

P F E I F F E R
A W I L E Y C O M P A N Y

GUIDELINES FOR EDITORS

**MANUSCRIPT PREPARATION
AND PRODUCTION**

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Rev. June 2003

Jossey-Bass Editor Guidelines: Table of Contents

Part One: Your Publishing Team	3
Part Two: Developing Your Book Project	4
A. Formulating the Writing Schedule	4
B. Working Titles: Selecting the Main and Subtitle	4
C. Selecting a Lead Editor (for Group Editorship)	4
D. Your Role as Volume Editor	4
E. Contributor Agreements	5
F. Providing Information to Contributors	5
<i>Exhibit 1, Contributor Agreement</i>	7-8
Part Three: Formatting Your Manuscript	9
A. Selecting a Word Processing Program	9
B. Formatting Specifications	9
Part Four: What Your Manuscript Should Contain	11
<i>Exhibit 2, Samples of APA Style References</i>	16-17
Part Five: Style and Usage	18
Part Six: Handling Permissions and Releases	19
A. Copyright Permissions	19
B. Use of Releases to Address Other Legal Concerns	23
C. Useful Tips	24
<i>Exhibit 3, Permissions Request</i>	26
<i>Exhibit 4, Photograph Release</i>	27
<i>Exhibit 5, Non-Exclusive License to Use Photograph</i>	28
<i>Exhibit 6, General Release</i>	29
<i>Exhibit 7, Foreword Author Agreement</i>	30
Part Seven: Submitting Your Final Manuscript	31
A. The Submission Deadline	31
B. What We Need to Receive	31
C. Prior to Mailing: The Final Checklist	31
<i>Exhibit 8, Final Manuscript Checklist</i>	32
Part Eight: From Manuscript to Bound Book	33
A. Acceptance of Your Final Manuscript	33
B. Final Titles	33
C. Your Production Schedule	33
D. The Editor's Role	33
E. Your Production Costs	34

Welcome to Pfeiffer!

We are delighted to be serving as your publisher. Vital to making the development, writing, and production of your manuscript as efficient and worry-free as possible, the following information focuses on two essential themes: 1) how our publishing team will support your writing project and 2) how to prepare your work—and contributors' work—for production. Please feel free to contact your editor or editorial assistant if you have any questions or concerns.

PART ONE: YOUR PUBLISHING TEAM

As your project develops from proposal to manuscript to bound book, you will be working with a publishing team composed of members of our acquisitions, production, and marketing departments.

- Acquisitions Editor, Development Editor, Associate Editor, Assistant Editor, and Editorial Assistant: your primary contacts for assistance during your writing process.
- Production Editor: your main source of information about your production schedule and other production issues once your final manuscript has been submitted for copyediting.
- Marketing Manager, Assistant Marketing Manager, and Marketing Assistant: your primary contacts about your book's promotional campaign, including endorsements, professional conferences, and direct mail plans.

PART TWO: DEVELOPING YOUR BOOK PROJECT

A. Formulating the Writing Schedule

By now, you and your acquisitions editor have agreed on a writing schedule, which will be driven by the date your final draft is due at Pfeiffer as stated in your contract. To maintain this deadline and accomplish the timely publication of your book, we must have good communication with you as you write. *Please apprise your editor of any deviations from your planned writing schedule as soon as you are aware of them.*

B. Working Titles: Selecting the Main Title and Subtitle

Titles, including part and chapter titles, are often the most important selling points for books. You and your acquisitions editor will brainstorm early in the development process to select an effective title and subtitle. A descriptive, engaging working title not only aids future sales but also focuses your project from its outset.

C. Selecting a Lead Editor (for Group Editorship)

When a project has more than one editor, we ask that a *lead editor* be designated. This is the person that members of the publishing team will communicate with during the project's development. He or she will act as proxy for all the others when decisions concerning the project are made.

D. Your Role as Volume Editor

Your most important responsibilities as volume editor are as follows:

- 1) **Confer with your acquisitions editor about your plans for coverage and contributors.** Discuss the theme, emphasis, and overall organization of your volume.
- 2) **Create a master schedule for the volume.** Your schedule should allow time for contributors to edit their first drafts, for a peer review of the comprehensive first draft (if deemed appropriate by your editorial team at Pfeiffer), and for a final editorial pass in which you will balance and integrate all chapters.
- 3) **Recruit the best people in the field to write on the topics to be included in the book.** Be sure all contributors are fully committed to the task and can meet the deadlines of your proposed schedule. It only takes one lagging contributor to throw off the entire book's planned production schedule and publication date.
- 4) **Oversee contributors.** You are the disseminator of all information to contributors. It is very important that you clearly explain the overall purpose and framework for the volume and set deadlines for chapter outlines, first drafts, and final drafts. We recommend you check in with contributors at least once a month to make sure that they are on schedule.

- 5) **Write your preface to the volume and any other introductory or concluding chapters you will contribute.**
- 6) **Collect all the chapters from your contributors – in electronic and hard copy – to prepare the volume for submission according to our formatting guidelines.** It is your ultimate responsibility to ensure the final deadline for your manuscript is met.

E. Contributor Agreements

The Contributor Agreement (CA), also sometimes called a Letter of Agreement (LOA), is the most important item to send to each contributor. It is a contractual agreement between you, as volume editor, and each contributor to the book. **A CA must be signed by each individual, not one CA per chapter.** Any contributor who has not signed a CA cannot be included in the book. A sample CA is available electronically (*see Exhibit 1, Contributor Agreement*). It should be printed on your letterhead without modification (except as noted below) and sent to each individual chapter author.

Several parts of the Contributor Agreement can be modified as needed:

Paragraph 1 – insert information on the subject and length of your chapter.

Paragraph 2 – add due dates for various parts of the contribution.

Paragraph 4 – determine how much you are willing to pay toward permissions fees, or if you expect contributors to pay all costs themselves. If you offer to pay all fees, you may ask that Pfeiffer charge them against your royalties.

Paragraph 9 – indicate what compensation the contributor will receive for his or her contribution. All contributor payments will be drawn from editor royalties unless otherwise stipulated in your Publishing Agreement. For most edited volumes, a flat one-time royalty payment per chapter is given to contributors on the book's publication. For chapters with more than one author, it is customary to split that payment equally among the co-authors. In addition to any payment, contributors will receive one or two complimentary copies of the volume (confirm the number of copies with your acquisitions editor).

Any additional changes to the Contributor Agreement – by either volume editor or contributor – MUST be approved by Pfeiffer. Alert your editorial team as soon as you learn of any such changes.

F. Providing Information to Contributors

You should send a packet of information to each contributor, including:

- 1) **Cover letter** - describes the scope of the book and gives instructions about how the contributor's chapter fits into the book's overall framework. States the aims of the volume, its audience, and the level of writing contributors should strive for.

- 2) **Tentative table of contents** – delineates the scheme of the book, chapter titles, and all contributors' names and affiliations.
- 3) **Guidelines for Contributors** – urge them to carefully review this important information.
- 4) **Project schedule** – outlines the dates for all the editorial stages, including key checkpoints and deadlines. Emphasize the importance of meeting each deadline.

EXHIBIT 1: Contributor Agreement

- CONTRIBUTOR AGREEMENT WITH VOLUME EDITOR -

Dear _____,

I am pleased that you are contributing a selection (the "Contribution") to a project that I am editing and preparing for publication by Pfeiffer, A Publishing Unit of John Wiley & Sons, Inc. (the "Publisher"), tentatively entitled _____ (the "Work"). To avoid any future misunderstanding, here are the complete terms of the arrangement covering your Contribution.

1. Your Contribution shall be tentatively entitled _____; and it shall be on the subject of _____. The length shall be between ____ and _____ double-spaced typewritten pages, consisting of approximately _____ words.
2. You agree to deliver material to me as follows: an outline by (date), a first draft of the entire Contribution by (date) and three hard copies and an electronic copy of the complete, final and satisfactory Contribution, revised in accordance with comments from me and/or the Publisher, no later than (date), this date being of the essence for me to meet my obligations to the Publisher.
3. If your delivery of any of the above stages is not met, or if the length is not within the range requested, or if the Contribution is not deemed by me or the Publisher to be satisfactory or suitable for inclusion in the Work, this Agreement may be cancelled. Cancellation will be in writing and will terminate all obligations between us, and neither the Publisher nor I will have any rights to use the Contribution nor any obligation or liability to you in connection with the Contribution or the Work.
4. It is your obligation to identify any item in the Contribution that may need permission and to obtain the same in writing in form and scope acceptable to the Publisher. You agree to pay the [full] costs of such permissions [in excess of \$ _____, which I will pay.]
5. You represent and warrant that: you have the right to enter into this Agreement and can convey the rights granted; the Contribution is original, except for material for which written permissions have been obtained; it has not previously been published and is not in the public domain; and it contains no libelous or unlawful material, or instructions that may cause harm or injury, does not infringe upon or violate any copyright, trademark, trade secret or other right or the privacy of others, and statements asserted as fact are true or based upon generally accepted professional research practices. You shall indemnify me and the Publisher and its licensees against all liability and expenses, from any claim, which if sustained, would constitute a breach of these warranties.
6. You agree that I and/or the Publisher may make changes in the Contribution (including the title) for brevity, clarity and conformity to style for inclusion in the Work, revised editions, and/or for other uses, provided the accuracy of the text is not impaired. The Contribution will be returned to you for approval before being set in type only if substantive changes are made. You will not receive proofs; all proofreading, as well as indexing, will be done by me and the Publisher.
7. You grant me, that I may grant to the Publisher for the full term of copyright and all extensions, the full and exclusive rights to publish, and license the Contribution in the Work in and through all existing and future media and forms of distribution, in all languages throughout the world and to copyright the Work in the Publisher's or any other name. Further, you agree that the Publisher may likewise include, publish, and license the Contribution in derivative and other works, alone or together with other material, in and through any print or non-print media. Unless you instruct differently in writing, you will be named as the author of the Contribution and agree to the use of your name, likeness, and biography in connection with its publication and promotion in any form.

8. Following first publication of the Work, it is understood that you may (i) draw upon, refer to, and reproduce limited selections from the Contribution in preparing other articles for publication in scholarly and professional journals, papers for delivery at professional meetings, and for inclusion on a personal website; and (ii) reprint the Contribution in a collection of your own writings provided such volume is not competitive with and will not injure the sales of the Work. Any and all other uses of the Contribution shall be subject to the prior permission of the Publisher. You agree to give credit to the Work and the Publisher for all uses.

9. Upon first publication, you will receive as full compensation for your services and as full payment for the grant of rights in the Contribution, a one-time payment of \$_____. You will also receive two complimentary copies of the book and may purchase additional copies in accordance with the Publisher's then-prevailing rates and policies.

10. In the event you modify or otherwise change or enhance the Contribution for any update or revised edition of the Work, the terms of this Agreement (excluding Paragraph 9) shall apply to said update and/or revision.

11. Neither this Agreement nor any of the obligations assumed by you hereunder may be assigned without the Publisher's prior written approval. Unless amended in writing, this is the sole and complete agreement relating to the Contribution and it shall be interpreted and enforced under the laws and by the courts of the State of New York, which shall have jurisdiction.

If this reflects your understanding please sign and complete this form and return a copy to me, keeping one for your files.

Sincerely,

Volume Editor

Agreed to and Accepted

Signature: _____

Date: _____ Social Security Number: _____

Print or type your name, title and affiliation exactly as you would like them to appear in the Work:

Please include your mailing address and **inform me of any changes**:

Unless you instruct me otherwise, your complimentary book copies will be delivered via UPS to this address (please do not use a post office box).

PART THREE: FORMATTING YOUR MANUSCRIPT

We produce our books electronically. As a result, we must receive both correctly formatted hard copies and electronic files (on disk or CD) for each project delivered.

A. Selecting a Word Processing Program

We accept manuscripts prepared on both PC and Macintosh platforms; however, we prefer PC formatting.

PC users. We suggest you prepare your materials in Microsoft Word.

Macintosh users. Please submit a sample disk as early as possible to your assistant editor or editorial assistant once you have completed a representative chapter according to our guidelines.

B. Formatting Specifications

For our production process, the simplest manuscript style is necessary, so please do not use extraneous formatting such as fields and links, styles, page headers or footers, boxed text, cells, and so on. Also, if you are using the “track changes” function, please remember to either accept or reject all changes before submitting your manuscript. *Any design or formatting instructions that you wish to give the production team must be provided in a memo separate and apart from the manuscript itself.* We encourage you to select only the following formatting options at the outset of word processing and compiling of chapters.

Spacing. Double-space your entire manuscript.

Font. Use one basic font for your entire manuscript.

Margins. Set your margins to 1”.

Justification. Set to left justification.

Page numbers. Number every page of your completed manuscript. Use Roman numerals for the front matter. Use Arabic numerals for the text proper.

Paragraph Breaks. Use the tab key to indent the first line of each paragraph. Use hard returns only to end a paragraph or section. At all other times, allow your word processing program to break lines automatically, according to your margin setting.

Notes. Please do not use your automatic footnote or endnote function. Use numbered endnotes if notes are necessary.

Naming Files. Give each electronic file a clear and descriptive name using chapter numbers.

Text and Art Files. Please save each chapter in its own clearly named and numbered file. Save each piece of art (tables, figures, exhibits) in its own separate, clearly named and numbered file. For more information on incorporating art into your manuscript, please see the section *Art: Tables, Figures and Exhibits* in *Part Four*.

PART FOUR: WHAT YOUR MANUSCRIPT SHOULD CONTAIN

We suggest incorporating some or all of the following elements into your manuscript:

Why, What, and How Statement. This three-paragraph statement is designed to help readers quickly grasp what your book or resource is about. Further details can be found in the Author Branding Guidelines.

Title Page. The title page lists the working title and your name exactly as you would like it to appear in the byline.

Table of Contents. The table of contents lists all items in the front matter, text proper, and the back matter of your book.

List of Tables, Figures, and Exhibits. The list of tables, figures, and exhibits lists each table, figure, and exhibit sequentially, chapter by chapter.

Dedication (optional). Please keep your dedication brief. (For example: To my friend John Brown.)

Foreword (optional). The foreword is a statement about the value of the book, written by a prominent person in the field or discipline your book addresses. Why include a foreword? The foreword acts as a prepublication review, highlighting both the author's strengths and the book's contribution to the field. The foreword should be three to six double-spaced manuscript pages and should address the following topics:

- The author's qualifications for writing the book.
- The special contributions the book makes to the field.
- The readers who will be interested in the book and why.
- The ultimate significance of the book.

A release for the use of this statement is required from the foreword author. See *Exhibit 7, Forward Author Release*.

Preface (optional). The preface frames the work, providing background information and a more personal picture of how the book came to be written.

Acknowledgments (optional). In this section, you may give thanks to people who assisted in your work or who made the book possible. Acknowledgments may stand alone or be the last section of your preface.

Author Biography. The author biography offers the reader a brief (approximately 150-200 word) description of who you are, highlighting your credentials and accomplishments in your field. Include a biography for every author who contributes to your volume.

Introduction. Because it states both the purpose and intended audience for your book, the introduction is an essential element of your manuscript. We also use it to focus our marketing efforts. The introduction should communicate:

- Need. What is the rationale for the book?
- Purpose. What do you aim to accomplish, and which groups of readers are being addressed? How will your book help those readers?
- Scope and Treatment. In what ways does your coverage satisfy both the need and the purpose?
- Summary of contents. What does each chapter cover? Chapter contents should be described in a general but interesting way to orient the reader to your topic.
- How the book should be used. For example, must the reader follow the book in a linear fashion, or can readers skip around?
- Key terms or glossary. Critical terms should be defined up front. If the list of terms is long, include it as a glossary at the back of the manuscript, but be sure to refer to it when describing the contents.

In addition, depending on the nature of your material, the following items may also be included:

- Package components
- Related products
- Explanation of model/theory
- Icons
- Facilitator's guidelines
- Selection criteria
- Design/Workshop Plan
- Q&A
- Resources

More details and examples for each of these elements can be found in the Author Branding Guidelines.

Chapter Titles. Like your main title and subtitle, chapter titles are extremely important because they provide prospective readers with an outline of your book. When selecting chapter titles, or directing contributors to do so, remember that they should:

- Be short.
- Describe chapter content in words that are immediately meaningful to people who have not read the book.
- Reflect the flow of ideas from the beginning to the end of your book.

Headings. Each chapter's internal headings form a crucial road map for the reader, announcing major subject areas and guiding the reader through changes in topic. If you were to outline a

chapter, the points specified in that outline should correspond to that chapter's headings and sub-headings. As you create headings, remember to:

- Keep headings brief.
- Avoid “stacking” headings one on top of the other with no intervening text.
- Use at least one heading every two to three manuscript pages to help focus the reader.

The examples below illustrate our suggested formats for headings.

EXAMPLE OF A FIRST-LEVEL HEADING

First-level headings are subordinate to chapter titles. They are flush left, boldfaced, all capitals, with one line of space above and one below.

Example of a Second-Level Heading

Second-level headings are subordinate to first-level headings. They are flush left, boldfaced, capitals and lowercase, with one line of space above and one below.

Example of a Third-Level Heading

Third-level headings are subordinate to second-level headings. They are flush left, italicized, capitals and lowercase, with one line of space above and one below.

Example of a Fourth-Level Heading. Fourth-level headings may be subordinate to second- or third-level headings. They are flush left, boldfaced, capitals and lowercase, followed by a period, run into the text that follows, with one line of space above.

Quotations and Extracts. Use quotations and extracts from other sources sparingly and only when they truly heighten the value of material presented in your text. *Be sure to give credit any time you use the ideas or words of another person or their work* (see the section entitled *Reference Citations* below). To determine whether the material requires permission to reprint it, see *Part Six: Handling Permissions and Releases*.

Quotations and extracts from other works are handled in one of two stylistic ways depending on their length. If the quotation has fewer than 100 words:

- Run the quotation into the regular text.
- Enclose the quotation in quotation marks.
- Include the page number(s) in a parenthetical citation. For example: (Alexander, 1982, p. 89).

If the quotation has 100 words or more:

- Set it off from the rest of the text.

- Omit the quotation marks.
- Indent the entire extract (and omit the paragraph indentation in the first line).
- Leave an extra line of space above and below the quotation.
- Do not change the font size or style.
- Place the citation at the end of the quotation in square brackets, not parentheses, and place the final punctuation after the closing bracket.

Reference Citations. Citations should be formatted consistently according to the American Psychological Association (APA) style. Each citation should include:

- The last name(s) of the author(s) of your source.
- The year of publication.
- If you are quoting words or statistics or are paraphrasing, *the page number* on which the material appears.

Art: Tables, Figures, and Exhibits. If you choose to include art in your book, understand that it will need to be re-rendered. Often art requires permission. See *section 6A, Copyright Permissions* for information on identifying permissionable material.

Types of Art

- Tables - Data arranged in columns and rows (text and numbers only).
- Figures - Drawings or art that includes anything besides text and table lines. For example: graphs, pie charts, maps.
- Exhibits - Non-tabular text, such as questionnaires and forms, that needs to be set off from the running text. Does not include indented quotes.

Labeling Art

Label each table, figure, and exhibit with both its chapter number and its sequential number within the chapter. For example, the first table in Chapter Five is Table 5.1 and the third exhibit in Chapter Six is Exhibit 6.3. All sources for graphics must be cited and referenced. For example: Source: Adapted from Brown, 1989, p. 23.

Type a boldfaced, all-caps “callout” at each point in the text where a graphic should be placed in production. For example: “**FIGURE 2.4 ABOUT HERE.**”

Submitting Art

Deliver clean hard copies of each piece of art, inserted as a separate page after a callout for that art has appeared. For example, place the hard copy of Table 3.1 after the page on which the callout “**TABLE 3.1 ABOUT HERE**” appears.

Footnotes and Endnotes. We discourage the use of footnotes and ask that you incorporate footnote material into the text. Numbered endnotes may be used to credit or acknowledge others’ work or to provide explanatory material that absolutely cannot be incorporated into the text.

Credit Footnotes (optional). Credit footnotes appear on the first page of a chapter to acknowledge colleagues or funding agencies. Type this note as regular text, preceded by the word “Note,” just before the body of the chapter starts.

References. Full bibliographic information for all references cited in the text should appear in one section at the end of the book, using the American Psychological Association (APA) style (see *Exhibit 2, Samples of APA Style References*). In preparing references, please observe the following guidelines:

- Be sure that each reference is cited in the text and that each citation in the text is referenced.
- Always verify the accuracy of reference information.
- Alphabetize by author last name.
- List multiple works by the same author in chronological order, from the earliest to the most recent. Works by the same author and the same date of publication should be listed in alphabetical order by title (ignore initial ‘A,’ ‘An,’ or ‘The’). Then add ‘a,’ ‘b,’ and so on as necessary to the year (for example: 1992a, 1992b). Use this same system for the in-text citations (for example: Smith, 1998a).

Index. Your book’s index will be prepared by a professional indexer hired by our production department.

Benefits Statement. This brief statement should spell out the benefits that readers can expect from your book or resource. For more details and examples, please see the Author Branding Guidelines.

EXHIBIT 2
Samples of APA Style References

Single-author book or pamphlet	Bennis, W. (1989). <i>On becoming a leader</i> . Reading, MA: Addison-Wesley.
Translation	Fraisse, P. (1963). <i>The psychology of time</i> . (J. Leith, Trans.). New York: HarperCollins. (Original work published 1940)
Foreign title	Strogovich, M.S. (1958). <i>Kurs Sovetskogo ugolovnogo protsess</i> [A course on Soviet criminal procedure]. Moscow: Academy of Sciences of the Union of Soviet Socialist Republics.
Old work	Darwin, C. (1962). <i>Origin of species</i> . New York: Macmillan. (Original work published 1859)
Multiple-author book or pamphlet	Davis, J.M., & Sandoval, J. (1991). <i>Suicidal youth: School-based intervention and prevention</i> . San Francisco, CA: Jossey-Bass/Pfeiffer.
Volume in a multi-volume series	Fleischman, E.A., & Dunnette, M.D. (Eds). (1982). <i>Human performance and productivity: Vol. 1. Human capacity assessment</i> . Hillsdale, NJ: Erlbaum.
Chapter in an edited volume	Patterson, G.G. (1985). Beyond technology: The next stage in the development of parent training. In L. L'Abate (Ed.), <i>Handbook of family psychology and therapy, Vol. 2</i> . Belmont, CA: Dorsey Press.
Monograph	Guttman, D.L. (1979). <i>The country of old men: Cultural studies in the psychology of later life</i> (Occasional Papers in Gerontology, no. 5). Ann Arbor, MI: University of Michigan, Institute of Gerontology.

Journal or magazine article	Wolf, J.F., Neves, C.M., Greenough, R.T., & Benton, B. (1987). Greying at the temples: Demographics of a public service occupation. <i>Public Administration Review</i> , 47(2), 190-198.
Newspaper article	Sievert, W.A. (1990, January 13). Law schools talk reform. <i>Chronicle of Higher Education</i> , p. 5.
Unauthored article	Enrollments up. (1989, September 5). <i>Newsweek</i> , p. 78.
Unpublished paper presented at a professional meeting	Hodgkinson, H.L. (1990, November). <i>The next decade of campus governance</i> . Paper presented at the Higher Education Executive Associates Conference, Philadelphia, PA.
Unpublished report	Keim, S.T., & Carney, J.K. (1975). <i>A cost-benefit study of selected clinical education programs for professional and allied health personnel</i> . Arlington, TX: University of Texas, Bureau of Business and Economic Research.
Government report	U.S. Bureau of the Census. (1977). <i>Estimates and projections of the population: 1977-2050</i> (Current Population Reports No. 704). Washington, DC: U.S. Government Printing Office.
Unpublished dissertation	Darkenwald, G.G., Jr. (1988). <i>The department chairperson's role in relation to the social organization of colleges and universities</i> . Unpublished doctoral dissertation, Department of Education, Columbia University, New York.
Web site	Sirius, R.U. (2000, April). <i>Fleshware: An interview with Rudy Rucker</i> . Available: http://www.intrepid.net/magmedia/fleshware.html

PART FIVE: STYLE AND USAGE

Pfeiffer has developed standards for style and usage that we use consistently in our books. These standards include the following:

International and Intercultural Audiences. Nothing that would be offensive to another culture, nationality, or religion should be included. Avoid idioms, metaphors, and slang that may not translate internationally. Also avoid using “American,” “this country,” or “we” in reference to the United States alone.

Abbreviations. Translate Latin abbreviations such as e.g., etc., i.e., et al., vs., and so forth—in other words, use “for example,” “and so on,” “that is,” “and others,” and “versus” (except when citing legal case names, where “v.” is used).

Acronyms. If a certain organization is cited frequently in the text, use its acronym rather than spelling out the full name of the organization each time. The first time an organization is referred to, spell out the name and insert the acronym in parentheses after the name. For example: American Civil Liberties Union (ACLU).

Colloquialisms and Contractions. Avoid slang and word contractions except when they appear in quotations and in examples containing “natural” dialogue.

References to People.

- Always use a person’s full name the first time he or she is mentioned. Thereafter, refer to the individual by his or her surname.
- Do not use nicknames, unless an individual is *never* called by his or her formal name.
- Double-check every name for accurate spelling.
- Do not use language that is explicitly or implicitly racist or sexist.
- When giving examples, vary the race and sex of the persons under discussion and avoid stereotypical descriptions.

PART SIX: HANDLING PERMISSIONS AND RELEASES

The following guidelines will assist you in dealing with the permissionable items in your work as you prepare your manuscript. Please be aware that these guidelines reflect only our internal administrative policy and do not relieve you of any obligations under your Publishing Agreement or under copyright or other laws. *Section A* deals with copyright permissions, and *Section B* with other legal concerns, such as releases for interview and case study material. *Section C* involves useful tips, procedures, and required forms.

A. Copyright Permissions

Unless specifically provided for in your Publishing Agreement, as editor you are responsible for:

- Obtaining written consent from the copyright holder for all world regions and languages and all media formats, including electronic;
- Submitting all permissions documentation, including the *Permissions Summary* worksheet (see section 6C, *Useful Tips, Procedures, and Required Forms*) with your final manuscript;
- Paying (or having contributors pay) any fees involved in obtaining permission;
- Communicating permission grantors' credit language to Pfeiffer through the credit lines you provide for the material.

Requesting permissions can be a lengthy process. Some publishers will take *three months or longer* to reply to your request. Therefore, please initiate requests to reprint permissionable items as you incorporate those items into your manuscript. If you wait until you are compiling your complete and final manuscript to begin the request process, not all requests may be granted by the time of publication and the material may need to be removed from the manuscript. Keep in mind that the signed originals of all permissions grants must be in our hands before your book can be sent for composition. Faxes and emails can also constitute valid permission grants.

Background on Copyright Law and Fair Use. As an author, you have two concerns with copyright law: as the content proprietor of your own work and as the user of copyrighted works by other authors.

Your manuscript is protected by copyright from the time of its creation. The protection will extend for 70 years following your death. Copyright allows the copyright owner the exclusive right to reproduce, distribute, and adapt work and make derivative works from it. When you sign a publishing agreement with Pfeiffer, in addition to publishing the work, Pfeiffer will seek to maximize both income from and distribution of the work by licensing rights to others and granting appropriate permissions to others to use excerpts from your work. In fact, a copyright permission is a non-exclusive license.

The second concern relates to use in your manuscript of material owned by others. Such material is protected whether or not it has been published. The only times you do not have to seek permission for using material created by others is if it is in the public domain, you already have permission by an implied license, or if your use of the material constitutes "fair use" under the law.

Copyright protects the *expression* in the work, not the facts, information, or ideas. However, since copyright protects the format, organization, sequence, and style of the presentations as part of the expression, paraphrasing is only appropriate for limited portions of the original and should credit the source. *Close paraphrasing is akin to direct quotation.* Also, a translation of a public domain work is protected, as is a copy or photograph of a building or a public domain painting or sculpture.

Public Domain. The following chart is a shorthand tool for determining whether material has fallen into the public domain by reason of time:

Date of Publication or Registration	Status
United States	
Before 1923	Public domain
1923-1963	95 years from publication or registration <i>unless</i> only U.S. authors and not renewed, in which case, public domain
1964-1977	95 years from publication or registration
1978 and later, including still unpublished	Life of the author plus 70 years OR, in the case of works for hire, earlier of 95 years from publication or 120 years from creation
Canada	
All years	Life of the author plus 50 years
Other Countries	
All years	Life of the author plus 70 years

In addition, under the law, works of the U.S. government are in the public domain. This includes, for example, the text of federal court opinions, Congressional reports, and Agency reports. It does not include material created under federal grants, nor does it include material from state or local governments.

Finally, although some material is dedicated to the public domain, it may be difficult to recognize since it is not necessary to use a copyright notice or make any statement about copyright in order to have the full protection of the law. More often, and frequently on the Internet, an author specifically grants the public the right to quote material if properly attributed. In such cases, you should provide Pfeiffer with a copy of that notice as your permission. If no such notice is posted, you will need to confirm permission in writing with the author or creator of the material.

Fair Use. One of the trickiest issues authors encounter is determining whether a particular use constitutes a “fair use” for purposes such as criticism, comment, news reporting, teaching,

scholarship, or research under the law. This is a fact-based determination on a case-by-case basis, with the following four factors to be considered:

- *The purpose and character of the use of material from a copyrighted work*, including whether such use is of a commercial nature or is for nonprofit educational uses. Further, the manner of the use of the copyrighted work in your manuscript will have an impact, with, for example, an epigraph being used as an expressive way to set the stage having less leeway than a quote within a paragraph in the text.
- *The nature of the copied work*. The more creative or expressive the work, i.e. poetry over general fiction, and fiction over non-fiction, the less material you can use from it.
- *The amount and substantiality of the material used in relation to the entirety of the original copyrighted work*. There are no absolute rules regarding length that are dictated by copyright law. The smaller the amount used in proportion to the length of the copyrighted work, the more can be quoted; this does not relate to the length of your manuscript. Also of significance is whether the material used is the most moving or interesting part or in some way the “heart” of the copyrighted work, which cuts against fair use even if the number of words is small.
- *The effect of the use upon the potential market for or value of the copyrighted work*. This may be the most important of the four factors and is always considered. If, as in the case of song lyrics, there is an established market to grant quotation rights, it weighs very heavily against fair use.

Remember, contractually, final responsibility for the use of material belonging to another rests with you. If there is any reasonable doubt whether a use falls within “fair use,” the most prudent thing to do is to request permission to use the material. Even when material does fall within fair use, your obligation is to ensure that:

- The quoted material is clearly presented as a quotation.
- The quotation is not taken out of context, and the true meaning is not distorted.
- The quotation is accurate.
- Full credit is given.

What Requires Copyright Permission. The following list presents some common examples of the different types of material for which permission generally *is* required. These examples are not to be considered determinative or to be a statement of what does or does not constitute “fair use” in every case:

1. Tables, figures, exhibits (including charts and graphs), and other representations taken in their entirety or adapted substantially from another work, since the form of presentation of the data constitutes the copyrighted expression. Note that if you present the data in a different way, permission is not needed, but the source should be credited. For example: “Source: Data from Jones, 1992, pp. 25, 67.”
2. Itemized lists or checklists from another work (for example: “The 14 Principles of Management” or “Teaching Guru’s 7 Steps”), whether used verbatim or picked up from headings throughout a section of text.

3. Photographs (the photographer owns copyright to the picture, but perhaps not all rights), illustrations, cartoons, maps, advertisements, and other artwork.
4. Epigraphs, because of their expressive value, which disfavors a finding of fair use. Permission is required unless the material is short; from a long work that is narrative rather than poetry, lyrics, or the like; and has a direct content relationship to the content that follows.
5. Aggregate quotations in excess of 300 words that are taken from a book-length nonfiction work, with more leeway from a lengthy work and less for a short one such as a journal article.
6. Aggregate quotations of as few as 100 words from a book-length work of narrative fiction, with less leeway the more artful or literary the expression.
7. Aggregate quotations of as few as 50 words from newspaper or magazine articles and even fewer words from short newspaper editorials or opinion pieces, and even less than that from plays, scripts, movies, and television productions.
8. Poetry (whether run into the text or set off)—unless the quotation is a few words from a lengthy piece; song lyrics; music from any composition. Be careful when using arrangements of music and lyrics, which are usually copyrighted.
9. Quotations from informal writings such as speeches, interviews, position papers, corporate in-house documents, annual reports, mission statements, questionnaires, training or teaching materials; from conferences, seminars, or meetings; from instructional presentations, classroom discussion, student work or dissertations. Sometimes the nature of the material and the way in which it is distributed indicate that the author intends to allow quotation, but this should not generally be assumed, especially if the work is short, literary, and/or unpublished.
10. Quotations from government agencies other than those of the U.S. government. This includes quotations from publications of many state, city, and local governing boards, such as school districts, but as in 9 above, sometimes the nature of the dissemination will convey the right to use it.
11. Letters, diaries, and other correspondence, including email (the recipient owns the letter, but copyright is retained by the author, who in the case of correspondence written for work, is the employer).
12. Computer representations, such as the depiction of results of research on computerized databases and the on-screen output of software, reproduction of web pages and the capture of Internet or other online screen shots. *Note: if a web site authorizes copying, you cannot assume you have permission for third-party material (such as photographs) that may be included in that site.*

13. Third-party software to be distributed as an electronic component should have a separate agreement.
14. Your own previously published works for which rights have been granted to the publisher, from whom you should, therefore, get permission. If the material was published by a Wiley company, Wiley will not charge a fee (except to collect for another Wiley author or illustrator as necessary) and you will still need to include a credit line in your work. In such cases, contact the Permissions Department, John Wiley & Sons, Inc., 111 River Street, Hoboken, New Jersey 07030, USA, fax (201) 748-6008, email: permcoordinator@wiley.com.

Be aware that you cannot assume that permission has been granted for any third-party material (such as artwork and/or quotations) embedded in the text you receive permission to use. It is your responsibility to seek permission for those items. It is important to remember, in general, that you must always provide a citation for and, if necessary, seek permission from the *original* source of any third-party material.

B. Use of Releases to Address Other Legal Concerns

Under the broad right of publication provided by the First Amendment to the Constitution, the law favors the free flow of information and provides authors broad room to comment on people and events without having to secure permissions or releases. However, parties, both individuals and organizations, may have an interest in preventing publication of information created by or about themselves for reasons other than copyright that the law recognizes, and authors must be aware of them. These reasons can include invasion of privacy, publicity, defamation, appropriation of trade secrets, and trademark. Here are common situations in which you should be careful and for which it may be appropriate to obtain a release:

1. **Privacy:** publication of personal information (such as health, psychiatric, and financial material) that is intimate or would be embarrassing to identifiable private individuals, especially minors, and especially if information is obtained under circumstances in which privacy or anonymity is assumed or assured. This can include material from interviews, case histories, and vignettes about patients, clients, teachers, students, or other individuals. In some situations, an alternative to obtaining a signed release is to change the identity and circumstances so the party is unrecognizable. If you do this, you should include a disclaimer such as, “Names and other identifying information have been changed.”
2. **Publicity:** depictions of private citizens or celebrities used for the purpose of advertising or promotion, but they can be used where there is a relationship to the editorial contents of your work (so long as a permission has been obtained from the creator and/or photographer of the image).
3. **Defamation:** material that damages reputation and holds one, including an organization, up to scorn, hatred, contempt, shame, or ridicule may be actionable. This includes writing that relates to professional competence or ethics. Even the portrayal of a fictitious individual in a case study can be libelous if the individual is partially modeled after an identifiable real

person. An opinion, if presented as opinion, is protected by the First Amendment unless it is founded on false facts that are expressed or implied. Please note that truth is generally a defense against a charge of libel. A detailed account of libel cannot be given here. If you have any question about the possibility of libel, you should take up the matter with your editor and legal counsel if appropriate.

4. **Trade secrets:** information obtained under express or implied non-disclosure agreements or questionably secured by such means as by misrepresentation or trespass.
5. **Trademarks:** reproduction of specific brand names and logos for uses of trade names unless the use is only for editorial commentary and not in any way promotional.

C. Useful Tips, Procedures, and Required Forms

Useful Tips and Procedures. Please follow the following suggestions to be sure you obtain the proper scope of permissions by the due date for your final manuscript. You should ask all contributors to identify and obtain their own permissions.

1. Be sure to submit your requests far in advance of your final draft due date. This is especially important because you will need international and electronic rights, and to get those rights, you may be referred to more than one copyright holder or have extended discussions.
2. Compile a list of all permissionable items in your manuscript, identifying each item's chapter and page number, the source document, and the copyright holder's name and address. Be sensitive to the possibility that there are layers of permissions embedded in the material you want to use. We ask that you use the worksheet reproduced as *Permissions Summary*. Extra copies of the worksheet may be obtained from your editorial team.
3. Read and log all permission releases as soon as they are received to find out which rights have been granted and what fees must be paid. You may have to request additional rights if you receive restricted rights on your first inquiry.

To Reduce the Need for Permissions. Reducing the number and/or types of permissionable items in your manuscript will spare you time and possibly unreasonable expense. In general, the suggestions below will reduce the need to obtain permissions:

- Avoid using any tables, figures, or exhibits (including charts or graphs) from other sources.
- Avoid using cartoons, artwork, and excerpts of poetry, song lyrics, or literary works. Permission is difficult to obtain for this type of material, and reprint fees are often high (more than \$100 per item or per line).
- Summarize information rather than use extensive quotations or paraphrases that exceed the bounds of fair use.
- Disguise beyond recognition the identities and circumstances of individuals quoted or referred to in interviews, case studies, or vignettes.

Forms to request permission. We ask that you use the following forms to request necessary grants, permissions, and releases:

- For quoting written material, use the Permissions Request (*Exhibit 3*).
- For a photo release, use the sample form *Exhibit 4* for the subject of the photo and *Exhibit 5* for the photographer's license to use it.
- For case studies and personal accounts, use the sample General Release form included as *Exhibit 6*.
- For the contributor of a foreword, use the letter agreement entitled Foreword Author Agreement and included here as *Exhibit 7*.

Permissions Complimentary Copies. In place of or in addition to fees, copyright holders often request that they receive a copy of your book upon publication. Pfeiffer will absorb the expense of book copies requested by your copyright holders and will send the books directly from our warehouse.

EXHIBIT 3
Permissions Request

(Date)

Permissions Editor
Company Name
Street Address
City, State, and Zip Code

Dear _____:

We are (I am) writing a book, tentatively titled *Title* to be published by Pfeiffer, A Publishing Unit of John Wiley & Sons, Inc., in (month/year). It will be approximately (xxx) pages in length and will be marketed primarily to a professional audience. Pfeiffer also plans to publish an e-book version.

We (I) would like your permission to reproduce the following material:

(Supply full bibliographic information for the material in question.)

We are (I am) requesting your permission to include this material in the Pfeiffer publication mentioned above and in future hardcover, paperback, and electronic editions and revisions thereof, including the right to approve, without charge, the publication in Braille, recording, or large edition type for the visually handicapped. Because the book will be marketed internationally, we (I) must obtain nonexclusive world rights in the English language. We are (I am) also seeking rights in all languages. These rights will in no way restrict publication of your material in any other form by you or by others authorized by you. **If you do not control these rights in their entirety, please inform us (me) of the proper agency to contact.**

Below is a release form for your convenience. Please sign all three copies of this letter, return two copies to me (us), and keep the third copy for your files. Your prompt consideration of this request will be very much appreciated.

Sincerely,

I grant permission requested on the terms stated in this letter. Credit line to be used (if different from citation given above): _____

Agreed to and accepted:

Your signature

Date

EXHIBIT 4
Photograph Release

I hereby grant to Pfeiffer, A Publishing Unit of John Wiley & Sons, Inc., (“Pfeiffer”) permission to use my name, photograph, and likeness in a work presently entitled _____ (“the Work”), in all forms and media, including electronically, for purposes of trade, promotion and advertising, and in connection with licensed uses of the Work in any and all languages throughout the world.

It is also acknowledged that the foregoing rights may be exercised by Pfeiffer (which contemplates publishing the Work) and that Pfeiffer may, in its discretion, use and authorize the use of my photograph on the cover, flap jacket, or in the text of the Work.

This permission and release shall also inure to the benefit of the legal successors of Pfeiffer, its parent company, affiliates, licenses, and assignees.

Please sign and date the copies of this agreement. Keep one copy for your files and return all others to Pfeiffer.

I am over the age of twenty-one. I have read the foregoing and fully understand the contents thereof.

Your signature

Date

If you are also the holder of the copyright to this photo, please read and sign the attached **Non-Exclusive License to Use Photograph** agreement. The copyright holder of a photo is not necessarily the person with physical possession of the photo; the “author” of the photo is the holder of the photo’s copyright; the author normally being the person who took the photo, unless he or she has otherwise transferred the copyright to someone else. If you are not the copyright holder, please provide the name and address of the person to contact (we cannot publish your photo without the copyright holder’s written permission):

EXHIBIT 5
Non-Exclusive License to Use Photograph

Pfeiffer, A Publishing Unit of John Wiley & Sons, Inc. (“Pfeiffer”) and the undersigned photographer (“you”) agree that:

You grant Pfeiffer a non-exclusive license to use the attached photograph in connection with a work presently entitled _____ (“the Work”), for purposes of trade, including electronic uses, for possible use on the cover of the Work, for internal use within the Work, for and in connection with licensed uses of the Work in any and all languages throughout the world. You also grant Pfeiffer the right, in its sole discretion, to alter or edit the photograph as deemed necessary by Pfeiffer.

You warrant that you are the copyright holder of the photograph and have not previously granted any of the rights granted herein; that the photograph is original, unpublished and does not contain any matter libelous or otherwise unlawful or that infringes or violates any copyright, right of privacy, or proprietary, personal, or other right. You agree to indemnify and hold harmless Pfeiffer and its assignees from all liability arising out of any actual or alleged breach of your warranties in this agreement, or in connection with third party claims or suits arising out of matters covered by these warranties.

Please sign and date all copies of this agreement. Keep one copy for your files and return all other copies to Pfeiffer.

Your signature

Date

EXHIBIT 6
General Release

(Date)

Name

Company/Organization/Institution

Street Address

City, State, and Zip Code

Dear _____:

I have interviewed you in connection with a work tentatively entitled _____ (the "Work"). In order for me to use the interview material in this book, you must sign the following agreement:

I hereby grant to you and Pfeiffer, A Publishing Unit of John Wiley & Sons, Inc. ("Pfeiffer") (and its parent company, affiliates, licenses, and assignees), the latter being the contemplated publisher of the Work, the right and permission to use, reuse, publish, and republish my name, photograph, likeness, and statements and comments made by me, in whole or in part, without prior review, in all formats of the Work and any derivative works, including without limitation electronic works and including for the purposes of sale, trade, promotion, or advertising.

I warrant the accounts told, written, or furnished by me are original with me and do not violate any copyright, personal, or proprietary right. I confirm that none of the information disclosed was acquired as a result of a confidential relationship or is treated as a trade secret.

I release you and Pfeiffer from any and all claims, demands, or causes of action that I might assert in connection with the above use or uses by Pfeiffer.

I am over the age of 21. I have read the foregoing and fully understand the contents thereof.

Interviewer's Signature

Agreed to and accepted:

Your Signature

Date

EXHIBIT 7
Foreword Author Agreement

(Date)

Dear _____:

Thank you for writing a Foreword to my book _____ to be published by Pfeiffer, A Publishing Unit of John Wiley & Sons, Inc. I've assured the publisher that they may use and authorize any of their licensees to use the Foreword and excerpts from it, together with your name and affiliations, at any time as part of any edition or version of the book, in print or non-print form, and in connection with any promotion they do of the book. You warrant that you are the sole author of the Foreword and that it does not infringe on any copyright, trademark or other rights of third parties. Unless you write to me with different instructions, I will advise the publisher that the credit should read as follows:

“Foreword by (name) (affiliations)”

I will be sure you get a copy of the book as soon as it is available and again send my thanks for your help.

Sincerely,

Author

Agreed to and accepted:

cc: Pfeiffer

Foreword Author Signature

Date

PART SEVEN: SUBMITTING YOUR FINAL MANUSCRIPT

A. The Submission Deadline

Pfeiffer catalogs must be produced long in advance of your book's publication. To meet our catalog deadlines, the publication date and the marketing copy for your book are likely to have been finalized long before the manuscript is submitted. Since we must allow approximately seven months in our production timeline, any delay in the delivery of your manuscript can postpone the scheduled publication date, jeopardizing the marketing and promotion of your book.

B. What We Need to Receive

Send your compiled manuscript on clearly labeled disk(s) or CD with all chapters, front and back matter, footnotes, and art saved as separate document files. Send three hard copies of your final manuscript (printed on one side only) along with your electronic files. *Electronic files and hard copy text must match exactly.* Keep for yourself a hard and an electronic copy.

C. Prior to Mailing: The Final Checklist

Refer to the *Final Checklist (Exhibit 8)* as you prepare your final manuscript for submittal. *Make certain that you complete all points before sending us your work.* Send all manuscript materials using a quick, reliable, and trackable delivery service such as Federal Express, Express Mail, or UPS. *Use overnight or second-day delivery.*

EXHIBIT 8
Final Manuscript Checklist

___ Three hard copies of manuscript and electronic files (hard copy and electronic files must match exactly) containing the following elements:

- ___ Why, what, and how statement
- ___ Title page
- ___ Table of contents
- ___ Dedication (optional)
- ___ Foreword (optional)
- ___ List of tables, figures, and exhibits (if applicable)
- ___ Preface (optional)
- ___ Acknowledgements (optional)
- ___ Introduction
- ___ All chapters
- ___ Resources and appendices (if applicable)
- ___ References
- ___ Author biography for each editor and contributor
- ___ Benefits statement

___ Include clearly labeled hard copies of all tables, figures, exhibits, and graphics.

___ Save each chapter and other text elements in separate files. Remove any tables, figures, and graphics from the text and place in separate files.

___ All references must be entered in the text in APA style. Complete bibliographic information should be included.

___ A completed *Permissions Summary* worksheet containing a list of all items from other sources that require permission, a status report on your permissions requests, and original permission releases obtained thus far.

___ All contributor agreements

___ Please send your manuscript via a trackable overnight or second-day delivery service to:

[Insert name of EA/Editor]
Pfeiffer
989 Market Street
San Francisco, CA 94103-1741

Call your editorial assistant or editor if you have any questions while preparing your final manuscript.

PART EIGHT: FROM MANUSCRIPT TO BOUND BOOK

A. Outline of Editorial Process

Assessment. Your manuscript is reviewed by a senior editorial staff member for topicality, content, and format. (1-2 weeks)

Developmental edit. The manuscript is edited for organization, content, and format as necessary. It is also edited for stylistic consistency, readability, clarity, and writing and reference style. Questions about your meaning, missing or incomplete references and permissions, and the like are flagged for your attention. (4-8 weeks)

Author review of editing. The manuscript is sent to you for review and approval of the editing and so that you can make any changes or additions as agreed on by you and the development editor. Once you return the manuscript to us, it is presumed approved and ready for production. (4-6 weeks)

B. Acceptance of Your Final Manuscript

Your final manuscript will be reviewed for completion and for acceptability for publication. Permissions, the permissions worksheet, and other releases and agreements should be in order. Once your manuscript has been accepted for publication, you will be informed that the manuscript has been turned over to a production editor. Production may be delayed on manuscripts that are incomplete, or that are missing permissions documentation.

C. Final Titles

Book titles, subtitles, and author bylines are often finalized when the catalog copy is being prepared, usually well before the final manuscript is due. Your editor may also work with you in deciding on accurate and engaging chapter titles that can serve as effective promotional tools.

D. Your Production Schedule

Once a manuscript is officially handed over from editorial to production, it will take approximately *seven months* to produce the bound book. The production editor managing your manuscript will contact you regarding the schedule for reviewing the copyedited manuscript and page proofs.

E. The Editor's Role

As editor, you will be called on at several points in the production process to check for accuracy and to offer your comments and corrections. It is crucial that you perform these tasks within the stated deadlines so as to maintain your book's schedule and publication date. When publication dates slip, marketing efforts cannot go on as planned, and sales are lost.

Editors are expected to review all materials themselves rather than returning them to contributors to review.

F. Your Production Costs

Unless otherwise stated in your Publication Agreement, you are responsible for paying certain editorial and production costs. The following costs may be charged against your royalties:

- Permissions fees
- Indexing
- Author's alterations made at proof stage exceeding 10% of the composition cost
- Payments to contributors of edited volumes

Your production editor will inform you of the estimated costs for these services.