



## Author's Guide to Author–Date System

Author-Date system's primary components are in-text citations (instead of notes) and a reference list that includes full bibliographic entries for each source cited. Also, the year of publication is placed behind the author name(s). It is typically used in the sciences. If your subject matter warrants a different style, please contact SIS.

### In-Text Citations

For in-text citations, use the format below. Direct quotes should include page number(s) within the in-text citation.

“(author-last-name, year)” or “(author-last-name, in press) or “... author (year)”

“(author-last-name, year:page used)” or “... author (year:page)”

### *How to Display Author Names in In-Text Citations*

Note that “et al.” is not italicized, and the period appears at the end.

Single author – surname (e.g., Smith, 2012)

Two co-authors – both surnames (e.g., Smith and Thomas, 2012)

Three or more co-authors – first author's surname + et al. (e.g., Smith et al., 2012)

### *Unpublished Works or Personal Communications*

If a source is one that a reader would not be able to access (e.g., a personal communication, a manuscript not yet submitted to or accepted by a publisher), it should be cited in the text but have no corresponding entry in the “References” section. In-text references for unpublished information or personal communications should appear in the following formats:

“... (A. B. Author, Affiliation, unpublished [or] unpublished data)”

“A. B. Author (Affiliation, personal communication) found that ...”

In subsequent citations that are attributed to the same person, the initials and affiliation need not be repeated, and “personal communication” may be abbreviated to “pers. comm.”:

“... (Last name, unpublished)”

“... (Last name, pers. comm.)”

Sources with issue dates and issuing entities, such as reports, that may not be formally “published” but can be accessed by readers for follow-on research are not considered unpublished works; they must have in-text citations as well as corresponding reference entries.

### Reference List

Examples of the most common types of entries are provided at the end of this section.

Do not abbreviate titles of books, articles, journals, and monographic series. For titles, capitalize all words except articles, conjunctions, and prepositions. If a foreign title, use the capitalization rules of the language employed. Transliterate languages that use a non-Roman alphabet according to the Library of Congress system.

- Complete bibliographic information must be included in all citations. See examples below.
- Make sure citations are in order alphabetically by first author surname.
- For sequential entries with identical authorship, make sure citations are in chronological order.
- Use the word *and*, not ampersand (“&”), between authors’ names.
- Cite all references at least once in the manuscript; each in-text citation must have a full entry in the “References” section.
- Use brackets for anything that does not appear in the publication itself, but has been supplied by another source and for annotations.
- **Authorship**
  - a) Invert name for single or first author; subsequent author names appear in normal order.
  - b) Use initials or full names consistently.
  - c) Editor: Treat similar to author, but indicate with “ed.” designation.
  - d) List all authors/editors in each reference. Do not use “et al.”
  - e) Group author: When an organization is author, the organization’s name is spelled out and followed in parentheses by the abbreviation being used in the in-text references.
  - f) For author names that begin with particles (e.g., van, von, de, di, van den), the bibliographic entry should be alphabetized by however the name is cited in the text.
  - g) If an author’s last name begins with a particle and is traditionally lowercased, do not capitalize it in the bibliographic entry.
  - h) Unknown author: If authorship has not been established, use “Anonymous.”
- **Publication Date**
  - a) Use the date on the copyright page as the publication date.
  - b) For entries that share author and publication date, use “a,” “b,” etc. (e.g., 1989a, 1989b).
  - c) Inclusive dates may be used for works printed separately over a period of time (e.g., 1780–1782).
  - d) If a source is not yet published but has been accepted by a publisher, use “In press” in place of the date. For multiple sources by the same author, use “In press a”, “In press b”, etc.
  - e) If the year a work was issued is different from the year that is printed inside the publication, use the official publication year (printed inside) followed by the actual year of issue in square brackets (e.g., Smith, K. 1969 [1968].)
  - f) If no date is provided or ascertainable, use the abbreviation for no date: “(n.d.)”
- **Titles**
  - a) Book titles should be italicized and displayed as on the book’s title page.
  - b) Book chapters should be set in Roman type (i.e., no bold or italics) and enclosed in quotation marks.
  - c) Article titles should be set in Roman type (except where taxa are normally italicized) and displayed as on the first page of an article.
  - d) Journal titles should be italicized and spelled out completely.
  - e) Series titles should be set in Roman type and headline capitalization.
  - f) Capitalize words in English-language titles according to “title capitalization”: first word, last word, first word after colon, all other words except articles, conjunctions, and prepositions.
  - g) Capitalization of foreign-language titles should follow convention of that country. Exception: Latin follows English capitalization conventions.

- h) If citing a specific volume within a multivolume work, a citation is needed only for the referenced volume. If citing an entire multivolume work, a citation is needed for the entire set of volumes. (See “Multi-volume sets” examples below.)
- i) Abbreviate second or third edition as “2nd ed.” or “3rd ed.”
- **Page ranges**
  - a) For books, cite specific pages in in-text reference, not in the References entry.
  - b) For journal articles and chapters, include specific pagination cited.
  - c) If a periodical or chapter/article in a larger work, verify that pages, tables, or figures included in the citation encompass all those cited in corresponding in-text references.
  - d) For journals, use volume(number):pages system [e.g., “10(2):5–9”].
  - e) Do not truncate page ranges (e.g., use “125–169” not “125–69”).
- **Publisher**
  - a) For books, a place of publication and publisher name are required. A sponsoring organization may be given as the publisher.
  - b) Use state abbreviations instead of postal codes for cities that require states. Refer to *Chicago Manual of Style*, 15th edition (sec. 15.29) for correct state abbreviations.
  - c) If published by the author, list “Author” as the publisher.

### **Examples for Common Types of Sources**

#### **Book**

Leakey, M. D. 1971. *Olduvai Gorge*. Cambridge: Cambridge University Press.

#### **Edited book**

Gary, M., R. McAfee, and C. Wolf, eds. 1972. *Glossary of Geology*. Alexandria, Va.: American Geological Institute.

#### **Chapter within a book**

Awramik, S. M. 1984. “Ancient Stromatolites and Microbial Mats.” In *Microbial Mats: Stromatolites*, ed. Y. Cohen, R. W. Castenholz, and H. O. Halvorson, pp. 1–22. New York: A. R. Liss.

Durham, J. W. 1970. “The Fossil Record and the Origin of the Deuterostoma.” In *Proceedings of the North American Paleontological Convention 1969*, pp. 1104–1132. Lawrence, Kans.: Allen Press.

#### **Multi-volume sets**

MacCurdy, G. G. 1924. *Human Origins*. Volumes 1–3. London: D. Appleton and Company.

McCown, T. D., and A. Keith. 1939. *The Stone Age of Mount Carmel: The Fossil Human Remains from the Levallois-Mousterian*. Volume 2. Oxford: Clarendon Press.

#### **Monograph series (e.g., Smithsonian Contributions Series)**

Bogoslovskaya, L. S. 2003. “The Bowhead Whale of Chukotka: Integration of Scientific and Traditional Knowledge.” In *Indigenous Ways to the Present: Native Whaling in the Western Arctic*, ed. A. P. McCartney, pp. 209–254. Canadian Circumpolar Institute, Studies in Whaling 6, Occasional Publications 54. Edmonton, AB: Canadian Circumpolar Institute.

Hobbs, Horton H. Jr., Margaret C. Harvey, and Horton H. Hobbs III. 2007. *A Comparative Study of Functional Morphology of the Male Reproductive Systems in the Astacidea with Emphasis on the Freshwater Crayfishes (Crustacea: Decapoda)*. Smithsonian Contributions to Zoology, No. 624. Washington, D.C.: Smithsonian Institution Scholarly Press.

Lantis, M. 1947. *Alaskan Eskimo Ceremonialism*. American Ethnological Society, Monograph 11. New York: J. J. Augustin.

#### **Journal article**

Cresson, E. T., Jr. 1941. The Species of the Neotropical Genus *Nostima* (Diptera: Ephydriidae). *Notulae Naturae*, 78:118–128.

### **Newspaper article (authored and “unsigned”)**

- Moore, Molly. 1993. “My Children, Grandchildren—Gone: Official Estimate of Death Toll from Indian Earthquake Rises to 21,000.” *Washington Post*, 2 October 1993, A1.
- Washington Post*. 1993. “My Children, Grandchildren—Gone: Official Estimate of Death Toll from Indian Earthquake Rises to 21,000.” 2 October, A1.

### **Newsletter**

- Harrowfield, David L. 1978. “Historical Archaeology in Antarctica.” *New Zealand Archaeological Association Newsletter*, 21:95–102.

### **Translation**

- Luquet, G.-H. 1930. *The Art and Religion of Fossil Man*. Trans. J. T. Russell. New Haven, Conn.: Yale University Press.

### **Foreign-language sources**

- Bunge, A. 1895. “Opisanie putesthestviia k ustiu r.Leny 1881–1884” [Description of the Voyage to the Mouth of the Lena River, 1881–1884]. In *Trudy Russkoi Poliarnoi stantsii na ust'ie Leny*, ed. A. Tillo, vol. 1, appendix 1, pp. 1–96. St. Petersburg: Russian Geographical Society.
- Fendonkin, M. A. 1981. Belomorskaya biota vendae: Dokembriiskaya besskeletnaya fauna severa Russkoi platformy. [White Sea Biota of the Vendian: Precambrian Non-Skeletal Fauna of the Northern Part of the Russian Platform.] *Trudy Geologicheskogo Instituta Akademii Nauk SSSR*, 342: 100 pp.

### **Identical authorship**

- Odum, W. E., and E. J. Heald. 1972. Trophic Analyses of an Estuarine Mangrove Community. *Bulletin of Marine Science*, 22:671–738.
- Odum, W. E., and E. J. Heald. 1975. “The Detritus-Based Food Web of an Estuarine Mangrove Community.” In *Estuarine Research*, ed. L. E. Cronin, pp. 265–286. New York: Academic Press.

### **Same-year publications authored by identical author(s)**

- Coquillett, D. W. 1900a. New Genera and Species of Ephydriidae. *Canadian Entomologist*, 32(2):33–36.
- Coquillett, D. W. 1900b. Report on a Collection of Dipterous Insects from Puerto Rico. *Proceedings of the United States National Museum*, 22:249–270.

### **Congressional Report (see *Chicago Manual of Style*, 15th Ed. for guidance citing government publications)**

- Greely, A. W. 1888. Report on the Proceedings of the United States Expedition to Lady Franklin Bay, Grinnell Land. U.S. House of Representatives, 49th Congress, 1st Session, Misc. Document No. 393. Washington, D.C.: Government Printing Office.

### **Thesis or dissertation**

- Payne, J. F. 1968. Studies on the Life History of *Procambarus hayi* (Faxon) (Decapoda, Astacidae). Ph.D. diss., Mississippi State University, Mississippi State.
- Ross, D. 1992. The Irish-Catholic Immigrant, 1880–1900: A Study in Social Mobility. Master’s thesis, Columbia University, New York.

\* Note: If a school’s location is in a well-known city (e.g., New York) or the state in which the school is located is identified by the name of the school (e.g., Mississippi State University), then only the city should follow the name of the school.

### **Published proceedings and papers**

- Cuzin-Roudy, J. 2000. “Seasonal Reproduction, Multiple Spawning and Fecundity in Northern Krill, *Meganctiphanes norvegica*, and Antarctic Krill, *Euphausia superba*.” Proceedings of the Second International Krill Symposium, Santa Cruz, California, 12 August 1999. *Canadian Journal of Fisheries and Aquatic Sciences*, 57(Suppl. 3):6–15.
- Frazer, T. K., L. B. Quetin, and R. M. Ross. 1997. “Abundance and Distribution of Larval Krill, *Euphausia superba*, Associated with Annual Sea Ice in Winter.” In *Antarctic Communities: Species, Structure and Survival*, ed. B. Battaglia, J. Valencia, and D. W. H. Walton, pp. 107–111. Cambridge, U.K.: Cambridge University Press.
- Overland, J. 2007. “IPCC Arctic Climate and Ice Projections.” Paper presented at “Impact of an Ice-Diminishing Arctic on Naval and Maritime Operations” Symposium, Washington, D.C., 10 July. <http://www.orbit.nesdis.noaa.gov/star/IceSymposiumProgram.php> (accessed 3 September 2007).

Quetin, R., and M. Ross. 2007. "Pack Ice Diving." In *Proceedings of the International Polar Diving Workshop*, ed. M. A. Lang and M. D. J. Sayer, pp. 111–131. Washington, D.C.: Smithsonian Institution.

\* Note: Examples are for entire proceedings, for papers that are delivered at a symposium and subsequently published in a book that is not necessarily the proceedings of that symposium, and other variations.

### **Handbook of North American Indians**

Spencer, Robert F. 1984. "North Alaskan Coast Eskimo." In *Handbook of North American Indians*, ed. William C. Sturtevant. Volume 5: *Arctic*, ed. David Damas, pp. 320–327. Washington, D.C.: Smithsonian Institution Press.

### **Internet sources (e.g., DOI, web page, online PDF)**

Hoover, C. A., M. Slattery, and A. G. Marsh. 2007. A Functional Approach to Transcriptome Profiling: Linking Gene Expression Patterns to Metabolites That Matter. *Marine Biotechnology*, <https://doi.org/10.1007/s10126-007-9008-2>.

Reaves, J. Weighty Issue: Ever-Fatter Kids. Interview with James Rosen. *Time*, 14 March 2001. <http://www.time.com/time/nation/article/0,8599,102443,00.html> (accessed 5 July 2003).

Testa, B., and L. B. Kier. Emergence and Dissolence in the Self-Organisation of Complex Systems. *Entropy* 2(1):1–25. <http://www.mdp.org/entropy/papers/2010001.pdf> (accessed 14 October 2004).

Testa, B., and L. B. Kier. Emergence and Dissolence in the Self-Organisation of Complex Systems. *Entropy* 2(1):1–25. <https://doi.org/10.1007/s10126-007-8675-5>.

\* Note: In most cases, MS Word will either keep a URL on a single line or, if it falls beyond the end of a line, automatically break it while it is being typed. If a URL must be broken over two lines, do not manually insert a hyphen.

### **Technical reports, papers, etc.**

Barr, William. 1985. The Expeditions of the First International Polar Year, 1882–83. *The Arctic Institute of North America, Technical Paper 29*. Calgary, Alberta, Canada: University of Calgary.

Huntington, H. P., ed. 2000. *Impact of Changes in Sea Ice and Other Environmental Parameters in the Arctic*. Report of the Marine Mammal Commission Workshop. Girdwood, Alaska, 15–17 February 2000. Bethesda, Md.: Marine Mammal Commission.

Metcalf, V., and I. Krupnik, eds. 2003. *Pacific Walrus: Conserving our Culture through Traditional Management*. Report produced by Eskimo Walrus Commission, Kawerak, Inc. under the grant from the U.S. Fish and Wildlife Service, Section 119, Cooperative Agreement #701813J506.

### **Archived documents and collections**

Smithsonian Institution Archives. "Record Unit 150: Assistant Secretary for Science, Research Award Proposals, Awards, and Contracts, 1965–1971." Series 3: Contracts, 1966–1969. Box 6, "Henry W. Setzer (Army)." Smithsonian Institution, Washington, D.C.

Lindsay, G. E. 1955. Notes Concerning the Botanical Explorers and Exploration of Lower California, México. Stanford University, Biology 199 (Winter Quarter), unpublished mimeo. Library, California Academy of Sciences, San Francisco.

\* Note: See *Chicago Manual of Style* 15th ed., pp. 707, 710–713 (sections 17.211–17.212, 17.222–17.229, 17.231–17.233) for additional examples and alternative forms that are acceptable if used consistently.