

INTERNATIONAL STANDARD

**ISO
999**

Second edition
1996-11-15

Information and documentation — Guidelines for the content, organization and presentation of indexes

*Information et documentation — Principes directeurs pour l'élaboration, la
structure et la présentation des index*



Reference number
ISO 999:1996(E)

Contents

	Page
1 Scope.....	1
2 Normative references.....	1
3 Definitions	2
4 Function of an index	3
5 Types of index	4
5.1 Subject indexes	4
5.2 Author indexes	4
5.3 Name indexes.....	4
5.4 Geographic indexes	4
5.5 Title indexes	4
5.6 Number and code indexes	5
6 Quality control	5
6.1 Quality of indexes.....	5
6.2 Length and detail of indexes	5
6.3 Consistency in indexing.....	5
6.4 Relations between the indexes and author/publisher/user.....	6
7 Content and general organization	7
7.1 General content and construction	7
7.2 Concepts: representation in headings and subheadings.....	7
7.3 Proper names and titles of documents: choice and form of headings	13
7.4 Locators.....	18
7.5 Cross-references	21

© ISO 1996

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without permission in writing from the publisher.

International Organization for Standardization
Case Postale 56 • CH-1211 Genève 20 • Switzerland
Printed in Switzerland

8	Arrangement of entries in indexes	25
8.1	Basic order of filing characters	25
8.2	Word-by-word versus letter-by-letter alphabetization.....	26
8.3	Alphanumeric arrangement	26
8.4	Filing index headings	27
8.5	Index headings beginning with the same term	27
8.6	Filing subheadings	28
8.7	Filing entries which include cross-references	28
9	Presentation of printed indexes.....	28
9.1	Preparation of index copy for final processing.....	28
9.2	Introductory note	29
9.3	Presentation of published index	29
9.4	Search aids	30
9.5	Set-out (indented) style versus run-on (paragraph) style for layout	31
 Annex		
A	Bibliography	33
	Index	34

STANDARDSISO.COM : Click to view the full PDF of ISO 999:1996

Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

International Standard ISO 999 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 9, *Presentation, identification and description of documents*.

This second edition cancels and replaces the first edition (ISO 999:1975). It updates, clarifies and exemplifies the basic indexing methods recommended in the 1975 edition entitled *Index of a publication*. This edition expands the seven sections of the first edition to eight, provides more detailed guidance on the organization of indexes and includes examples. New sections are included on quality control, arrangement of entries in indexes and presentation of indexes.

Annex A of this International Standard is for information only.

Information and documentation -- Guidelines for the content, organization and presentation of indexes

1 Scope

This International Standard offers guidelines for the content, organization and presentation of indexes.

This International Standard applies to indexes to books (including works of fiction), periodicals, reports, patent documents, and other written or printed documents, and also to non-print materials, such as electronic documents, films, sound recordings, video recordings, graphic materials, maps, and three-dimensional objects.

This International Standard is concerned with basic indexing principles and practice rather than with the detailed procedures of indexing that vary according to type of matter indexed and the users for whom the index is intended. Therefore the examples given, including punctuation, are illustrative and not prescriptive.

This International Standard covers the choice, form and arrangement of headings and subheadings used in index entries once the subjects to be indexed have been determined. (For the examination of documents and the selection of subjects for indexing, see ISO 5963. For the compilation of a monolingual thesaurus that may assist in the selection of index terms, see ISO 2788.)

Although this International Standard does not give any guidance on computerized index generation as such, it is relevant to the preparation of all types of index, regardless of whether they are produced manually or by computer-assisted methods, and whether compiled by one indexer or by a team of indexers. It does not cover the mechanized extraction of text words to generate indexes, e.g. KWIC (Keyword in Context), nor does it cover special systems of indexing such as PRECIS, chain indexing, citation indexing or the techniques of post-coordinate indexing, although its recommendations may be relevant to any of these systems.

It does not make recommendations for the compilation of catalogues for libraries or museums.

2 Normative references

The following standards contain provisions which, through reference in this text, constitute provisions of this International Standard. At the time of publication, the editions indicated were valid. All standards are subject to revision, and parties to agreements based on this International Standard are encouraged to investigate the possibility of applying the most recent editions of the standards indicated below. Members of IEC and ISO maintain registers of currently valid International Standards.

ISO 2788:1986, *Documentation -- Guidelines for the establishment and development of monolingual thesauri*.

ISO 5127-1:1983, *Documentation and information -- Vocabulary -- Part 1: Basic concepts*.

ISO 5127-6:1983, *Documentation and information -- Vocabulary -- Part 6: Documentary languages*.

ISO 5127-3A:1981, *Information and documentation -- Vocabulary -- Part 3a): Acquisition, identification, and analysis of documents and data*.

ISO 5963:1985, *Documentation -- Methods for examining documents, determining their subjects, and selecting indexing terms*.

ISO 7154:1983, *Documentation -- Bibliographic filing principles*.

3 Definitions

For the purposes of this International Standard, the definitions given in ISO 5127-1, ISO 5127-3A and ISO 5127-6 apply together with the following.

3.1 authority file: List or file of headings to be used in an index, e.g. forms of proper names, subject headings.

NOTE 1 - Such pre-established lists are used in particular to coordinate the indexing of collections.

3.2 collection: Group of documents to the contents of which reference is made or expected to be made in an index, e.g. those documents scanned by an indexing service; a database of abstracts.

NOTE 2 - Both collection and index may be intended to expand indefinitely.

3.3 cross-reference: Direction from one heading or subheading to another.

3.4 document: Any item that presents information, including machine-readable records, microforms, print and non-print media.

3.5 index: Alphabetically or otherwise ordered arrangement of entries, different from the order of the document or collection indexed, designed to enable users to locate information in a document or specific documents in a collection.

3.6 index entry: Single record in an index; it consists of a heading; a qualifier or scope note if required; subheading(s) if required; and either locator(s) or cross-reference(s) or both.

3.7 index heading: Term chosen to represent in the index an item or concept in a document.

NOTE 3 - The index heading is used alone, or related or modifying terms may be subsumed under it.

3.8 index subheading: Heading that is subsumed under a heading to indicate a subordinate or modifying relationship.

NOTE 4 - A subheading may have one or more sub-subheadings.

3.9 locator: Indication, following a heading or subheading, of that part of a document, or that item in a collection, to which the heading or subheading refers.

3.10 qualifier: Term, added to a heading, but separated from it by punctuation (preferably parentheses), in order to distinguish the heading from homographs in the same index.

NOTE 5 - The qualifier forms part of the heading.

3.11 scope note: Explanation added to a heading to clarify the range of the subject matter encompassed or the usage of the heading within the index.

NOTE 6 - The scope note does not form part of the heading.

3.12 "see also" cross-reference: Direction *from* a heading or subheading that is followed by one or more locators, *to* one or more other headings or subheadings under which related information will be found.

3.13 "see" cross-reference: Direction *from* a heading or subheading not followed by locators, *to* one or more other headings or subheadings under which information will be found.

3.14 term: Word, phrase or symbol used to denote a concept.

4 Function of an index

The function of an index is to provide the user with an efficient means of tracing information. The indexer should therefore:

- a) identify and locate relevant information within the material being indexed;
- b) discriminate between information on a subject and passing mention of a subject;
- c) exclude passing mention of subjects that offer nothing significant to the potential user;
- d) analyse concepts treated in the document so as to produce a series of headings;
- e) ensure that the terms used in the index are appropriate to the users of the index, so that they will:
 - 1) quickly establish the presence or absence of information on a specific subject in an unfamiliar work;
 - 2) quickly retrieve information on a remembered item in a known or partially known work;
 - 3) quickly identify appropriate documents in a collection.
- f) indicate relationships between concepts;
- g) group together information on subjects scattered by the arrangement of the document or collection;
- h) synthesize headings and subheadings into entries; this synthesis may already be established in an authority file;

- i) direct users seeking information under terms not chosen for index headings to terms that have been chosen as index headings, by means of "see" cross-references;
- j) arrange entries into a systematic and helpful order.

5 Types of index

Indexes may be produced with the indexed documents, or separately.

Indexes may include entries for a variety of categories including names (personal, corporate, geographic), technical terms, subjects, titles of works, first lines of poems, quotations, abbreviations, acronyms, numbers, dates, etc.

General indexes combine entries in all or any of the above categories in a single sequence.

When appropriate for the document or collection to be indexed, separate sequences may be used for entries of different types. The most common of these are differentiated in 5.1 to 5.6 (see also 7.1.4).

5.1 Subject indexes

Subject indexes provide access to the contents of documents by subject matter. The subject headings are arranged in alphabetical or other systematic order.

5.2 Author indexes

Author indexes may

- a) provide access to information on documents cited by the author's name in the indexed document; or
- b) list documents distinguished by author's name in the indexed collection.

Author indexes may include personal or corporate authors.

5.3 Name indexes

Name indexes provide access to names contained in documents, whether of persons, organizations or other animate or inanimate objects which are identified by a proper name, e.g., Red Rum (racehorse), Macrex (computer program). Such names may be combined in a single index.

5.4 Geographic indexes

Geographic indexes provide access to information or documents through the names of geographic locations. These locations may be very broad, such as continents or countries, or very specific, such as cities and towns, or specific buildings within a town.

5.5 Title indexes

Title indexes provide access to documents or document citations by displaying in one sequence the titles of the documents.

5.6 Number and code indexes

Number and code indexes provide access to information or documents by numerical designation, e.g. by patent number, ISBN, date of creation or publication (or both).

6 Quality control

6.1 Quality of indexes

An effective index meets the needs of those seeking information contained in the documents indexed (see 7.1).

Entries should allow for the different approaches likely to be made by the user (e.g. a novel or a play discussed in the document should be entered under both author and title).

The indexer should be impartial and objective both in selecting subject matter and in choosing terminology (see ISO 2788 and ISO 5963).

The indexer's knowledge of the principles of indexing, gained through study and experience, determines the quality of the index. Other important factors include the indexer's knowledge of the language and subject matter of the document and the quality of indexing tools used, e.g. controlled indexing languages (see ISO 2788).

6.2 Length and detail of indexes

The index should be sufficiently detailed to meet the expected needs of the user, given the amount of detail in, and the number of subjects covered by, the indexed documents. Factors affecting the length of an index include:

- a) the character and purpose of the documents indexed, for example, technical or academic material is likely to require more detailed treatment than popular material;
- b) the purpose of the indexing, for example, a specific audience may be interested in only one aspect of complex documents. Where there is a particular slant to the indexing, this should be clearly indicated in an introductory note, in the title or elsewhere.

If the indexer's professional judgment of the detail of indexing required leads to the creation of a longer index than the publisher considers economic, changes in presentation or typography are preferable to reducing the number of entries in the index.

It will be helpful if the indexer can estimate the number and extent of entries at an early stage, so that presentation can be discussed in good time (see 6.4).

6.3 Consistency in indexing

The detail, style and layout of an index should be consistent.

The index should be constructed according to a logical, balanced, consistent and easily recognizable pattern. Consistency is relevant to amount of detail given, use of terminology, subdivision, inversion, cross-references, locators and general style and layout.

Consistency is more likely to be achieved if

- a) indexing policies and authority files are established and followed;

- b) reliable indexing resources are used, e.g. dictionaries, controlled vocabularies, consultations with experts;
- c) indexing decisions are systematically recorded;
- d) work on the same index done by two or more indexers is carefully coordinated.

Careful checking, editing and proof-reading of the index is essential to ensure consistent use of headings and subheadings, accuracy in cross-references, locators, alphabetical or other arrangement, proper use of punctuation and spacing, and (where appropriate) replacement of cross-references by additional entries (see 7.5).

6.4 Relations between the indexer and author/publisher/user

The quality and consistency of an index will be enhanced if the indexer can discuss the document with the author, knows the publisher's requirements, and fully understands the likely requirements of the potential users of the index. This information will help indexers to make correct decisions on the choice of entries, inclusions in or exclusions from the index, and the need for special indexes (see also 6.1 and 7.1.4).

If there are conflicts between the interests of, for example, authors, publishers, database managers and indexers on such matters as cost, time scale, layout, length, etc., the expected need of the user for an effective guide to information in the document should be the deciding factor (see also 6.2).

6.4.1 Briefing indexers

Publishers should inform indexers in advance of any special conventions or requirements, for example, whether there shall be a comma between headings and locators (but see 7.4.5), whether there is a preferred number of pages for the index, whether there are any particular restrictions in the typesetting system being used. Indexers should not be burdened with unnecessary constraints, but they should be given sufficient information and guidance to complete the work satisfactorily.

6.4.2 Documents for indexing

Indexers should have access to

- a) complete documents, for example, the entire text including captions and non-text materials such as illustrations, maps, tables and charts;
- b) documents in their final form, for example, marked page proofs incorporating all changes to the text and pagination.

The indexer should notify the publisher of possible errors or inconsistencies in documents.

6.4.3 Final checking (proof-reading)

The publisher should give the indexer an opportunity to check the proofs of a printed index before publication.

6.4.4 Naming of indexers

Publishers should offer indexers the opportunity to be named in the document.

7 Content and general organization

7.1 General content and construction

7.1.1 Coverage

Indexes should normally cover all matter in the documents. Significant exclusions should be brought to the user's attention in an introductory note (see 9.2).

In the case of printed documents, matter normally indexed includes introductions, notes, addenda, illustrations and appendixes.

Title pages, dedications, tables of contents, synopses or abstracts at the beginning of articles or chapters, advertising, and similar items, are not normally indexed, though they should be examined for material to be included in the index.

7.1.2 Implicit and additional information indexed

Indexes may supply information implicit (but not given) in documents, for example, full names, identifying dates, names of chemicals, since this information can be especially helpful to the user.

7.1.3 Introductory note

Where necessary, an introductory note explaining its design and construction should be supplied at the beginning of the index, or series of indexes (see 9.2).

7.1.4 Single and multiple indexes

A single index to the contents of a single document is preferable to a series of indexes. Indexes to collections may be general (single) or specific, such as those listed in clause 5.

The following circumstances may influence the decision as to whether to provide more than one index:

- a) a particular interest in specific parts of documents, e.g. advertisements or reviews;
- b) a particular interest in specific items in the material indexed, e.g. authors or cited legal cases;
- c) difficulty in assimilating non-verbal headings, e.g. patent numbers or chemical formulae, into a primarily verbal list.

The title of each index should clearly indicate its contents and function(s) (see also 9.3.3).

7.2 Concepts: representation in headings and subheadings

7.2.1 Choice of headings

7.2.1.1 Choice of concepts

The choice of concepts to be included in indexes depends on the expected needs of the user and the nature of the documents indexed [see 4c) to 4f) and 6.2]. Headings should be as specific as necessary to assist the user.

The purpose of the document will influence the expression of the heading.

For example, in an index to a work on human resources management, a discussion of economic theories of labour might be indexed as such: the heading would begin "economic theories ..." because that is the specific subject of that part of the document. "Labour: economic theories" would not be useful, as labour is the subject of the whole work. Conversely, in a work on economics, "labour" would correctly introduce the entry (see also 7.2.3.4).

7.2.1.2 Terminology

Headings should be chosen from the terminology employed in the document, especially in the case of single document indexing; or, in the case of collection indexing, from an authority file.

7.2.1.3 Synonyms, linked terms and homographs

7.2.1.3.1 Synonyms

One term should be used consistently to represent the same concept. If there are synonyms for the term chosen as the heading, "see" cross-references should be made from the alternative terms.

When indexing collections or documents of multiple authorship, particular care is needed to collect under one heading all references to a concept for which different authors have used different terms, for example, either philately or stamp-collecting.

Variant spellings and abbreviations should be treated in the same way as synonyms.

EXAMPLES

- | | | |
|---|--------------------|-------------------------------------|
| 1 | <i>use either:</i> | aesthetics <i>or</i> esthetics |
| 2 | <i>use either:</i> | DNA <i>or</i> deoxyribonucleic acid |
| 3 | <i>use either:</i> | fantasme <i>or</i> phantasme |

If non-current or idiosyncratic terminology from the document is used in the index, it should be qualified by the addition of the term in current use, with a "see" cross-reference from that term (see 7.5).

EXAMPLES

- | | |
|---|---|
| 1 | consumption (tuberculosis of the lungs)
tuberculosis of the lungs <i>see</i> consumption (tuberculosis of the lungs) |
| 2 | globule blanc <i>voir</i> leucocyte (globule blanc)
leucocyte (globule blanc) |

7.2.1.3.2 Linked terms

Linked terms such as antonyms that cannot be treated without reference to each other should be entered as a single heading containing both terms. A cross-reference should be made from the second of the linked terms to the whole phrase.

EXAMPLES

- | | |
|---|--|
| 1 | evil <i>see</i> good and evil
good and evil |
|---|--|

- 2 awards *see* honours and awards
honours and awards
- 3 *décadence voir* grandeur et *décadence*
grandeur et *décadence*

7.2.1.3.3 Homographs

Homographs should be distinguished by the addition of a qualifier.

EXAMPLES

- 1 Geschichte (historische Entwicklung)
Geschichte (Literatur)
- 2 grue (machine de levage)
grue (oiseau)
- 3 races (ethnology)
races (sport)

7.2.2 Form of headings and subheadings

7.2.2.1 Headings

Headings should represent concepts found in the document. Their presentation in the index should conform to common usage in the language and terminology of the document, or of users for whom the index is intended. In general, headings should consist of nouns, modified, if required, by adjectives or by other nouns or verbs used attributively.

EXAMPLES

- 1 arc à souder
- 2 artificial flowers
- 3 cutting tools
- 4 droit international privé
- 5 education
- 6 roman policier

7.2.2.2 Singular and plural forms

If a term chosen as a heading appears in the document in both the singular and plural form, one form only should be used in the index, except when the two forms have different meanings.

The choice of the singular or plural form of a word as a heading depends on the language of the index.

For example, in French and German the singular form is generally preferred, while in English the plural form should generally be used for terms denoting discrete objects (countables) and the singular form should be used for non-countables, i.e. the plural should be used when the question as to quantity asks "How many?" and the singular when the question as to quantity asks "How much?".

EXAMPLES

	ENGLISH	FRENCH	GERMAN
<i>non-countables</i>			
1	freedom	liberté	Freiheit
2	air	air	Luft
<i>countables</i>			
3	animals	animal	Tier
4	watches	montre	Uhr

If the singular and plural forms have different meanings, both forms may be used in the index.

EXAMPLES

- 1 building (process)
buildings
- 2 échec
échecs (jeu)
- 3 Geschichte (historische Entwicklung)
Geschichten

7.2.2.3 Orthography

The spelling conventions of the text or authority file should be carefully observed in the index, for example, the use of "colour" or "color" (but see 7.2.1.3 for documents of multiple authorship).

Unless the orthography of the language of the document, for example German, requires otherwise, headings other than proper names should begin with a lower-case letter since the user can lose both information and time if all headings begin with an upper-case letter.

7.2.2.4 Terms consisting of more than one word

Terms consisting of more than one word that exist in common usage should be used as headings without inverting or subsuming.

When necessary, cross-references from, or additional entries for, the word or words following the first one should be made.

EXAMPLE

balance sheet
balance, trade *see* trade balance
trade balance

rather than

balance
sheet
trade

It may, however, be desirable to invert or subsume in cases where a hierarchy of headings and subheadings may appropriately be provided (see 7.2.3).

EXAMPLE

child benefits
invalidity benefits
unemployment benefits

and

benefits
child
invalidity
unemployment

If punctuation marks are given a special meaning, for example, to indicate the relationship of terms in a heading, this should be clearly explained in an introductory note (see 9.2).

7.2.2.5 Prepositions

Prepositions should as far as possible be used only if their absence might cause ambiguity.

EXAMPLES

1	countryside: public access	("to" unnecessary)
2	food: rationing	("of" unnecessary)
3	land: use	("of" unnecessary)

but

4	computers for management management of
---	--

rather than

computers
management

and

5	environnement influence de influence sur
---	--

rather than

environnement
influence

7.2.3 Scope and use of headings and subheadings

7.2.3.1 A scope note may help in clarifying the scope of a heading. A scope note should be distinguished typographically, for example, by being set in italics.

7.2.3.2 Concepts that are different aspects of the same subject may be brought together to form a hierarchy of heading, subheadings and sub-subheadings.

7.2.3.3 Indention is conventionally used

- a) to indicate the hierarchical relationship of headings and subheadings;
- b) to avoid the repetition of recurring terms (see also 7.2.3.6 and 9.1.2.4).

7.2.3.4 The relative weight given to a subject in the document influences the suitability of a grouping of subheadings. Another factor that determines the selection of subheadings is the likelihood that users seek information grouped in that manner.

EXAMPLE

in a work on economics:

labour

distribution theory 143-167
 earnings 39-42, 129-142
 monopsonistic markets 53, 149, 223-229
 oligopsonistic markets 153-159, 225
 perfect competition 43-62, 161-165, 228

in a work on personnel management:

economic theories of labour 39-62, 129-167, 223-229

in a current awareness service for business:

workforce: economic theories 2042
 economics: labour 2042

7.2.3.5 Headings with long strings of undifferentiated locators should be avoided.

EXAMPLE

lamps

electric

bases 110-112, 353-368
 caps 45, 263
 filaments 346, 371
 gas 10, 381, 402
 oil 6, 110-112

or

electric lamps

bases 110-112, 353-368

caps 45, 263
 filaments 346, 371
 lamps
 electric *see* electric lamps
 gas 10, 381, 402
 oil 6, 110-112

rather than

lamps 6, 10, 45, 110-112, 263, 346, 353-368, 371, 381, 402

7.2.3.6 An alternative presentation of index entries replaces the hierarchical arrangement of headings and subheadings in an index by the repetition of recurring terms to designate compound subjects, or by the systematic use of punctuation symbols to indicate the precise role of qualifying terms.

This usage may be appropriate in indexes to journals, bibliographies and abstracts.

The following example demonstrates both repetition and the use of punctuation symbols: a colon is used to relate a thing or entity to its property, action, material or part; a comma is used to relate a term that defines or delimits a thing or entity.

EXAMPLE

DIFFERENTIAL EQUATIONS

Partial, Elliptic, Second order: Boundary values: Solution: Complementary
 variational principles

Partial, Elliptic, Second order: Boundary values: Solution: Hypercircle method

Partial, Non-linear: Convergence-stability relationships: Lax-Richtmyer theorem

7.3 Proper names and titles of documents: choice and form of headings

Indexers may refer to the cataloguing rules used in libraries in their own country for detailed guidance on the construction of headings for names of persons, places and corporate bodies.

NOTES

7 The examples used in this International Standard are constructed according to practice in the United Kingdom except for those in French which are constructed according to Association française de normalisation (AFNOR) standards.

8 The formation of personal names and their preferred entry in indexes is set out in the International Federation of Library Associations and Institutions' (IFLA) publication *Names of persons: national usages for entry in catalogues*.

7.3.1 Personal names

7.3.1.1 Form of names

Generally, personal names should be provided in as full a form as possible, so as to give the users of the index the most complete information available.

In single document indexes, personal names should take the form used in the document, but if the text is not consistent the indexer should adopt one form. "See" cross-references should be made from other forms, whether or not used in the document (see 7.5.1).

When preparing a name authority file for the indexing of multiple documents, indexers should choose the most recent, or the most commonly used, form of personal name as the heading and add "see" cross-references from other forms.

EXAMPLES

- 1 Arouet, François-Marie *see* Voltaire
 Voltaire
- 2 Clemens, Samuel Langhorne *see* Twain, Mark
 Twain, Mark
- 3 Jeanneret-Gris, Charles-Edouard *voir* Le Corbusier
 Le Corbusier

7.3.1.2 Form of name headings

- a) Where surnames are in common use, the entry word should be the surname followed by any given names or initials.

EXAMPLES

- 1 Flaubert, Gustave
- 2 Lee Kuan Yew
- 3 Wheatley, Henry B

- b) Where surnames are not used, the name that customarily comes first should properly be used as the entry word.

EXAMPLE

Imran Khan
Kapil Dev
Vigdís Finnbogadóttir
Zaheer Abbas

A "see" cross-reference may be made from a transposition of the name if considered useful.

EXAMPLE

Finnbogadóttir, Vigdís *see* Vigdís Finnbogadóttir

Exceptionally, in countries and situations where users may not be expected to distinguish names of persons from different cultures, names may be transposed, with appropriate cross-references from the direct form.

- c) Persons identified only by a given name or forename should be indexed under that name, qualified, if necessary, by a title of office or other distinguishing epithet.

EXAMPLES

- 1 Boudicca, Queen of the Iceni
- 2 Ethelred the Unready
- 3 Leonardo da Vinci
- 4 Pépin le Bref

d) Persons normally identified by a title of honour or nobility should be indexed under that title, expanded if necessary by their family name.

EXAMPLES

- 1 Dalai Lama
- 2 Marlborough, John Churchill, first Duke of
- 3 Sévigné, Marie de Rabutin-Chantal (Marquise de)

e) Compound and multiple surnames, whether hyphenated or not, should be indexed under the first part, with any necessary "see" cross-references from other parts, except where usage favours any other form.

EXAMPLES

- 1 Lattre de Tassigny, Jean de
Tassigny, Jean de Lattre de *voir* Lattre de Tassigny, Jean de
- 2 Layzell Ward, Patricia
Ward, Patricia Layzell *see* Layzell Ward, Patricia
- 3 Pérez de Cuéllar, Javier

7.3.1.3 Distinguishing persons of the same name

Two or more persons of the same name should be distinguished by the addition of qualifying information, such as dates, occupation or title.

EXAMPLES

- 1 Butler, Samuel (1612-1680)
Butler, Samuel (1835-1902)
- 2 Rickert, Heinrich (philosopher)
Rickert, Heinrich (politician)

7.3.2 Names of corporate bodies

Names of corporate bodies should normally be indexed without transposition and in as full a form as necessary to distinguish between similar names. An initial article is omitted, unless specifically required for semantic or grammatical reasons.

EXAMPLES

- 1 Academia Scientiarum Fennica

- 2 British Museum
- 3 Ecole nationale supérieure des mines (Paris)
Ecole nationale supérieure des mines (Saint-Etienne)
- 4 Koninklijke Bibliotheek (Bruxelles)
Koninklijke Bibliotheek ('s-Gravenhage)
- 5 Marks & Son (1936)
Marks & Son (Fisheries)

Transposition may, however, be used if it is considered that this would help the user of the index.

EXAMPLES

- 1 Agriculture, Ministry of
- 2 Whitaker (J) & Sons

"See" cross-references should be made from alternative approaches (see 7.5.1).

EXAMPLES

- 1 J Whitaker & Sons *see* Whitaker (J) & Sons
- 2 Ministry of Agriculture *see* Agriculture, Ministry of

In single-document indexes, corporate names should take the form used in the document, but if the text is not consistent the indexer should adopt one form. "See" cross-references should be made from other forms, whether or not used in the document (see 7.5.1).

When preparing a name authority file for the indexing of multiple documents, indexers should choose the most recent, or the most commonly used, form of corporate name as the main heading and add "see" cross-references from other forms.

EXAMPLES:

- 1 John Moores University *see* Liverpool John Moores University
Liverpool John Moores University
Liverpool Polytechnic *see* Liverpool John Moores University
- 2 OCLC
Ohio Colleges Library Center *see* OCLC
Online Computer Library Center Inc *see* OCLC

7.3.3 Geographic names

7.3.3.1 Geographic names should be as full as is necessary for clarity, with additions to avoid confusion between otherwise identical names.

EXAMPLES

- 1 Middletown (Conn.)
Middletown (Ohio)
Middletown (Powys)

- 2 Somme (département)
Somme (fleuve)

7.3.3.2 An article or preposition should be retained in a geographic name of which it forms an integral part. The name should file in the order that follows local usage.

EXAMPLES

- 1 Des Moines
- 2 La Paz
- 3 Las Vegas
- 4 Le Havre

7.3.3.3 Where the article or preposition does not form an integral part of a name it should be omitted.

EXAMPLES

- | | | | |
|---|------------|--------------------|----------------|
| 1 | Cévennes | <i>rather than</i> | Les Cévennes |
| 2 | New Forest | <i>rather than</i> | The New Forest |
| 3 | Rheinfall | <i>rather than</i> | Der Rheinfall |

7.3.4 Titles of documents

7.3.4.1 Titles of documents should normally be italicized, underlined or otherwise distinguished. If necessary for identification, names of creators, places of publication, dates or other qualifiers may be added within parentheses.

EXAMPLES

- 1 *Ave Maria* (Gounod)
Ave Maria (Schubert)
Ave Maria (Verdi)
- 2 *Natura* (Amsterdam)
Natura (Bucuresti)
Natura (Milano)

7.3.4.2 An article at the beginning of a document title should be treated in accordance with national usage. However, there must be consistency within one index.

In an English index, articles in titles are conventionally transposed to the end of the heading so that filing order is explicit.

EXAMPLE

hunting of the snark, The
Kapital, Das
nourritures terrestres, Les

In a French index, articles in titles are not transposed to the end of the heading, but are ignored in filing.

EXAMPLE

The hunting of the snark
Das Kapital
Les nourritures terrestres

7.3.4.3 A preposition at the beginning of the title of a document should be retained.

EXAMPLE

An die Musik
De l'Allemagne
To the lighthouse

7.3.5 First lines of poems

Conventionally in an index of first lines of poems, the article is retained without transposition and is recognized for purposes of alphabetical arrangement.

7.3.6 Abbreviations and contractions

Contractions and abbreviations should be filed as given, not as if spelt out in their fullest form, e.g. Inc, plc.

Initial letters representing a proper name (acronyms or initialisms), e.g. ASCII, ISO, should be treated consistently in accordance with the practice of the language or index, e.g. as one word.

The indexer should, where possible, follow the conventions employed in the text or authority file as to the presence or absence of punctuation within contractions, e.g. *either* "I.C.I." *or* "ICI", *either* "Dr" *or* "Dr."

7.3.7 Conversion of words from other writing systems

Names and words which have been converted from a given script into that of another writing system (e.g. Japanese kana script to Roman script) should be given in an index in the form in which they appear in the text, provided they are converted consistently. If names and words are converted in the indexed text according to different systems, or if they are not converted at all, they should be converted by the indexer in accordance with ISO transliteration or romanization standards (see annex A), and filed in the same way as any other words in the script of the index. If no ISO system is appropriate, other existing conversion systems, for example, ALA/LC romanization tables, or those used in other large or national libraries, may be employed.

7.4 Locators**7.4.1 Purpose of locators**

The purpose of a locator is to lead the user directly to that part of the document or collection containing the information to which the index heading refers.

7.4.2 Kinds of locator

7.4.2.1 General

The kind of locator used in the index, and any particular typographical usages, should be clearly indicated in an introductory note (see also 9.2). The nature of the locator will depend on the material being indexed.

7.4.2.2 Locators for printed documents

Books, pamphlets, periodicals and other printed documents normally consist of one or more consecutively numbered sequences of pages, bound into one or more units.

7.4.2.2.1 When indexing these texts in depth, the indexer should use locators that refer to page numbers, separating locators with a comma. It is necessary to distinguish between different sequences of numbers.

EXAMPLE

In a document consisting of three numbered sequences:

Livingstone, Ken 1/3, 1/97, 3/94

or

Livingstone, Ken 1:3, 1:97, 3:94

If pages of a printed document are divided in some way, e.g. into columns, the indexer can increase specificity by referring the user to page and column. With certain classes of printed material, special conventions for locators apply. For example, parts of plays may be referred to by act, scene and line number(s), and parts of books of the Bible by chapter and verse number(s).

If documents have numbered paragraphs, the indexer can use those paragraph numbers as locators. Where the document consists of a series of uniquely numbered, short, discrete items, such as abstracts, quotations, or case reports, the indexer can use the item numbers as locators in place of page numbers. However, if a publication has two or more separately or differently paginated sections (e.g. arabic numerals for the text of a legal work, and roman numerals for the cases cited), the indexer should distinguish the locators for the variously paginated sections.

7.4.2.2.2 When indexing several issues or volumes of one title of a periodical, the indexer should take the locators from the numbering of the issues at the time of publication.

EXAMPLES

1	52/4:38	<i>volume/part:page</i>
2	52, April 1947:38	<i>volume,date:page</i>
3	52:38	<i>volume:page</i>
4	April 1947:38	<i>date:page</i>

7.4.2.2.3 When indexing the detailed contents of a collection of documents, indexers should ensure that locators give complete information about each document. For example, in the case of periodical articles, each locator normally consists of all of the title of the article, the author(s) of the article (if named), the title of the periodical (often in an abbreviated form that is explained in introductory notes), its volume number and date, and the inclusive pagination for the article. (Some indexing services add information indicating photographs, tables, and other illustrations. These indications are, strictly speaking, not locators; rather, like index headings and subheadings, they assist users to decide whether documents are likely to be of value to them.)

EXAMPLE

Computer simulation

Building working computer models. R Collison and Peter Farkas. *Computer univ.* 16:37-41 Jan-Feb '89. tables.

Computer-simulated robotic arms. *Bits & bytes* 8:126 Jan '89. illus.

7.4.2.3 Locators for non-print materials and multi-media documents

Non-print media may, for indexing purposes, be divided into three types.

a) Those consisting of elements that form one or more sequences that are, or may be, continuously numbered and so accessed by the user. Such materials may be treated broadly as in 7.4.2.2. Examples are a collection of slides, a filmstrip, an audiodisc, a machine-readable database. Locators would be to slide number, frame number, side and band number, and record identifier, e.g. control number, respectively.

b) Those consisting of one or more sequences of elements that cannot be distinguished numerically or so accessed by the user. Examples are serially accessed materials such as cinefilm, audio and videotape. In these cases the indexer needs to devise relative locators, such as playing time from a particular point. The indexer should give consideration to the technical capacity of equipment likely to be available to the user.

c) Those not consisting of sequences, such as maps, plans, charts, pictures, realia. In some cases specific conventions exist, e.g. for maps, either grid references or coordinates. In other cases the indexer should devise locators.

In the case of multi-media documents, more than one type of locator may be used if necessary.

7.4.3 Methods of indicating multiple locators in indexes to single documents

7.4.3.1 If a document treats a subject continuously in a consecutively numbered sequence, reference should be made to the first and last numbered elements only, e.g. 3-11. Expressions such as "*3ff*" or "*3 et seq.*" are not recommended, because they give incomplete information to the user.

Normally, numbers should not be elided, because maximum clarity is achieved by presenting first and last numerals in full, e.g. 78-79, 123-125.

Exceptionally, where space constraints apply or where the locators are extremely long, e.g., 100026-100027, numbers may be elided so that only the changed digits of the second locator are given, e.g. 100026-7. Conventionally, the digits 10-19 in each hundred are given in full, e.g. 13-15, 315-17.

Whatever form of presentation is used, it must be applied consistently throughout the index.

7.4.3.2 If a subject is treated repeatedly but not continuously over a consecutively numbered sequence, reference should be made to each element in the sequence, e.g. 3, 4, 5 (not 3-5). The use of the word "*passim*" is not recommended.

7.4.4 Methods of emphasizing locators

If an entry consists of several locators, the reference leading to the fullest or, in the opinion of the indexer, the most significant information may be emphasized typographically, e.g. 47, **49**, 51-52.

Locators which relate to special matter in the text, e.g. tables or illustrations, may also be specially emphasized. Locators to illustrations might be italicized, enclosed in brackets, or prefixed or suffixed "i". Where more than one type of material is to be indicated, it is preferable to use the same system for all, for example, "T" for tables; "I" for illustrations; "M" for maps.

7.4.5 Presentation of locators

Locators should be clearly separated from headings, either by a comma followed by a space, or by two spaces, or by some other punctuation mark that is unambiguous in the index.

7.5 Cross-references

An index should include appropriate cross-references from synonymous and alternative headings and between related headings, unless multiple entries are used.

7.5.1 "See" cross-references

"See" cross-references should be made from non-preferred synonyms and alternative forms to preferred headings.

Where the direction of the cross-reference is to multiple headings, these should be listed in alphabetical order, separated by semi-colons.

EXAMPLES

- 1 Bonaparte, Napoléon *voir* Napoléon I, empereur des Français
- 2 da Vinci, Leonardo *see* Leonardo da Vinci
- 3 esthetics *see* aesthetics
- 4 flower names *see* botany: nomenclature
- 5 Great Bear *see* Ursa Major
- 6 moths *see* butterflies and moths
- 7 Peking *see* Beijing
- 8 Penniman, Richard *see* Little Richard
- 9 storage *see* cold storage; warehouses
- 10 Vinci, Leonardo da *see* Leonardo da Vinci

In the index to a book or other separately issued publication, a "see" cross-reference should be replaced by an entry if there are few locators or if the entry does not occupy more lines of type than would the cross-reference.

7.5.2 "See also" cross-references

7.5.2.1 "See also" cross-references should be made between related headings or subheadings used in the index, but not when this results in the user being directed to identical locators.

"See also" cross-references should normally follow the locator(s) relating to the heading or subheading from which they refer.

Where the direction of the cross-reference is to multiple headings, these should be listed in alphabetical order, separated by semi-colons.

EXAMPLE

bears 100, 217, 923 *see also* badgers; koala bears; raccoons

However, since their purpose is not only to suggest additional entries that may be useful but also to suggest alternative entries that may be more appropriate, "see also" cross-references should precede both locators and subheadings in those types of index where they may be overlooked or found only after perusing unwanted references, as in an index on cards or on a visual display unit, or in a very detailed printed index. In this case they should be clearly distinguished from the remainder of the entry, for example, by enclosing them within parentheses.

EXAMPLE

economics (*see also* assets; banking; business firms; commerce; transport; wealth) 144,
195, 229, 363, 499, 502
bibliographies 208
mathematical models 160
statistics 155

7.5.2.2 The need for cross-references from more comprehensive terms to less comprehensive terms should be considered, as in the following cases:

a) from general to specific

EXAMPLES

- 1 bears *see also* polar bears
- 2 behaviour *see also* aggression
- 3 furniture *see also* chairs

b) from a discipline to its constituent studies

EXAMPLE

geology *see also* petrology

c) from a class to its individual members

EXAMPLES

- 1 bridges *see also* Sydney Harbour Bridge
- 2 standardizing bodies *see also* AFNOR

d) from an entity to its parts or kinds

EXAMPLES

- 1 buildings *see also* rooms
- 2 United Nations *see also* UNESCO
- 3 population *see also* immigrants
- 4 chemicals industry *see also* agrochemicals industry
- 5 taxation *see also* income tax

7.5.2.3 The need for "see also" cross-references between terms having other relationships should be considered. The cross-reference should be made in both directions where appropriate, if the additional cost is warranted. Examples of reciprocal cross-references are shown only in item f) below:

a) a discipline and the objects studied

EXAMPLES

- 1 botany *see also* plants
- 2 physical chemistry *see also* molecules

b) a theoretical study and its application or technology

EXAMPLES

- 1 dynamics *see also* mechanical engineering
- 2 state ownership *see also* nationalized industries

c) an activity and its agent

EXAMPLES

- 1 photography *see also* cameras
- 2 singing *see also* voice

d) an activity and the thing acted upon

EXAMPLES

- 1 angling *see also* fish
- 2 dentistry *see also* teeth

e) an activity and its product

EXAMPLES

- 1 aggression *see also* violence
- 2 cartography *see also* maps

f) similar topics not always differentiated in common parlance but differentiated in the index

EXAMPLES

- 1 boats *see also* ships
ships *see also* boats
- 2 porcelain *see also* pottery
pottery *see also* porcelain

g) related topics separated in the index by common usage of nomenclature, for example, where noun and adjective take different forms

EXAMPLES

- 1 law *see also* legal aid
- 2 mouth *see also* oral hygiene

h) numerals filed in numerical sequence and the numbers, dates, etc. as spoken

EXAMPLE

1066 *see also* Ten sixty-six

7.5.3 Changes in nomenclature and terminology

In an index to a journal, newspaper or other serial publication, the indexer should take care to cover changes in terminology arising through the following:

a) the introduction of a new term as a substitute for an obsolescent term

EXAMPLE

"Radio" replaced "wireless" in the 1950 volume of a periodical. Consequently, in 1950, the indexer made the following entries:

radio *in earlier volumes see* wireless
wireless *see* radio

When indexes spanning the date of the change were cumulated into one sequence, the indexer made the following entries:

radio *see also* wireless *for references before 1950*
wireless *see also* radio *for references from 1950 onwards*

b) name changes

EXAMPLE

Burkina Faso *see also* Upper Volta *for references before November 1984*
Upper Volta *see also* Burkina Faso *for references from November 1984 onwards*

Note that *"in earlier volumes see"* and *"for references before November 1984 see"* are examples of acceptable cross-references, although they do not follow the more usual *"see"* or *"see also"* formula.

Occasionally the problem of name changes also arises when indexing books. If individuals or organizations change their names, the indexer may add *"now (new name)"* in parentheses after the old name. If the new name would file in a different place from the old one, the indexer should make an additional entry or add a *"see"* cross-reference.

EXAMPLES

- 1 Office of Management Services (now Office of Management Studies) 15, 219, 226
- 2 Lobel, Alice (now Alice Synkova) 43, 62, 144, 221, 236, 271
Synkova, Alice *see* Lobel, Alice

c) the use of additional terms to express more specific concepts previously embraced by a single term.

EXAMPLE

Original heading:
computers (*used for all types*)

"See" cross-references cover occasional mention of types of computer in the documents indexed:

microcomputers *see* computers
minicomputers *see* computers

When the indexer established differentiated headings, the following was added, and the "see" cross-references deleted:

computers *see also* microcomputers; minicomputers
microcomputers
minicomputers

Because users often tend to search current entries before searching retrospectively, indexers should attach dates to headings so that users of the index (especially an automated index) know when such headings were introduced:

EXAMPLE

computers *see also* microcomputers (1977); minicomputers (1972)
microcomputers (1977)
minicomputers (1972)

8 Arrangement of entries in indexes

8.1 Basic order of filing characters

For either machine or manual sorting, all characters and symbols normally have a filing value. These filing values may derive from an established system such as ISO 646, but such systems, designed for character representation rather than for sorting, generally file all upper case letters before all lower case letters, and intersperse accented letters with non-alphabetical symbols. For sorting purposes, therefore, upper and lower case versions of the same letter should be given identical values so that a single alphabetical sequence is obtained. Similarly, when modified characters are used, e.g. Ä, Å, å, â, ã, á, they should be given values to enable them to be sorted according to local practice.

Punctuation symbols used to distinguish types of index heading may be given special values in order to sort the headings in the order required.

Symbols and numerals which are to be ignored in filing should be given a null value.

The value given to a blank space will depend on whether letter-by-letter or word-by-word order is required (see 8.2).

Software used for index sorting should be capable of accommodating all the above requirements, if necessary by permitting the user to edit the sort translation table.

8.2 Word-by-word versus letter-by-letter alphabetization

Index headings consisting of more than one word should be filed by the word-by-word method, in which a space files before a letter, for example, "New York" precedes "Newark".

An alternative arrangement, letter-by-letter, disregards such characters as the space and dash. This arrangement may be required for the continuation of an existing index.

EXAMPLES

1 *word-by-word alphabetization*

Bag of bricks
Bagby, George
Bagshaw, Malcolm A
Bank of England
banking

2 *letter-by-letter alphabetization*

Bagby, George
Bag of bricks
Bagshaw, Malcolm A
banking
Bank of England

8.3 Alphanumeric arrangement

a) Headings beginning with arabic and roman numerals should be interfiled, arranged in numeric order and placed before the main alphabetical sequence.

EXAMPLE

1:30 a.m.
XX century cyclopedia and atlas
1001 nights
1066 and all that
1984

b) In indexes where few headings begin with numerals, they may be arranged as if spelt out in words in the appropriate language, for example, "4" files as "four", "quatre" or "vier".

EXAMPLE

<i>1984</i>	(nineteen eighty-four)
<i>1:30 a.m.</i>	(one thirty)
<i>1001 nights</i>	(one thousand and one)
<i>1066 and all that</i>	(ten sixty-six)
<i>XX century cyclopedia and atlas</i>	(twentieth)

- c) Exceptionally, numerals as prefixes or infixes in names of chemical compounds in biological and chemical texts are disregarded, unless needed to distinguish homographs.

EXAMPLE

5-ethoxy-2-ethylmercaptobenzimidazole
3-ethyl-4-picoline
4-ethyl- α -picoline

- d) In all other cases where numerals occur within headings or subheadings, they should be filed alphanumerically.

EXAMPLE

Club 18-30
Club 21
Club 147 Fashions
Club One Holidays

8.4 Filing index headings

As far as possible, generally understood filing systems should be used (see ISO 7154).

Systems for filing index headings shall be explicit (i.e. the filing position of any index heading shall be clear) and predictable (i.e. there shall be rules for filing every character used in the index).

Alphanumeric arrangement is generally the most practical, and is therefore the most common, method of presenting indexes. Other arrangements may be more appropriate for a particular index; for example, in a technical work there may be a need for an index arranged by patent document numbers or report numbers.

Within an alphabetical index, subheadings may occasionally be more suitably arranged by a method other than alphabetical (see 8.6).

If the arrangement would not be immediately clear to the user, it should be explained in an introductory note to the index.

8.5 Index headings beginning with the same term

Index headings beginning with the same term should be filed in the following sequence:

term with or without subheadings;
term with qualifier;
term as first element of longer term.

Punctuation within the headings (in the example below, parentheses to introduce a qualifier) serves to make the nature of the heading explicit and to enable automated sorting.

EXAMPLE

milk
 cows'
 goats'
Milk (report)
milk allergies
Milk Marketing Board

8.6 Filing subheadings

Subheadings are normally arranged in an index in the same way as headings.

However, the arrangement of subheadings may be helpfully modified by numerical, chronological or some other systematic arrangement, especially if such an arrangement is apparent or implicit in the text, or introduced to differentiate large numbers of homographs.

If the system used for filing subheadings is different from that used for filing headings, the system used should conform to the principles of 8.4.

In the case of concept subheadings which begin with prepositions or conjunctions (see 7.2.2.5), a decision may be made to ignore the prepositions or conjunctions for filing purposes. Such a decision should apply to the index as a whole, and be recorded in an introductory note.

In the case of names or document titles as subheadings, the subheading should be constructed according to 7.3 and filed as given.

8.7 Filing entries which include cross-references

A cross-reference introduced by "see" or "see also" follows the heading but is not part of it and does not affect the position of the heading in an alphabetical sequence.

EXAMPLE

peace 5, 94, 101 *see also* war
Peace in our time 33

9 Presentation of printed indexes

9.1 Preparation of index copy for final processing

Indexers should ascertain from the publisher (or other body/individual with whom they have contracted to compile the index) whether they should observe any particular conventions in copy presentation.

In the case of single document indexes, the indexer will normally supply the index as a typescript or in machine-readable form accompanied by hard copy identical to the machine-readable file.

In the case of indexes to collections of documents, the format for presentation will depend on the technology used to produce and disseminate the final index, which may range from card indexes to electronic publications.

9.1.1 Machine-readable copy

In the case of machine-readable copy provided for reformatting, whether for incorporation into an online index or a printed index, the indexer should ascertain and carefully follow the format coding system required by the client. In many cases, special codes will replace the print codes used by the indexer's own software.

9.1.2 Layout of copy for subsequent typesetting

9.1.2.1 General

Where the index is to be set from typescript, the conventions below are recommended in order to provide clear copy for the typesetter to work from, regardless of the intended layout of the published index. For example, for the sake of clarity, copy may be presented in set-out style, with appropriate indications of final layout, when it is intended to set the final index in run-on style (see 9.5).

Indications to the typesetter for copy preparation should follow the conventions accepted in the country in which the index is published.

9.1.2.2 Vertical spacing

The indexer should insert a blank line between alphabetical sections. When there are non-alphabetical index headings (e.g. a group of index headings beginning with a numeral) a blank line should be left between the non-alphabetical group and the alphabetical sequence. If a new letter falls at the top page of the typescript, the indexer should add a warning note on the copy so that the typesetter does not fail to insert the extra space (see also 9.4.1.2).

9.1.2.3 Entry layout

Each heading, subheading, sub-subheading, etc. should begin on a new line.

9.1.2.4 Indentation

Subheadings, sub-subheadings, etc. should be progressively indented. In all cases that run on to another line ("turnover lines"), the line should be indented more deeply than the deepest subheading indentation employed in the index (see also 9.4.1.4).

9.2 Introductory note

If an index is not straightforward or its conventions self-explanatory, the indexer should preface the index with an introductory note. Any abbreviations, symbols, typographical conventions, etc. requiring explanation should be included in the note, as well as mention of any International Standards or other systems used for transliteration or romanization. In the case of separately published indexes, a note should include sufficient bibliographic information (author, title, publisher, place and date of publication and, in the case of periodicals, volumes/issues indexed) to identify completely the documents indexed.

9.3 Presentation of published index

9.3.1 Position of the index

Although an index appended to the document indexed is conventionally placed at the end of the document, it may sometimes precede the text, for example, in multi-volume reference works and in periodicals. The number of the page on which the index begins should be shown in the table of contents.

In multi-volume documents, an index may appear at the end of each volume or as a separate volume.

9.3.2 Pagination

The pagination of an appended index should continue that of the text in a single sequence in Arabic numerals, unless the index precedes the text. In this case, the pagination, as is the case for the entire preliminary matter, should be different from that of the main text of the document; normally it should be set in roman numerals.

9.3.3 Running headlines

Pages on which the index is printed should bear a running headline. In the case of multiple indexes, there should be running headlines on each page bearing an appropriate title for each index. In the case of separately issued indexes, the words "Index to (title of document)" should be used.

9.3.4 Typography

In the choice of typography, clear and rapid legibility should be the first concern. Size of letter and width of column should be in proportion to each other. One line should be able to accommodate an index entry of average length including two or more locators. When an index entry occupies more than one line, division of a locator should be avoided.

9.3.5 Columns

An index is normally set in two columns per page. If necessary to save space, it may be set in three columns. Certain types of index, especially where the entries are long, for example, an index of first lines, or a table of cases in legal works, may be better if they are set to full page width.

If more than one index to the document is provided and each index occupies several columns, it is recommended that each index begin at the top of a page or column. The title to each index, shortened if necessary, should be repeated at the top of each page as the running headline.

In a very long index, it is recommended that each group of index headings beginning with the same initial letter begin on a new column or on a new page.

9.4 Search aids

Search aids can considerably facilitate the use of an index.

9.4.1 Search aids within an index

9.4.1.1 Indication of scope of page

Running headlines may be used to indicate the scope of the page, for example, first and last index headings may be reproduced. Normally the title headline would be centred on the page, and the scope headlines positioned towards the right margin of a recto (right page) and the left margin of a verso (left page).

9.4.1.2 Vertical spacing

Extra vertical space may be inserted between alphabetical sections, and between any non-alphabetical sections and the alphabetical section.

9.4.1.3 Variations in type

A different type face (e.g. bold, italics, small capitals) may be used to distinguish entries such as those for illustrations or titles of works. Where the index consists of few main headings and many subheadings, the presentation of main headings in a different type face or style from subheadings may be useful. Such conventions, when adopted, should be explained in an introductory note (see 9.2). Too much variety, however, could confuse the user and defeat its own object.

9.4.1.4 Indention of turnover lines

Turnover lines should be indented more deeply than the deepest subheading indention in an index (usually one em of set deeper) (see the example in 9.5).

9.4.1.5 Continuation lines

If an index entry runs on to a new page, the index heading and any subheading and sub-subheading applicable to the run-on entries should be repeated, followed by the word "continued", or an abbreviation of that word, in parentheses.

EXAMPLE

(main heading and two levels of subheading carried over)

Afghanistan (continued)
 conflict/terrorism (continued)
 external conflict (continued)
 foreign involvement 900113/1.005
 peace initiatives 900116/1.047

9.4.2 Search aids within multiple indexes

Search aids which facilitate orientation when there is more than one index include:

- a) a consistent running headline for each index (see 9.3.5);
- b) differently coloured paper for each index;
- c) optical or punched index markers at the edge of the page.

9.5 Set-out (indented) style versus run-on (paragraph) style for layout

Set-out subheadings are preferable to run-on subheadings because users can understand them more easily and scan them more quickly. However, where economy dictates space-saving measures, run-on subheadings are preferable to shortening the index (see also 6.2).

Set-out style is described in 9.1.2.3 and 9.1.2.4.

In run-on style, where the logical subordination of headings and subheadings is not indicated by indention on fresh lines (see 7.2.3.3), punctuation acts as a substitute. The set-out layout of subheadings under the main heading is usually retained, however, with run-on layout being used for sub-subheadings and further levels of specificity, as in the examples below.

In set-out style, all items on the same level in the hierarchy are indented by the same amount. In run-on style, all items on the same level in the hierarchy are indicated by the same punctuation mark, a semi-colon. Run-on style uses parentheses to indicate a third level of subheadings.

In run-on style, when there are no locators between an entry and the next level in the hierarchy, the two levels should be separated by a colon (see "origins of tragedy" in example 2 shown below).

EXAMPLES

1 *Set-out layout:*

Aristotle

debt to Plato 23, 46
 literary criticism in 35, 74, 89-93, 101-197
 on Aeschylus 101-104, 279
 on Aristophanes 195
 on Euripides 104-126, 187, 265-266
 on Homer 103, 190-194, 206
 on Sophocles 127-183, 275-277, 306, 309-310
 Antigone 155
 Oedipus Tyrannus 140-149
 origins of tragedy
 in epic 196
 in revelry 197

2 *Run-on layout:*

Aristotle

debt to Plato 23, 46
 literary criticism in 35, 74, 89-93, 101-197; on Aeschylus 101-104, 279; on Aristophanes 195; on Euripides 104-126, 187, 265-266; on Homer 103, 190-194, 206; on Sophocles 127-183, 275-277, 306, 309-310 (Antigone 155; Oedipus Tyrannus 140-149)
 origins of tragedy: in epic 196; in revelry 197

Annex A (informative)

Bibliography

- [1] ISO 9:1995, *Documentation -- Transliteration of Cyrillic characters into Latin characters -- Slavic and non-Slavic languages*.
- [2] ISO 233:1984, *Documentation -- Transliteration of Arabic characters into Latin characters*.
- [3] ISO 259:1984, *Documentation -- Transliteration of Hebrew characters into Latin characters*.
- [4] ISO/IEC 646:1991, *Information technology -- ISO 7-bit coded character set for information interchange*.
- [5] ISO 690:1987, *Documentation -- Bibliographic references -- Content, form and structure*.
- [6] ISO/R 843:1968, *International system for the transliteration of Greek characters into Latin characters*.
- [7] ISO 3602:1989, *Documentation -- Romanization of Japanese (kana script)*.
- [8] ISO 5776:1983, *Graphic technology -- Symbols for text correction*.
- [9] ISO 5964:1985, *Documentation -- Guidelines for the establishment and development of multilingual thesauri*.
- [10] ISO 7098:1991, *Information and documentation -- Romanization of Chinese*.
- [11] ISO 7154:1983, *Documentation -- Bibliographic filing principles*.
- [12] ISO/TR 8393:1985, *Documentation -- ISO bibliographic filing rules (International Standard Bibliographic Filing Rules) -- Exemplification of bibliographic filing principles in a model set of rules*.
- [13] *ALA/LC romanization tables: transliteration schemes for non-roman scripts*, edited by Randall K Barry. Washington D.C.: Library of Congress, 1991.
- [14] *Names of persons: national usages for entry in catalogues*. 3rd edition. London: IFLA International Office for UBC, 1977. Supplement 1980.

Index

Compiled by Janet Shuter.

The method of alphabetization used is word-by-word.

Locators are to clause and subclause numbers. References to definitions are indicated by an asterisk, e.g. 3.1*.

Prepositions and conjunctions which begin subheadings are disregarded in filing.

The numbering of clauses indicates a hierarchical relationship, so users should bear in mind that a reference to a clause, e.g. clause 7, indicates that its subclauses, e.g. 7.4, 7.4.2.3, 7.4.2.3a), may also be relevant.

A

abbreviations 7.3.6

 introductory notes 9.2

 as synonyms 7.2.1.3.1

abstracts indexing *see* collections; periodicals

acronyms *see* abbreviations

addenda: coverage by indexes 7.1.1

additional entries

 for compound terms 7.2.2.4

 replacing cross-references 6.3, 7.5.1

additional information

 in entries 7.1.2

 in locators 7.4.2.2

advertisements: coverage by indexes 7.1.1

alphabetical arrangement 8.1, 8.2, 8.4

see also filing order

 within cross-references 7.5.1, 7.5.2.1

alphanumeric arrangement 8.3

alternative terms: cross-references 7.2.1.3.1, 7.5

antonyms 7.2.1.3.2

appendixes: coverage by indexes 7.1.1

arabic numerals

see also numerals

 filing 8.3

 locators 7.4.2.2

arrangement of entries 8

see also filing order

articles: initial *see* initial articles

articles (periodicals) *see* periodicals

audiodisc locators 7.4.2.3a)

audiotape locators 7.4.2.3b)

author indexes 5.2

authority files 3.1*, 4h), 7.2.1.2, 7.2.2.3

see also collections; consistency; controlled vocabularies

 names 7.3, 7.3.1.1

authors

 and indexers 6.4

 multiple: coordinating terminology 7.2.1.2, 7.2.1.3.1

 names

see also personal names

 as qualifiers 7.3.4.1, 7.4.2.2

automatic index generation 1

B

blank spaces: filing values 8.1, 8.2
books for indexing *see* source documents
briefing indexers 6.4, 6.4.1
see also publishers and indexers

C

capitalization in headings 7.2.2.3
cataloguing rules: form of names 7.3
chapter numbers as locators 7.4.2.2
characters: filing values 8.1, 8.2
checking indexes 6.3, 6.4.3
chemical formulae 7.1.4c)
chemical names 8.3c)
choice of headings *see* headings
cinefilm locators 7.4.2.3b)
code indexes 5.6, 7.1.4c)
collections 3.2*
see also authority files; periodicals
index copy preparation 9.1, 9.1.1
locators 7.4.2.2
personal names 7.3.1.1
synonyms 7.2.1.3.1, 7.5.1
terminology changes 7.2.1.3.1, 7.5.3
column numbers as locators 7.4.2.2
columns (published indexes) 9.3.5
see also continuation lines
column width 9.3.4
compound term headings 7.2.2.1, 7.2.2.4, 7.2.3.6
filing order 8.5
compressed numerals as locators 7.4.3.1
computer software
copy preparation 9.1, 9.1.1
index sorting 8.1
computerized index generation 1
concept headings 4d), 4f), 7.2
see also headings; hierarchies; subjects; terminology
subheadings 8.6
terminology changes 7.2.1.3.1, 7.5.3b)
conflicts of interest 6.4
conjunctions and filing order 8.6
consecutive locators 7.4.3
consistency 6.3
see also authority files
personal names 7.3.1.1
proof-reading 6.3, 6.4.3
spelling 7.2.1.3.1, 7.2.2.3
terminology 6.3, 7.2.1.3, 7.5.3
construction of indexes: general 6, 7.1
contents notes *see* introductory notes; scope notes

contents tables 7.1.1
continuation lines 9.4.1.5
 see also columns
contractions *see* abbreviations
control numbers as locators 7.4.2.3a)
controlled vocabularies 6.1, 6.3
 see also authority files; terminology
conversion of scripts 7.3.7
coordination *see* authority files; consistency
copy preparation 9.1
 see also index presentation
 computer software 9.1, 9.1.1
 index sorting 8.1
 layout for subsequent typesetting 9.1.2
corporate name indexes 5.3
corporate names 7.3.2
 see also names
countables: headings 7.2.2.2
creators of documents *see* authors; personal names
cross-references 3.3*, 4i), 7.5
 see also "see also" cross-references; "see" cross-references
 consistency 6.3
 filing 8.7
 headings within 7.5.1, 7.5.2.1
 to multiple headings 7.5.1, 7.5.2.1
 name changes 7.2.1.3.1, 7.3.1.1, 7.5.3b)
 replacement by additional entries 6.3, 7.5.1
cumulative indexing *see* collections; periodicals

D

database indexing *see* collections; periodicals
database locators 7.4.2.3a)
database managers and indexers 6.4
dates
 filing *see* numerals
 as qualifiers
 document titles 7.3.4.1, 7.4.2.2
 personal names 7.3.1.3
decision recording *see* authority files; consistency
dedications 7.1.1
definite articles *see* initial articles
definitions 3
dictionaries 6.3
disk index copy 9.1, 9.1.1
document creators *see* authors; personal names
document titles 7.3.4
 filing order 7.3.4.2, 8.6
 source documents *see* source documents
 title indexes 5.5

documents 3.4*

for indexing *see* source documents

double entries for compound terms *see* additional entries

E

editing indexes 6.3

efficiency in indexes 6.1

elision of numbers 7.4.3.1

entries 3.6*

see also headings; layout; locators

additional information 7.1.2

arrangement 8

see also filing order

choice 6.4

position of cross-references 7.5.2.1

relevance 4a), 4b), 4c)

replacing cross-references 6.3, 7.5.1

typography 9.4.1.3

epithets: personal names 7.3.1.2c)

errors

proof-reading 6.3, 6.4.3

in texts 6.4.2

exclusions from indexes 6.4, 7.1.1

exclusions from standard 1

experts: consultation 6.3

explanatory notes *see* introductory notes; scope notes

F

filing order 8.4

alphabetical 8.1, 8.2, 8.4

alphanumeric 8.3

chemical names 8.3c)

compound terms 8.5

cross-references 8.7

headings within 7.5.1, 7.5.2.1

document titles 7.3.4.2, 8.6

filing values 8.1, 8.2

geographic names 7.3.3.2

headings 8.3, 8.5

homographs 8.3c), 8.5, 8.6

letter-by-letter or word-by-word arrangement 8.2

numerals 8.1, 8.3

punctuation 8.1, 8.5

subheadings 8.6

symbols 8.1

filing rules 8.4

filing values 8.1, 8.2

filmstrip locators 7.4.2.3a)

final checking (proof-reading) 6.3, 6.4.3

first lines of poems 7.3.5

first names 7.3.1.2b), 7.3.1.2c)
forenames 7.3.1.2c)
functions of indexes 4

G

general indexes 5
geographic indexes 5.4
geographic names 7.3.3
 see also names
given names 7.3.1.2c)

H

headings 3.7*
 see also cross-references; entries; hierarchies; layout; subheadings
abbreviations 7.2.1.3.1, 7.3.6, 9.2
beginning with the same term 8.5
chemical names 8.3c)
concepts 4d), 4f), 7.2
 see also terminology
consistency 6.3
corporate names 7.3.2
document titles 7.3.4
filing 8.3, 8.5
first lines of poems 7.3.5
geographic names 7.3.3
multiple in cross-references 7.5.1, 7.5.2.1
name changes 7.2.1.3.1, 7.3.1.1, 7.5.3b)
names 7.3
numerals *see* numerals
page *see* running headlines
personal names 7.3.1
presentation 7.2.1, 7.2.2, 9.4.1.3
related 7.2.1.3.2, 7.5.2
synthesis 4h)
headlines *see* running headlines
hierarchies
 see also entries; headings; layout
 headings 7.2.2.4, 7.2.3.2, 7.2.3.4, 7.2.3.5
 indentation 7.2.3.3
 presentation 9.5
 replacement by repetition 7.2.3.6
 suitability 7.2.3.4
homographs 7.2.1.3.3
 see also qualifiers
 filing order 8.5, 8.6
 chemical names 8.3c)

I

identification of indexes 9.2, 9.3.1, 9.3.3, 9.3.5
idiosyncratic terminology 7.2.1.3.1

illustrations

- coverage in indexes 7.1.1
- emphasizing headings 9.4.1.3
- emphasizing locators 7.4.4

impartiality 6.1

implicit information indexed 7.1.2

inclusions in indexes 7.1.1

inconsistencies in texts: notification 6.4.2

indefinite articles *see* initial articles

indentation

- copy preparation 9.1.2.4
- hierarchies 7.2.3.3a)
- set-out (indented) style 9.5
- turnover lines 9.4.1.4

index entries *see* entriesindex headings *see* headings

index presentation

- see also* introductory notes
- copy preparation 9.1
- index titles 9.3.3, 9.3.5, 9.4.1.1
- locators 7.4.2.2, 7.4.5, 9.3.4
 - emphasis 7.4.4
 - multiple 7.4.2.2, 7.4.3
- printed indexes 9
- published indexes 9.3
- search aids 9.4
- size and detail 6.2, 6.4, 7.4.3.1, 9.3.5, 9.5
- style 9.5

index subheadings *see* subheadings

index titles 9.3.3, 9.3.5, 9.4.1.1

index types 5, 6.4, 7.1.4, 9.4.2

indexers

- briefing 6.4, 6.4.1
- coordinating work 6.3
- naming 6.4.4
- notification of errors in text 6.4.2
- objectivity 6.1
- qualifications 6.1

indexes 3.5*

- arrangement 8
 - see also* filing order
- consistency *see* authority files; consistency
- editing 6.3
- entries *see* entries; headings; subheadings
- exclusions and inclusions 6.4, 7.1.1
- functions 4
- identification 9.2, 9.3.1, 9.3.3, 9.3.5
- locators *see* locators
- presentation *see* index presentation
- proof-reading 6.3, 6.4.3

indexes (continued)

- quality control 6
- single or multiple 5, 6.4, 7.1.4, 9.4.2
- size and detail 6.2, 6.4, 7.4.3.1, 9.3.5, 9.5
- terminology *see* terminology
- types 5, 6.4, 7.1.4, 9.4.2
- user needs *see* user needs

indexing decisions *see* authority files; consistency

indexing languages 6.1, 6.3

see also authority files; terminology

indexing resources 6.1, 6.3

see also authority files; terminology

indexing teams 6.3

information supplied by indexers 7.1.2, 7.4.2.2

initial articles

- corporate names 7.3.2
- document titles 7.3.4.2
- first lines of poems 7.3.5
- geographic names 7.3.3.2, 7.3.3.3

initialisms *see* abbreviations

introductory matter 7.1.1

introductory notes 6.2b), 7.1.3, 9.2

on arrangement 8.4, 8.6

on locators 7.4.2.1

on material excluded from indexes 7.1.1

on punctuation 7.2.2.4

on selective indexing 6.2b)

inversion

see also transposition

compound terms 7.2.2.4

consistency 6.3

item numbers as locators 7.4.2.2

J

journals *see* periodicals

K

keyword indexes (excluded from standard) 1

keywords *see* concept headings; terminology

L

layout

consistency 6.3

copy preparation 9.1

economies 6.2, 6.4, 7.4.3.1, 9.5

published indexes 9.3, 9.5

run-on or set-out 9.5

letter-by-letter arrangement 8.2

filing values 8.1

linked terms 7.2.1.3.2

see also cross-references