

---

# Module A: Sample

---

---

**Aims and objectives ♦ Contents ♦ Text extract**

---

---

**Training in indexing: 4th edition**  
**(Module A revised 2014)**

---

© Society of Indexers 2010 –14

---

---

# Module A

---

---

## Study guidelines

---

- This module is a general introduction to indexing. You will find more detailed coverage of all aspects of indexing in the later modules.
- Some of the ideas peculiar to indexing are necessarily described at length. It is important to remember that indexing requires knowledge (general and special), a mixture of common sense and reason, plus an element of imaginative helpfulness – all combining to help the index user.
- While studying the module, examine in detail as many indexes (of different types) as you can. Check whether the entries are accurate and useful; whether there are obvious omissions; whether there are helpful cross-references; in what order the entries are arranged. Have a couple of indexed books beside you while studying the module, so that you can find examples of what you are reading about. You should also practise compiling indexes to anything you read.
- Remember that there are a great many additional resources on the training course website; make full use of them.
- Before sitting the test paper for this module, work through the practice exercises for this module on the training course website to check whether you are ready for formal assessment.

---

## Aims and objectives

---

### Aims

The general aims of this module are to:

- define some basic terms used in indexing
  - describe what indexes are for
  - identify the main characteristics of indexes
  - identify what users want from indexes
  - identify what kind of people make good indexers
  - describe how indexes are made
-

- describe the role of authors and other document originators
- describe how various types of document are produced.
- describe why human analytical indexing provides a superior tool to full text search or to 'automated indexing'.

## Objectives

After studying the module, students should be able to:

- understand the terms used in indexing and publishing
- describe how indexing fits into the document production process
- understand the importance of indexes
- understand the needs of index users
- identify the knowledge and skills that indexers need
- describe how an index is made
- understand the aims and intentions of authors and other originators
- understand how documents are produced
- understand the conventions of bibliographic references
- identify different types of document
- name the basic reference sources used by indexers
- create a short and simple standalone index.
- argue the case for human analytical indexing
- argue the case for indexes in eBooks

## Contents

|                                                                      |           |
|----------------------------------------------------------------------|-----------|
| <b>Module A: Introducing Indexing: indexers, users and documents</b> |           |
| <b>A1 Setting the Scene</b>                                          | <b>1</b>  |
| A1.1 Human analytical indexing                                       | 2         |
| A1.2 Definitions                                                     | 3         |
| <b>A2 Index functions and characteristics</b>                        | <b>15</b> |
| A2.1 Function                                                        | 15        |
| A2.2 Necessary characteristics                                       | 16        |
| A2.2.1 Main headings and subheadings                                 | 16        |
| A2.2.2 See <i>also</i> cross-references                              | 17        |
| A2.2.3 See cross-references                                          | 17        |
| A2.2.3.1 Double entry                                                | 17        |
| A2.2.4 Locators                                                      | 18        |
| A2.2.4.1 Locators in tagged indexes                                  | 20        |
| A2.2.4.2 Locators in embedded indexes                                | 20        |
| A2.2.4.3 Locators in eBooks                                          | 20        |
| A2.3 Common practice: conventional usage                             | 23        |
| A2.4 Indexable elements: what to put in the index                    | 26        |
| A2.4.1 Thesauri and classification schemes                           | 29        |
| A2.5 Direct entry and classified indexing                            | 29        |
| A2.6 The position of the index                                       | 30        |
| A2.7 Single and multiple indexes                                     | 30        |
| A2.8 Summary: types of index entry and arrangement                   | 31        |
| <b>A3 Users of documents and indexes</b>                             | <b>33</b> |
| A3.1 The purpose and use of documents                                | 33        |
| A3.2 Users of documents                                              | 35        |
| A3.3 What users need from an index                                   | 35        |
| A3.4 Summary: the needs of the index user                            | 36        |
| <b>A4 Indexers</b>                                                   | <b>37</b> |
| A4.1 Situations requiring an indexer                                 | 37        |
| A4.2 Who is the indexer?                                             | 40        |
| A4.3 Knowledge and skills                                            | 41        |
| A4.3.1 Reference sources for the indexer                             | 42        |
| A4.3.1.1 Online reference sources                                    | 42        |
| A4.3.1.2 Library reference sources                                   | 44        |
| A4.3.2 The indexer's personal library                                | 44        |
| A4.4 Indexing equipment                                              | 45        |
| A4.5 The indexer's health                                            | 46        |
| A4.6 Summary: the professional indexer                               | 47        |

|                                                   |           |
|---------------------------------------------------|-----------|
| <b>A5 The index</b>                               | <b>48</b> |
| A5.1 Index coverage, size and detail              | 48        |
| A5.2 Index components                             | 49        |
| A5.3 Index titles                                 | 50        |
| A5.4 Making the index                             | 50        |
| A5.5 Computers in indexing                        | 54        |
| A5.5.1 Indexing software                          | 55        |
| A5.6 Summary: compiling the index                 | 56        |
| <b>A6 Authors and other originators</b>           | <b>57</b> |
| A6.1 Authors and their intentions                 | 57        |
| A6.2 Types of authors and originators             | 58        |
| A6.2.1 Multiple authors                           | 58        |
| A6.2.2 Creators of related documents              | 59        |
| A6.2.3 Anonymous originators                      | 59        |
| A6.2.4 Identifying originators                    | 59        |
| A6.3 Summary: indexers and authors                | 60        |
| <b>A7 Documents and the production process</b>    | <b>61</b> |
| A7.1 Document creation                            | 61        |
| A7.1.1 Editing and proof correction               | 61        |
| A7.1.2 Publication                                | 62        |
| A7.1.3 Document identification                    | 63        |
| A7.1.3.1 Bibliographic citation                   | 63        |
| A7.1.4 Access to contents                         | 66        |
| A7.1.5 The document/index relationship            | 66        |
| A7.1.6 Document modifications                     | 67        |
| A7.2 Types of documents                           | 68        |
| A7.2.1 Physical format                            | 68        |
| A7.2.2 Method of presentation and arrangement     | 68        |
| A7.2.2.1 Abstracts                                | 69        |
| A7.2.3 Purpose and users                          | 70        |
| A7.2.4 Language                                   | 70        |
| A7.2.5 Edition size                               | 70        |
| A7.2.6 Primary and secondary sources              | 71        |
| A7.2.7 Factual and non-factual status             | 71        |
| A7.2.8 Currency                                   | 72        |
| A7.3 Summary: document production and description | 72        |
| <b>A8 Memoranda for indexers</b>                  | <b>74</b> |

---

# Setting the Scene

---

---

## Introduction

---

Traditionally an index has been constructed as an A-Z list of concepts and topics contained in a document, providing both a map of the text and a retrieval tool for information. Good indexing principles and techniques have been developed over time and these form the basis of current good practice in indexing and make up the main content of the course. The basic principles for producing a well-structured index are relevant for both traditional printed indexes and electronic forms of publication, as the need to analyse a text to provide intelligent access to it is an intellectual process.

### *The role of the indexer*

Indexers use their knowledge of the subject and their skills in providing access to information to create a structured list of named and unnamed (implied) concepts covered in the text, drawing scattered references together and analysing larger topics into their component parts. The indexer will think empathetically about potential alternative approaches to finding information that the user may make (e.g. searching under **synonyms**) and provide appropriate cross-references to accommodate these. In addition the indexer will point the reader to other related discussions that may be of interest to the user who has looked up a particular term. These are not decisions that can be made by automated and semi-automated indexing programs, which are based on word-spotting. An intelligently crafted index will be a useful, easily navigable tool for the users, leading them to the information they need by the shortest, quickest route.

### *The digital revolution in publishing*

**eBooks** are a new delivery format. They are now being produced alongside printed books with the whole publication often '**born digital**' i.e. produced in a digital format from the start, allowing export to a variety of platforms including print and eBook formats. While eBooks also provide for full-text searching as a means of accessing information,

an index based on an intelligent analysis of the text remains a useful tool which can be used on its own or in association with other search facilities.

..... *TEXT OMITTED* .....

## A1.1 Human analytical indexing

So what are the advantages of human analytical indexes over indexes produced by automated and semi-automated indexing programs or using a simple text search?

An indexer will

- provide alternative access to terms for users who search under synonyms by providing **see cross-references** (or double entry)  
e.g. pupils *see* students
- recognize relationships with other topics, and provide appropriate **see also cross-references** to alert the user to these **related terms** e.g. literacy *see also* reading
- make an intelligent analysis of a text so that readers interested in (for example) globalization are led to relevant discussions on international trade where globalization is not actually named
- distinguish between **homographs** (words that look the same but have different meanings) so that for example, readers interested in the pop star Madonna are not directed to material on religious iconography  
e.g. Madonna (entertainer)  
      Madonna (mother of Jesus)
- provide context for references e.g. through **modifiers** or **subheadings** for groups of **locators** and **page ranges**; or by typographical distinction of locators
- distinguish between important information and very minor or irrelevant references
- pick up references to variant word forms, where a simple text search would only return the word variation searched  
e.g. mouse/mice; defences/defensive positions
- highlight visual information contained in images or other graphics.

..... *TEXT OMITTED* .....

## A1.2 Definitions

Indexers should be familiar with the following terms, which are standard usage in the indexing and publishing world, so that they are able to use them correctly when speaking or writing to publishers and their editors. In practice, there is some variation in usage and precise meanings. The definitions given here are intended only to inform the student indexer.

Fuller discussion of many of these terms will be found in the relevant parts of the training course. Terms in bold are included in this list of definitions. All terms included in this list are also highlighted in **bold** at first mention in the modules.

N.B. The Society of Indexers Publishing Technology Group (PTG) website has a more extensive glossary related to **eBook indexing** which should be consulted for a fuller understanding [www.ptg-indexers.org.uk](http://www.ptg-indexers.org.uk). Terminology is still developing in relation to eBooks, so you should be proactive in keeping up-to-date.

**abridged edition**—a shortened version of a **document** (often intended to simplify a text), e.g. an edition of an adult novel for children or, for adults, editions such as Reader's Digest condensed books

**abstract**—a summary of the information contained in a **document**, e.g. a 100-word precis of a **periodical**/journal article; often collected in journal form, e.g. *Chemical Abstracts*

**alphabetization**—the process of sorting index **entries** into alphabetical order, according to a set of rules; see *also* **letter-by-letter**; **word-by-word**

**antonym**—a term with the opposite meaning to another term, e.g. 'optimism'/'pessimism'

**app**—short for application software and most commonly used in relation to small programs used on mobile devices

**archives**—**documents** no longer used for their original purposes but preserved for research, e.g. historical papers in the National Archives, or redundant institutional records

**audiovisual document**—a **document** in which the information is presented as images and sounds, e.g. film, videotape, **CD-ROM**

**author**—a person or organization responsible for producing all or some of the information content of a **document**

**back-of-the-book index**—an **index** to the content of a book or similar **document** (pamphlet, brochure, etc.), produced as an integral part of the published document

**bibliographic citation/bibliographic reference**—a precise description of a **document** or part of a document, providing a unique identification

**bibliography**—a list of documents having a common characteristic, such as authorship, place of publication, or subject, e.g. a list at the end of a book or **periodical**/journal article, or a complete volume listing all an author's works, naming all known **editions** and translations

**book packager** working for a **publisher** who outsources the work, the packager executes various stages of publishing using their own staff or freelance professionals. A packager will therefore work for more than one publisher

..... *TEXT OMITTED* .....



# Index functions and characteristics

---

## Introduction

---

This section introduces you to:

- what indexes are for and why we need them
- the main features of indexes – entries, headings, subheadings, cross-references and locators
- the conventions of index form and layout
- how index entries are compiled.

These topics are covered in more detail in subsequent sections of this and later modules.

---

## A2.1 Function

---

An **index** provides a way of finding information in a **document**, a set of documents or a list of documents. It is an aid to finding references to major treatments of topics, and to lesser items that may be of interest in another context. It brings together scattered references to different aspects of the same subject and links **related terms** and **synonyms**.

Without an index, the user must either work through the whole document (or set or list) from beginning to end; or dip into it at random, looking for the wanted information; or try to guess (from contents lists, chapter headings, captions, words in **titles** or other indicators) where it might appear.

A contents list at the front of the **text** is valuable as a quick guide, and is always worth studying, but it lists only the principal divisions of the text in the order in which they appear, and gives only a broad indication of the textual material. An index rearranges the information in the whole document, giving access to all of it.

---

Look in **Section A1.2:** 'Definitions' to find the meanings of words highlighted in bold type at their first mention.

---

---

See A1.1 for reasons why indexes are still important in **eBooks** which also provide text searching facilities.

---

..... *TEXT OMITTED* .....

## A2.2 Necessary characteristics

Every index contains **terms** arranged in a sequence of **entries**. An entry may consist of

- a heading (i.e. a **main heading** with or without **subheading(s)**), at least one **locator** and sometimes a **see also cross-reference** to at least one related term; or
- a main heading or a subheading with a **see cross-reference** to a **preferred term**.

### A2.2.1 Main headings and subheadings

Indexes are commonly set out in an alphabetical sequence:

animals  
musical instruments  
water plants

These are main headings and are aligned at the left-hand side of the **page** or column. There may also be subheadings **indented** (usually by a **1-em** space) under the main headings. This convention is followed throughout these modules.

animals  
    breeding grounds  
    feeding habits  
musical instruments  
    history of development  
    manufacture  
water plants  
    garden ponds  
    rivers

Subheadings may be **set out** in a list, as above or run on on the same line and separated by semicolons:

animals: breeding grounds 26–38; feeding habits 39–57

Set-out subheadings are used in eBooks.

..... *TEXT OMITTED* .....

### A2.2.2 See also cross-references

Sometimes a *see also* cross-reference to a related term is useful or necessary:

musical instruments *see also* dance bands; orchestras

While indexing a general work on musical entertainment, the indexer has helped the user by connecting subjects from different parts of the text. Here the different ways of combining musical instruments are being pointed out by the *see also* reference; the words or phrases that follow it are known as related terms.

### A2.2.3 See cross-references

Sometimes a heading is rejected in favour of its synonym or usage in another language:

duckweed *see* *Lemna minuta*

Both terms may be used in the text of a book on water gardens, say, but the indexer gradually discovers that the Latin names of plants predominate and so to be consistent prefers the Latin term in the index. 'Duckweed' must be mentioned, as it does occur in the text and some users are likely to look for it, but it is the **non-preferred term**; the see cross-reference directs the user to the Latin, which is the preferred term in this particular index.

---

The Latin names of species are set in italics.

---

Note that a see cross-reference is not needed if the preferred term would be adjacent in the index:

personal development plans 4

PGCE (Postgraduate Certificate in Education) 192

primary school teaching 192

(no entry needed for Postgraduate Certificate in Education as this would be adjacent)

#### A2.2.3.1 Double entry

**Double entry** is often used instead of see cross-references if there are only one or two locators, for example:

training, vocational 33, 42–48

university courses 25, 49

validation 64–68

vocational training 33, 42–48

or if the entry does not occupy more space than a cross-reference will. It is also helpful as it prevents the index user from having to turn over many pages of an index to reach a term that is alphabetically a long way from the original heading.

### A2.2.4 Locators

Locators (location references) may consist of **page numbers** (or letters) or the numbers (or letters) of sections, paragraphs, columns, lines, **frames**, documents, files, shelves, classes, or any other suitable identifiers. All numbers move from low to high; prefaces and other **preliminary pages** (prelims) may use Roman numerals, but the main text invariably has Arabic numerals. In the index it is usual for Roman locators to precede the Arabic, for example:

vocational training iii, xxvii, xlvi, cxxxii, 3, 27, 46, 132

---

Locators referring to illustrations, maps or diagrams in books may be highlighted by using a different typeface (often italic) and may be placed either in the proper sequence or at the end of it:

vocational training 3, 27, 39, 46, *115*, 132

or

vocational training 3, 27, 46, 132, 39, *115*

There are various ways of indicating illustrations in an index, and it is advisable to find out the client's preference.

..... *TEXT OMITTED* .....

## A2.3 Common practice: conventional usage

The annotated examples set out in Figure A2 are taken from different indexes. They are not in alphabetical order but they indicate some of the forms and layouts in which index entries can appear. They represent the practice recommended in this course and in the indexing standard BS ISO 999.<sup>4</sup> You will learn more about these various types of entries, headings and locators as you progress through the course.

### *Capital letters and small letters*

It is usual to begin headings that are ordinary words with a small or lower-case letter. **Proper names**, titles of works, or words and phrases that are special in some way normally begin with a capital or upper-case letter, for example:

Villa-Lobos, Heitor  
 violas  
 violins  
 violoncellos  
*Vissi d'arte* (Puccini: aria)  
 Vivaldi, Antonio

BS ISO 999: 1996, clause 7.2.2.3, recommends using lower case to begin all ordinary words.

This is now regarded as the standard style. However, some British **publishers** and many US publishers prefer to have all index headings beginning with capital letters; the disadvantage of this is that it can lead to ambiguity with **homographs** – China (the country) and China (pottery).

### *Punctuation*

Punctuation is only used where necessary; the 'Tate Gallery' entry in Figure A2 has none; but the entry for 'fats', with its run-on subentries, is made clear to the index user by including a colon and a semicolon. Throughout this training course and BS ISO 999 there is a double space with no comma between a heading and its first locator/cross-reference, although the **house style** of some publishers may require a comma in this position.

..... *TEXT OMITTED* .....

## A2.4 Indexable elements: what to put in the index

The compilation of indexes is an intellectual process that demands, above all, exactness – of copying, spelling, spacing and punctuation. A text/document must therefore be thoroughly understood and the index compiled from it must be comprehensible to the index user and be as exact as possible.

In identifying what to index and developing headings and subheadings, you must constantly ask yourself: 'What will the user be looking for?'

The document must first be examined for **indexable elements** – significant concepts and items in the text for which worthwhile information is given. These must then be transformed into suitable index headings: some headings can be taken straight from the text; others, such as some types of subheading and cross-references, must be developed in the mind of the indexer. For example, for an informative work on the development of domestic architecture, the indexer may have to consider types of stone and where they come from, types of earth for brickmaking, types of timber and metal for structural work, and furnishings such as chimneys, stairs, doors and windows – and how all these change through the ages. Many words or concepts in the text will immediately be seen to be appropriate headings for the index, but condensing the descriptions in the text to form concise subheadings may require some thought. Figure A3 gives some examples of how descriptions can be condensed into very precise terminology.

chimneys

(see also andirons; fire-grates; fireplaces; inglenooks; mantels; overmantels)

draught control and 124

flues

    branched 350

    single vertical 348

at inner wall 408

at outer wall 407

as smoke outlets see  
    chimneypots

*Main heading with set-out subentries and sub-subentries in alphabetical order. Note that linking terms and prepositions are ignored in alphabetizing. In this instance the cross-reference directing the user from the main heading to related terms is placed immediately after the main heading, the terms being separated by semicolons, and parentheses are used to avoid confusion with subheadings.*

*Cross-reference directing the user from subheading to preferred term; note that turnover lines are indented further than the deepest subheading.*

**Figure A3** Examples of subheadings that might be devised for an architectural index

..... TEXT OMITTED .....

## A2.6 The position of the index

An index is normally produced as an integral part of the document to which it belongs, as with a typical back-of-the-book index. An online index is an integral part of an electronic document, such as a website index. An index can also be bound separately, as with the indexes to *Encyclopaedia Britannica*. Another type of separate index is a journal index, usually produced annually and covering the whole year's articles; these are often bound with the final journal issue of the volume. Many journals have **cumulative indexes** covering periods of, say, five or ten years, or sometimes much longer. A separate index can also appear in a different physical format from the 'parent' document: a good example is the *Index of Christian art*, compiled by Erwin Panofsky and others, to photographs of religious works from all over the world, available online at <http://ica.princeton.edu>.

**Indexes in eBooks** may not necessarily be at the back of the book. Ideally an easy access link should be provided from any point in the text. In some more complex texts or book apps there is a sophisticated search tool which uses an underlying index construction or thesaurus to provide focused search results.

See the article on Bartlett's familiar quotations app in *The Indexer* 31 No 3 pp122-3.

## A2.7 Single and multiple indexes

Although recommending that there should be a single index to the contents of a single document, rather than a series of indexes, BS ISO 999 does recognize that there may sometimes be a need for more than one index.<sup>10</sup> Users may have a particular interest in only certain parts of a document, or certain types of information. Examples of separate sequences provided for ease of reference include: advertisements and book reviews in periodicals; **authors** separated from titles and subjects in a detailed history of literature (or in a collection of abstracts of scientific papers); cited legal cases in a law text; and patent numbers kept separate from word indexes attached to the same work.

BS ISO 999: 1996, clause 7.1.4 recommends that there should be a single index.

## A2.8 Summary: types of index entry and arrangement

After studying this section you should now be gaining some familiarity with indexing terminology and understand that indexes normally contain alphabetically arranged entries consisting of headings or subheadings in the form of:

- **personal names** (usually with family name first) – Branson, Sir Richard; Laine, Cleo
- **corporate (organizational) names** – Commissioners of Northern Lighthouses; John Lewis Partnership
- **names of places and topographical features** – Kalahari Desert; Sheffield
- **titles of documents** (books, songs, works of art) – *Business studies for GCSE*; *Eleanor Rigby*; *Guernica* (Picasso)
- **first lines of poems** – The rain set early in tonight; When I am an old woman I shall wear purple
- **subjects** other than names or titles – drama; R&D (research and development); seeds; yachts.

These are followed by locators and possibly cross-references.

In an index of first lines of verse or of songs, the article at the beginning of a first line of verse is not usually transposed, and is also the **search term** in the index for that line.

---

# Users of documents and indexes

---

---

## Introduction

---

Indexes are compiled in order to help people find information. In this section we consider:

- why documents are produced
- how documents are used
- how document users vary in terms of skills and other characteristics
- what users need and expect from an index.

Throughout these modules you will constantly be thinking about the needs of the index user.

---

## A3.1 The purpose and use of documents

---

The term 'document' refers not just to print on paper, but also to **eBooks** and **non-book media** including **microform**, **audiovisual** materials and electronically generated records. Books and pamphlets are documents, as are magazines (sometimes referred to as periodicals or journals), maps, photographs, correspondence, press cuttings, sound recordings, films and DVDs, web pages and e-books. Objects such as scientific specimens, manufactured products and works of art are also included.

The *purpose* of a document is to contain information collected, arranged and recorded by one or more people in a form that will last for some time. The *user* of the document may be its creator or a different person, and the document may be used many times over a long period of time and for many different purposes. The document can therefore be seen as encapsulating material to be communicated repeatedly by the creator to the users.

..... *TEXT OMITTED* .....

---

## A3.4 Summary: the needs of the index user

---

In this chapter you have learned that:

- indexes are compiled for a wide variety of documents
- documents are used in many different ways
- documents are normally produced for particular user groups
- the needs and expectations of index users vary according to their background and experience
- the indexer must always anticipate users' needs, compiling an index that is appropriate in terms of style, language, coverage and layout.

Whether you are indexing a child's information book on the care of hamsters or a specialist monograph at the cutting edge of nuclear physics, you should ensure that you produce a user-friendly index.





---

# Indexers

---

---

## Introduction

---

In this section you will learn about:

- where indexes are compiled
- who compiles indexes
- what skills good indexers need
- what reference sources indexers use
- what equipment indexers should expect to have
- how indexers should look after their health and well-being.

---

## A4.1 Situations requiring an indexer

---

Indexers are involved with all kinds of documents. One familiar task for the freelance indexer is compiling a back-of-the-book index to a text such as an academic or professional book or a general factual book issued by a commercial publisher. But there are many other situations where indexes may be needed. The advent of ePublishing means that experienced indexers with specialist skills can seek new opportunities for indexing.

### *Periodicals and newspapers*

Many general and specialist periodicals require annual indexes to text and illustrations (and may then need cumulative indexes covering a longer period). Now that many journals are publishing online there is a move away from proper indexes, but some are still being produced, particularly in the arts and humanities. You may need to argue the case for human indexing.

### *Records and archives*

Long-established business firms often have **archives** – correspondence, legal and financial records, and samples of products – containing

---

information that is valuable both to the firms and to historical researchers. Academic and research organizations may have collections of notebooks, survey materials and computer disks full of data that can be used by others studying and researching in the same fields. Record offices, learned and professional societies, clubs, trade associations and many other kinds of organization also possess documents. All organizations tend to produce annual reports. None of this information can be easily retrieved without indexes. Some larger organizations employ records managers who may themselves be skilled indexers, with the responsibility of ensuring access to all the documents issued and received.

### *Audiovisual collections*

Collections of audiovisual and graphic materials including disks, tapes, films, videos, posters, drawings, prints, negatives and slides – which are not always easy to examine – can have their detailed contents revealed only through indexes. Broadcasting organizations are among those enterprises to which this kind of index provision is particularly relevant. Many of these collections are being digitized.

### *Databases*

Many **databases** are indexed directly from the content of the records, for example, a database of company names and subsidiaries, but some data may be specially added in a form to facilitate the retrieval of records, such as terms describing a company's legal status, product types, marketing and distribution methods, etc.

---

See also **A2.4.1: Thesauri and classification schemes** and **D3.4: Thesaurus Construction**

---

..... *TEXT OMITTED* .....

### *eBooks*

Traditional **standalone indexes** may work well when the document is only being produced in a printed medium but with **born digital** texts, or printed texts reformatted for eBooks, an embedded index of some sort is required.

The great strength of the human indexer is their ability to analyse intellectually the content of the text, identifying broad or hidden concepts, relationships between topics, and alternative approaches by users. Automated indexing systems and text search facilities are not able to do this.

---

See also **A1 Setting the Scene** and **A1.1 Human Analytical Indexing**

---

..... *TEXT OMITTED* .....

---

## A4.3 Knowledge and skills

---

To produce high-quality indexes, fully professional indexers need a wide variety of skills and knowledge:

- good general knowledge
- up-to-date knowledge (to an appropriate level) of the subject field(s) covered by the document
- the ability to anticipate the document users' needs
- fluency in the language of the document
- knowledge of the vocabulary users are likely to employ
- the ability to analyse the document and pick out significant concepts (significant in relation both to the entire content and to the likely users)
- the ability to select appropriate index terms for the concepts identified, together with appropriate synonyms and related terms, which may involve cross-references
- the ability to present the terms in an accurate and comprehensive sequence, distinguishing major references from minor and text from illustrations, observing spelling and punctuation conventions, appropriate **filing order** and structure of index entries and subheadings
- good understanding of language and word-formation
- a consistent and methodical way of working
- impartiality and objectivity
- the ability to spell and copy correctly and to spot errors, without relying on a dictionary or electronic word list

---

Although consistency and accuracy are essential to the indexing process, the key to producing a good index is the ability to analyse the document and select the most appropriate terms for that document and its intended users.

---

..... *TEXT OMITTED* .....

---

## A4.4 Indexing equipment

---

As well as access to a good collection of appropriate reference sources for checking information, the indexer requires materials and equipment for the physical compilation of indexes.

Publishers and other clients expect to receive indexes in electronic format by email and it is common for indexers to receive documents for indexing via the internet, so broadband internet access is essential. Dedicated indexing software, for example Macrex, Cindex and Sky Index, which automate and speed up the physical operations involved in indexing, such as **alphabetization** and correct ordering of subheadings, are invaluable, but cannot be used effectively without a full understanding of indexing principles. As with any software, the indexer must allow time to become familiar with the program's capabilities.<sup>18</sup>

---

<sup>18</sup> See **Section A5.5** below for more about indexing software.

The move towards digital publishing and born digital texts means indexers may be required to use other tools such as MS Word embedding software or text layout programs such as Adobe InDesign; or to make use of plugins alongside their favoured indexing software to streamline production of embedded or tagged indexes. Whichever facility is used, the need for indexers to work methodically and accurately is as important as ever.

..... *TEXT OMITTED* .....

---

## A4.6 Summary: the professional indexer

---

In this chapter you have learned that:

- indexers work in a variety of situations, on both a freelance basis and within organizations
- indexes are sometimes compiled by authors or **editors** rather than professional indexers
- indexers need good analytical, language and organizational skills, as well as an ability to work to high standards of consistency and accuracy
- working as a successful freelance indexer demands business-related skills
- indexers need ready access to appropriate reference sources, both printed and electronic
- indexers should be equipped with the appropriate technology and relevant software, including email access, and should understand its use
- indexers should ensure that their working arrangements and environment do not lead to health problems.

---

# The index

---

---

## Introduction

---

This section goes into more detail on how indexes are compiled. You will learn:

- what material should be indexed
- whether to compile one index sequence or several
- what components comprise a typical index
- what details should be agreed with the client before beginning to index the document
- what operations are involved in preparing a typical back-of-the-book print index
- how computers are used in indexing.

---

## A5.1 Index coverage, size and detail

---

An index (or set of complementary indexes) most commonly covers the complete content of the document (including introduction, illustrations, footnotes and appendices), apart from the title page, dedication, contents and illustrations lists, synopses of chapters, and similar matter, as advised by the commissioning editor. Bibliographies may occasionally be indexed (by author and/or title or subject), depending on their significance in relation to the rest of the document. Clients should make quite clear exactly what material is to be indexed in their brief to the indexer.

What the index covers should be described in the introductory statement for a back-of-the-book index and in the introductory or instructional material accompanying other kinds of index.

There is no precise formula for the size of an index in proportion to that of its parent document, nor is it the rule that a large document necessarily has a large index.

---

It may be worth suggesting to the client that space restrictions can sometimes be overcome by setting the index in a smaller type size.

---

..... *TEXT OMITTED* .....

## A5.2 Index components

A typical back-of-the-book index consists of:

- index title
- introductory statement (explaining coverage, arrangement, conventions)
- entries, consisting of:
  - headings (with subheadings and sometimes sub-subheadings) and locators
  - cross-references

arranged in an ordered sequence, using a consistent style and layout.

Figure A4 shows an extract from a supposed back-of-the-book index. Other kinds of index have similar features, with variations in entry content and form, and in presentation and layout.

### Index

*The index covers all chapters and appendices, but not the reading list. References to the glossary are indicated by 'g', as in 224g under 'balance of payments'. Headings for titles of publications are printed in italics.*

|                                         |                                                         |
|-----------------------------------------|---------------------------------------------------------|
| accounting, management 104–105          | GDP (gross domestic product) 2, 226g                    |
| advertisements, display 89              |                                                         |
|                                         | management accounting 104–105                           |
| balance of payments 10, 224g            | multinationals 36, 56, 88–89, 227g                      |
| bears (speculators) 77                  | <i>see also</i> conglomerates                           |
|                                         |                                                         |
| COI (Central Office of Information) 199 | poll tax <i>see</i> community charge                    |
| community charge                        |                                                         |
| regional variations 32–34               | Resale Prices Act (1964) 191, 213                       |
| subsidies 48–49                         |                                                         |
| conglomerates 25, 27                    | speculators 77                                          |
| <i>see also</i> multinationals          |                                                         |
|                                         | <i>White collar workers: pay and conditions</i> 84, 187 |
| display advertisements 89               |                                                         |

**Figure A4** *The components of a typical index as illustrated by an extract from a supposed back-of-the-book index set in two columns*

## A5.5 Computers in indexing

Indexers usually use computers to perform, or speed up, the *non-intellectual* elements of their work. Indexing programs can greatly reduce the time spent in manipulating headings, sorting entries into alphabetical (or other) order, some editing processes and printing out or making electronic copies of the final index. But you, the indexer, remain responsible for the major *intellectual* input: identifying indexable concepts, choosing suitable terms to represent them, and providing links between related terms.

..... TEXT OMITTED .....

### A5.5.1 Indexing software

A dedicated indexing program such as Macrex, Cindex or Sky Index sorts, merges, styles and arranges the entries that have been inputted by the indexer, producing from them a correctly laid-out index in electronic format and as hard copy (paper printout) according to the specification required for a particular job. Electronic copies can be transferred to most word-processing formats and text-formatting systems, enabling the indexes to be easily incorporated into clients' own systems. Also, indexers working in co-operation with one another can exchange data on disk or by email.

With an embedded indexing system, the indexer views the text to be indexed on screen, inserting index terms at relevant text positions in a prescribed format that will allow an index to be generated automatically from that document alone by the host software. There is no separate index file.

---

You can see how an indexing program works by downloading a demo version from the supplier's website and using it to compile a short index. Trial versions of some embedded indexing software are also available..

---



---

See also the section on Embedded Indexing in the Resource Centre of the SI training website.

---

..... *TEXT OMITTED* .....

## A5.6 Summary: compiling the index

In this chapter you have learned that:

- the index should normally cover the whole of a document
- index length is determined by various factors, including users' needs, and is not simply related to the size of the document
- index layout and format may vary, but all indexes should include certain features as standard and should be consistently laid out. A layout which differs to that of traditional indexes may be required for eBooks.
- in certain circumstances, multiple indexes may be preferable to a single index sequence
- the indexer should agree the details of index specification, fee and schedule with the client before starting work and should renegotiate in the event of unforeseen problems
- there is no one right way to set about compiling an index, but the typical sequence of operations can be summarized as: reading the text; selecting and recording terms and locators; editing and checking the index
- computers have revolutionized the mechanical aspects of indexing, but the intellectual content remains the indexer's responsibility
- before using a dedicated indexing program it is essential to have a good understanding of indexing principles.

---

# Authors and other originators

---

---

## Introduction

---

The term ‘author’ is commonly used to denote the writer of a document, such as a novel, a textbook, a chapter of a book, a report, a poem or a play. Other document originators include people such as film-makers, photographers, artists, map-makers, letter-writers, diarists, composers and performers. Publishers are not usually regarded as originators as far as the main texts of documents are concerned. In this section you will learn:

- how authors communicate information and ideas to readers
- how documents may subsequently be used in ways not envisaged by their original authors
- how the term ‘author’ is used to refer to a wide variety of people and organizations producing documents in many different forms
- how the indexing process is affected by document authorship.

---

## A6.1 Authors and their intentions

---

Makers of documents may individually see themselves as entertainers, as educators, as promoters of ideas, as historians, as recorders of facts, or as representatives of an organization, but they have a common aim – to communicate their information to others, the users. The information may be used shortly after the documents containing it are produced, as with a private letter or a job advertisement, but it may also be stored, for example, in printed books or computer files, and so held available for future use, perhaps many years later.

The intended user at the time the document is created may be a single person, such as the recipient of a letter, or a group of people having a common interest in a topic, such as students following a course. The originator chooses an appropriate method of presentation, style, level of vocabulary and degree of complexity to suit the intended user.

---



To reach their intended public, originators need to be helped by various processes, including printing (advertising and publication), recording (audio and visual), word of mouth (teaching in schools, lecturing to adults), cataloguing (bibliographic citation) and, last but by no means least, by indexing as a key to many types of information.

When documents of all kinds become public they may in time also become research tools and historical records; as such they will appear in bibliographies or the indexes of historical record societies. Thus, any document may produce other documents of value to different sections of a population over shorter or longer periods. The later use of related documents may not have been envisaged by the original authors, therefore earlier indexes can be a help to later indexers.

Not all authors are aware of the need for indexes. Of those who are, some index their own documents, others either commission indexes themselves or have indexes commissioned for them by their publishers or other organizations. These become the clients or customers of indexers.

With the changes in publishing brought about by digital technology, many more authors are exploring forms of self-publishing e.g. by uploading books in eBook format to Amazon.

..... *TEXT OMITTED* .....

---

### A6.3 Summary: indexers and authors

---

It is important for the indexer to understand the aims of a document's author or originator in order to compile an index that helps the user gain access to the information and ideas contained in the documents as easily as possible. In this chapter you have learned that:

- all authors aim to communicate with users, using appropriate techniques to do this as effectively as possible
- documents may be used in ways not envisaged by their original authors
- authors or originators may be individuals or organizations, working individually or co-operatively
- indexers working on documents with multiple authors may face particular problems relating to inconsistent terminology and overlap between different contributors
- when documents are rewritten, revised or adapted, it is usually necessary for a new index to be compiled.

# Documents and the production process

---

## Introduction

---

It is important for indexers to have some understanding of document production and the indexer's role within the sequence, and also to be familiar with the conventions of bibliographic citation. In this section you will learn:

- how documents are processed prior to publication
- how documents are identified and described
- why indexes are needed, even in apparently **self-indexing documents**
- how indexes and documents are related
- how documents may be categorized in terms of their format, status and use.

---

## A7.1 Document creation

---

A document is created once a record has been made (in writing, in print, on disk, or in any other form) of some information. The document originator may be a single individual, or two or more people in co-operation – sometimes as representatives of a corporate body.<sup>25</sup>

Increasingly documents are being 'born digital' i.e. created in the electronic format required for output as eBooks across various reading device platforms, with print versions also produced from the same source.

..... *TEXT OMITTED* .....

---

<sup>25</sup> See **Section A6** above for more discussion of this.

## A7.2 Types of documents

Documents can be categorized using various criteria: physical format (which is also related to different methods of production); how they are presented to the public (with their individual internal arrangements); the interaction of their purpose with their users; their language; or the size of their editions.

### A7.2.1 Physical format

Distinctions are often made between print and non-print documents, and between book and non-book materials. Current developments in the technology of document reproduction make it difficult to define the characteristics of each group precisely, but printed books and journals are generally distinguished from other formats, such as films, videos and DVDs, websites, and e-books.

The document categories identified in the *Anglo-American cataloguing rules* (2002, updated 2005) are:

- printed **monographs** (books, pamphlets and printed sheets)
- cartographic materials (maps)
- **manuscripts**
- music
- sound recordings
- motion pictures and videos
- graphic materials (art originals, charts, photographs, drawings, slides)
- **computer media**
- three-dimensional artefacts
- microforms
- **serials** (journals/periodicals, newspapers).

There are also **multimedia documents**, such as a book with an accompanying CD; eBooks also frequently contain additional media files such as pictures and photos, audio and video clips and textbooks may contain interactive quizzes.

The same underlying indexing principles apply, whatever the physical format of the document you are indexing.

### A7.2.2 Method of presentation and arrangement

Information in documents may be presented as:

- text (letters, numbers and symbols)
- images (pictures – still or moving)
- sounds (music or other sounds)
- embossed information for Braille.

The information is recognized by the senses of sight, hearing or touch respectively, and it is all capable of being indexed.

In the case of a hybrid document, the indexer should consult the client for exact instructions.

..... *TEXT OMITTED* .....

---

## A7.3 Summary: document production and description

---

In this section you have learned that:

- many people are involved in processing a document before it is finally published, all trying to ensure that the author's intentions are effectively and accurately communicated to the intended user group
- documents are normally identified by a standard set of information
- documents may be described using standard systems of bibliographic citation
- indexes may sometimes be compiled long after a document's first creation
- new editions of documents are likely to need new indexes
- indexes are needed for documents in a wide range of formats and in which text is arranged in various different ways
- abstracts guide document users to the information they need through indicative or informative summaries of document content
- an index should be suitable in terms of style, layout, language, etc. for the user group for which the document has been created
- indexes are normally needed for factual documents but some fictional works are also indexed, often at a much later date
- indexing needs may vary according to whether documents are in current use or are for archival purposes.

---

You have now come to the end of the sample extracts from Module A.

If you purchase Module A and decide to take the SI training course you should work from the full version of the module as these extracts are not sufficient to give you a thorough introduction to the principles of indexing needed to pass the first test.

---