

Melbourne Indexers Bulletin

No. 25, August 2017

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August meeting: Indexing cited authors

Indexing names of cited authors is not always quite as easy as it seems. At this meeting, we worked our way through a series of questions based on aspects that I have had to consider in my practice as an indexer, as well as a general search of the literature. Citation databases did not form part of the discussion.

1. What is a citation, and what is its purpose?

Sylvia Coates (2013) says:

“A citation is a reference to a published or unpublished source that documents the use of an idea or concept from the work of others. A citation serves several functions. First, it is a way to avoid the charge of plagiarism. Second, it is to attribute and acknowledge the use of another’s work. And third, it serves to support the author’s arguments and lend credibility to the text.”

2. Where are citations found?

In the main text	Bella Hass Weinberg (1988, 3) writes, “The predetermined lists of subdivisions in subject catalogs and periodicals do not permit exact specification of the aspect or point of view of the topic.”
Parenthetical citations	Although there are some variations in the details, both <i>NISO TR02</i> (Anderson 1997, 9.3) and <i>ISO 999</i> (8.2) recommend word-by-word arrangement of index entries.
In footnotes	¹ His Holiness Pope Shenouda III, “Our Teacher Archdeacon Habib Girgis”, <i>Watani International</i> 43.2026 (August 26, 2001): 2.
In endnotes	⁶ Sue Blundell, <i>Women in Ancient Greece</i> (Cambridge, Mass.: Harvard University Press, 1995), 113–29, 132–3.

3. Which citation systems and style guides are used in publishing?

The way that authors format citations may depend on any one of a number of citation systems and style guides used by publishers and professional associations. Examples of those in wide use in Australia include:

- **AGLC** (*Australian guide to legal citation*)

- Provides Australia with a uniform system of legal citation.
- **APA (American Psychological Association)**
Used for social and behavioural sciences.
- **Chicago manual of style (CMOS)** (New 17th edition due September 2017.)
Most widely consulted of all the style manuals. Includes a *notes and bibliography system* for the humanities, and an *author-date system* for the physical, natural and social sciences.
- **Harvard style (author-date system)**
The Harvard style is a generic term for any referencing system that uses author-date references in the text of the document, either within or at the end of a sentence. There is no definitive style guide for the Harvard style, but many Australian universities and organisations base their Harvard style on the Australian Government Publishing Service (AGPS) *Style manual for authors, editors and printers*.
- **IEEE (Institute of Electrical and Electronics Engineers)**
Used for engineering and computer science.
- **MLA (Modern Language Association of America)**
Used for literature and linguistics.
- **Style manual for authors, editors and printers (Australian Government Publishing Service)**
- **Vancouver system (Citing medicine: the NLM style guide for authors, editors, and publishers is recognised as the definitive guide.)**
Used for medicine and science.

4. Do style guides include specific instructions on how citations should be indexed?

The AGPS *Style manual for authors, editors and printers*, and the APA style guide do not include written instructions. The *Chicago manual of style* does.

While there are no written APA indexing guidelines, those noted in the table below are well recognised. Compare these with the *Chicago manual of style* guidelines alongside. These are the two most commonly used styles. It is important to remember that the recommendations in both styles are never totally hard and fast, and that authors and publishers may supply special instructions.

<i>Chicago manual of style</i>	APA style guide
<ul style="list-style-type: none"> Do include author citations in the main text. Do not include parenthetical citations. Do not include et al names. Author citations may use first initials or spelled out first names. (Check with the publisher.) Do not include author citations in footnotes or endnotes. (This practice is occasionally modified when there has been a decision to omit the bibliography from the book.) 	<ul style="list-style-type: none"> Do include author citations in the main text. Do include parenthetical citations. Et al names may be included but this is not typical. Author citations tend to use first initials instead of spelled out first names. (Check with the publisher.) Do not include author citations from either footnotes or endnotes.

(Coates, 2013)

5. What instructions on indexing citations can an indexer expect from publishers?

Because Australian indexers do at times work for overseas publishers, we began by considering Sylvia Coates's (2013) observations of the difference between US publishers, who routinely supply

specifications, and UK publishers who tend to leave the indexing of citations to the judgement and discretion of the indexer.

The group then reflected on their own experiences of receiving instructions from publishers. One member had recently received a one-line “We follow Chicago manual of style” instruction from an American publisher, reflecting the observations made above. But besides the area of psychology, members said that generally they receive no instructions at all.

On the subject of psychology there was plenty to say regarding the extent to which those affiliated with this discipline expect citations to be indexed. Timeous to our discussion, one member had just completed an author index for a 1,040-page publication that included 9,500 names! The single column index in 11-point font ran to 115 A4 pages! As such, the example we looked at next was made just for her – Psychology Press’s (n.d: 46-8) instructions for indexing following the APA style:

PSYCHOLOGY PRESS PREPARATION

All Psychology Press books must have *separate* Author and Subject indexes. The author index should be full, i.e. every author cited *including* those ‘hidden’ in et al. entries.

EXAMPLE OF A PSYCHOLOGY PRESS INDEX

AUTHOR

Abramson, L., 21, 99
Achenbach, T.M., 34, 40, 41, 46
Alford, B.A., 23
American Psychiatric Association (APA), 44, 45
American Psychologist, 16
Azrin, N.H., 151, 152, 159, 161, 170

SUBJECT

Abuse, 39–40, 48, 62, 126–128
 of children, 44–45
 and hallucination, 41–43, 63, 132–133
 physical, 24–25, *see also* trauma
Alternate personalities
 animal personalities, 84, 126
 blending of, 79–80 (*see also* co-presence)
 complexity of, 58–60, 64–65, 212–216, 244
 cultural specificity of, 37–38, 189
 grounding behaviour, 43, 63
 number of, 43, 58–59, 125–131
 overlapping of, 105–106
 and post-hypnotic suggestion, 47–48, *see also* primary personality
Amnesia, 28, 108–110, 114–115, 120–122
 in alternative personalities, 40–41
 and artificial intelligence, 164–168
Automatic writing, 25–28, 34–36, 76, 97–100, 104, 113, 121–122, 143, 227, 250

Bath experiment, *see* experiments
Brain bisection, 6, 18–19, 24, 46–48, 136–139

A number of issues associated with author indexes were discussed:

- Their sheer size can be to the detriment of the subject index, which may have to be limited for space reasons.
- Indexers are also often challenged when it comes to differentiating authors with similar names, particularly with the practice of using authors' initials instead of spelled out first names. This frequently results in authors with the same name being lumped into the same index entry.
- When some authors are mentioned page after page you can end up with an entry that looks like this: Johnson, D. 57, 58, 59, 60, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72. All agreed that it was visually better and more useful to the reader to have an entry like this: Johnson, D. 57–72
- Indexing of et al authors is somewhat illogical, given that they don't actually appear on the page.

Note that there is more discussion about author and subject indexes under Question 9.

In regard to the earlier mention of the formalised system of indexing specifications in the US, Sylvia Coates (2013) also emphasises that specifications tend to follow those put out by four distinct types of press – university presses (*CMOS*), non-university scholarly presses (typically *APA*, sometimes *CMOS*), textbook and trade book publishers (*CMOS or APA*), reference book publishers – and *not* the individual discipline. Therefore, a biology book and a philosophy book put out by the same publisher would have the same specifications.

Continuing in this vein of whether discipline influences the way that citations are indexed, this example from our own field was presented:

Same subject, same audience, different approach

Contrast the different approaches taken when indexing citations in Nancy Mulvany's *Indexing books* (University of Chicago Press) and Glenda Browne and Jon Jermey's *The indexing companion* (Cambridge University Press). In Mulvany's book, *Chicago manual of style* guidelines, as described above, have been applied. In Browne and Jermey's book, the headnote to the index explains that: "The only cited works that have been indexed are standards and style guides".

In including this exercise, I was unaware that an author index had been created subsequent to the publication of Glenda Browne and Jon Jermey's book, and made available on their website (www.webindexing.com.au). The index was awarded a Highly Commended certificate when entered for the ANZSI Medal in 2008 – however, from the judges' comments, it appears that it was the absence of cited authors in the published index that had held it back from being awarded the Medal.

6. What expectations might authors have in relation to the indexing of citations?

We considered Susan Curran's (2009) observations of working with authors that index their own books:

“Many authors index the names of the authorities they cite to a much higher degree than many professional indexers do. I don’t think that’s always, or even usually, a result of ignorance of good practice. They think these names are useful in the index, and arguably they are right. For academic monographs especially, a large proportion of the readers will be fellow academics whose work is referenced. Much as acquaintances of biographees might want to know whether they rate a mention, they understandably want to know whether their work is cited, and in what context. It’s also quite common, I’d think, for academics to ask their students to read a secondary work, the author of which they will then want to look up in the index of a textbook. And readers might, as a long-ago author pointed out to us, want to follow the presentation of an authority’s argument within the book. Professional indexes that are selective in including names of authorities are sometimes rejected by authors who feel that inclusivity is essential here.”

The overall feeling among the group was that something in the middle ground is preferable. This also prompted some discussion about the way that authors express themselves, and how this can influence whether or not a cited author is indexed. Phrasing a sentence so that the cited author is named in the text (e.g. “Rice (2012) lists five factors essential to successful urban infill...”) will ensure that the cited author is indexed. But phrasing a sentence so that the cited author’s name appears in parentheses (e.g. “Five factors essential to successful urban infill are...(Rice, 2012)”) does not.

We also considered the notion of authority in relation to different disciplines with this exercise:

Can you spot the difference?

Look at these groups of potentially citable authors and see if you can spot the difference. The subject areas offer a clue.

Murray, S.R., Kutzer, Y., Habgood, E., Murchie, P., Walter, F.M., Mazza, D., Shahid, S., Emery, J.D. ‘Reducing barriers to consulting a General Practitioner in patients at increased risk of lung cancer: a qualitative evaluation of the CHEST Australia intervention.’ *Family Practice*, June 2017.

Bieliavsky, P., Gayral, V., Neshveyev, S., Tuset, L. ‘On deformations of C^* -algebras by actions of Kählerian Lie groups’, *International Journal of Mathematics*, March 2016, Vol. 27, No. 03.

The ordering of these two groupings of multiple authors illustrates that different disciplines can have different philosophies.

In the first bibliographic reference, ordering of authors follows a convention used in the writing up of medical research findings. The most important authors are the first and the last. Murray would have provided the most input, written the paper up, and is the contact person for any correspondence. Emery is the author with the most authority.

In the second bibliographic reference, the authors are listed alphabetically. While this could be a case of sheer coincidence in terms of actual experience, it more likely has to do with the Hardy-Littlewood rule for mathematical collaboration under which all co-authors are regarded as equals, and thus ordered alphabetically.

While on the subject of ordering of multiple authors, it has to be said that it was impossible for us not to be slightly cynical and acknowledge that there is a healthy appetite out there for citation counts. Being named as a co-author might have rather more to do with heading a department or assisting with funding, than actually providing input to a publication!

7. How does readership influence the indexing of citations?

7.1 Trade book example

The emperor of all maladies: a biography of cancer by Siddhartha Mukherjee (Scribner, 2011)

Written by an oncologist and cancer researcher, this book discusses complex concepts associated with cancer from a lay person's perspective. All citations (using a notes and bibliography format) in the main text are indexed.

We looked at two citations from pages 301 and 315 respectively. The citation on page 301 is another illustration of how the way that the author has expressed himself in the text has resulted in the citation being indexed, as discussed under Question 6. The citation on page 315 reflects the author's consideration of the book's lay person readership in his use of the words "in the journal *Lancet*, a team of doctors...", as opposed to naming the authors Kenneth B. Hyams et al. While the authors are not indexed, a reader keen to locate these details can still do so by going to the Notes section at the end of the book.

Page 301

In-text citation:

Its effects, as the statistician Donald Berry describes it, "are indisputable for a certain segment of women—but also indisputably modest in that segment." Berry wrote, "Screening is a lottery. Any winnings are shared by the minority of women..."

Reference in Notes:

301 *Its effects, as the statistician Donald Berry describes it:* Donald Berry, interview with author, November 2009.

301 *Berry wrote, "Screening is a lottery": "Mammograms Before 50 a Waste of Time,"* *Science a Go Go*, October 12, 1998, http://www.scienceagogo.com/news/1998091294305data_trunc_sys.shtml (accessed December 29, 2009).

Index entry:

Berry, Donald, 301

Page 315

In-text citation:

In March 1981, in the journal *Lancet*, a team of doctors reported eight cases of a highly unusual form of cancer called Kaposi's sarcoma in a cohort of men in New York.

Reference in Notes:

315 *In March 1981, in the journal Lancet:* Kenneth B. Hymes et al., "Kaposi's Sarcoma in Homosexual Men—a Report of Eight Cases," *Lancet* 318, no.8247 (1981):598–600.

Index entry:

None

7.2 Textbook example

Teaching humanities and social sciences in the primary school by Ruth Reynolds (3rd edn) (OUP, 2014)

A textbook for student teachers, with citations (using an author-date format) in the main text and in parentheses.

We discussed the value of citations to students at this level, and there was general agreement that it is important to index those related to theorists, but that many others would not be of use. In this textbook for example, Edward De Bono and Howard Gardner have been indexed, but citations such as this have not: "As Shulman (2005) and Bransford, Brown and Cocking (1999) indicated..."

One member of the group shared an experience she had when indexing the second edition of an undergraduate textbook. The editor sent a copy of the index to the first edition, saying that the authors had been happy with it, and wanted it replicated for the second edition. In the first edition, every citation, both in the main text and in parentheses had been indexed. (Multiple authors were indexed under the first author's name only.) The citations had also been indexed in an unusual way, and had index entries that looked like this:

Bransford, J., Brown, A. & Cocking, R. (1999)

De Bono, E. (1985)

De Bono, E. (1992)

De Bono, E. (2003)

Gardner, H. (1993)

Gardner, H. (2004)

Gardner, H. (2006)

Shulman, L.S. (2005)

As it didn't feel right to the member, she raised it with the editor. The matter was easily resolved once she queried the appropriateness of indexing every single citation for an undergraduate textbook, referring to a number of other previous jobs she had done for the publisher. As a result, the index to the second edition included only the more useful citations, which were indexed in the conventional way, and the index was a fair bit shorter. This member's story serves to highlight the importance of keeping readers' needs in mind, and also of talking to editors if something doesn't sit well with you.

Another member of the group made the observation that the bibliography appeared to have been merged into the index in the first edition, and this prompted a reminder about a previous *MI Bulletin* item related to this, which I have reproduced as Question 11 below.

7.3 Academic text example

The awakening giant: continuity and change in Imperial Chemical Industries by Andrew M. Pettigrew (Basil Blackwell, 1985)

A scholarly history of Imperial Chemical Industries likely to be read by academic peers and higher-level students. All citations (using an author-date format) in the main text and in parentheses are indexed. The book has separate author and subject indexes which can be viewed at <https://www.amazon.com/Awakening-Giant-Routledge-Revivals-Continuity/dp/041566876X>

A headnote to the author index reads – *Note*: This index does not contain the names of ICI personnel, who are listed in the subject index. A headnote to the subject index reads – *Note*: This index also contains the names of ICI personnel and external consultants.

We looked at this book as an example of an academic text with all citations indexed, and placed in a separate author index. The headnotes though prompted an interesting debate as one member felt that ICI personnel listed in the subject index would surely have been cited authors in addition to being subjects. Another member was less surprised because he felt that given the times, staff might have had strictures placed on them in terms of producing publications about ICI's businesses.

We did a couple of spot checks of ICI personnel and all fell into the context of being subjects, rather than cited authors. Following the meeting, I did some further delving. Certainly, no ICI personnel appear in the bibliography, although the author did conduct interviews with many of them as part of an 8-year study. The text includes a number of quotes from these interviewees, and some are indeed named, and therefore are cited (though not indexed as such), while several other quotes are attributed only to 'a director' or 'a board member' etc.

8. What is the best approach when there are no specifications on how to index citations?

Every indexer dreads a scenario of having failed to correctly understand what the publisher/author expected to see in the finished index.

- Ask the editor for clarification if you are not certain.
- Think about the needs of the reader, as already discussed.
- Look at indexes to other similar books put out by the publisher.
- Adopt a style that has worked for you in the past when indexing similar books.
- Be mindful of space allocated for the index. Decisions such as creating separate author and subject indexes, or indexing according to APA style guidelines, where every citation is going to be indexed, should be cleared with the publisher first.

9. When is it appropriate to have separate author and subject indexes?

If the number of cited authors is substantially large, and the index is likely to be overwhelmed with names, it can be helpful to have separate indexes. This is illustrated in the Psychology Press guidelines for indexing citations (under Question 5), as well the academic text (under Question 7) where all citations have been indexed.

In the humanities, where cited authors sometimes also wear another hat as subjects in the book, a combined index is more ideal, to avoid these entries from being separated (Browne and Jermy, 2007:61).

This question also prompted some discussion about the use of terminology in relation to author indexes. Using terms such as 'name index' or 'personal name index' for an author index can lead to confusion as these terms are also used for indexes of names of people as subjects. That said, the term 'author index' is also used in contexts other than cited authors. It is commonly used in literary anthologies, in the same way that an art book might have an artist index.

10. In a multi-authored book, one contributing author cites another, resulting in an index entry with a solitary page reference. This looks a bit odd because that author has also

written a whole chapter, and as a rule names of chapter authors are not indexed. How do you manage a situation like this?

The group considered this question in relation to an approach described by Browne and Jermy (2007: 61):

“When authors who have written a chapter of a book are cited in other chapters of that book, some indexers include all chapter authors because otherwise a one-line citation would be indexed but a whole chapter by the same author would not.”

All agreed that it is better to let a solitary index entry stand as is, rather than index all of the chapter authors. Indexing all chapter authors creates issues when chapters are lengthy and need to be broken down, and in situations when authors cite themselves.

One member described a situation where a contributing author was the only one included in the index. The author felt uncomfortable about this and asked to be omitted. This prompted some discussion about whether we actually notice or not if the cited authors that we index are also authors of the same publication.

11. Have you ever indexed the authors in a list of references?

This might just be useful as Mary Russell (2016) illustrates:

“I have been looking in craft books for some inspiration. In one that had something I liked the author said ‘I was inspired by the work of Sara Lamb and how she...’. I was curious to obtain further details of the work by Lamb. In turning to the back to find the list of references I passed the index. I glanced under L and found Lamb, Sara with two page numbers. The first was the page that mentioned her. The second, to my surprise, turned out to be Lamb’s book in the list of further reading.

As a user, I found this very useful. The further reading was not a single A–Z list. They were grouped into several themed A–Z lists and spread over several pages. Yes, I would have found the book by Lamb, but having the page number in the index made it easier. Were all authors listed in further reading indexed? No, just the authors mentioned in the main text.

If you were indexing a specialised craft book of about 290 pages, would you index the names in the lists of group references? If you had asked me before I had seen this book, I would have said a quite definite NO. This made me stop and ask myself why not? I would index Sara Lamb in the text and all I would have to do is add the additional page number for details of the book.”

12. Citations within citations: Which author do you index?

Earlier in our discussion, one member had pre-empted this question by mentioning the challenge of citations within citations that he has to be mindful of when indexing commentaries on the Bhagavad Gita, in which authorities are extremely important. His story is a good demonstration of how important subject knowledge can be, including the need to be familiar with authorities.

Our lucky last question came with this exercise:

You are required to index the parenthetical citation below. Which author’s name should be indexed?

(Harris, 2006, as cited in Piper, 2011)

Easy, right? Well, just when we thought we had cited authors all stitched up this was actually the curly one saved for last.

In this instance, the author had included a reference for Piper in the bibliography, but nothing for Harris. This produced a fairly even split in the group with some prepared to accept the imperfection of the situation and index Piper, as opposed to the Harris, the original source. Others were uncomfortable about not indexing the original source, but this still left us with a problem – an author with only a surname to go on, and a very common one at that. This raised a number of questions: Is it sloppiness on the part of the author when the original source is not included in the bibliography? What responsibility does the indexer have for locating missing citations? What do authors do in situations when citations have been lost? And what about errors in citations that get repeated each time they are copied?

As we come to the end of our questions, I'll leave you to ponder this conundrum!

Key things to remember:

- Have a good general understanding of the citation systems and style guides used by authors and publishers, and a better understanding of the ones that relate to the areas that you work in.
- Always check if you have any doubts about what the author/publisher expects in relation to indexing citations.
- *Chicago manual of style* and *APA* style guidelines are not always totally hard and fast. Any project may be subject to special instructions from either the author or the publisher.
- If indexing cited authors seems daunting, take heart – it will feel less so the more you do it.

References:

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Coates, S. (2013) 'Author citations and the indexer', *The Indexer* 31(3), C1.

Curran, S. (2009) 'Authors and indexing', *The Indexer* 27(2): 80–3.

Psychology Press and Routledge instructions for authors (n.d.) London: Routledge

Russell, M. (2016) 'Have you ever indexed the authors in a list of references?', *Melbourne Indexers Bulletin* No. 13, July 2016: 3.

Style manual for authors, editors and printers (2002) 6th edition. Milton, Qld: John Wiley & Sons.

Nikki Davis



*African elephant (Loxodonta africana), Kruger National Park, South Africa
(Picture by Sid Davis)*

The Indexer Centrepieces

The September 2017 issue of *The Indexer* is now out. Its Centrepiece (C17) pull-out section includes a valuable guide by Max McMaster to zoological indexing. He provided this abstract: Understanding zoological nomenclature is the key to indexing zoological taxonomic texts. This paper provides an overview of zoological classification and explains how this interacts with the role of the indexer. A detailed account of how to handle common names of animals is also provided.

Other useful papers in this Centrepiece are 'Sikh names: theory, conventions and practices' by Manjit K. Sahai, and 'Names and titles in the Orthodox Church' by Stephen Ullstrom.

All Centrepieces are free to download at <https://www.theindexer.org/categories/centrepieces.htm>

Roving indexer abroad: Part 2 ASI Conference, Portland, Maine – Update

In my report in the June 2017 issue of the *Bulletin*, I mentioned the ASI Excellence in Indexing Award, but I did not have the full details. They have now been added to the ASI website. The award went to Richard Genova for his index to

The New Appleman on Insurance Law Library Edition, published by LexisNexis. *The New Appleman* is a multi-volume set that Rich has been working on for twelve years and includes a three-volume practice set and a thirteen-volume comprehensive set. The practice set has one index for the set, updated once a year. The comprehensive set has an index for each volume as well as a cumulative index for all thirteen volumes, updated twice a year. The award-winning index encompassed the three-volume practice set, the thirteen-volume comprehensive set, and approximately ten years of a companion newsletter.

<https://www.asindexing.org/news/2017-excellence-in-indexing/>

Mary Russell

New mashup of ASI publications

The American Society for Indexing has several publications published through Information Today. A combined index, called a mashup, was developed for 15 of the publications. With two new publications published last year the index has been updated to now cover 17 publications. It is a useful example of how indexes to books on a specific topic can be combined into a valuable reference source. Don't forget the Melbourne Indexers Library has all except the latest two of the ASI publications.

<https://www.asindexing.org/wp-content/uploads/2013/08/default.html>

Upcoming meetings

Program of events

Month	Session	Details
Thursday 5 October 10.00 am to 12.00 pm Meeting room 3 at Camberwell Library, 340 Camberwell Rd, Camberwell. Please note the new date, and thank you for bearing with us as we consider accommodation options for the longer term.	Singular or plural headings	The usual rule is for plural headings. When should headings be singular? For example, apple rather than apples.
December	End-of-year social event	Southbank area. TBA
Mid-March 2018 CAE, Flinders Lane	Indexes through Publishers' Eyes	Full day seminar

Contributions to *Melbourne Indexers Bulletin* are welcome at melbourneindexers@gmail.com