



# AUTHOR AND EDITOR GUIDELINES

Business and Social Sciences

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# 1. Introduction

These notes are intended to help you prepare a consistent manuscript and electronic files that will minimize additional work. A neat, well-prepared text with minimum formatting will enable the copyeditor, typesetter, and proofreader to do their work efficiently. Careful preparation of the manuscript will also reduce the amount of correction required at proof stage. Please remember that amendments and corrections are both costly and time consuming at all stages and may increase the list price of the book as well as delay publication.

Our typesetters will use your electronic files to ensure the accuracy of the text and minimize the number of errors introduced during typesetting. Please follow the guidelines closely. Always ensure that the version of your manuscript on CD is the final revised version and that it matches the final manuscript exactly.

## Notes for editors

- \* To achieve consistency between contributions, please ensure that all contributors receive the 'Notes for contributors' before they submit their contributions. It may also be helpful to prepare a list of preferred spellings of words which may occur in different contributions as it is the editor's responsibility to ensure a good level of consistency throughout the manuscript. In the interests of a quick production time and in the absence of instructions to the contrary our copyeditors will mark for consistency within, rather than between, chapters.
- \* Please inform contributors which style should be used for references and notes. (See Citations in Appendix C or Appendix E References)
- \* If any of the chapters were previously published, permission must be given from the original source and proof of permission delivered with the final manuscript.
- \* It is the editor's responsibility to gather the papers together, prepare the manuscript in good shape and submit a complete copy to us. Please do not ask the contributors to send their copies to us as this can result in confusion.
- \* The manuscript should not exceed the length specified in the contract unless by prior agreement. Figures and tables should be included in the word count with each figure counting as 500 words and each table as 300 words.

## Copyright and permissions

It is the author's responsibility to seek written permission for any work in copyright and also to settle any fees which may arise as a result of this. Copyright of material published in the US and UK lasts for the author's lifetime plus 70 years.

Quotes: Permission to reproduce from copyright material is required if a quoted extract exceeds 400 words or a collection of extracts exceeds 800 words. This is only a rough estimation and permission should be sought from the publisher of any published material if in doubt.

Illustrations: Permission is required if any tables, diagrams, illustrations, photographs etc. are copied from published sources. Acknowledgement of source, author and publisher must be made. Tables and figures with information drawn from other sources do not need permission but sources must be acknowledged.

Authors should request permission for print (hardback and paperback) and electronic editions of the book, as well as world language rights.

Below please find a draft permissions letter which can be amended as necessary:

\*\*\*\*\*

Dear Permissions Coordinator,

I have been invited by Edward Elgar Publishing to publish the book "....."

I am writing for permission to use the following:

I hope that you will grant me non-exclusive world language rights to use the above in both print (hardback and paperback) and electronic formats. I will of course include the normal form of acknowledgement to the original source of publication.

I would be very grateful if you would sign and return this letter as confirmation of your permission to use this material as soon as possible.

With many thanks for your assistance,

Yours sincerely,

**PERMISSION GRANTED**

**SIGNED**

\*\*\*\*\*

Libel

Please ensure that you do not make any defamatory or injurious statement about living persons, institutions or other organizations which could result in libel claims.

## 2. The final manuscript

When you are ready to submit your final manuscript use the 'Save as ...' option to save the most recent versions of your electronic files and then print out one hard (i.e. paper) copy of the complete manuscript on one side of the paper only in double line spacing and with wide margins of 1.25 inches or 3 cm. Notes and references should also be double-spaced. Send this copy plus one good photocopy and the electronic files on CD. You should, of course, retain one hard copy of the text for safekeeping. The hard copy you send us will be edited and used by the typesetter; one photocopy is needed for estimating the costs of production. Please ensure that what is on the CD exactly matches the hardcopy.

## Notes for editors

- \* Please number the pages consecutively through the manuscript, rather than starting afresh for each individual chapter.
- \* Individual chapter contents pages should be removed in favour of one contents page at the beginning of the book.
- \* Please remove/delete all abstracts.

**Please look over the hardcopy to ensure that pages, tables and figures, etc. appear correctly and that the table of contents matches the chapter headings. This will minimize potential delays.**

Secure your manuscripts with elastic bands rather than binding them in any way. Please also inform us when you have sent the manuscript in case of any problems with shipping.

Your manuscript and CD should be sent to:

(Books commissioned from US office)

Edward Elgar Publishing Inc

The William Pratt House

9 Dewey Court

Northampton, MA 01060-3813

US

(Books commissioned from UK office)

Senior Editor,

Edward Elgar Publishing Ltd

The Lypiatts, 15 Lansdown Road

Cheltenham, Glos GL50 2JA

UK

A brief preliminary check will be made through the manuscript before it is passed to our editorial and production services office in the UK. The main aim of this check is to clarify any points or issues that may otherwise delay publication if they are brought to light at a later stage in production.

**Production cannot start on the manuscript if anything is missing i.e. permissions, foreword, etc. Please note that the production schedule begins when the manuscript is passed to our production offices in the UK, and not when it is first received in house.**

If your book is in a series it will be sent to the series editors for approval. We need to receive this approval before your manuscript is sent to our production offices. We may also arrange for a peer review of the final manuscript before work can begin on production. You should refer to your commissioning editor for clarification on this. This is for the purposes of confirming the quality of the work and giving you the opportunity to take any suggested revisions into account before editorial work begins.

## 3. Production

The hard copy, one photocopy and the electronic files will be passed to our editorial and production services office in the UK, where your manuscript will be allocated to a desk editor who will be responsible for seeing the manuscript through all stages of production to final bound books.

We will copyedit the text and mark all instructions for the typesetter onto the manuscript. Choice of typeface, page layout and artwork positioning will be determined by us.

The actual copyediting will be undertaken by a freelance under the desk editor's guidance and the

complete manuscript will be read through carefully for clarity and consistency and marked up for typesetting style. The grammar will be checked but our copyeditors are not experts in the subject area of your book and so, while they can improve grammar, the meaning needs to be clear. The copyeditor will email you with any queries. Please reply promptly as our copyeditors are working to deadlines.

An edited Word document or pdf files of a scanned copy of your copyedited manuscript, including your query responses, will then be emailed to you for approval or you will be directed to our ftp site to download the files. It is essential that you check the text carefully to ensure that nothing has been added or deleted by the copyeditor that you are unhappy about. Once you have seen the text at this stage we will assume that you have approved it in its edited form and any corrections made at proof stage as a result of copyeditor's changes will be attributed to you. **You should resist the temptation to make any revisions to your manuscript at this stage as revisions to your text will delay publication and may increase the price of the book.** Under no circumstances should you amend your files and submit a revised manuscript at this stage.

After the manuscript has been approved it will be sent for typesetting. Electronic files of figures will be converted so that they are suitable for printing. As soon as a proof date is arranged we will inform you and suggest a date by which you will need to notify us of corrections. If these dates are not convenient please let us know immediately so that the schedule can be reorganized. Delays in approving proofs often mean that publication is delayed and so it is important to avoid these where possible. By this time you should have let us know whether you will be preparing the index yourself or whether we should engage a professional indexer to carry out the task.

## 4. Proof correction

Page proofs will be sent to you by email as pdf files or you will be directed to our ftp site to download them. The purpose of the proofs is for you to check that the text has been followed correctly. Two to three weeks are usually allowed for the approval of proofs (and preparation of an index).

Proofs should not be regarded as more than an opportunity to check that the typesetter has followed the manuscript accurately. Alterations at this stage are extremely expensive and time consuming - amendments to the text at proof stage will lead to escalation in the price and a delay in the publication date of your book.

Your contract draws attention to your liability for excess corrections. At today's prices very few corrections can be made before the 'excess' level is reached. Only typographical errors should therefore be corrected at this point.

Proofs should be checked against the copyedited manuscript to ensure that no text has been omitted and corrections should be marked in different colors (blue for any author changes; red for any typesetter errors; black for any errors caused or missed by the publisher or copyeditor).

It is the responsibility of the author to insert page numbers in the text where there is a cross-reference in place of 'see pp.000-000'.

## Note for editors

- \* Please note that it is your responsibility as editor to liaise with contributors about the copyeditor's queries, collate contributors' corrections at proof stage, and return answers and proof corrections to your desk editor within the schedule.

## 5. The index

The index will be prepared at proof stage either by you or by a professional indexer. If you are contracted to prepare the index yourself we will send you further guidance at the appropriate time.

## 6. Covers

The design of the cover for your book will be our responsibility but any suggestions you may have will be very welcome. You will need to enclose any suggestions with your final manuscript or discuss the design with your commissioning editor before the manuscript is delivered. You will be sent an author promotion form by our marketing department when we receive your manuscript. This must be returned in good time to enable the blurb for the cover to be prepared.

## 7. Finished copies of the book

The complimentary copies of your book due under the terms of your contract will be sent out as soon as copies of the book have been approved for sale. A publication date is then set. (The North American publication date is set for two months after the UK date to allow for shipping the books overseas.) Authors and editors are entitled to purchase additional copies of the book at the author discount as detailed in your contract.

If you plan to order a significant number of copies, it would be most helpful if you could let us know as soon as possible, preferably before the publication date. Likewise, if you know of any associations that plan to order a large number of copies, we would appreciate you alerting us.

## Note for editors

- \* Contributors are entitled to a complimentary copy of the book and are also entitled to purchase additional copies of the book at the discount detailed in the contract. Contributors' copies will be sent directly to you to distribute to the contributors unless otherwise agreed, in which case it is your responsibility to supply us with the contributors' complete and current shipping and email addresses when requested.

## 8. Guidelines for manuscript preparation

We hope that the guide in the following appendices will be useful as you write. It is not intended as a comprehensive document but as a set of guidelines to enable us to produce your book as quickly as possible. If you would like more information on any of the points mentioned do not hesitate to contact your commissioning editor.

### Appendix A: Electronic files

Text should be saved as .doc files. A current version of Microsoft Word is recommended because it is so widely used. If you are not able to use Word we ask that you save files in rich text format. Please ensure that you save the most recent version of each file. Each chapter should be saved in a separate file using the 'Save as ...' option to save the most recent versions of each file. Please also ensure that what is on the CD exactly matches the hard copy.

Figures should be saved in separate files. The original figures files should be supplied in a separate file. Do

not embed figures in the text (see also Figures and Tables in Appendix B).

Label your CDs with your name, the title of the manuscript, file names and the date files were created. In the case of contributed works please add the chapter titles.

Please check your CDs for viruses before sending them. When sending your CDs by post, ensure that they are properly protected from damage. Always keep an identical copy of your CD in case it is damaged in transit.

## Appendix B: The manuscript

Complete manuscripts should be submitted, rather than sending individual sections as and when they become available. Present your manuscript as simply as possible. Do not do any designing or formatting as complex formatting will have to be stripped out. It will take up more of your time and will also complicate and delay the production process.

The manuscript should be set out double-spaced (including quotations, bibliography, references and notes), with wide margins (1.25 inches or 3 cm wide) and printed on one side only of good quality paper. Please use the same typeface throughout.

All text should be ranged left, unjustified and without hyphenation for word division at the ends of lines.

Use hard carriage returns only to end headings and paragraphs and to signify indents. Use tabs to identify new paragraphs.

Be careful not to key in unnecessary spaces: only one space is necessary at the end of a sentence after a full point. One space must be keyed after a comma or other punctuation and before an opening parenthesis. There is no space following full points after initials (Mr J.B. Smith) or between acronyms (USA).

Number all chapters with Arabic numerals (e.g. 1,2,3...) each starting on a new page in a new file. Every chapter should contain a logical sequence of main sections, preceded by a heading and each of these headings can be divided into further sub-sections.

Leave additional spacing above and below section headings and above and below indented quotes (see section on Quotations).

If the chapters are grouped into parts use roman numerals (e.g. I, II, III...) for part numbers.

Number all pages consecutively in the top right hand corner from start to finish of the manuscript.

## Headings

Please type all headings - chapter titles, main and sub-headings - with initial capital for the first word only. Please try to avoid more than three levels of sub-headings in any chapter. Do not use underlining or capitals (except for proper nouns): these will be added by the copyeditor according to the setting style of the book. Part titles should appear on a new page by themselves.

## Preliminary pages

These should be included when the manuscript is submitted (with the exception of the copyright page) and should be as follows (as applicable):

- i. Half title page - title of the book only
- ii. Half title verso - blank page (a series listing will be inserted here, if appropriate)
- iii. Title page - title, sub-title, author's name and affiliation
- iv. Copyright page - to be compiled in house
- v. Contents page showing part and chapter titles (no subheadings)
- vi. List of figures (if more than 3 and fewer than 20)
- vii. List of tables (if more than 3 and fewer than 20)
- viii. List of contributors (if applicable)
- ix. List of abbreviations (if applicable)
- x. Foreword (if applicable)
- xi. Preface/Acknowledgements/Introduction (if applicable)

## Figures and tables

**Figures, tables, maps etc. should be created in black and white only and should be sharp, clear and legible and with the minimum line weight greater than hairline.** If artwork is scanned use 300 dpi for grayscale (image size should be c1600 x 2600 pixels) and 1200 dpi for line drawings. Please provide figures suitable for use in the finished book.

Tables, figures, maps and other artwork previously published will require permission and it is the responsibility of the author or contributor to clear this prior to the manuscript submission, and to advise us what form of acknowledgement is required by the copyright holder. (See page 3 for more on permissions.)

You should supply all figures, graphs, maps etc. at the same time as the final manuscript. These should not be embedded in the text, but should be supplied separately. (See Appendix A.)

Tables should be set out clearly using only horizontal rules. They may need to be re-keyed by the typesetter.

Figure and table captions should be included in the manuscript with an appropriate note indicating clearly where each figure or table is to appear. All figures and tables should be numbered consecutively within each chapter, for example Figure 1.1, Figure 1.2, Table 1.1, Table 1.2, etc. with A.1, A.2 being used in appendices. In the text refer to Table 2.1, Figure 3.2, etc.

Inclusion of photographs is discouraged unless absolutely necessary. Please contact your commissioning editor to discuss further.

## Appendix C: House style and spelling

The main points of style to which we prefer our books to conform are outlined here but we are happy to accept any reasonable consistent style. We would stress the three 'c's as criteria in all cases of doubt: common usage, consistency and, above all, clarity. Remember that direct quotations should not be

changed to conform to our house style but should appear as in the original. In the case of edited books, our copyeditors will only seek to make your manuscript consistent within chapters: if you require consistency between all chapters please let us know when you submit the manuscript.

ABBREVIATIONS are usually expressed without full stops.

ACCENTS are retained in foreign words, except in French upper case.

CHAPTERS of the book should be numbered 1, 2, 3 and referred to as Chapter 1, Chapter 2.

CITATIONS - The style used for citations should be consistent. Chicago, MLA, APA or similar styles are all acceptable.

COMMAS should be omitted before the final 'and' or 'or' in lists unless the concepts in the list are complicated and the comma aids clarity. Commas are usually unnecessary after adverbial phrases or conjunctions, especially when they begin a sentence - for example: yesterday, however, at last, during the summer.

DATES should be written 18 August 2007 and decades should be the 2000s without an apostrophe.

FULL POINTS are not needed after headings (including table headings), sub-headings or figure captions or after names and addresses printed below prefaces or in, for example, specimen letters.

HYPHENATION - Avoid using hyphens wherever possible, unless doing so makes the text confusing.

NOTES - It is our house style to use endnotes for ease of copyediting and typesetting as well as for ease of reading. Insert superior figures in the text at the appropriate point, with each chapter starting a new sequence of numbers.

NUMBERS in the text up to and including ten should be written out in full unless accompanied by a unit of measurement, for example 3 kg, 5 m or 2 per cent but two girls, etc. Numbers that begin sentences should be spelled out. Numbers over 10 should appear in figures, unless used in general terms - for instance, about a hundred people. Four-digit numbers should appear closed up (without a comma). Five or more digit numbers should appear with a space e.g. 23 000. Decimal points should appear as full stops on the line. Please mark clearly the difference between capital O and zero and between lower case l and figure 1 where necessary. 'Billion' is now more commonly used in its American meaning of a thousand million so it is best to make it clear early in the book in which sense it is used.

PARENTHESES (round brackets) should be used for simple interpolations, with square brackets used for editorial notes or interpolations in quotations.

QUOTATIONS/EXTRACTS must be an exact reproduction of the original in both spelling and punctuation even if this conflicts with the style in the rest of the book. Use single quotes for extracts in the text of less than 50 words in length and double quotes for quotes within quotes. For extracts exceeding 50 words in length material should be indented from the left margin, with space above and below and quotation marks omitted. Mark as 'extract' in the margin. Any notes or editorial comment within the extracts

should appear in square brackets and any omissions should be indicated by 3 dots followed by a full point if it occurs at the end of a sentence. Ensure that opening quotation marks are distinguished from closing quotation marks.

SPELLING should be standardized. It is helpful if you can supply a separate list of decisions made about spellings. Where a dictionary gives alternative spellings for some words please use the -ize suffix where possible.

SYMBOLS - If there are Greek letters or logical and mathematical signs in the text it would be helpful if a separate list of these characters could be sent in with the text for the benefit of the typesetter. Distinguish carefully between superior and subscript characters and underline any characters to be set in italic.

Omit apostrophes in plurals, for example 1950s, MPs.

Avoid too much emphasis. Italics should be used sparingly for emphasis.

Replace parochialisms such as 'in this country' or 'this year' with the country name or specific year.

In lists use 1,2,3, and so on for major lists and a,b,c for lists within major lists.

## Appendix D: Words ending in -ise, -ize, and -yse

(i) Use -ize in preference to -ise as a verbal ending in cases where both spellings are in use. Generally corresponding to the Greek -izo, it is added to form verbs to the stems of nouns ending in -ism, -ization, -izer, -y, and to complete nouns.

Examples:

|              |          |            |               |
|--------------|----------|------------|---------------|
| agony        | agonize  | criticism  | criticize     |
| appetizer    | appetize | philosophy | philosophize  |
| civilization | civilize | standard   | standardize   |
| colony       | colonize | transistor | transistorize |

Verbs in -ize formed on proper names:

bowdlerize, galvanize, macadamize, pasteurize.

(ii) The ending -ise must be used when the verb corresponds to a noun having -ise as part of the stem, e.g. in the syllables – vis- (seeing, as in televise), -cis- (cutting, as in excise), -mis- (putting, as in compromise), and when it is identical with a noun in -ise, as in exercise, surprise.

(iii) Nouns with endings other than -ism, -ization, -izer, and -y, such as those in -ition and -ment, are not usually associated with verbs in -ize (or -ise). Exceptions are aggrandizement/aggrandize, recognition/recognize, and others noted in *The Concise Oxford Dictionary* as 'assimilated to verbs in -ize'. Reference should be made to COD and Collins' *Authors' and Printers' Dictionary* in doubtful cases.

Some of the more common verbs in -ise follow:

|           |              |           |           |
|-----------|--------------|-----------|-----------|
| advertise | demise       | excise    | promise   |
| advise    | despise      | exercise  | revise    |
| analyse   | devise       | franchise | supervise |
| apprise   | disfranchise | improvise | surmise   |
| arise     | disguise     | incise    |           |

(iv) -ise is also a termination of some nouns:

|            |            |             |          |
|------------|------------|-------------|----------|
| compromise | enterprise | franchise   | surmise  |
| demise     | exercise   | merchandise | surprise |
| disguise   | expertise  | reprise     |          |

(v) In verbs such as analyse, catalyse, paralyse, -lys- is part of the Greek stem (corresponding to the element -luisis) and not a suffix like -ize. The spelling -yze is therefore etymologically incorrect, and must not be used.

## Appendix E: References

Scholarly books must contain references to sources and the usual practice is to include these in an alphabetical bibliography at the end of the book or in an alphabetical list of references at the end of the chapter. Please include US as well as UK publishers where known. References to other publications should be organized using a simple reference system in the text, for example quoting the author's name, original year of publication, year of publication of edition consulted (where applicable), and page number (e.g. Smith [1776] 1976, p. 81). This can then be expanded in the bibliography or list of references.

Bibliographical entries should be listed in alphabetical order and should contain as much of the following material as appropriate in this order:

1. Name of author, surname first in upper and lower case, followed by name or initials. Where there is more than one author use name or initials followed by surname for second and subsequent authors.
2. Year of original publication (in parentheses) followed by a comma)
3. Title of article (in single quotation marks followed by a comma)
4. Title of book, periodical, journal, thesis, (in italics and followed by a comma). Book titles should be preceded by the author's or editor's name where different from 1 above
5. Volume or issue number, volume number in bold, issue number in parentheses followed by a comma
6. Place of publication (followed by colon)
7. Publisher (followed by a comma, if page numbers or details of subsequent edition follow, or a full stop)
8. Opening and closing page numbers (for chapters in edited volumes and journal articles)

This should be set out as follows:

### **for a book reference:**

Stanton, Angela A., Mellani Day and Isabell M. Welpel (eds) (2010), *Neuroeconomics and the Firm*, Cheltenham, UK and Northampton, MA, USA: Edward Elgar Publishing.

### **for a book reference where a subsequent edition is cited:**

Smith, Adam (1776), *An Inquiry into the Nature and Causes of the Wealth of Nations*, reprinted in W.B.Todd (ed.) (1976), Glasgow Edition of the Works and Correspondence of Adam Smith, vol. I, Oxford: Oxford University Press.

### **for a chapter in an edited volume:**

Beck, Matthias and Steven Toms (2009), 'Accounting disclosure and human rights in the oil industry', in Christine A. Mallin (ed.), *Corporate Social Responsibility*, Cheltenham, UK and Northampton, MA, USA: Edward Elgar Publishing, pp.194–215.

### **for a journal article:**

Lipsey, R. and K. Lancaster (1956), 'General theory of second best', *Review of Economic Studies*, **24** (63), 11–32.





















Titles published by Edward Elgar up to and including 1995 should list Aldershot, UK and Brookfield, VT, USA as the places of publication. From 1996 onwards Cheltenham, UK and Brookfield, VT, USA should be listed as the places of publication. For titles published in 1997 and 1998 Cheltenham, UK and Lyme, NH, USA should be listed. From 1999 onwards Cheltenham, UK and Northampton, MA, USA should be listed.

### **Our recommended style for web references is:**

Kuoppamäcki, P. (2003), 'Jokes about economists and economics', available at <http://netec.mcc.ac.uk/JokEC> (accessed 12 December 2008).

Appendix F: Common proofreading marks

| Instruction   | Textual mark                                      | Margin mark         | Comment   |
|---|---|---------------------|---|
| No corrections on this page                               | [ None ]  |                     | Mark indicates that the page has been looked at.  |
| Leave unchanged ('stet')                                  | <u>InterColor</u> consortium                      |                     | Often added to cancel an instruction wrongly requested.   |
| Remove unwanted marks                                     | under <sup>o</sup> no circumstances               |                     | May be applied to blemishes in reprographics  |
| Refer to appropriate authority                            | <u>InterColor</u> consortium                      | ?                   | For use when the proofreader is unsure, or where a style guide can be referred to                                 |
| Insert new matter   | The <del>red</del> hen                            | little <del>l</del> |   |
| Insert additional matter                                  | required <del>l</del> However, as                 |                     | Additional matter is supplied on a separate sheet marked with reference letter.                                   |
| Delete  | See <del>the</del> table on page 5.               |                     | (In practice, these are usually the same in modern typesetting: 'close up' can be inferred from context.)         |
| Delete & close up   | See <u>the</u> table on page 5.                   |                     |   |
| Substitute character                                      | The little red <del>h</del> en                    | e                   |   |
| Substitute string of characters e.g. word                 | The little <del>red</del> hen                     | black               | Vertical marks at end of line help to indicate boundaries.  |
| Wrong type font used; replace with correct font           | Too <u>many</u> cooks                             |                     | (May also need to refer to style guide or give type specifications.)  |
| Insert a full point                                       | This sentence must end <del>l</del>               |                     | (The encircling ring helps to identify the character, which might otherwise be mistaken for a spot on the proof.) |
| Insert a colon  | This clause has a point <del>l</del>              |                     |   |
| Insert a semi-colon                                       | This is wrong <del>l</del> I should               | ;                   | (In this example, a semi-colon is being substituted rather than inserted.)  |
| Insert a comma  | Fish <del>l</del> chips and peas                  | . or                | (As a comma is so small, to circle it might be wise.)   |
| Insert single quotes                                      | The <del>l</del> liberated <del>l</del> territory | ' '                 | The additional mark under the punctuation helps to indicate the superscript positioning                           |
| Insert double quotes                                      | The <del>l</del> liberated <del>l</del> territory | " "                 |   |
| Insert apostrophe   | The child <del>s</del> pajamas                    | '                   |   |
| Substitute character in superscript or subscript position | 23,500 m <del>3</del> of lumber                   |                     |   |
|   | An escape of CO <del>2</del> gas                  |                     |   |

| Instruction                                   | Textual mark   | Margin mark  | Comment  |
|---|--|--|--|
| Set in or change to italics                   | An <u>incredible</u> fortune                           |   |  |
| Set in or change to bold                      | An <u>incredible</u> fortune                           |   |  |
| Set in or change to bold italics              | An <u>incredible</u> fortune                           |   |  |
| Set in or change to capitals                  | When in <u>Rome</u> , do as                            |   |  |
| Set in or change to small capitals            | <u>When in Rome</u> , do as                            |   | (Some typefaces have a complementary 'expert set' containing small capitals.)                                      |
| Capitals for initials; rest in small capitals | <u>When in Rome</u> , do as                            |   |  |
| Change capitals to lower case                 | <u>FAILURE</u> is seen                                 |   |  |
| Change small capitals to lower case           | <u>FAILURE</u> is seen                                 |   |  |
| Change italic to roman                        | An <u>incredible</u> fortune                           |   |  |
| Start new paragraph                           | are confirmed. <u>The new name for the company is</u>  |   |  |
| No new paragraph; run on                      | are confirmed. <u>The new name for the</u>             |   |  |
| Insert space between characters/words         | This type <u>face</u> is called                        |  or  | # is typographer's shorthand for 'space'.  |
| Close space between characters/words          | This type <u>face</u> is called                        |   |  |
| Indent text by amount indicated               | are confirmed. <u>The new name for the company</u>     |   | (An em is a space equal to the body size of the type; other units of measure could also be used e.g. millimetres.) |
| Cancel indent                                 | are confirmed. <u>The new name for the company</u>     |   |  |
| Transpose characters                          | Accidents <u>ah</u> ppen                               |   |  |
| Transpose words                               | This <u>fat</u> <u>full</u> cheese                     |   |  |
| Take over to new line                         | Cider apples have been <u>a</u> major source of income |   |  |
| Take back to preceding line                   | Cider apples have been <u>a</u> major source of income |   |  |

that head  $\times$   $\rightarrow$  18 pt Roman  
Fresh page 272  
 $\square$  7. FLEXIBLE EMPLOYMENT IN THE U.S.A.  
 $\rightarrow$  McGlashan and Kay/Glasgow, Rebecca Ellis & Doug Glasgow 14 pt bold  
 $\times$   
 $\rightarrow$  **7.1 Introduction** 12 pt caps  
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$\times$  In this chapter, we examine the state of contingent and alternative work in the United States. The situation in the U.S. is not necessarily an increase in flexible work, but a significant change in the way that work is being arranged (Micco, 1999). Employee-employer contracts are more varied in design than the typical permanent work contract. The U.S.A. has also seen a tremendous growth in staffing services and alternative work agencies (*ie*, temporary help agencies, independent contracting firms, outsourcing), as a result of a changed 'mindset' about employment in the U.S.A. According to the U.S. Bureau of Labour Statistics, in February 2001 approximately <sup>4</sup>four per cent of workers considered themselves to be contingent workers, and 9.4 <sup>(acc. to)</sup> per cent considered themselves to be in alternative employment arrangements.

$\times$   $\square$  We first examine the larger labour market context in the U.S., including a discussion of the general economic and employment trends during the 1990s. We then describe the institutional framework, including industrial relations and the legal framework and regulations surrounding employment. <sup>Next</sup> We then turn to an in-depth examination of the existing data on the demand for alternative employment (*ie*, <sup>that is</sup> the distribution of these arrangements across general industry and occupational categories), as well as the supply of

*From an* → This means <sup>to</sup> consider <sup>ing</sup> other forms of regulatory institutions affecting the employment relationship, such as codetermination, collective bargaining and social security systems guaranteeing a steady income stream against risks (Schmid, 1994). Moreover, a *myriad* of individual habits, values and preferences, group routines and norms have to be taken into account. Habitual, routine, and imitative behaviour is, according to Schmid (1994), the reason that even identical formal rules of the game might be played quite differently and different formal rules might end with the same results. To the extent that these norms and values affect individual expectations of the continuation of the employment relationship they may also have an impact on <sup>the way</sup> ~~how~~ regulatory regimes are played out in practice. Thus, the use of contingent employment may be influenced by other institutional arrangements than statutory law.

□ In order to address these issues, this volume will focus on the following questions:

- • □ What are the driving forces for the use of contingent employment?
- • □ How are contingent employment relationships regulated?
- • □ How are institutional frameworks affecting the use of contingent employment?

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*(A) (B) (C) (D)* **1.2 A Comparative approach** *(12 pt caps)*

We have chosen to compare the development of contingent employment in five European countries (Sweden, The Netherlands, The U.K., Spain and

sortation of business mail, before injecting it into the Royal Mail's network for the final delivery of items.

As part of the current price control that was agreed in 2006, the 'access headroom control' was introduced into Royal Mail's license, requiring it to retain a minimum headroom between Second Class bulk mail retail products and equivalent access products, to ensure that profitable entry could occur. For example, if the retail price is 18p, given required headroom of 4p, then the access price must be less than 14p.

Within the bulk mail retail market alternative postal operators guarantee to deliver mail within two days of posting whereas Royal Mail Second Class service offers a 2-3 day delivery service. Royal Mail also has Third Class bulk mail service where delivery is between three and seven days. However, there are no equivalent Third Class access products, or any regulated headroom provisions with respect to these services. Given the longer delivery timescale, Royal Mail prices its Third Class bulk mail services lower than its Second Class service. In addition, a number of bulk mail retail products attract further discounts if they meet certain criteria.

### 3 REASONS THAT ANTI-COMPETITIVE INVESTIGATION ARE INITIATED

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Anti-competitive investigations arise either as a result of complaints received from operators or customers in the market or from own initiative investigations. Postcomm in its Enforcement Guidance (2008) established procedures for the preliminary assessment of complaints and the launching of formal investigations. In 2010 Postcomm (2010c) published a statement setting out its prioritization principles for projects. This guidance shows that Postcomm will consider the impact of any intervention and will only open a full investigation where it would be an appropriate use of Postcomm's resources to do so.

Rivals complain principally when they consider that the conduct of the incumbent is seeking to exclude them from the market. Incumbent postal providers may seek to exclude rivals by creating barriers to entry through price-based exclusionary conduct. For example, the incumbent firm may adopt a *predatory strategy* when a new firm enters the market, reducing prices to below its avoidable costs so as make it difficult for the entrant, to compete and force it to exit the market. Following exit of the entrants, the incumbent is then in a position to raise prices – although in European case law the ability to recoup losses is not a requirement to show that an incumbent has preyed. If an incumbent establishes a reputation for such conduct then entrants can be deterred from entering in the first place.

While regulators may seek to facilitate entry by mandating access to certain parts of the postal network, the incumbent may be able to retain a strategic advantage. This may arise due to the terms and conditions related to access provision being overly onerous or if they are set in a way that favors their own retail arm. This can take the form of a *margin squeeze* where the margin between the retail price set by the incumbent and the wholesale price is insufficient to allow the entrant to compete.

Other exclusionary behavior can include vertical restraints such that an incumbent may have a series of *exclusive purchasing agreements* with most large customers in a particular area, which could limit an entrant's ability to operate on a viable scale. Alternatively an