



NIC General Conditions for Publications

**(including Editorial Guidelines
and Instructions for Preparing
Written Materials for Publication)**

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General Conditions

Instructions contained here constitute “General Conditions” that apply to all National Institute of Corrections (NIC) cooperative agreements, contract awards, and technical assistance (TA) projects that entail the preparation of a report or other material for publication and public dissemination.

All documents to be published by NIC must be carefully proofread and free of errors. They must be submitted in hard copy and on an IBM-compatible diskette in WordPerfect. It is NIC’s intention to make these documents available via the Internet.

NIC funds may **not** be used to print any publication or announcement unless:

- a) such printing is specifically included in the approved application and budget,
- b) the document is reviewed and approved for publication by the Director of NIC,
- c) the document adheres to the following conditions.

Any material to be printed with NIC award funds must relate to administrative aspects of the project. This means the printing is necessary to conduct the greater project (e.g., printing of survey forms or handout materials). The material must be submitted to the NIC project manager and **approved** by NIC prior to the preparation of final copy for printing.

Documents, brochures, announcements, certificates, pamphlets, and other materials developed for public dissemination are covered by these General Conditions.

1. All documents prepared with NIC funds are to bear the U.S. Department of Justice and NIC identification on the cover (unless they are **only** for internal use by the author’s agency). Where applicable, the NIC Publications Office will provide reproducible NIC identification and logo material and will advise the author(s) of any other administrative requirements.
2. The date (month and year) the publication becomes available to the public must be included on the cover of brochures or the title page of documents.
3. Names of authors are **not** to appear on the cover of publications, but may be included on the title page.
4. Federal policy restricts the use of government funds for printing (or engraving) stationery, business cards, memo pads, etc., with the names of individuals. NIC policy prohibits the use of federal funds for the printing of these items with the names of **projects** or **programs**, unless specific, written permission has been granted by NIC.
5. No advertising of any type is to be included in material produced with federal funds, nor is it to be implied that the government endorses or favors any specific commercial product, commodity, or service. Generic terms should be used instead of names of commercial products.

6. NIC funds are not to be used for the preparation, printing, or reproduction of newsletters unless such a product is specifically described in the approved plan and budget.
7. News releases announcing or reporting on NIC-funded activity must be approved by NIC prior to release.
8. Authors are to ensure that the National Institute of Corrections receives credit for the project. The title page of documents must bear the following statement.

“This document was prepared under cooperative agreement [or contract, or TA event] number _____ from the National Institute of Corrections, U.S. Department of Justice. Points of view or opinions stated in this document are those of the author(s) and do not necessarily represent the official position or policies of the U.S. Department of Justice.”

9. Only one color of ink may be used in printing materials, unless additional colors are needed for clarity. In such cases, the author(s) should consult with the NIC Publications Office. A different color paper and various ink-shading techniques may be used.
10. Brochures, announcements, and documents should be self-mailers (not require envelopes) where feasible and economical.
11. Photographs are not to be used except with the concurrence of the NIC project manager and the NIC Publications Office. When used, photographs must contribute to the reader’s understanding of the text; **they may not be used for decorative or design purposes**. Signed releases from any identifiable individuals appearing in a photograph must be furnished to NIC before the document will be printed.
12. Authors may copyright work produced under NIC auspices **unless specifically restricted from doing so** by NIC. If authors do copyright materials, the following statement **must** appear immediately under the copyright notice on page ii (reverse side of the title page).

“The National Institute of Corrections reserves the right to reproduce, publish, translate, or otherwise use and to authorize others to publish and use all or any part of the copyrighted material contained in this publication.”

The author(s) must furnish a letter granting permission to NIC to publish the material, authorize others to do so, and to post the material on the Internet.

Further, where the product developed under NIC auspices contains material(s) copyrighted by others, it must be identified as such and the author(s) must provide NIC with written permission of the copyright holder(s) to publish and use the materials, to authorize others to do so, and to post the material on the Internet. If the copyright holder does not want his/her material included in that posted on the Internet, the author must indicate this to NIC when submitting the final material for printing. Payment of any fees associated with using copyrighted material is the responsibility of the author(s).

13. When material not originally developed is included in the document in a verbatim or extensive paraphrase form, the source must be identified. This identification may be in the text or by footnote.
14. NIC expects that camera-ready copy prepared with NIC funds will be free of grammatical and typographical errors.

Editorial guidelines and instructions for preparing camera-ready copy for documents (reports) follow. Where special formats are needed to convey the message, the author(s) should consult with the NIC Publications Office.

Editorial Guidelines

1. All acronyms must be defined when first used. For example, “the National Institute of Corrections (NIC).”
2. Care must be taken to ensure consistency in word usage, hyphenation, indentation, spelling, and capitalization throughout the document. For example, do not use “pre-trial” and “pretrial” interchangeably.
3. Consistently use “staff” and “data” as **either** singular or plural throughout the document.
4. Neutral gender is to be used in written materials developed under NIC auspices. “He” is not to be used to mean “he or she.” Use “he/she,” “his/her,” etc. Use of “they” with a plural subject, or the noun to which the pronoun refers (e.g., “correctional officer” instead of “he”), can help ensure neutrality.
5. Do not use contractions. For example, avoid “it’s,” “isn’t,” “don’t,” “doesn’t.” Write the words out.
6. Do not use words or phrases that sound demeaning or show personal opinion. For example, avoid “of course,” “naturally,” “needless to say,” “obviously,” etc.
7. Be careful to use the words “that” and “which” properly.*
8. Ensure agreement of subjects/verbs and nouns/pronouns (singular or plural). When showing the possessive of an inanimate object, use “its” (e.g., “the association surveyed its membership”). Also, the pronoun “who” refers to people and “that” refers to things. Tenses must also be consistent.
9. Personally read the complete document. Computer “spell check” will not find missing words or wrong words, only misspelled words and words that are not in the computer’s dictionary. For example, spell check will not identify that the wrong sword was used or “he” instead of “he.”
10. Be careful with the “search and replace” computer function, as “replace” is frequently inappropriate in instances located by “search.”
11. Hyphenate compound adjectives unless the first word ends in “ly” (e.g., do not hyphenate “necessarily stringent” regulations, “heavily populated” area). When capitalizing hyphenated words, use initial caps for both words (e.g., “Long-Term Commitments,” not “Long-term Commitments”).

*Use “that” to begin restrictive clauses (essential to the meaning of the sentence); use “which” to begin nonrestrictive clauses (not essential to the meaning of the sentence). Use commas to set off nonrestrictive clauses. *Publication Manual of the American Psychological Association*, 4th Edition (1994).

12. In a series of three or more items, use a comma before “and” and “or” consistently throughout the document.
13. Place commas and periods **inside** quotation marks.
14. Present numbers 10 and over as numerals in text. Write out numbers under 10 unless used in direct contrast to numbers 10 and over (e.g., “3 of 15 people”).
15. Do not reference one-of-a-kind items or sections by number or letter. That is, if there is only one figure or only one appendix, it should not be referenced as Figure 1 or Appendix A. There should never be a 1 or A without a 2 or B.
16. Only hyphenate words at the end of a line at a syllable. Use hyphenation when lack of it results in awkwardly short lines of text or gaps between words in full-justified text.
17. In preparing camera-ready copy, try to avoid leaving less than two lines of a paragraph at the end of a column or page or at the beginning of a new column or page.
18. Avoid blank left-hand pages and very short pages (less than 10 lines) wherever possible. Where a blank page does occur, do not number the blank page, but skip a number in sequence to allow for it. In almost all instances, very short pages can be eliminated by editing the preceding text.
19. Limit materials attached to a document as appendixes to those that are germane to the document and will be used by a majority of the readers. Appendixes are supplements and must be self-contained (i.e., not depend on the document for clarity). Likewise, the main document must not depend on an appendix for clarity.
20. Make sure that cross references are correct (e.g., between text and tables, parts of the document, and appendixes). Do not refer readers to passages or sections within the document using page numbers (e.g., do not say “see the discussion on page 12”).
21. Use active voice. For example,

<u>Instead of this:</u> The policy was rewritten by the staff.	<u>Use this:</u> The staff rewrote the policy.
---	---
22. Avoid unnecessary extra verbs. For example,

<u>Instead of this:</u> The staff has rewritten the policy.	<u>Use this:</u> The staff rewrote the policy.
--	---
23. Avoid starting sentences with “It is,” “There is,” “There are.” Usually these can be changed to eliminate the extra words. For example,

<u>Instead of this:</u> There are four sections in this manual.	<u>Use this:</u> This manual has four sections.
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24. Be direct and to the point. For example,

Instead of this:

It shall be the responsibility of the sergeant to review all inmate grievances.

Use this:

The sergeant shall review all inmate grievances.

25. Use simple words and eliminate extra words. For example,

Instead of this:

A number of
At the present time
Effect an improvement
Give consideration to
In order to
In the event that
Make use of
Prior to
Until such time
Utilize
Utilization of

Use this:

Some, several
Now, currently
Improve
Consider
To
If
Use
Before
Until
Use (verb)
Use of

26. Delete redundant words. For example,

Instead of this:

3 a.m. in the morning
Many numerous
Incarcerated inmates
Whether or not

Use this:

3 a.m.
Many
Inmates
Whether

Instructions for Preparing Camera-Ready Copy

Elements of a Document

The elements of a document will vary according to the nature of the work and information being reported. All documents will consist of a title page, contents section, foreword, abstract, executive summary, and text. While the abstract and executive summary will not always be included in the published document, they must be included in drafts submitted to NIC. (These summaries are used by NIC for various purposes.) When a document has additional elements, it should be arranged in the following order and conform to the descriptions that follow:

1. Title Page
2. Abstract
3. Contents
 - List of text sections and headings
 - List of figures
 - List of tables
4. Foreword
5. Preface
6. Acknowledgments
7. Executive Summary
8. Text
9. Endnotes/Footnotes
10. Glossary
11. Bibliography
12. Appendix(es).

Title Page

Include the following information on the title page.

- Title. The title should clearly and briefly indicate the subject matter of the document. Do not begin the title with “The.” If a subtitle is used, it should be subordinate to the main title. When a document is prepared in more than one volume, repeat the primary title and use subtitles to identify volumes.
- Author(s). Give name(s) and title(s).
- Organization or institution. Give name, city, and state. List no more than two organizational levels.
- Date. Give the month and year the work was completed. Do not use a comma between the month and the year.
- Disclaimer.

“This document was prepared under cooperative agreement [or contract or TA event] number _____ from the National Institute of Corrections, U.S. Department of Justice. Points of view or opinions stated in this document are those of the author(s) and do not necessarily represent the official position or policies of the U.S. Department of Justice.”
- Copyright notice. When the product of an NIC-funded project is copyrighted, the following statement must be included below the copyright notice on the reverse side of the title page:

“The National Institute of Corrections reserves the right to reproduce, publish, translate, or otherwise use and to authorize others to publish and use all or any part of the copyrighted material contained in this publication.”

When a document contains materials not originated in the performance of the NIC-funded activity that are copyrighted by other than the author(s), a copyright notice is not included. However, copyrighted portions of the document must be clearly identified. To assure protection of the copyright holder, the copyright notice should be incorporated within related text or captions, given as a footnote for text, or cited with the author’s name. Copyright notices must be subordinate in size of type to that of both text and captions. A listing of all copyrighted material, by page and paragraph when applicable, must be included in an acknowledgment, on the inside front cover, or in other front matter.

Abstract

The abstract should state the following facts about the project: purpose, scope, methodology, findings, and conclusions. The abstract should not exceed 200 words.

Contents

Include the title and beginning page number of each element of the document: foreword, preface, acknowledgments (if not part of preface), introduction, text divisions (sections) and headings, references, glossary, bibliography, and appendix(es). Subheads to the third level should be included in the Contents.

List the number, title, and page number of each figure and table. These entries should be at the end of the Contents, as follows:

FIGURES		
<u>Figure</u>		<u>Page</u>
1	_____	
2	_____	

TABLES		
<u>Table</u>		<u>Page</u>
1	_____	
2	_____	

Foreword

The foreword is an introductory statement from the Director of the National Institute of Corrections. The message will be drafted by the author(s) or the NIC project manager for review and revision or approval by the Director.

Preface and Acknowledgments

The preface is a preliminary statement by the author, agency, or institution setting forth the purpose and scope of the project and acknowledging the contributions or assistance of others. If the acknowledgments are lengthy, they should be put in a separate section following the preface.

Executive Summary

The summary should provide the briefest possible condensation of the text, presenting the document in miniature and in such fashion as to be able to stand alone. The summary is comprehensive, stating briefly and clearly (within 20 pages, double-spaced) the purpose, scope, methodology, findings, and conclusions of the project.

NOTE: All pages carrying the above elements should be numbered in lower-case Roman numerals, except the title page (which is considered page i).

Text, including Introduction

Usually the text begins with an introduction. Here, the author should place any preliminary material that prepares a reader for the body of the document, especially information that is necessary for an understanding of what follows. If the document is divided into sections, the introduction should be the first section and should introduce the sections that follow. The first page of the introduction, numbered Arabic numeral one, must be a right-hand page.

The organization of the text is essential to the readability and comprehension of the document. A well-organized text will move smoothly from one fact to the next as information is presented in the various text divisions or referred to in the footnotes, endnotes, figures, tables, bibliography, and appendixes.

The following paragraphs present guidelines for organizing the text into sections and subsections. The details of handling other elements of the text, such as endnotes, footnotes, figures, and tables, are covered in the **Manuscript Preparation** section of these instructions.

- **Sections**. Section titles should be chosen with care because the purpose is to give the reader a clue as to what main topic of the document is to be discussed. When listed in the Contents, the section titles give potential readers an idea of the nature and extent of the document. They should be short and to the point.
- **Subsections**. The author should use subheads to break long and complex sections into subsections. Subheads can also be used to emphasize important points or aspects of the section. Subheads guide the reader and facilitate location of certain passages. Their inclusion in the Contents gives the potential reader a better idea of what is in the document. Like section titles, subheads should be brief, concise, and meaningful.

Some long or complex documents may require sub-subheads and even further subdivisions of long sections to better organize and identify the subject matter. The handling of subheads is covered in the **Manuscript Preparation** section.

Endnotes/Footnotes

References to sources of information and commentaries that **are not essential** to an understanding of the text are called “endnotes” and are listed in a section following the text. They are referenced by superscript number to passages or words in the text. Guidelines for handling endnotes that are references to sources of information are the same as those given under Bibliography below.

References that amplify or explain statements and **are necessary** for better comprehension of the text are called “footnotes” and are placed at the bottom of the page or column in which they annotate the text. The author should consider whether some or all of the material treated as footnotes could be included in the text. Numerous footnotes can cause problems and delay in preparing final copy. The handling of footnotes is covered in the **Manuscript Preparation** section.

Glossary

List and define uncommon words or technical terms in alphabetical order in a glossary. When only a few such words or terms appear, a glossary is not necessary; instead, words can be defined the first time they are used in the text.

Bibliography

In the bibliography, present alphabetically (by authors’ last names) a list of sources used in preparing the document.

- **Books.** Include the following information about books: (a) name of the author(s), the editor(s), or the institution responsible for writing the book; (b) date of publication; (c) full title of book in italics; (d) series or volume number (if any); (e) city of publication; and (f) publisher’s name.
- **Articles.** Include the following information about articles: (a) name of the author(s), the editor(s), or the institution; (b) date; (c) title of article in quotation marks; (d) name of the document or periodical in italics; (e) volume and issue numbers; and (f) page numbers occupied by the article.

Appendix(es)

An appendix should be used for long lists, charts, and/or tables; examples of forms, laws, regulations, policies, or standards; and when the author wishes to provide the reader with further information that is germane to the document. An appendix should not be used as a catch-all for material that is essential to a complete discussion of the subject matter; such material must be included in the text. Nor should an appendix be used to display a mass of information that is not of particular relevance to the document or of interest to the majority of readers.

When more than one appendix is used, designate them as Appendix A, Appendix B, etc. Each should be titled. When only one appendix is used, omit the letter designation. Start each appendix on a new page and continue the pagination sequence of the text. Appendixes must be referenced in sequence in the text. Divider pages should generally not be used between the appendixes.

Manuscript Preparation

This section discusses the preparation of camera-ready copy by word processor. For simplicity, the words “type” and “typing” are used generically.

An electronic file of the document on an IBM-compatible diskette must be submitted to NIC with the final hard copy. This file must be in WordPerfect. The document, including all front pages, text, tables, figures, and appendixes, should be contained in one file so it can be easily made available on the Internet. The file may be compressed, if necessary, to fit on a single diskette.

Format and Spacing

Documents are usually prepared as 8½ x 11, but a 5½ x 8½ format may be used if appropriate for the subject and length of the document. Documents prepared in the 8½ x 11 format may be done in a two-column format or one column across the page. Those done in the 5½ x 8½ format should be one column across the page. All flyers must be prepared in a 4 x 9 format. Camera-ready copy for both 5½ x 8½ and 4 x 9 formats should be prepared on 8½ x 11 sheets of paper, using appropriate margins. Proper trim will be done in printing.

Paragraphs can be flush left with no indent, or indented ¼-inch on double column, or ½-inch on single column. Leave one line space between paragraphs. At least ½-inch (preferably 1-inch on the 8½ x 11 format) margins should be left on both sides; 1-inch margins at the top and bottom for the 8½ x 11 format; and ½-inch top and 1-inch bottom for the 5½ x 8½ format. Right and left margins must be equal to accommodate two-side printing. (Page numbers should be placed ½-inch from the bottom edge of the paper, within the 1-inch margin area.)

Start each element (section, appendix, etc.) on a new page. Do not use unnecessary blank pages or divider sheets. Where only a few lines of text appear on a page, attempt to edit or reformat the preceding pages to eliminate the short page.

Camera-Ready (Final) Copy of Text

“Camera”-ready refers to an initial process in printing where a negative is made of each page. Therefore, all pages of the document submitted by the author(s) must be the **original**, single-spaced, typed material that has been proofread and is ready to be copied. (Prior to approval of the document by NIC, a final, **edited**, double-spaced draft copy of the document must be submitted.)

Type on only one side of sheets of white paper. Only Times Roman and Helvetica typefaces (or comparable typefaces) may be used, the former for text and the latter (if desired) for heads, tables, and charts.

Camera-Ready Copy of Graphics

Graphics consist of illustrations, maps, charts, graphs, photographs, and complex tables. The **original** artwork of all graphics must be submitted. Where possible, these are to be included in the electronic file. All graphics must be clear and sharp in definition and prepared in black ink only. Only original glossies or satisfactory negatives of photographs are acceptable. Do not use tape on originals. Also, avoid press-on letters.

Corrections

Handwritten inserts, typed inserts, corrections between lines, corrections in margins, and messy corrections are not acceptable in camera-ready copy. If correcting copy manually, use rubber cement or neat cut-ins. Do **not** use tape on any of the originals.

Page Numbering

Number all pages from the reverse of the title page (ii) to the end of the executive summary in lower case Roman numerals. Number all other pages consecutively, beginning with 1, from the first page of the text to the last page of the document (including appendixes) in Arabic numerals.

In numbering pages, keep in mind that pages are printed back to back; when bound, the even-numbered pages must fall on the left and the odd-numbered pages on the right. Page numbers must be consistently placed the same distance up from the bottom edge of the paper, preferably at ½-inch from the edge. Do not number a blank page, but skip a number in sequence to allow for it and insert a blank sheet of paper in its place.

Section Titles and Subheads

The relative importance of subheads in a section is indicated through the use of point sizes, capitalization, style, and positioning on the page. The different levels of subheads are referred to as first-level subheads, second-level subheads, etc.

Endnotes/Footnotes

Guidelines for typing footnotes follow. (See **Elements of a Document** section for the distinction between endnotes and footnotes.)

- **Placement of footnotes.** Footnotes should always be placed at the bottom of the page or column in which they are referenced. Carrying over footnotes from one page or column to the next should be avoided. Footnotes to charts, graphs, figures, and tables should be placed immediately beneath such material.
- **Footnote symbols.** Footnotes should be marked by symbols in the following sequence on each page: (*) asterisk, (†) dagger, (‡) double dagger, (§) section mark, and (¶) paragraph symbol. (Should more marks be needed, these are then doubled, again in sequence.) The sequence should start again with * on each page. (The use of symbols for footnotes is helpful when a manuscript also has endnotes for citing sources. The endnotes are referenced by superscript numbers.)

Symbols and numbers should come at the end of a sentence, clause, or quotation. Placing symbols or numbers at the end of, or within, section titles and subheads should be avoided; instead, they should be placed in an appropriate spot in the text. If the footnote applies to an entire section, it should be unnumbered and placed at the bottom of the first page of the section.

The text of the footnote should be in the same font as the manuscript, but in a smaller point size. For example, if the text is 12 point, the footnote could be 10 point.

Tables

Whenever a mass of information becomes cumbersome in the text, a table should be considered. Tables should be constructed to present tabular material as simply as possible so the meaning of the data can be easily grasped. Because tabular material can be so varied, extensive, and complex, only a few guidelines are presented here. For more detailed discussion of tabular material, refer to the U.S. Government Printing Office *Style Manual*.

- **Placement of tables.** Place tables after (but **not necessarily immediately** after) the first text reference made to them, except in special situations such as when a document contains relatively few text pages and many tables. In those cases, place the tables in numerical sequence at the back of the document. The statement that tables need not be placed immediately after their text reference means that a paragraph or discussion should not be broken awkwardly or a large blank space left on a page so that the table immediately follows. Continue the text, and place the table later on that page or the next.

If a table is too wide for a page, it may be prepared as a “turn page,” positioned so that the page is turned clockwise for reading. If the material will not fit on a turn page, it may be possible to present it across two full pages. If not, the table should be prepared oversize for reduction and a “frame page,” stating the table number, title, and page number, should be provided. **Do not prepare tables as fold-outs** without first consulting with the NIC Publications Office.

- **Table numbers.** Each table must be numbered and referenced in the text by its number, not by such phrases as “the following table,” “the table above,” etc. Number tables consecutively in Arabic numerals in the order in which they are first mentioned (e.g., Table 1, Table 2). **Do not use Roman numerals.** When the manuscript contains numerous tables interspersed throughout several or all of the sections of a very lengthy document, number the tables within sections as follows: Table 1-1, Table 1-2, Table 2-1, Table 2-2, etc.
- **Table titles.** A brief title, following the table number and placed above the body of the table, should identify the nature and content of the material. When the table presents data for specific periods of time (e.g., “Fiscal Year 1998” or “by quarters, 1996-1998”) or for specific categories or locations (e.g., “By States and Counties”), that information should be included in the title. When all the figures in a table represent a specific amount—“in thousands of dollars” or “in millions of dollars”—use a subheading to the title (usually enclosed in parentheses) to show this information, or any other units of measurement that apply to the entire table.

Figures

The guidelines for the placement, numbering, and titling of tables also apply to figures. The **originals** of charts, maps, graphs, drawings, and photographs must be submitted with the camera-ready copy. Where possible, these are to be included in the electronic file.

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