

A Rose By Any Other Name

Indexing projects for sociology and psychology text often include requests for name as well as subject indexes. There are valid reasons for this request. The accumulation of author citations plays an important role in the pursuit of tenure by academicians. For those already tenured, author citations are part of the continuous “publish or perish” culture of academia. And, given the large number of author citations in this kind of text, having a separate name index can be more convenient for the readers to locate specific citations and to generally use both the name and subject indexes.

Name/author indexes can initially appear to be a very simple matter of just listing the names or author citations in the text. But this is deceptive as there are numerous issues to be considered in the construction of this kind of index. Unfortunately, while there are numerous copyediting and proofing style guides none of them, with the exception of *Chicago*, discusses or makes recommendations for indexes. Some publishers do have their own indexing style guides while others leave it to individual editors to instruct indexers on the required documentation. Still other presses will ask the indexer to use “their best judgment” for all formatting decisions. This reality places an enormous burden on the indexer to maneuver through the often quite complex issues of indexing specifications.

This article is not meant to be an exhaustive examination of all name and author citation indexes issues. But many of the most pertinent issues are discussed and it’s hoped that this collection may prove useful to the indexer assigned to produce such an index for a client.

Names vs. author indexes:

Name and author citation indexes are often used as interchangeable terms but they are, in fact, different. Name indexes include all names found in the text. Author indexes, on the other hand, are made up of only the authors cited in the text. Let’s take, for example, a discussion about Ronald Reagan. If the editor has asked for an author index the names included, in the index, would be the names of authors who have written about the Ronald Reagan and are cited during the discussion. All other names, including Ronald Reagan, would be included in the subject index. However, if the editor has asked for a name index then all names, authors and any other named individuals, will be included in the name index. I’ve found author indexes are common requests for psychology books. But there may be occasions when the editor wants a name index. Therefore, it is important to clarify, with the editor, exactly what is being requested—an author or a name index.

Psychology books may have numerous citations of organizations authoring a cited title. Some editors may expect these organizations to be included as author citations in the index. It’s prudent to check with your client regarding this issue.

For the sake of simplicity, from here on this paper will refer to name/author indexes without differentiating between them.

Format issues:

Scholarly books for university presses:

The next step in writing name/author indexes is to establish the required format. University presses typically use *Chicago* as a style guide. The usual indexing specifications of university presses are that only names in the body of text are included in the index. Names in the text, appearing inside parenthesis, are excluded from both name/author and subject indexes. Also excluded are names from footnotes, endnotes, and references. One important caveat to this rule is that individuals who are discussed at length, in either footnotes or endnotes, and not simply cited or mentioned in passing, are properly included in the index. However, the usual footnote rule of excluding continued discussion still applies. In other words, if a

discussion in the footnote is simply an extension of the same page text discussion there is no need to include a footnote page citation in addition to the regular page reference.

Again, there can be exceptions. Recently a university press editor requested that I not only list all author citations, including those in parenthesis, but also the authors listed in the references. This particular index was for a psychology text and the author had specifically requested this format citing the tenure issue as the reason for the request. While the editor admitted that the author's request went against "her Chicago grain" she was willing to comply with it.

Multiple author citations are often incompletely cited in the text. For example, there may be numerous authors of a cited title but only the first or perhaps first two authors will be listed in the text. The remaining authors are cited as "et al" authors. So the citation may read as "Jones, Smith et al" instead of "Jones, Smith, Doe, and Young." In a case like this university presses do not require that the names that the "et al" authors "Doe" and "Young" be included in the index. So, for a university press client, the author citations of "Jones" and "Smith" would be listed in the index but not "Doe" or "Young" since they do not appear in the text except as an "et al" citation.

Name/author indexes, unlike subject indexes, do not contain subentries regardless of the number of page references. The page reference format will be the same as for the subject index specifications.

Scholarly books for non-university presses:

Scholarly books for non-university presses use a variety of style guides. While some non-university presses follow *Chicago* others follow the APA style guide for copyediting. Though we should note that the APA does not include indexing specifications. If the style guide used is *Chicago* these presses will generally follow the same index specifications as university presses. Many of the other non-university scholarly presses, not following *Chicago*, will usually require that author citations inside the parenthesis be included in the index. Names from footnotes and endnotes are excluded from the index just as for university presses. And, though I have had the occasional request to include names from the references, more often they are also excluded from the index.

The treatment for "et al" author citations is handled in either of two ways. Some presses will follow the university press practice of excluding these names from the index. However, there are some presses that do require that all of the "et al" author citations be included in the name/author index. This requires that the indexer check all "et al" citations in the references in order to identify and include every author in the index. This does require extra work for the indexer and should be considered in the financial negotiations.

Page references for these presses are most often all inclusive. This is particularly true of the presses following style guides other than *Chicago*. But again, there are always exceptions and it's imperative to always check with the editor.

Textbooks:

Psychology textbooks often require name/author indexes as well as subject indexes. These books may be either for high school students or for undergraduate college students.

The format requirements for textbooks often follow *Chicago*. But it's not unusual, for even those presses following *Chicago*, to request that authors from within parenthesis be included in the index. I've also had requests to include names from the references, though again, this is not a common requirement.

Last word on formats:

The vast majority editors requesting name/author indexes will also ask that first initials, instead of spelled out names, be used in the index. Again, there are always exceptions, though this does seem to be the general rule.

Regardless of the kind of press it is always necessary to clarify the required format with the editor. Never make assumptions regarding the index specifications because you may end up with an incomplete or incorrectly structured index and an upset client.

Special situation names:

Special situations include names of foreign origin, names from ancient or medieval eras, and names with diacritic characters. Also included as special situations are names with particles, names with saint, compound names, and names with *Mac, Mc, or M'*, and pseudonyms. Names with nobility, military, or religious titles also may require special consideration.

Foreign names:

Foreign names can be difficult because the surnames, from which the sorting order is determined, can be different for American names. For example, Spanish names often appear with a double surname, the first being the father's family name and the second being the mother's paternal maiden name. Spanish names are indexed under the first surname, that is, the father's family name. *Chicago* Section 17.110 has more information on the indexing of Spanish names.

Japanese names may appear in text in either Japanese order, surname first followed by given name, or in Western order, given name followed by surname. It's critical that the indexer verify which order has been followed in the text. Once it has been established which order has been followed the indexer can then sort these names properly under the family name. Further discussion of Japanese names is in Section 17.119 of *Chicago*.

There are some exceptions for the surname rule. For example, Icelandic names are indexed under first names as are names of Indonesians of Javan origin. Names from ancient and medieval eras are also exceptions to this rule.

There are some excellent references available on the indexing of foreign names. *The Chicago Manual of Style* has information, in Sections 17.106 – 17.129, regarding a variety of names including Spanish, Hungarian, Arabic, Chinese, Japanese, Vietnamese, Indian, Burmese, Javanese and other Indonesian names, Thai and various other Asian names. *Indexing Books* by Nancy Mulvany also has extensive information on foreign names. This includes names of Afrikaans, American and English, Dutch, French, German, Hungarian, Italian, Portuguese, Romanian, Scandinavian, Spanish, Arabic, Burmese, Chinese, Indian, Japanese, Malay, Thai, and Vietnamese origins.

It's also important to take into consideration the international vs. American treatment of European names with prefixes. For example, "de Gaulle" is sorted under "G" in *Webster's Biographical Dictionary* as would be expected for an international press. On the other hand, my U.S. university press clients require "de Gaulle" to be indexed under "de" instead of "G." *Indexing Books* by Nancy Mulvany does a nice job of reviewing the treatment of both European personal names with prefixes and medieval names.

In addition, there are numerous reference books and online sources available for checking both the spelling of names and the name order. A list of these references is found at the end of this article.

Diacritics:

Associated with foreign names is the issue of diacritics. These are the accent marks or special characters included in some foreign names. This coding issue is one often misunderstood by new indexers. *While the correct diacritic may show on the computer screen the coding may be incorrect.* Some background information is required to better understand how this issue affects indexing.

In order for computers to “speak” with one another the ASCII standard was developed. The ASCII standard is a set of numeric codes standing for letters, numbers, and symbols. Not included in the ASCII codes are some Western European, Eastern European, Japanese, and Scandinavian diacritics. The ASCII standard has been supplanted by the Unicode 3.0 standard. For those interested in an in-depth discussion of the various coding standards readers are referred to David A. Schmitt’s excellent *International Programming for Microsoft Windows* (Microsoft Press, 2000).

Regardless of what is being used, ASCII codes, the Windows 4 digit codes, Unicode, using either an IBM or Macintosh platform, the prudent approach is to do a test run with new clients to ensure that both the standard and nonstandard diacritic coding is compatible. Once again, you cannot assume that because the correct diacritic is shown on the computer screen that the coding is compatible with your client’s system. But what to do if such a test run indicates that there will be an incompatibility problem?

There are three approaches to solving the problem of nonstandard diacritics. The first is to ask your client for their list of nonstandard diacritic coding. Many presses do have such a list and will provide it to the indexer for use in writing the index.

A second approach, if the client does not have a standard method for managing diacritics, is for you to develop a table of coding which can then be included with the final index so that the typesetter/compositor will be able to globally accommodate the substitution of affected characters.

The third approach is used for presses unable to provide a list of diacritic coding. In this case the indexer may need to somehow “mark” the entries requiring the nonstandard diacritics so that the compositor will be able to easily identify and insert the appropriate coding. This “marking” can be accomplished by a number of methods. A “string” can be written and put in for the missing diacritic. Another method might be to place the affected character in bold or to substitute a character not otherwise used in the index such as a dollar sign or percent symbol. The compositor, who will have the correct coding, will then be able to search for affected names and terms and make the necessary insertions.

Regardless of the method you choose, never make the assumption that the diacritic coding for one client will be transferable to another client. Each client may require different nonstandard diacritics.

What is not a viable approach is one I’ve often seen suggested on Index-L. That is, for the indexer to open up their index file in Word and then insert the appropriate diacritic symbol(s) into the index. Unless the publisher’s compositor will be using Word running on a computer using exactly the same font set (including country code), an unlikely prospect, the indexer may be putting in an incompatible diacritic coding.

One last word regarding the sorting of diacritics. Mulvany says that, when possible, diacritical marks are sorted like their English equivalents.¹ But again, it’s also advisable to double check with your editor regarding this issue as not all presses follow this equivalent alphabetizing convention.

Diacritics coding is an important issue in name/author citation indexes and one requiring a careful and cautious approach, *as what is visible on your screen may not be the viewable and printable results on a different system.*

Names with titles:

Names with titles are another special situation to be considered. Academic titles and degrees are not retained in indexes. Monarchs and popes are listed according to their rank rather than personal name. Titles

of nobility are included in indexes and can be tricky for Americans who are not always familiar with European titles. Some excellent sources are the New Oxford Dictionary of English, Cambridge Biographical Encyclopedia, and Section 22.12 in AACR2.

Military titles are not customarily included in indexes. However, there is the occasional request by editors to include them. If the editor insists on including the military titles there are two possible ways of handling them:

Smith, John (Capt.)
Smith, Capt. John^{II}

Additionally, there can be some confusion over the multiple ranks of the same individual over the course of the book. This issue is the reason that military titles are best kept out of the index and the editor will need to give instruction on how they want multiple ranks handled in the index. One approach is to use the highest attained military rank in the index though this can be problematic if the individual is discussed in the context of multiple ranks.

Like titles of nobility, religious titles are customarily included in indexes. This is the case regardless of the religious affiliation and is used for Islamic, Protestant, and Catholic religious leaders among others. Members of Catholic orders will be indexed under their religious name rather than their personal name. In the event that the individual is discussed both prior and after entering a religious order a cross-reference may be used to clarify that both the personal and religious names refer to the same individual. And religious ranks, like military ranks, may change over the course of an individual's life. In this case, the highest religious ranking title will be used in the index. Roman Catholic popes may be exceptions to this as their activities as both cardinals and popes may be discussed. For example, the current Roman Catholic pope might be discussed under his birth name or his cardinal title or as all three:

John Paul II, Pope
John Paul II, Pope (Cardinal Wojtyla)
Wojtyla, Cardinal
Wojtyla, Karol Joseph

Depending upon the context of the discussion all of the above entries might be appropriate for the indexing of this individual. Cross references or double posting, depending upon the context, might be needed in order to clarify to the reader that these are all the same individual.

Additional name issues:

There are some additional issues for names. *Chicago* Section 17.77-17.80 has information regarding the treatment of personal vs. professional names, pseudonyms, individuals with the same name, and married women's names. *Chicago* Section 17.88 discusses names of saints while Section 17.107 reviews family names in the form of a saint's name. Section 17.106 and 17.109, respectively, goes over names with particles and personal names beginning with *Mac*, *Mc*, or *M*. Nancy Mulvany's *Indexing Books* also reviews many of these same issues.

Logistics issues:

Name/author indexes have some unique logistic issues an indexer must take into consideration. First, one needs to consider how to approach the compiling of two indexes. Should the subject and name indexes be created separately or at the same time? If at the same time, how? And what should the approach be to inserting the correct first names or initials?

Separate vs. simultaneous index compiling:

First, a discussion on the merits of separately vs. simultaneously compiling subject and name/author indexes. Some indexers prefer to go through the page proofs twice, compiling first one index and then the second index. Others find that simultaneously compiling both indexes while going through the page proofs once works better for them. This is a matter of personal indexing style. Using either approach shouldn't have an impact on the end result, as there is no right or wrong to either approach. This choice has more to do with developing a comfortable working style best suited to the individual indexer. Fortunately, as will be discussed later, indexers have the benefits of some excellent software all of which can facilitate either approach.

Compiling first names/initials:

Another important logistic consideration is when to look up first names and/or initials of the author citations. Author citations are usually only surnames and the indexer will need to use the references to look up the correct first name/initials. Some indexers prefer to go through the proof pages, entering names as they come up in the text, and then look up first name or initials while editing the index. If this is the chosen approach it's wise to keep notes regarding the citation year in order to distinguish between similar last names. There may be multiple individuals with the name of "Smith" or "Jones" and it's important to identify the correct first name or initials with the right individual.

Another approach is to stop and look up each name as it is entered into the index. I find that this does facilitate the process of correctly identifying the author's first name and/or initials though it may not impact the time spent looking up names. Regardless of the approach taken, looking up first names is a time consuming process, particularly if the indexer also has to look up the "et al" authors.

Software aids:

There are many stand-alone software programs available to indexers. Discussing all the available programs is outside the scope of this article so the focus will be on the three primary programs used by indexers: CINDEK, MACREX, and SKY. All three programs have enormous depth but the discussion here will focus on applications specific to name/author indexes.

CINDEK allows the indexer to work on two indexes at the same time, tiled or cascaded and sized as you prefer. It's possible to, computer system capabilities allowing, open additional windows if necessary. It's also possible to drag entries between both index windows if necessary or to cut and paste from the keyboard. It's also possible to enter headings in a single index and "mark" records for later extraction. Sorting, merging, and macros are all available features helping the indexer to ease the logistics of creating name/author indexes. CINDEK allows for diacritic coding to be selected from the Windows character palette. In the Macintosh version of CINDEK diacritics are handled through the Macintosh KeyCaps function.

MACREX allows the indexer to open multiple windows in order to create multiple indexes (the exact number is dependent on the computer and its resources). It also allows the indexers to produce one file containing two (or more) indexes. In the latter case, two options are available:

- Force main headings into separate groups (e.g., name headings and subject headings)
- Mark entries for inclusion in separate final index files

Both methods allow entries to be duplicated, partially or in full, in more than one index without the need to actually split the entries into separate indexes. This can be a handy feature if there is a need to compile different combinations of the main index, for example, names or organizations. MACREX also has the convenient sorting and merging features which allow the indexer total control over the order of all entries. For example, MACREX allows you to specify that the abbreviation "St." is sorted as though it were spelled out or to sort alphabets with more than 26 letters. In addition, MACREX has been designed to enable diacritic codes in indexes, including allowing multiple coding of the final index. Thus, without additional input on the part of the indexer, two copies of the final index, one with HTML codes for the compositor

and the other, for the editor, the desired word processing file, can be created in a moment or two. The advantage of this system is that names and other terms can be quickly input without stopping to look up needed codes and only at the point where the file containing the final index is there a need to know what the client requires.

SKY Index Professional v6.0 also has the ability to create physically separate indexes at the same time. These indexes can be combined using either the merge command or by copying and pasting. The new marking feature can be used to mark name entries and the filter function and either show or hide these marked records. SKY can also create multiple categories and group sub-indexes out of these categories. SKY also has some special features for names. For example, automatic sorting of names beginning with *Mac*, *Mc*, and *M* can be spelled out as *Mac* as required by some publishers. Another special feature is automatic maiden name entries. Diacritic coding is available by accessing the Windows character palette.

It's evident that all three indexing programs can facilitate the compiling of name/author indexes. In addition, all three programs have excellent technical support to aid the indexer with any specific technical problems.

Give me the money!

When negotiating the fee for writing name/author indexes there are several issues to be considered. First of all, the indexer must consider whether or not the index is to be a name or an author citation index. A name index usually takes much less time to create than author citation indexes. This is because of the extra time spent looking up first name or initials of author citations in the references. Text used for name indexes will commonly include both the first and surnames in the page proof and so the extra time looking up first names isn't required. Another issue to consider is the number of author citations per page. Psychology books can easily contain 10 or more author citations per page--that translates into lots of extra work. Another important consideration is an index specification to include the "et al" author citations. This specification will add considerably to the time spent on the index project.

Most editors do expect to pay something above their regular per pay indexing fee for name/author indexes. However, that extra fee may range anywhere from a low of \$0.25/page to \$1.00/page and sometimes higher. Each indexer has to weigh for themselves what they will require in terms of compensation for the extra time spend on name/author indexes.

Recently I was asked to do a name index only, no subject index was to be included. I asked for the usual per page fee I receive from this client. My reasoning was that even though I would not be required to produce a more complex subject index I was still going to have to read every page proof. My client was perfectly satisfied with that explanation.

The bottom line for financial arrangements is that the indexer must negotiate terms, which will adequately compensate them for time and effort, required by the project.

Resources:

The indexer may find the need to reference specific names, either to verify the spelling or name order. Fortunately there are many available sources both in reference works and online. Here are just a few.

Reference books:

AACR2
Cambridge Biographical Encyclopedia
Dictionary for Art and Artists
New Oxford Dictionary of English

Online sources:

<http://www.loc.gov> (The Library of Congress)

<http://trove.nla.gov.au/> (National Library of Australia)

<http://viaf.org/> (VIAF Virtual International Authority File)

<http://CyndisList.com/surn-gen.htm#General>

<http://www.digiserve.com/heraldry/surnames.htm>

<http://www.eponym.org/hq.html>

Concluding remarks:

This article, though not an exhaustive examination, has covered some of the most important aspects of writing name and/or author citation indexes. This process is not as simple as one might initially assume and it is important to not underestimate the manner in which this task needs to be accomplished. By careful consideration of the format issues and indexing decisions an indexer should be able to turn in a thorough, accurate, and useful index to their client.

The author would like to express appreciation for Nancy Mulvany's suggestions regarding this article.

ⁱ see Mulvany, Nancy. *Indexing Books*, (Chicago: University of Chicago, 1994), p. 121.

ⁱⁱ see Mulvany, Nancy. *Indexing Books*, (Chicago: University of Chicago, 1994), p. 160.