

American Statistical Association (ASA) Style Guide

The American Statistical Association (ASA) publishes the following quarterly journals:

- * The American Statistician (TAS)
- * Journal of the American Statistical Association (JASA)
- * Journal of Business & Economic Statistics (JBES)
- * Journal of Computational and Graphical Statistics (JCGS) (jointly published with the Institute for Mathematical Statistics and the Interface Foundation of North America)
- * Technometrics (jointly published with the American Society for Quality)
- * Statistics in Biopharmaceutical Research (SBR)

The ASA also publishes the following Open Access journals:

- * Journal of Statistics and Data Science Education (JSDSE, three times a year)
- * Statistics and Public Policy (SPP, throughout the volume year)

ASA POLICY GUIDELINES

Copyright. The following ASA journals are copyrighted: JASA, TAS, JBES, JCGS, Technometrics, SBR, and the corresponding author must sign an online copyright transfer to ASA before publication. All authors of an article must sign and submit a disclosure form. Any articles written by U.S. government employees as part of their official duties are in the public domain; consequently, such authors are exempted from transferring copyright.

Authors are able to retain copyright and make articles Open Access through payment of the Article Processing Charge (APC). Once a paper has been transmitted to production, details on making the final article Open Access may be obtained from the production editor.

The following journals are Open Access, and the corresponding author must sign a publishing agreement: JSDSE and SPP.

Important Note for NIH-funded Authors. As part of its author services program, ASA's publishing partner Taylor & Francis will deposit to PubMed Central (PMC) author manuscripts on behalf of authors reporting NIH funded research. The corresponding author will receive proofs for review. At that time, the corresponding author will be able to enter NIH grant information for all contributing authors via the Central Article Tracking system (CATS). Taylor & Francis will deliver to PMC the final peer-reviewed manuscript. Taylor & Francis will also authorize the author manuscript's public access posting 12 months after final publication in print or electronic form (whichever is the sooner). Following the deposit by Taylor & Francis, authors will receive further communications from the NIH with respect to the submission.

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Book Reviewers Rejoinders. The Book Review sections of the journals do not publish rejoinders to book reviews.

The Journals Production Office has developed these guidelines to help authors prepare their manuscripts correctly before submitting them to one of the journals. For more information, please contact journals@amstat.org.

LaTeX

Manuscripts submitted in LaTeX (any version) should use the “article” style and should avoid as much as possible the use of any special macros.

ORGANIZATION

Manuscripts must be organized in the following manner:

Title Page

Author Affiliations

Abstract and Key Words

Article Text

Appendices (appendices of more than two paragraphs should be prepared as online supplements to articles)

Acknowledgments

Funding

References

If possible, Tables and Figures should appear in the manuscript close to their initial reference. Tables and Figures placed at the end of the paper is also acceptable.

All Table and Figures should have titles that describe the contents.

ASA STYLE

Title Page

The title page should include:

- the article title in upper- and lowercase letters (initial uppercase for all important words, including all verbs, and for prepositions of four or more letters) (avoid mathematical notation and acronyms; spell out Greek characters),
- the name(s) of author(s) in upper- and lowercase letters,
- the affiliation(s) (including city, state/province, country if other than U.S., and postal/zip code), and email address.
 - Generally, only the permanent or primary affiliation should be included. Visiting appointments and secondary employment may be noted in the acknowledgment section.

Abstract and Key Words

An abstract must be submitted with the manuscript. It precedes the article text. The abstract should summarize results, topics discussed, and main conclusions, but it should not contain any displays or complex mathematical notation and no references. There is a limit of 200 words for abstracts. If an abstract exceeds the word limit, it will be edited to meet the length restriction.

The abstract is followed by three to five key words or phrases. The following guidelines should be used in preparing key words.

- Identify major techniques used, other areas to which the results apply, and commonly used synonyms for the terms in the title.
- Do not combine concepts in one key word if both concepts are important for indexing; that is, “nonindependent and nonidentically distributed variables” should be separated into “nonindependent variables” and “nonidentically distributed variables.”
- Do not use mathematical symbols and formulas. Spell out Greek letters.
- Use the singular rather than the plural whenever possible: for example, use “Gaussian process” instead of “Gaussian processes.”
- Do not use abbreviations and acronyms.

Text of Article

Headings. The ASA prefers that the main body of the article be divided by appropriate numbered section and subsection headings. Main headings are numbered using Arabic numerals followed by a period (e.g., 1. INTRODUCTION, 2. ANALYSIS OF DATA). When subheadings are needed, be sure to use no fewer than two under a main heading. They should be typed in upper- and lowercase letters. Use Arabic numerals in the following style: 1.1 Review of the Literature, 1.2 New Methods, and so forth. Sometimes a third level of headings is required.

Acknowledgment. Please include an Acknowledgment section at the end of the article if appropriate. This section should acknowledge assistance by individual colleagues, guidance received from Editors, Associate Editors, and referees, and any other pertinent information.

Funding. Please include a separate Funding section after the Acknowledgments if required. Financial assistance in the form of grants, university funding, or any other organizations should be included. **Appendices.** Authors are strongly encouraged to submit appendices as online supplements to their articles (see here for more information on supplements). Online supplements are freely available and fully searchable. Submitting appendices as supplements helps speed final publication of papers by reducing the journals' backlog. All appendices should be cited in the main body of the article as “the online Appendix” if there is only one and “online Appendix A,” “online Appendix B,” and so forth, if there are two or more.

Disclosure statement. In addition to funding acknowledgments, please be sure to include a disclosure statement. This is to acknowledge any financial or non-financial interest that has arisen from the direct applications of your research. If there are no relevant competing interests to declare please state this within the article, for example: The authors report there are no competing interests to declare. Further guidance on what is a conflict of interest and how to disclose it can be found here:

<https://authorservices.taylorandfrancis.com/editorial-policies/competing-interest/>

Lengthy or extended appendices must be supplied as supplemental material.

Please see each journal's Information for Authors page regarding submission of code and data with articles. The ASA prefers that code and data are submitted as supplemental material for articles.

Footnotes. Use footnotes sparingly for ASA journals.

Reference Citations. All references included in the References at the end of an article must be cited in the text of the article. For text citations, ASA uses the author's surname and date of publication, according to the following style. References cited in Supplemental Materials or online Appendices only should not appear in the main reference list, but as a separate reference list included with the Supplementary or Appendix files.

A direct citation of a reference places only the date within parentheses: Efron (2020) explored this in greater detail.

An indirect citation of a reference as an example places both the name and the date within parentheses with no punctuation between them: We conduct Monte Carlo simulations based on two well-known examples (Lee 2008; Ludwig and Miller 2007).

Citation of a particular page, section, or equation of a work should follow the date and be preceded by a comma. Use sec., chap, app., eq., p., and pp. in such citations. We rely on an algorithm of Das Gupta (1965, pp. 115-120). This distribution is known to be normal (Smith and Smith 1958, chap. 5).

References following direct quotations must include the page number(s) of the quote: "This was found to be fallacious thinking upon closer investigation" (Smith and Smith 1958, p. 209).

For works with multiple authors, use the full form of citation at all times for two authors. For three or more authors use the first author's surname followed by the phrase "et al." (not underlined).

When two or more works by the same author are cited together, do not repeat the name(s):
Tukey (1965, 1980)

Gilula and Smith (1971a,b)
(Tukey 1965, 1980)

When citing several references within parentheses, place them in date order: (Smith and Smith 1958; Tukey 1965, 1980; Gilula and Smith 1971a,b; Smith 1980)

The Reference List

The parts of a reference are author, date of publication, title, and publication information. All parts must be supplied for each reference.

Author. Author names are typed in upper- and lowercase letters, surname first followed by a comma and initials with periods and a space between all:
Bowman, M. J., and Myers, R. G.

Editor(s) are identified by "(eds.)" following the name(s). The reference list is alphabetized by authors' surnames, with work by a single author preceding that author's work in collaboration with others. Works by multiple authors should include all authors' names, never simply the first author's name followed by "et al." When more than one work is listed for the same author or team of authors, replace the name(s) with a long dash preceding the date for second and subsequent works.

Date of Publication. The date of publication follows the author name(s), within parentheses and followed by a comma:
Anderson, T. W. (1974),

If two or more works by the same author or team of authors have the same publication date, list them by order of appearance in the text and distinguish them by lowercase “a,” “b,” and so on, after the date: “(1970a).” Works accepted for publication but not yet published are listed as “in press” instead of the anticipated date of publication; this may be changed on page proofs if the work is published by that time. Works published online but not assigned to an issue should include the year the article was posted online and the article’s DOI.

Title. The title of an article in a journal or a chapter of a book is given within double quotation marks and immediately follows the date. It is separated from the publication in which it appears by a comma (placed before the closing quotation mark). The title of a journal or book should be typed in italics; journal titles must be spelled out completely and no abbreviations used (unless that is the actual title of the journal). Follow these titles with a comma. All titles should be typed in upper- and lowercase letters, using initial uppercase for all important words and prepositions of four or more letters.

Publication Information. The details of publication for an article in a journal include the series designation (e.g., Series A), volume number (for “in press” articles also), issue number if each issue begins with page 1, and continuous page numbers (e.g., 1148–1152, not 1148-52). The details of publication for a book include the volume number and edition number (or revision) if any, placed within parentheses immediately following the title—(Vol. 1), (rev. ed.), (Vol. 1; 2nd ed.); editor name(s) if any (initials separated by periods and spaces followed by surname)—ed. A. Zellner; place of publication; name of publisher; and continuous page numbers if listing only a single chapter or contribution—pp. 209–244.

If citing an article that has been published online but has not yet appeared in final publication, please cite as above but also give its Digital Object Identifier (DOI) following the journal’s name:

Fan, J., Fan, Y., Han, X., and Lv, J. (2020), “Asymptotic Theory of Eigenvectors for Random Matrices With Diverging Spikes,” *Journal of the American Statistical Association*, doi: 10.1080/01621459.2020.1840990.

Unpublished or Obscure Works. ASA discourages references to unpublished or obscure works. If such a reference is necessary, the entry should include the type of document it is (unpublished Ph.D. dissertation, unpublished technical report, Technical Report 721, unpublished manuscript, etc.) and the sponsoring body or repository. Personal communications are not included in the reference list but are cited in text as follows:

(P. Smith, personal communication, March 2, 1984)

Examples. Following are some examples of correct format for different types of references commonly found in articles in ASA publications.

Berk, K. N. (1978), “Comparing Subset Regression Procedures,” *Technometrics*, 20, 1-6.

Bowman, M. J., and Myers, R. G. (1967), “Schooling Experience and Gains and Losses in Human Capital Through Migration” (with comments), *Journal of the American Statistical Association*, 62, 875-898; Corrigenda (1968), 63, 222.

Dixon, W. J. (ed.) (1983), *BMDP Statistical Software* (Vol. 1, 3rd ed.), Berkeley, CA: University of California Press.

Efron, B., and Morris, C. (1977), Comment on “A Simulation Study of Alternative to Least Squares,” by H.

Clark and T. Schwisow, *The American Statistician*, 72, 102-109.

Freund, R. J. (1977), "An example of Prediction with Regression: A Comparison of Methods," in *American Statistical Association Proceedings of the Statistical Computing Section*, pp. 218-221.

Hoerl, A. E., Kennard, R. W., and Baldwin, K. R. (1975), "Ridge Regression: Some Simulations," *Communications in Statistics, Part A – Theory and Methods*, 4, 105-123.

Hogg, R. V., Smith, J., Jones, L., and Smith, S. (1973), "A New Sample Adaptive Distribution-Free Test," Technical Report 24, University of Iowa, Dept. of Statistics.

International Mathematical and Statistical Libraries, Inc. (1976), *IMSL Library 1* (5th ed.), Houston, TX: Author.

NOTE: When the publisher is the same as the author, simply state "Author" rather than repeating the name.

McQueen, M. Y. (in press), "Kruskal's Proof Refuted," in *The Theorems and Proofs of Kruskal*, eds. J. Doe and B. Doe, Chicago: Rand McNally.

Scheffe, H. (1958a), "Experiments With Mixtures," *Journal of the Royal Statistical Society, Series B*, 20, 344-360.

— (1958b), "Optimal Asymptotic Tests of Composite Hypotheses," in *Probability and Statistics* (1978 ed.), ed. U. Grenander, New York: John Wiley, pp. 255-279.

— (1973), "Symptotic Theory of Sequential Fixed-Width Confidence Intervals," unpublished Ph.D. dissertation, Florida State University, Dept. of Statistics.

Webster's Ninth New Collegiate Dictionary (1983), Springfield, MA: Merriam-Webster.

Citations of Electronically Published Documents

In most cases, such citations will take the form of an author's name, title of the document/publications, the date of publication, and the document's availability, shown by its URL.

For articles published on arXiv or other publicly available repositories:

Villani, M., Quiroz, M., Kohn, R., and Salomone, R. (2021), "Spectral Subsampling MCMC for Stationary Multivariate Time Series," arXiv:2104.02134.

All elements of the reference should follow those of references to conventionally published documents, separated from each other by commas.

Bilodeau, A. (1994), "Into the Net: A Reporter's Transformation," *Computer-Mediated Communication Magazine* [online], 1, 8. Available at <http://www.rpi.edu/decemj/cmc/mag/archive.html>.

Funder, D. C. [cited July 28, 1994], "Judgmental Process and Content," *Psycholoquy* [online], 5, 17. Available by FTP at princeton.edu/pub/harnad/Psycholoquy/1994.volume.5psycholoquy.94.5.17.baserate.12.funder.

Where possible (or if necessary), include the digital object identifier (DOI) with the reference.

Yan, X., and Su, X. G. (2009), "Stratified Wilson and Newcombe Confidence Intervals for Multiple Binomial Proportions," *Statistics in Biopharmaceutical Research* [online], DOI: 10.1198/sbr.2009.0049. Available at <http://pubs.amstat.org/loi/sbr>.

Tables

General Guidelines. Tables should appear in the body of the submitted manuscript as soon as possible following their first reference, not in separate files and preferably not at the end following the references. Tables illustrating an argument given in the text should have a clear story line. Those merely recording numbers for reference should be put in an online appendix as supplementary materials. Exceptions to this are rare.

In empirical tables it is best to use meaningful abbreviations in row and column labels, rather than long descriptive labels. In contrast, in theoretical tables, labels consisting of merely arbitrary algebraic symbols (e.g., α_1 , α_2 , β_i , β_j , π) should be avoided and something more helpful given to the reader. The numbers in the table should be heavily rounded—more than two effective digits are seldom used even by the author in interpretations, so the reader will hardly need them. Row and column averages are also often helpful to the reader.

Numbering and Citing. Tables are numbered consecutively in the order in which they are cited. Therefore, each table must be cited. In page layout tables are placed in sequence as close as possible to their first citation in text.

Title. Each table must have a brief descriptive title:

Table 1. Mean performance scores of students with different college majors.

The title should not duplicate information in the headings of the table.

Column Headings. Every column must have a heading that identifies the content, including the stub column. A heading, should be brief and should not be much wider than the longest entry in the column. Standard abbreviations may be used without explanation (e.g., "no." for number, "%" for percent), but abbreviations of technical terms and the like must be explained in a note to the table (if not already introduced in text). Sometimes a straddle heading may be appropriate to avoid repeating the same word in two or more column heads:

Level

10%	5%	1%
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Body. No horizontal or vertical rules are used in the body of the table. Rows in a table should be single-spaced, with occasional gaps for big tables (e.g., every fifth line). Columns should be fairly close together, to help the eye move from one to the other. Only like items should be included in the same column. If the bottom part of a table requires different column headings, it should be presented as a

separate table. Within columns decimal points should be aligned. If values are also given parenthetically, align decimals of values within parentheses separately.

Notes and Footnotes to Tables. When additional information must be given (e.g., explanations of abbreviations, descriptions of procedures, and anything applicable to the general comprehension of the table), it should be presented as a note immediately beneath the rule closing the body. The word “Notes” should be typed flush left and followed by a colon and the text of the note. If a particular entry in a column requires explanation, use a footnote designated by a superscript lowercase letter next to the entry. The footnote should follow the word “Note” and should have a paragraph indent.

Tables From Another Source. Authors must obtain written permission to reproduce or adapt all or part of a table from a copyrighted source. This is obtained from the copyright holder and must be submitted with the manuscript. The source and reprint permission are given as a final note to the table. The word “Source” begins a new paragraph and is followed by a colon and the source information. Source information should be worded as requested by the copyright holder.

Figure Captions

Each figure must have a figure caption, including the figure number. Figures are numbered consecutively, using arabic numerals, as they are cited in text. Figure captions should appear under each figure.

Figures must be clearly described. The combined information of the figure caption and the text of the body of the paper should provide a clear and complete description of everything that is on the figure. Detailed captions can often be of great help to the reader. First, describe completely what is graphed in the display; then draw the reader’s attention to salient features of the display and briefly state the importance of these features.

Generally, it is a good idea to include the key to symbols in the caption to avoid cluttering the display. Abbreviations not already defined in text must be defined in the caption.

Figures and their titles are editorially reviewed. The following examples illustrate these guidelines:

Figure 1. Regression quantiles in a heteroscedastic case. The scatter is an artificial sample of 100 points from a heteroscedastic model with Gaussian noise. Superimposed on the scatter are the regression quantile estimates for θ in $\{0.05, 0.25, 0.50, 0.75, 0.95\}$. The vertical dashed line is drawn through χ .

Figure 2. Data and components. The natural logarithms of calendar-adjusted Bell System telephone installations are plotted in the top panel, and the three components are plotted in the other panels. The scales of the panels are not the same. The bars to the right portray the relative scaling by representing the same amount of change in the data and components. For this example, the decomposition was run with the length of the trend smoother equal to 15 and the length of the seasonal smoother equal to 11. The seasonal component accounts for a substantial amount of variation in the series. The irregular component reveals two outliers, one in 1968 and one 1971, both of which are the result of strikes.

Figure Artwork

Figures should appear in the body of the submitted manuscript as soon as possible following their first reference, not in separate files and preferably not at the end after the bibliography. (Please note that, upon acceptance, we will ask that figures be supplied as separate files for production.) Figures must be visually clear when viewed at the size they are likely to appear in the journal. It is best to prepare artwork so that when reduced to this size, the letters and symbols will be no smaller than 8 points, the type size used for tables and figure captions. All lines, lettering, and plotting symbols must be sharp and dark enough to bear reduction without loss of clarity.

When feasible, put important conclusions into graphical form. Not everyone reads an entire article from beginning to end. When readers skim an article, they are drawn to graphs. Try to make the graphs and their captions tell the story of your article.

Make the quantitative information that is graphed stand out. Be sure that different items on a graph can be easily visually distinguished.

Proofread figures.

Preparing Artwork. Artwork may be in any electronic format, eps, pdf, jpg, tif, png, etc. Bitmap artwork, e.g., .jpg or .tif, should be 300 dpi resolution with all labels clear and readable. Please consider each journal's format when preparing figures. Labels that look readable on a very large figure will lose legibility if the figure needs to be greatly reduced to fit in the journal's space. The main criterion is that everything be sharp. To aid legibility of words, use upper- and lowercase letters—not all uppercase letters—for axis labels and any other labeling necessary.

The following are useful references to consult for more information on graphical displays:

Murrell, P. (2019), *R Graphics*, Third Edition, Chapman and Hall/CRC Press
<https://www.routledge.com/R-Graphics--Third-Edition/Murrell/p/book/9780367780692>

Keen, K.J. (2020), *Graphics for Statistics and Data Analysis with R*, Chapman and Hall/CRC Press
<https://www.routledge.com/Graphics-for-Statistics-and-Data-Analysis-with-R/Keen/p/book/9780367734442>

Grant, R. (2019), *Data Visualization: Charts, Maps, and Interactive Graphics*, Chapman and Hall/CRC Press
<https://www.routledge.com/Data-Visualization-Charts-Maps-and-Interactive-Graphics/Grant/p/book/9781138707603>

Breme, M., and Wu, S. (2021), *Data Sketches: A journey of imagination, exploration, and beautiful data visualizations*, Chapman and Hall/CRC Press.
<https://www.routledge.com/Data-Sketches-A-journey-of-imagination-exploration-and-beautiful-data/Breme-Wu/p/book/9780367000080>

Chambers, J. M., Cleveland, W. S., Kleiner, B., and Tukey, P. A. (1983), *Graphical Methods for Data Analysis*, Belmont, CA: Wadsworth.

Cleveland, W. S. (1985), *The Elements of Graphing Data*, Monterey, CA: Wadsworth Advanced Books and Software.

Fisher, H. T. (1982), Mapping Information, Cambridge, MA: Abt Books.

Schmid, C. F. (1983), Statistical Graphics, New York: Wiley.

Tufte, E. R. (1983), The Visual Display of Quantitative Information, Cheshire, CT: Graphic Press.

Figure Artwork From Another Source. Authors must obtain written permission to reproduce or adapt all or part of a figure from a copyrighted source. This is obtained from the copyright holder and must be submitted with the manuscript. The source and reprint permission are given at the end of the figure caption. Source information should be worded as requested by the copyright holder.

Mathematical Material

Numbered mathematical expressions should be typed and centered on a separate line and identified by consecutive arabic numerals in parentheses placed flush with the right margin. Short expressions requiring only one line should remain in the text unless there is need to refer to them elsewhere by number. Lengthy equations should be broken as much as possible to conform to the column format.

Rule of Thumb: A mathematical expression that exceeds 50 characters, including spaces, will not fit in one column width and will need to be broken.

Keep in mind that space is placed around all operation symbols and before and after function words such as log, sin, and ln [unless they precede or follow a parentheses, e.g., $\log(x+y)$].

Represent exponentials by “exp(x+y)” instead of “e” with a superscript.

Do not use double accents unless absolutely necessary.

EDITORIAL STYLE

In addition to content, manuscripts are judged on their clarity. Consequently, well-written and well-structured papers that will be of interest to a wide segment of the readership are preferred.

Although the production office does not undertake major revision or rewriting of manuscripts, it is ASA policy to copyedit all manuscripts and book reviews accepted for publication in accordance with the accepted rules of correct grammar, usage, spelling, and punctuation. In addition, ASA style includes deleting redundant words and phrases and Americanizing all spelling, usage, and punctuation.

Avoid common problems of style:

- Use quotation marks only when a standard term is used in a nonstandard way and to indicate the beginning and ending of a direct quotation.
- Hyphens are used when two or more adjectives or an adjective and a noun together modify another noun; for example, goodness-of-fit test is the equivalent of test for goodness of fit. Most words with prefixes such as sub and non are not hyphenated, for example: subtable, nonnormal.
- Italics are used to introduce important terms, when appropriate; they are to be used sparingly to indicate emphasis.
- Abbreviations and acronyms should be minimized; those that are used are spelled out on their

first appearances in the manuscript with the shortened form given in parentheses, for example, best linear unbiased estimate (BLUE).

- Numbers under 10 are spelled out when they are not part of an equation or an expression containing symbols.
- The sign % is always used when giving a specific percentage, for example, 23%, not 23 percent. Otherwise use the word percent.

For guidelines on style, usage, and the preparation of technical manuscripts for publication, the following sources, used by most publishers and available in libraries, may be consulted.

The Chicago Manual of Style (15th ed.), Chicago: University of Chicago Press.

Strunk, William, Jr., and White, E. B. (1979), *The Elements of Style* (3rd ed.), New York: Macmillan.

Skillin, Marjorie E., Robert M. Gay, and others, *Words Into Type* (3rd ed.) (1974), Englewood Cliffs, NJ: Prentice Hall.

ASA BLINDING GUIDELINES

ASA journals all use a rigorous double-blind reviewing system.

Blinding References

For the blinded version, all works by an author of the submitted manuscript should be left as-is, and listed in the reference section as normal. For in-paper blinding, works by an author of the submitted manuscript should be referred to in the third person. Display citations to blinded references in a manner similar to “. . . as seen previously in Smith (2002)” NOT “. . . as we showed in earlier work (Smith 2002) . . .”

“In press” and “submitted” citations should be used sparingly, but included as normal references where absolutely necessary.

Pre-publication URLs should be removed, and the reference listed as “unpublished.”

Title Page. The title page and/or frontmatter of the blinded version of a paper should contain no references to any author or to his/her affiliation.

Acknowledgments and Miscellaneous. Remove any acknowledgments section in the blinded version. Also, delete any notes that indicate affiliation, conference presentations, grants, author or departmental web sites, etc.

Appendices, Figures, Tables, and Supplemental Materials. Integrate appendices, figures, and tables into the same electronic file as the manuscript. Be sure to remove references to the authors in the blinded version. Any supplemental material that is not integral to the paper but perhaps useful to a reviewer should be submitted separately as blinded and unblinded files.

For answers to specific problems not addressed in these guidelines, please contact the ASA Journals

Manager, listed at www.amstat.org.