Experiences with notes, references, and bibliographies

David Walden

Notes, references, and bibliographies, and the possible interactions among them, collectively are a complicated topic (at least in American English writing), and one that I struggle with on all but the shortest and simplest writing projects. In this paper I illustrate and discuss some of my approaches and struggles. I don't claim any particular expertise — just lots of experiences.

In this paper, I will use the word *notes* to mean strictly discursive material (that is, auxiliary discussion of the topic that would confuse the thread of the discussion if included in the main text), and I will use the word *references* to mean strictly references to (or acknowledgments of) sources and additional documentation on the topic.

Referenced items can appear in footnotes, endnotes, or bibliographies, typically using reference markers in the main text that are either some form of author-year notation or are a unique (to the book or chapter) numeric or alpha-numeric sequence. Notes can appear in footnotes, endnotes, or in reference lists, typically cited from the main text with a sequence number.

In the various style manuals I have consulted, references listed in notes have been allowed a more relaxed format (for example, as in footnote 3) than references listed in bibliographies; for example:

Ackoff, Russell. 1981. *Creating the Corporate Future*. New York: John Wiley & Sons.

1   Most simply

Most simply, one's footnotes can be inserted with `\footnote{...footnote text...}`, using LaTeX's default of the footnote getting automatically numbered and being placed on the bottom of the page where the `\footnote` command appeared.[1]

The most basic approach to literature citations, then,[2] is probably to put them in regular footnotes with manual formatting of the book or article information, as below.[3] (By the way, the style manual cited in that footnote has 111 pages about how to deal with references, notes, and bibliographies.) However, one doesn't want to repeat the full reference if one needs to cite it again somewhere in the same document. This can be handled by putting a label in the first footnote comment, e.g.,

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[1] This is an example of a footnote.
[2] Avoiding learning anything new about LaTeX.
[3] *The Chicago Manual of Style*, thirteenth edition, The University of Chicago Press, Chicago, IL, 1982.

```
\footnote{\label{foot:CMS}\textit{The
    Chicago Manual of Style}...}
```

and then using the code

```
\textsuperscript{\ref{foot:CMS}}
```

as the footnote marker, as I have done here.[3]

2   My first book in LaTeX

My first significant project with LaTeX was in writing and composing a 760-page book.

2.1   Using BibTeX

This book has 315 items in the references section at the end of the book, and it had a notes section at the end of the Preface, the end of each of its 29 chapters, and at the end of the afterword.

With so many references, it was time to learn about BibTeX (`http://www.ctan.org/pkg/bibtex`) which I mostly did using the then current edition of Kopka and Daly's *Guide to LaTeX*.

I don't remember exactly how I did this, as after I provided a typeset copy of the manuscript to the publisher, the publisher retypeset it using QuarkExpress, as explained in my *TUGboat* paper about this experience (`http://tug.org/TUGboat/tb24-2/tb77walden.pdf`). However, it was something like the following.

I created a `biblio.bib` file as follows (except with 315 items in the file instead of 3):

```
\begin{thebibliography}{ABCDEFG}
@article{Abell93,
author="Thomas E. Abell and Dawn Dougherty Fitzgerald",
title="{HP}'s Quality Management System:
     {CEO} Roundtable Report",
journal="The Center for Quality of Management Journal",
volume={2}, number={3}, pages={3--4},
month={Summer}, year={1993} }

@book{Ackoff81,
author="Russell Ackoff",
title="Creating the Corporate Future",
publisher="John Wiley \& Sons",
address="New York", year=1981 }

@book{Akao90,
author="Yoji Akao",
title="Quality Function Deployment",
address="Cambridge, MA",
publisher="Productivity Press", year=1990 }
\end{thebibliography}
```

I found it convenient to put the items in the `biblio.bib` file in alphabetic order basically by first author's last name and year of publication (abbreviated in the BibTeX key field with a two digit year — I wasn't referencing any items where the early 1900s could be mixed up with the early 2000s).

I cited the references as in this example file:

```
\documentclass{book}
\begin{document}
TEST
\cite{Ackoff81} \cite{Abell93} \cite{Akao90}
\renewcommand*{\bibname}{References}
\bibliographystyle{plain}
\bibliography{biblio}
\end{document}
```

One uses BibTEX with a LATEX document named X by compiling X.tex, then giving the command bibtex X, and then compiling X.tex again. This resulted in the following test output:

TEST [2] [1] [3]

and a references section at the end of the book such as the following:

References

[1] Thomas E. Abell and Dawn Dougherty Fitzgerald. HP's quality management system: CEO roundtable report. *The Center for Quality of Management Journal*, 2(3):34, Summer 1993.

[2] Russell Ackoff. *Creating the Corporate Future.* John Wiley & Sons, New York, 1981.

[3] Yoji Akao. *Quality Function Deployment.* Productivity Press, Cambridge, MA, 1990.

Because the plain BibTEX style orders bibliography entries alphabetically by the first author's last name, the 315-item bibliography became a useful resource in its own right.

See also Appendix A.

2.2 End-of-chapter notes

The publishing world for management books doesn't like footnotes — they look too scholarly to be popular. In fact, the non-fiction world in the U.S. increasingly shies away from using note markers in the main text. In many books there is a set of notes at the end of the book with a section for each chapter and the individual notes labeled with a page number, a brief quote of text from that page, and then notes about the quoted words. An example follows:[4,5]

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[4] Taken from Ian Ayres, *Super Crunchers*, Bantam Books, New York, 2007, p. 224.

[5] To try to accomplish this endnote style, I tweaked a few lines of endnotes.sty to make the endnote command have two arguments, where the first argument is text that goes inline in the main text and is also shown in the endnotes, the second argument is the endnote itself, and the correct page number gets passed along to the endnote. But mine is not a robust solution: it was done by trial and error without so much understanding of endnotes.sty, and without any generality or cleanup of parts of endnotes.sty that were no longer needed. It would be nice if someone would implement a *real* package to do this.

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CHAPTER 2

Page 46: **Fisher proposes randomization:** Ronald Fisher, *Statistical methods for Research Workers* (1925); Ronald Fisher, *The Design of Experiments* (1935).

In any case, the editors of my book would not stand for having notes on pages of the main text. We compromised on end-of-chapter notes with numeric note markers in the main text of the chapters, although I had been drafting the book using footnotes.

I handled this by using the endnotes package (endnotes.sty) to which I made a few tiny changes in formatting (renaming the resulting changed file r-endnotes.sty (for revised endnotes). I initiated use of this capability in the usual way, that is,

```
\usepackage{r-endnotes}
```

(I had not yet learned about \RequirePackage.)

I next added the following code to my style file for this book that was processed as part of the LATEX preamble, and I put a \dumpendnotes command at the end of the file for each chapter. The \theendnotes command in the following definition is the piece of endnotes.sty that actually includes the saved-up endnotes at that point in the LATEX output.

```
\renewcommand{\footnote}{\endnote}
\newcommand{\dumpendnotes}{%
  \medskip
  \begingroup
    \setlength{\parindent}{0pt}
    \setlength{\parskip}{1ex}
    \renewcommand{\enotesize}{\normalsize}
    \theendnotes
  \endgroup
  \setcounter{endnote}{0}
}
```

With endnote sections for each chapter and a separate bibliography, the notes often also cited items in the bibliography, e.g., note 2 (for chapter 22) on page 465 of that book says:

2. The idea of push-and-pull, introduced in the figure, are derived from the ideas of [189].

where 189 is the number of a bibliography item.

3 Incremental development

Even when I know I am going to be using notes at the ends of chapters or at the end of the book, I usually do my original drafting with the notes at the bottom of pages so that I can see the text referencing the note and the note at the same time. Thus, in recent years I often do not use the actual \footnote and \endnote commands in the main text. Rather, I create definitions such as

```
\def\EN#1{\footnote{#1}}
```

and use `\EN{`⟨*note text*⟩`}` in the main text so that I can make the decision later to keep using footnotes or switch to having endnotes.

Sometimes I have used both footnotes and endnotes in a document, for instance, footnotes for notes and endnotes for references, or the reverse. In that case, I would define both `\EN` and `\FN` to be footnotes while drafting, and then switch one type to be endnotes when nearing completion of the document. Sometimes I also have not been sure if I was going to use BibTeX and the `\cite` command or put the references in footnotes or endnotes. Thus, I typically also do not use `\cite` in the main text but instead use `\CT` which later can be defined to do whatever I decide I want it to do.

Often while developing a book or other complex document I go back and forth several times switching the definitions of `\FN`, `\EN`, and `\CT`. Sometimes the final decision comes based on the publisher's book or journal style despite my preference.

4 My second book

I self-published the second book I composed using LaTeX (*Breakthrough Management*, co-authored with Shoji Shiba). Because the book was self-published, I got to control all the design decisions, for better or for worse.

4.1 Different approach to a bibliography

By the time I started this book, I had fallen in love with the convention for BibTeX keys, e.g., Ackoff81, that I had used in the previous book. I have never liked the conventional author-year approach to citing references, i.e., [Ackoff, 1981], despite its widespread use and the fact that many scholarly journals require it and the *Chicago Manual of Style* strongly recommends it. Numbers alone, e.g., [189], don't give any information to the reader. It is nice to know without actually going to the bibliography which author (at least first author) is being cited and in what year; sometimes that alone is enough for the reader to recall the document being cited.

Thus, I adopted my own convention for labeling bibliography items and manually formatted the bibliography entries. This bibliography was much smaller, the editor I hired had her own ideas about proper formatting for bibliography entries, and it was easier not to use BibTeX. The beginning of the bibliography file had the following definition to format the bibliography entries and entries such as the example for Ackoff81 shown below.

```
\def\ref#1#2{\vskip 4pt
    \vbox{\noindent\small
    \hangindent = 1pc \textbf{#1.}
```

```
        \hspace{.05in}#2}}
% using the MLA standard

\ref{Ackoff81}{Ackoff, Russell L.
    \textit{Creating the Corporate
    Future: Plan or Be Planned For}.
    New York: Wiley, 1981.}
```

which resulted in bibliography entries such as the following:

Ackoff81. Ackoff, Russell L. *Creating the Corporate Future: Plan or Be Planned For.* New York: Wiley, 1981.

There was a problem with using this notation. The book was typeset using the Minion set of fonts which includes old style numbers which made a zero in the year part of the notation the same size as a small letter o.

4.2 End-of-book notes

By the time I started this book, I also had become convinced that notes should either be at the bottom of pages where they are easy to see, or they should all be at the end of the book where they are relatively easy to find. The reader should not have to hunt for the notes at the end of every chapter.

In this approach, the command at the end of each chapter only reset the note counter to 0 and didn't actually dump any notes. Thus, all the notes from all the chapters are saved up with note numbers repeating from the beginning of each chapter.

Once again I modified `endnotes.sty`. In addition to some small formatting changes to the endnotes themselves, I tweaked the `\theendnotes` macro in `endnotes.sty` (and gave the style my own private name). With my change, when endnotes were dumped the only time at the end of the book, a chapter counter was started at 0 and then incremented by 1 each time a new note 1 went by as part of the endnote dump. The change also prints the text "Chapter" and the appropriate chapter number between the last note of one chapter and the first note of the new chapter.

5 My third book

I also self-published the third book I composed, *Visionary Leaders in Manufacturing*, again co-authored with Shoji Shiba, this time using the book option of the `memoir` class. In this case I decided to use the style I must use when writing and editing for the *IEEE Annals of the History of Computing*. This journal's style has all references and notes in one numeric sequence at the end of the article (or book, in this case) in a section called "Notes and references".

I could have just used one long sequence of numbered endnotes. However, then I would have to

do something special[6] not to have duplicate entries in the notes-and-references list when a particular book or article was cited more than once.

Consequently, I decided to use BibTEX and `\bibliographystyle{unsrt}` (a numeric list in order of use) for both the the notes and references, as in the following examples from my `biblio.bib` file:

```
@book{Shiba2003,
 author="Shoji Shiba and David Walden",
 title="Breakthrough Management: Principles,
   Skills and Patterns for
   Transformational Leadership",
 year=2006,
 publisher="Confederation of Indian Industry",
 address="New Delhi" }
@misc{ch1a,
 note="Although I have not used quote marks
   here, these paragraphs are copied or
   derived from the CII website\cite{CIIurl}
   and the preface of several VLFM documents;
   and I have kept their spelling in these
   near quotes." }
@misc{CIIurl,
 note="\url{www.cii.in}" }
```

This resulted in the following sorts of entries in the combined notes-and-references list, which I just labeled "References".

References

1. Shoji Shiba and David Walden. *Breakthrough Management: Principles, Skills and Patterns for Transformational Leadership.* Confederation of Indian Industry, New Delhi, 2006.

2. `www.cii.in`

3. Although I have not used quote marks here, these paragraphs are copied or derived from the CII website[2] and the preface of several VLFM documents; and I have kept their spelling in these near quotes.

6   Final note

Sometimes I wish that I could just pick one useful style for notes and references and use it over and over. However, different situations keep coming up, and sometimes I am too lazy to use something powerful like BibTEX even when it is appropriate to the situation. Fortunately, the set of experiences and approaches I have described here seems to be a good foundation for cobbling together additional approaches as I decide they are needed for particular

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[6] E.g., create a label in the endnote for the first instance of the citation and then manually insert that note number as a superscript at the point of the second instance of the citation.

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situations. (In general I avoid seeking out and learning new packages as long as I can tweak something I already know to do what I need.)

Still, there are other packages and options to use. For example, in the latest document I wrote before this one, I used `\usepackage[para]{footmisc}` to put multiple footnotes on the same line at the bottom of the page. Also, I have recently heard about the `biblatex` package for LATEX and the `biber` program which I understand are somehow alternatives to using BibTEX; maybe I *will* try something new for my next big project.

Acknowledgments

I already mentioned Kopka and Daly's *Guide to LATEX* as my basic source of BibTEX information. However, probably my main source of information when struggling to accomplish some new approach is the `comp.text.tex` discussion group; many people answered my questions or had answered prior questions in which I found answers (Boris Veytsman may have been the person who suggested the technique I mentioned in Section 5). I learned the technique in Appendix A from a file Frank Mittelbach sent to me.

Thank you to Karl Berry and Barbara Beeton for their editorial work on this note.

Appendix A: BibTEX without a separate file

If you have only a few references in a document and don't want to bother creating a separate `.bib` file, you can use the following technique.

Begin the file (before `\documentclass`) with a `filecontents` environment; for example:

```
\begin{filecontents}{\jobname.bib}
@article{Abell93,
author="Thomas E. Abell and Dawn Dougherty Fitzgerald",
title="{HP}'s Quality Management System:
     {CEO} Roundtable Report",
journal="The Center for Quality of Management Journal",
volume={2}, number={3},
month={Summer}, year={1993}, pages={3--4} }
...
\end{filecontents}
```

Then put a command such as

```
\usepackage[numbers]{natbib}
```

in the preamble. Finally, at the end of the file put commands such as:

```
\bibliography{\jobname}
\bibliographystyle{plainnat}
```

Then you can cite the bibliographic entries in the normal way, e.g., `\cite{Abell93}`.

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