and term expiration. Dates of Senate committee hearings have not been denoted in this data set.

a. reason for termination of service under this appointment
b. temporary service (holdover or recess)
c. date of nomination
d. date of confirmation
e. first date of service under this appointment
f. last date of service under this appointment
g. expiration date of term for this appointment

**VARIABLE DESCRIPTION**

**A. IDENTIFIERS**

<table>
<thead>
<tr>
<th>Field 1</th>
</tr>
</thead>
</table>

**APPID**

9 columns wide (1-9)
alphanumeric

This field represents a simple unique identifier for each appointment. The first four digits indicate the agency (see Appendix 3). The next three digits are specific to the individual commissioner, by agency, and indicate the consecutive order in which the commissioners served. In all cases where more than one commissioner began service on the same date, the commissioner appointed to the longer term of service is given a lower number. The last two digits indicate, for each commissioner, the sequence of appointments, ranging from 1 to 4 (first to fourth appointment, for a given commissioner).
Field 2

PREDID

9 columns wide (11-19)
alphanumeric

This field provides the ID for the immediate predecessor to the appointment. In the case of reappointments, a commissioner is her own predecessor, from the standpoint of this field. When no predecessor exists (i.e., for the first appointment to each seat after an agency is newly created), the field is coded as “xxxxxxxxx”.

B. BIOGRAPHICAL

Field 3

STATE

2 columns wide (21-22)
alphanumeric

This field indicates the state of residence for the appointee at the time of his/her first appointment. Values follow the traditional 2-digit postal coding for states. In situations where residence is ambiguous or a commissioner plausibly has more than one residence, the introduction of the nominee in the Senate (which invariably indicates the home state of the nominee) is taken as definitive. Thus, this field can be used to ascertain the Senators for whom any courtesy might be extended.

Field 4

PARTY

1 column wide (24)
alphanumeric

This field indicates the party affiliation of the nominee at the time of first appointment. This is the definitive information used for ascertaining statutory compliance with party affiliation limits in charter statutes.

Valid values:
R - Republican
D - Democrat
I - Independent or Other

Field 5

GENDER

1 column wide (26)
alphanumeric

Valid values:
M - Male
F - Female

Field 6

RACE
1 column wide (28)
numeric

This field categorizes appointees into one of four races/ethnicities: white, black, hispanic, and asian.

Valid Values: 0 - white/caucasian
1 - african american
2 - hispanic/latino
3 - asian

Field 7

BIRTH

10 columns wide (30-39)
date-time (mm_dd_yyyy)

Appointee’s birthdate, ranging from XXXX to XXXX. A very small number of dates (usually only the actual day) are missing (.).

Field 8

NAME

25 columns wide (41-65)
string

Name is presented in the manner it was normally printed by the commission (sometimes with middle initial, sometimes without). This field contains embedded blanks and punctuation. Complete order of names is as follows: [first][middle][maiden][last][jr./III,etc]. In situations where a name changed during service on the commission (marriage), the most complete name is presented.

Field 9-12

PREEMP1 – PREEMP4

each 2 columns wide (67-68, 70-71, 73-74, 76-77)
numeric

Codes for employment prior to (pre-) and after (post-) service on commission utilize the same typology. Codes are rooted in previous analyses of revolving door and career paths of regulatory commissioners (Gormley 1979; Eckert 1981; Cohen 1986; Spiller 1990). This dataset provides indicators for the four most recent employment experiences of the commissioner, prior to service (as
well as the first four subsequent employment experiences, after service on the commission). Thus, the codes could be used to construct alternative employment measures, such as a dummy variable for prior academic employment, by logically searching across the prior employment fields. For example: PREACADM=1 if (PREEMP1=8 or PREEMP2=8 or PREEM3=8 or PREEMP4=8). Variables are recorded chronologically, but variable labels are presented in reverse order, for this variable. Thus, PREEMP1 appears in columns 76-77, and indicates the most recent employment experience prior to service on the commission.

Valid Values
1 - direct employment by regulated industry
2 - indirect employment (consulting, legal representation) by regulated industry
3 - public interest employment (typically non-profit consulting/executive positions)
4 - commission staff
5 - other federal agency staff
6 - state agency staff
7 - oversight committee staff
8 - academia/think tank
9 - unrelated private sector
10 - unrelated public sector
11 - state elective office
12 - federal elective office
13 - appointive state commissioner/agency head
14 - appointive federal commissioner/agency head
15 - state judicial
16 - federal judicial

Fields 13-16

POSTEMP1 – POSTEMP4

each 2 columns wide (79-80, 82-83, 85-86, 88-89)
numeric

Same coding as pre-employment, with POSTEMP1 indicating the most immediate employment after service on commission.

C. APPOINTMENT CIRCUMSTANCES

Exit
1 column wide (91)
numeric

Reason for termination of service.
Valid Values
1 - died in office
2 - resigned before term expired
3 - term expired, without renomination
4 - term expired, renominated
5 - never confirmed/nomination withdrawn
6 - transferred to new seat
7 - impeached
8 - still serving as of 12/31/2000
9 - seat abolished

Field 18
HOLDOVER
1 column wide (93)
numeric

For most agencies since about 1960, commissioners are permitted to continue serving on the agency after their term has expired, until a replacement has been confirmed. This dummy (0=no holdover service, 1=holdover) indicates whether the commissioner served past the expiration of the current term without being reappointed. In such cases, end of service date will clearly extend past the expiration date.

Field 19
RECESS
1 column wide (95)
numeric

Under Article II of the U.S. Constitution, the President may grant a recess appointment while the Senate is in recess. Said appointments expire at the end of the following session of Congress. In addition, an 1863 law stipulates that recess appointees receive no financial compensation for their service, unless they are subsequently confirmed by the Senate (Fisher 1997). As described in the “Unit of Analysis” section of this codebook, recess appointments subsequently confirmed are treated as a single observation. The first date of service indicates the date of the recess commission. Recess appointees who serve, but are never confirmed also are treated as observations, and the variable EXIT indicates such situations.

Valid values
0 - normal appointment
1 - began service under a recess appointment

Field 20
NOM
10 columns wide (97-106)
date-time (mm_dd_yyyy)

Date of first nomination. Subsequent nominations (such as at the beginning of a session after the
previous nomination expired at the end of the last session of Congress) are not documented in this data set.

--- Field 21 ---

CONF

10 columns wide (108-117)
date-time (mm_dd_yyyy)

Date of confirmation.

--- Field 22 ---

BEG

10 columns wide (119-128)
date-time (mm_dd_yyyy)

First date of service. For new commissioners, this is the date the oath of office was administered, whether they received a normal or recess commission. For reappointed commissioners, the oath of office may not be immediately administered at the beginning of their new term yet the commissioners are immediately serving (under holdover provision). In those cases, first date of service is the first day of their new term. This coding convention allows one to accurately reconstruct the continuous service of reappointed commissioners.

--- Field 23 ---

END

10 columns wide (130-139)
date-time (mm_dd_yyyy)

Last date of service. If this date exceeds the expiration of the term, the situation is indicated elsewhere in the data (HOLDOVER=1).

--- Field 24 ---

EXP

10 columns wide (141-150)
date-time (mm_dd_yyyy)

Date term is statutorily set to expire.

DATA INFILE STATEMENTS

Each agency is currently released as a unique dataset. However, the column locations and variable coding are uniform, so that combining observations across multiple agencies is a trivial matter.
Cross-Sectional Designs

In the raw form for distribution, the unit of observation for the data is the appointment. Thus, no aggregation is necessary if a researcher wishes to examine each appointment episode. The following SAS infile statement reads the data, and assembles date variables in date-time format:

```sas
data a;
  infile 'eeocnsf.asc' lrecl=150;
  input @1 id $CHAR7. @8 seq 2. @1 appid $CHAR9. @11 predid $CHAR9.
                 @21 state $ party $ gender $ race @30 birth $CHAR10.
                 @41 name $CHAR25. @69 preemp1 preemp2 preemp3 preemp4
                 @81 postemp1 postemp2 postem3 postemp4 @91 exit holdover recess
                 @97 nom $CHAR10. @108 conf $CHAR10. @119 beg $CHAR10.
                 @130 end $CHAR10. @141 exp $CHAR10.;
  first=mdy(substr(beg,1,2),substr(beg,4,2),substr(beg,7,4));
  last=mdy(substr(end,1,2),substr(end,4,2),substr(end,7,4));
  born=mdy(substr(birth,1,2),substr(birth,4,2),substr(birth,7,4));
  nominatd=mdy(substr(nom,1,2),substr(nom,4,2),substr(nom,7,4));
  confirmd=mdy(substr(conf,1,2),substr(conf,4,2),substr(conf,7,4));
  expired=mdy(substr(exp,1,2),substr(exp,4,2),substr(exp,7,4));
run;
```

However, some merging of data is possible to append any or all characteristics of the immediate predecessor. For example this capability is helpful for analysis of the length of time a vacancy persisted on the commission (e.g. Nixon 2001; Nixon & Goss 2001; Nixon & Flowers 2002). SAS infile statements are provided separately to accomplish this task, but all follow the same basic form below:

```sas
data b;set a;
  mergevar=predid;
  if recess=1 then first=confirmd;
  proc sort out=base;by mergevar;
  data c;set b;
  mergevar=appid;
  predprty=party;
  preadge=(last-born)/365;
  predexit=exit;
  predhold=holdover;
  predlast=last; /* add variable creations, as desired */
  if holdover=1 then predlast=expired;
  keep mergevar predexit predlast predhold preadge predprty;
  proc sort out=pred;by mergevar;
  data vacancy;merge base (in=match) pred; by mergevar;
  vacant=first-predlast;
  attrib first predlast format=MMDDYY8.;
run;
```

A Stata .do file accomplishes the same merging task:
Panel Designs

Researchers may prefer to aggregate the data into panel designs. Probably the easiest way to accomplish this task is to make sure two fields are available for each record: the date the commissioner began service, and the number of days that service persisted. If these two variables are available, one may use a functionality new to version 7.0 of Stata, STSPLIT, to spread the existing data into a panel design. The following .do file generates a panel design of one observation for each commissioner for each day they served:

```
. ge dayservd=end-start
. ge end=0
. stset dayservd, id(appid) failure(end)
. stsplit dtmp, every(1)
```

A monthly panel design could just as easily be created through
```
. stsplit detemp, every(30)
```

However, a researcher seeking to establish a monthly panel design probably prefers that the “strobe” be the same day for each commissioner, which the above does not accomplish for anything other than a daily panel design. Instead, the following SAS statements generate a traditional panel design at any arbitrary strobe length:

Longitudinal Designs

Many classical studies of bureaucracy and bureaucratic control are longitudinal in nature. One may easily aggregate across a variety of commissioner indicators, for purposes of time series analysis. For example, the following SAS statements generate a daily time series: the proportion of sitting commissioners who are democrats. Variations on this theme are trivially easy, as indicated in the side-notes of the program.
# APPENDIX 1
## VARIABLE LIST IN ORDER OF APPEARANCE IN DATA FILE

<table>
<thead>
<tr>
<th>NAME</th>
<th>BRIEF DESCRIPTION</th>
<th>FORMAT</th>
<th>LOCATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>APPID</td>
<td>appointment ID</td>
<td>char9.</td>
<td>1-9</td>
</tr>
<tr>
<td>PREDID</td>
<td>predecessor’s appointment ID</td>
<td>char9.</td>
<td>11-19</td>
</tr>
<tr>
<td>STATE</td>
<td>residence at first appointment</td>
<td>char2.</td>
<td>21-22</td>
</tr>
<tr>
<td>PARTY</td>
<td>party affiliation</td>
<td>char1.</td>
<td>24</td>
</tr>
<tr>
<td>GENDER</td>
<td>gender</td>
<td>char1.</td>
<td>26</td>
</tr>
<tr>
<td>RACE</td>
<td>race/ethnicity</td>
<td>numeric</td>
<td>28</td>
</tr>
<tr>
<td>BIRTH</td>
<td>birthdate</td>
<td>mmddyyyy</td>
<td>30-39</td>
</tr>
<tr>
<td>NAME</td>
<td>name</td>
<td>char25.</td>
<td>41-65</td>
</tr>
<tr>
<td>PREEMP4</td>
<td>fourth most recent employment prior to service</td>
<td>numeric</td>
<td>67-68</td>
</tr>
<tr>
<td>PREEMP3</td>
<td>third-most recent prior employment</td>
<td>numeric</td>
<td>70-71</td>
</tr>
<tr>
<td>PREEMP2</td>
<td>second-most recent prior employment</td>
<td>numeric</td>
<td>73-74</td>
</tr>
<tr>
<td>PREEMP1</td>
<td>most recent employment prior to service</td>
<td>numeric</td>
<td>76-77</td>
</tr>
<tr>
<td>POSTEMP1</td>
<td>first employment following service</td>
<td>numeric</td>
<td>79-80</td>
</tr>
<tr>
<td>POSTEMP2</td>
<td>second employment after service</td>
<td>numeric</td>
<td>82-83</td>
</tr>
<tr>
<td>POSTEMP3</td>
<td>third employment after service</td>
<td>numeric</td>
<td>85-86</td>
</tr>
<tr>
<td>POSTEMP4</td>
<td>fourth employment after service</td>
<td>numeric</td>
<td>88-89</td>
</tr>
<tr>
<td>EXIT</td>
<td>reason for service termination</td>
<td>numeric</td>
<td>91</td>
</tr>
<tr>
<td>HOLDOVER</td>
<td>dummy for holdover service</td>
<td>numeric</td>
<td>93</td>
</tr>
<tr>
<td>RECESS</td>
<td>dummy for recess commission</td>
<td>numeric</td>
<td>95</td>
</tr>
<tr>
<td>NOM</td>
<td>date nominated</td>
<td>mmddyyyy</td>
<td>97-106</td>
</tr>
<tr>
<td>CONF</td>
<td>date confirmed</td>
<td>mmddyyyy</td>
<td>108-117</td>
</tr>
<tr>
<td>BEG</td>
<td>date began service</td>
<td>mmddyyyy</td>
<td>119-128</td>
</tr>
<tr>
<td>END</td>
<td>date ended service</td>
<td>mmddyyyy</td>
<td>130-139</td>
</tr>
<tr>
<td>EXP</td>
<td>term expiration date</td>
<td>mmddyyyy</td>
<td>141-150</td>
</tr>
</tbody>
</table>
APPENDIX 2

VARIABLE LIST IN ALPHABETICAL ORDER

<table>
<thead>
<tr>
<th>NAME</th>
<th>BRIEF DESCRIPTION</th>
<th>FORMAT</th>
<th>LOCATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>APPID</td>
<td>appointment ID</td>
<td>char9.</td>
<td>1-9</td>
</tr>
<tr>
<td>BEG</td>
<td>date began service</td>
<td>mmddyyyy</td>
<td>119-128</td>
</tr>
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<td>BIRTH</td>
<td>birthdate</td>
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<td>date ended service</td>
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</tr>
<tr>
<td>EXIT</td>
<td>reason for service termination</td>
<td>numeric</td>
<td>91</td>
</tr>
<tr>
<td>EXP</td>
<td>term expiration date</td>
<td>mmddyyyy</td>
<td>141-150</td>
</tr>
<tr>
<td>GENDER</td>
<td>gender</td>
<td>char2.</td>
<td>26</td>
</tr>
<tr>
<td>HOLDOVER</td>
<td>dummy for holdover service</td>
<td>numeric</td>
<td>93</td>
</tr>
<tr>
<td>NAME</td>
<td>name</td>
<td>char25.</td>
<td>41-65</td>
</tr>
<tr>
<td>NOM</td>
<td>date nominated</td>
<td>mmddyyyy</td>
<td>97-106</td>
</tr>
<tr>
<td>PARTY</td>
<td>partisan affiliation</td>
<td>char1.</td>
<td>24</td>
</tr>
<tr>
<td>POSTEMP1</td>
<td>first employment following service</td>
<td>numeric</td>
<td>79-80</td>
</tr>
<tr>
<td>POSTEMP2</td>
<td>second employment after service</td>
<td>numeric</td>
<td>82-83</td>
</tr>
<tr>
<td>POSTEMP3</td>
<td>third employment after service</td>
<td>numeric</td>
<td>85-86</td>
</tr>
<tr>
<td>POSTEMP4</td>
<td>fourth employment after service</td>
<td>numeric</td>
<td>88-89</td>
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<td>PREDID</td>
<td>predecessor’s appointment ID</td>
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<td>11-19</td>
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<td>PREEMP4</td>
<td>fourth-most recent prior employment</td>
<td>numeric</td>
<td>67-68</td>
</tr>
<tr>
<td>RACE</td>
<td>race/ethnicity</td>
<td>numeric</td>
<td>28</td>
</tr>
<tr>
<td>RECESS</td>
<td>dummy for recess commission</td>
<td>numeric</td>
<td>95</td>
</tr>
<tr>
<td>STATE</td>
<td>residence at first appointment</td>
<td>char2.</td>
<td>21-22</td>
</tr>
</tbody>
</table>
APPENDIX 3
List of Agency Codes/Abbreviations

CAB  Civil Aeronautics Board (1940-1981)
FCC  Federal Communications Commission (1934-2000)
FED  Federal Reserve Board of Governors (1914-2000) [political appointees only]
FRC  Federal Radio Commission (1928-1934)
FTC  Federal Trade Commission (1914-2000)
ICC  Interstate Commerce Commission (1887-1995)
NLRB  National Labor Relations Board (1935-2000)
NTSB  National Transportation Safety Board (1967-2000)