

Guidelines for Authors

Brookings Institution Press

These guidelines have been established to avoid errors and delays in the publication of Brookings Institution books. We encourage authors to cooperate with us in following these instructions. As you prepare your manuscript for publication, please feel free to contact the managing editor, Brookings Institution Press, if you need further clarification of the submissions process (jwalker@brookings.edu or 202/536-3613). Contact the production manager to discuss requirements for figures, maps, and photographs (cbeard@brookings.edu or 202/797-6303).

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WHAT TO SUBMIT: THE BASICS

- ◆ E-files in Word clearly labeled with chap number, for example, 00 title&contents, 01 Intro, 01 Intro boxes, 04 Governance, 04 Governance tbls, 04 Governance figs.
- ◆ All text e-files (chapter text, boxes, tables, appendixes) should be editable in Word and not be pictures. In an edited volume, file names should reflect the author name: 03 Jones, 05 Smith, and so on.
- ◆ Send figures in Word with a title and source indicated for each figure. For typesetting, Brookings Press requires Excel for any data-based figure.
- ◆ See p. 6 for further instructions as to how to send figures if Excel is unavailable. Tables may be sent in Excel if they are too unwieldy in Word.
- ◆ Contents list of chapter titles (and author names, if an edited volume).
- ◆ Formatting—Send double-spaced text files, indented paragraphs, no space between paragraphs, indicating within brackets on separate lines where figures, tables, and boxes should be placed. DO NOT include these items in the text file.

Editorial Process

After the manuscript has been approved for publication, a book should be off press between four and six months. About half of this time is attributable to typesetting, proof handling, creating the index, and printing and binding. The managing editor will work up an overall draft schedule two to four weeks after receipt of manuscript.

Speed of production depends on

- ◀ the length and complexity of the manuscript
- ◀ organization of the manuscript
- ◀ the accuracy and consistency of citations, facts, and statements
- ◀ the style and clarity of exposition
- ◀ adherence to established schedules

Brookings takes pride in its reputation for impartial, clear, jargon-free, readable, and accurate publications. To help maintain that reputation, the editors may make numerous changes, including rewriting and reorganizing. Expect to be queried and asked to clarify, to add or delete notes, to rewrite sections, and to answer questions about the accuracy and completeness of your data, quotations, and notes. To save time please ensure that all facts of publication are included with sources and that websites are appropriately sourced (see later discussion on URLs) before your work goes to an editor.

You will receive a copy of the edited manuscript for review. This is your opportunity to revise before the manuscript is set in type. Please answer all editorial queries. The editor will ask you to return the text, with your approval of editing and any revisions, by a certain date. Delays at any stage often cause escalating delays further along in the schedule, so please honor schedule commitments. After you return the manuscript to the editor, the editor will prepare it for typesetting. A production schedule will be worked out, and you will be informed about when to expect page proofs and when they must be returned. Please notify the editor if you will be unable to meet the schedule.

When you receive page proofs, read them carefully, make only necessary corrections, and return them to the editor on schedule. While you are reviewing your proofs, the index is being created. Please keep this in mind when you are considering making changes that will affect page makeup. Repairing an index because of changes in page numbers is time consuming and can introduce errors into the index.

Verification

Fact checking is no longer undertaken on a regular basis. The author is fully responsible for any errors in the final printed work.

Style

Make chapter titles as short as possible (shorter titles typeset more gracefully and are easier to grasp quickly). And consider a descriptive title for introductions and conclusions in lieu of simply using "Introduction" or "Conclusion."

In developing subheads, maintain a consistent length and editorial approach when possible. Do not use two consecutive subheads. Text should always intervene between heads and between a chapter title and a subhead.

Use no more than three levels of heads so that your book does not look like an outline. If you use subheads, ensure there are at least two per level.

Maintain a consistent voice. The third person is preferred, but use the first person ("I," or "we" if more than one author) in preference to circumlocutions such as "the present writer."

Avoid using "we" universally to mean the author and the reader or the scholarly community. Occasional use of "we" to refer to the nation or to humanity is acceptable, however.

Provide full identification for people as they are introduced.

Explain concepts or terms that may be unfamiliar to the reader.

Spell out abbreviations and acronyms the first time they are used in a chapter. Doing this in the preparation of the manuscript will save time later and avoid excessive querying by the copyeditor.

Limit the number of tables and figures, using only those that improve your argument. See later section on figures, tables, and maps.

Documentation

Document your work, but do not overdo it. Notes should fall at the end of a sentence. If a sentence seems to require more than one note, combine the notes, clearly referencing within the note the section the sentence refers to. Do be aware that if a sentence includes more than one or two notes, it may contain too many ideas for clear expression and may be better rewritten as two sentences.

Do not place note numbers on chapter titles or subheads.

Include source material for all tables and figures.

Internet sources: If you rely on an Internet source, print out and file these documents as backup material. In your own work, provide the facts of publication as you would a book or journal article using what is provided on the website, for instance, author, title, organization sponsoring the site, date that is evident, then the URL in parentheses. It is not necessary to provide an access date: the work's copyright date serves this purpose. If the URL becomes inoperative in the future, the facts given may allow a future reader to search and locate the source. See also a later section on Internet citations.

Permissions

Before submitting the manuscript for editing, review it to determine whether the use of any quotation will require permission from a publisher: if so, obtain permission in writing. When a short excerpt is used in a scholarly work for critical or incidental purposes, permission to quote is generally considered unnecessary. But when using a continuous excerpt of more than 500 words from a published book, it is best to ask permission.

If you are using a table, figure, or other graphic element that has been previously published, you may also need to obtain permission. Check with the managing editor, Brookings Institution Press, for further guidance.

For additional guidance on style and usage, see *The Chicago Manual of Style*, 16th ed. (University of Chicago Press, 2010)—available at most libraries.

Notes and References

Brookings books use one of two reference styles: traditional notes (no reference list) or modified journal

notes (with reference list). Each is described below. Please consult with the editor before becoming too attached to one system or the other.

If you are a volume editor, please be sure to instruct all contributors to use one or the other style.

Use notes to identify the source of information, to give a credit line for the use of another author's work, or to present explanatory material that is not integral to the text. Cite sources uniformly and concisely, but with enough detail to be helpful to the reader. Be sure to include authors' full names. Avoid including equations, tables, or figures in notes.

Traditional Notes

Notes in this style are placed by the typesetter as endnotes at the end of the book or at the end of a chapter (in edited volumes). In each chapter references are given in full the first time they are used (in both text and tables) chapter by chapter (that is, each work is cited in full the first time it is used in each chapter of the work); thereafter they are shortened (author, abbreviated title, page number), and "ibid." may be used. Examples of traditional endnotes with several types of publications follow:

Book

1. Lyndon Baines Johnson, *The Vantage Point: Perspectives of the Presidency, 1963–1969* (New York: Holt, Rinehart and Winston, 1971), p. 18.

2d ref to note 1 above

3. Johnson, *The Vantage Point*, p. 46.

Newspaper

2. Quoted in Ruth Marcus, "In Transition Twilight Zone, Clinton's Every Word Scrutinized," *Washington Post*, November 22, 1992, p. A1.

Chapter in a book

4. William R. Havender, "Assessing and Controlling Risks," in *Social Regulation: Strategies for Reform*, edited by Eugene Bardach and Robert A. Kagan (San Francisco: Institute for Contemporary Studies, 1982), pp. 45–68.

2d ref to note 4 above

7. Havender, "Assessing and Controlling Risks," pp. 48–51.

Another chapter in the above book

8. John Smith, "Risks Can Be Worth It," in *Social Regulation*, edited by Bardach and Kagan, pp. 82–101.

Multivolume series

5. Arthur M. Schlesinger Jr., *The Age of Roosevelt*, vol. 2: *The Coming of the New Deal* (New York: Houghton Mifflin, 1959), pp. 87–102.

Journal

6. J. Larry Brown, "Hunger in the U.S.," *Scientific American* 256 (February 1987), p. 37. [note that "vol." is not used]

Ref to website

8. See Organization for Economic Cooperation and Development, "OECD Principles of Corporate Governance, Questions and Answers," 2001 (www.oecd.org/daf/governance).

BPEA example

15. Lawrence H. Summers, "Why Is the Unemployment Rate So Very High Near Full Employment?" *BPEA*, no. 2 (1986), pp. 339–83.

Published working paper

8. Alan J. Auerbach and James M. Poterba, "Why Have Corporate Tax Revenues Declined?" Working Paper 2118 (Cambridge, Mass.: National Bureau of Economic Research, January 1987).

Unpublished paper

9. John A. Nyman, "A Market-Based System for Reimbursing Nursing Homes for Medicaid Patients," University of Iowa, College of Medicine, October 20, 1984.

More than 3 authors

10. Henry J. Aaron and others, *Economic Choices* (Brookings, 1986).

Unpublished material

11. Personal communication from Walter N. Leutz, senior research associate, Heller School, Brandeis University, September 17, 1987.

Do not specify place of publication for university presses, other university divisions, or for Brookings publications. It is not necessary to include "D.C." with "Washington." Use traditional abbreviations for state names, not postal abbreviations, so, for instance, Springfield, Mass., and Oak Brook, Ill. If author and publisher are the same, there is no need to indicate the publisher.

Modified Journal Notes

Citations are treated as footnotes by the typesetter and should not be included in the text. A reference list of cited works follows at the end of a chapter (edited volumes) or end of the book (single author). Citations include the author's name and the date of publication and a page number especially if citing quoted material. Letters (a, b, c) follow the date if more than one book by the same author has the same year of publication. Following is sample text with two footnotes:

At a more detailed level, there is a strong inverse correlation between the growth of exports between 1985 and 1990 and the ratio of capital to labor used in production.³⁹ On the import side, the share devoted to primary products declined and machinery increased. Imports of consumer goods were still only about 5 percent of imports in 1992, and China's has a very large potential for the future import of agricultural products.⁴⁰

39. Lardy (1992, p. 699); World Bank (1994a, p. 9).

40. World Bank (1992, table 4.2).

Other sample modified journal notes:

41. Morici (2001, pp. 31–32). This is only a short sampling of the conflicts between U.S. labor law and practices and the requirements of Conventions No. 87 and 98. For an exhaustive treatment, see Potter (1984).

42. Federal Reserve Bank of New York, "Domestic Open Market Operations during 1999" (www.ny.frb.org/pihome/annual.html).

43. See, for example, "Liquidity Angst Grows in Treasury Market," *BondWeek*, March 15, 1999, p. 1, and Gregory Zuckerman, "Pared Treasury Supply Poses Risks: Paying off Debt Has a Downside," *Wall Street Journal*, January 27, 2000, p. C1.

44. Howard Fancy, interview with authors, Victoria University of Wellington, April 17, 1998.

Note that newspaper articles, articles in popular magazines, and the like can be included only in notes and not in the reference list, unless the cite is used often or the article is especially significant:

1. Jim Pitts, "Total Outlook Bleak," *Newsweek*, September 8, 1993, p. 21.

2. *Economic Report of the President*, 1991, p. 221.

Memos, letters, interviews, legal opinions, and the like also should be included only in notes:

3. See *In the Matter of the Tax Liabilities of John Doe*, 86 A.F.T.R. 2d 6727, 2000 U.S. Dist. Lexis 17841 (S.D. Fla. 2000).

The reference list should include all facts of publication:

Feldstein, Martin S. 1983. *Inflation, Tax Rules, and Capital Formation*. University of Chicago Press.

McCallum, Bennett T. 1986. "Estimating the Long-Run Relationship between Interest Rates and Inflation." *Journal of Monetary Economics* 18 (July): 87–90.

Nyman, John A. 1984. "A Market-Based System for Reimbursing Nursing Homes." University of Iowa, College of Medicine, October 20.

Ofer, Gur. 1991. "Productivity, Competitiveness and the Socialist System." In *International Productivity and Competitiveness*, edited by Bert Hickman. Oxford University Press.

Internet Citations

Anything posted on the Internet is "published" in the sense of copyright and must be treated as such for the purposes of complete citation and clearance of permissions, if relevant. Brookings encourages authors to maintain paper copies of any Internet material used as source material.

Whichever note style is used within the book, Internet sources must include at least one or all of the following in addition to the URL: author, title, publishing organization, date. In the event the URL becomes inactive in the future, the reader can at least search using one or several of these elements. The title can be quoted or, if clearly a book, italicized.

In notes and in reference lists, the URL should be placed within parens. Delink the URL and do not include "http://" if the URL includes "www."

Access dates are not necessary. Do not add other wording before the URL, such as "available at" or "can be found at."

Brookings particularly discourages the inclusion of very long URLs. See if the reader can search for the document using a shorter version.

In general, consider not including URLs for articles from newspapers and popular magazines or journals. Simply construct a regular source note with facts of publication.

Examples:

Traditional note

1. Health Care Financing Administration, "National Summary of Medicaid Managed Care Program and Enrollment: Managed Care Trends," May 1999 (www.hcfa.gov/medicaid/trends97.htm).

Reference used with modified journal note

Marc Ambinder, "The Giuliani Strategy Encapsulated," *Atlantic Monthly* blog on politics, November 12, 2007 (http://marcambinder.theatlantic.com/archives/2007/11/the_giuliani_strategy_encapsul.php).

Tables and Figures

A table or figure should help the reader understand the data used to support an argument. It should be limited to essential information, arranged logically, and displayed effectively. Consider the size of most Brookings books—generally 6 x 9 inches—when determining whether to use figures or other graphics. Some of these may not translate well to the book page and could instead be made available through a website and referenced in the book.

Limit on figures and tables: Brookings Press highly recommends one (1) figure or table every five (5) pages, or, for instance, no more than six (6) figures and tables for a chapter of 30 manuscript pages. Using too many tables and figures can lead to difficulties in laying out the book and add to the book's cost. If you have a number of supporting documents that you feel would be useful to a reader, these could be mounted on a website and cross-referenced as noted above.

Except in exceptional circumstances, these supporting materials are not printed in color.

Provide title and source (or indicate "author's calculations") and specify all units of measure for each formal table and figure. All cells within a table must be filled; use n.a. to mean not available or three periods (. . .) for not applicable. Use letters to indicate notes (rather than numbers): a, b, c. Ensure that all notes called out in a table have complete corresponding footnotes.

Introduce each table and figure in the text and indicate placement in brackets at the end of the paragraph: “Figure 3-1 shows....” [figure 3-1 about here].

To avoid unnecessary delays and to minimize the risk of errors in production, please observe the following, bearing in mind that unless otherwise instructed, all figures and tables will be printed in black and white:

- ◀ Figures and tables e-files should be easy to print out to be reviewed as hard copy.
- ◀ Do not embed tables or figures in the text; tables and figures must be presented in separate files, preferably chapter by chapter.
- ◀ Supply Word files of tables and figures at the time you transmit the manuscript for the editor.
- ◀ Supply Excel files, or clearly labeled data, for data-based figures for typesetting later (or these may also be transmitted when you send the manuscript). If figures have been created using other software, supply them in black/white format as an EPS file or PDF, without background tint, generated from the authoring software used to create the figure.
- ◀ Please provide accurate hard copy of any statistical equations because these, in most cases, must be set by hand by the typesetter.

Physical and Electronic Formats

When preparing your manuscript, apply one font and use bold for A-level heads and italic for B-level heads. Please avoid excessive formatting, which must be removed before the files are typeset. Double space all text, including notes. Indent paragraphs; do not use hanging indents. Do not embed tables, figures, or boxes in the text files.

Your manuscript will be edited electronically so manipulable electronic files in Microsoft Word are essential. Set up each chapter as a separate file. Name files systematically (chap1, or ch1-orig, or, for an edited volume, 00 preface, 01 Smith text, 02 Everett text). Retain the “.doc” extension for Word files, “.xls” for Excel files, and so on.

Special note: Remember that for typesetting and printing your book, we cannot use color images imported into Word. And figures that are downloaded from the Internet or submitted in PowerPoint are unacceptable for production purposes.

Maps present special problems and should be professionally produced. Contact the production manager to discuss the type of maps and the software you plan to use. Final art must be submitted in an .eps (800 ppi minimum at final size) format. A jpg or .tif file will be a bitmapped or raster image rather than vector, but both are acceptable at 300 ppi (min. at final size).

Photographs have further technical requirements and are generally discouraged. Please contact the production manager to discuss.

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