Names and the indexer

Linda Dunn

Linda Dunn's sources to help you choose an appropriate form of name to use in an index should prove invaluable for indexers working on both large and small projects.

Introduction

As is clear from my article on indexing large projects (pages C1 to C8 of this Centrepiece), one of the areas that cause indexers the greatest concern is how to handle names, a huge problem not just with large or multi-authored projects but also at the level of a fairly basic text where often inconsistency is not the order of the day. Regardless of whether consistency issues arise, questions will remain about the best format to use for names.

The question the indexer must ask, of course, is 'Where will the user of the index look?', but the question is simpler than the answer, and the advice available to indexers is itself deeply inconsistent. One reason is that some advice derives from a non-indexing environment where requirements may be different. It is particularly significant, for example, that the handling of a name in a way that is appropriate in the country of origin may not be appropriate in an English-language book for an English-speaking readership. And cataloguing or bibliography rules are not always the most suitable for use in the index.

To help indexers through the minefield I have prepared a series of tables summarizing the advice offered by leading authorities on choosing, formatting and authorizing personal names (Table 1), corporate names (Table 2), geographic names (Table 3) and event names (Table 4). Table 5 (which will be provided in the next issue) covers forms of title, and is followed by more detailed information on where to find advice on specific different classes of name (such as those from different countries). References are provided should you wish to follow up for more detail. The range of this advice is an interesting demonstration of the fact that there is no single solution.

The main authorities I have used (all easily accessible and already on many indexers' bookshelves) are Bridge (2012), a compilation of chapters by various authors on different aspects of names (these individual authors are the sources given in the relevant column); Maxwell (2002), Mulvany (2005), and the *Chicago manual of style* (CMOS) 2010. (See the references section for full details of each publication.) Table 4 also draws on Zafran (2014), another compilation of chapters by various authors. AACR2 is not included as a separate source in the tables because Maxwell and Mulvany base most of their name suggestions on it. A few other sources are used in different places, and some authors cited recommend lists or bibliographies: again, see the Bibliography for full details of these and of further sources.

Table 1 Personal names

Bridge (2012)	Maxwell (2002)	Mulvany (2005)	CMOS (2010)
Choice of personal name forms			
The fullest name of a person as it is presented in the book being indexed (Bridge, 7)	The name generally used by that person; the 'commonly known' name (71)	The name under which most users would look for them (157)	The most widely known name form should be the authorized name (8.3; 16.32)
Author usage and preference; common historical usage; user logic (Mertes, 53–5)	If the name has changed use the latest version (72)	The name as found in the text (159)	The name in full as it is widely known should be the chosen name (16.33)
Rules for entry of personal names (Wellisch, 280–1)	Form of name (85–7)		
Sources for authorizing personal names			
There are many resources for authorizing personal names including those recommended below.			
'Resources for personal names' (Bridge, 339–52); Resources (Mertes, 56–7)	In cataloging, the source is the name on the item being cataloged or from the library catalog (33)	Sources for names (158–9, 165–6, 172)	For the well-known dead: *Merriam-Webster's Biographical Dictionary* or *Merriam-Webster's Collegiate Dictionary*, Biographical Section; for names of the living: *Who's Who* or *Who's Who in America* (8.3)

Table 1 continued

Bridge (2012)	Maxwell (2002)	Mulvany (2005)	CMOS (2010)
'When not to follow Library of Congress' Name Authorities (Russell, 332–3)	LOC Name Authorities; Rules: AACR2; *LOC Rule Interpretations; LOC Descriptive Cataloging Manual* (10-11)	For incomplete names try using the bibliography of the book being indexed (159)	Biography (Bibliography 4.1); Encyclopedias (Bibliography 4.3)
Disambiguation of identical names			
Identical or similar personal names can be distinguished from each other by a 'fuller' form or by way of a gloss or qualifier, usually in parentheses.			
Distinguishing between people with similar names (Bridge, 11–14)	Use a 'fuller form' of the name. Example: Lewis, C.S. (Clive Staples) (85–7)	Not addressed by Mulvany. See the chapter 'Names in biographies' by White in Bridge (2012).	Add middle initials, if any, to identical names; or use parenthetical qualifiers (16.35)
Examples: Ley, Elizabeth (Ball) Ley, Elizabeth (Parr) Monro, William (fl. 1878) Monro, William Prince	Use the birth and/or death dates. Example: Smith, John, 1947–2002 (86–7)		Examples of qualifiers: Field, David Dudley (clergy-man) Field, David Dudley (lawyer) Pitt, William (the elder) Pitt, William (the younger)
Gaugin, Aline (daughter) Gaugin, Aline (mother) Puyi (Manchukuo emperor) Puyi (Qing emporer) Hoare, Henry (of Iden) Hoare, Henry (of Raincliff) (Bridge, 12–13)	Qualifiers for cross-references should 'match' the authorized name form (51)		Parenthetical modifiers are also helpful for multiple persons with the same last name: Friedman, Helen (sister of Milton Friedman)
Examples witout parentheses: John of Cappadocia John of Chrysostom John Damascene (Mertes, 49)	For multiple persons with the same name but no differentiation information, use the same name for all (87–8)		Friedman, Sarah Ethel Landau (mother of Milton Friedman) (16.35)
Examples with parentheses: Joseph (biblical patriarch) Joseph (husband of Mary) (Mertes, 49)			Initials in personal names (10.12)
Examples: Abelard (Peter Abelard) Bede (the Venerable Bede) Cicero (Marcus Tullius Cicero) (Mertes, 49)			
Variant versions of personal names and cross-references			
Variant versions of personal names occur for a number of reasons: compound last names; names with particles; marriage; acquisition of titles or change in titles; the use of pseudonyms for artists, authors, etc. Personal name standards require *see* references from the nonauthorized names and *see also* references between multi-authorized names (ie. an author writing under two different names or pseudonyms).			
include all the variants with *see also* references or choose the latest version and direct the variants to the authorized name with *see* references (Bridge, 14–16)	Choose the variant that is the 'predominant' one (73–4). Sometimes one variant is not obviously the predominant choice; then choose the 'fuller' variant, i.e. the one which has the most elements	Cross-references are only necessary if the text itself contains more than one version of a name (159)	An incomplete name or more than one form of name in the text may require additional identifying information (16.32)
Also discusses the changes in names of artists and nick-names which may need cross-referencing (Bridge, 16–17)	Each variant name should follow the rules which have been chosen to govern the name forms for your authority files (50)	[Personal names often require the use of *see* references] (104)	Members of the nobility whose given names differ from their title may need *see* references (16.38)

Table 1 continued

Bridge (2012)	Maxwell (2002)	Mulvany (2005)	CMOS (2010)
Or with certain Medieval/ classical names using parentheses instead:	Authority records contain the cross-references necessary for the user to find the authorized name (5)	Cross-references should be provided if more than one name for a person has been used (160–1)	*See* references may be helpful in certain cases for last names beginning with prefixes (16.71) or Spanish compound names (16.84)
Abelard (Peter Abelard) Bede (the Venerable Bede) Cicero (Marcus Tullius Cicero) (Mertes, 50)	Detailed information about *see* and *see also* references from the LOC MARC authority records (46–53)		
Changes in personal names			
Reasons for name changes (Dunn, 228–30)	When a name is changed, then the new name becomes the 'commonly known' name (72)	Names that change (160–1)	Married women should be indexed with their birth name unless better known by their married name: Marinoff, Fania (Mrs Carl Van Vechten)
People who change their names (Smith, 247–50)		Whether to use cross-references is decided by the text (161)	Van Vechten, Fania *see* Marinoff, Fania *but* Besant, Annie (née Wood) Clinton, Hillary Rodham (16.36)
Name changes and pseudonyms (White, 179–81)		A non-current version of a name should be connected to an authorized name with a *see* reference (160)	
Pseudonyms			
Name changes and pseudonyms (White, 179–81)	Pseudonyms (52)	Pseudonyms (159–60)	Usually the authorized name for pseudonymous persons is their given name, which requires a *see* reference (16.34)
	Cross-referencing of pseudonyms if the author uses more than one name (60–1)	Cross-references should be provided if more than one name for a person has been used (160–1)	However very well-known pseudonyms should be used without a *see* reference: Moliere (Jean-Baptiste Poquelin) (16.34)
Cross-references versus double posting			
Double-post strategy (Smith, 247–8)	Cross-references should never conflict with already authorized names (52–3)	The user can save time with double posting over cross-references, but *see alsos* can provide additional information (106)	Double posting saves a trip to another entry. Use double posting if the *see* reference is the same length as the variant name (16.16)
Cross-referencing [significant amounts of information] vs. double posting [small amounts of information] (Mertes, 51–2)	Double entries (Wellisch, 102–4)		
Double posting and cross-references (Hedden, 64–5)			
Space saving from eliminating double posting (Leise et al., 69–70)			

Table 2 Corporate names

Bridge (2012)	Maxwell (2002)	Mulvany (2005)	CMOS (2010)
Choice of corporate name forms			
Enter as presented in the text (Bridge, 279); for exceptions to this rule see Initial articles immediately below	Select the 'commonly identi-fied' corporate body name for the authorized name (74)	The indexer should be guided by the text (184)	'Organizations that are widely known under their abbrevia-tions should be indexed and alphabetized according to the abbreviations' (16.46)
	Author's preference can be included in the decision about the commonly known name (74)		'Lesser-known organizations are better indexed under the full name, with a cross-reference from the abbrevia-tion if it is used frequently in the work' (16.46)
Initial articles			
Names beginning with initial articles (Bridge, 282–3)	Omit initial articles with some exceptions (89)	Initial articles 'A' or 'The' are transposed (Wellisch, 190–1)	Omit the initial article 'The' (16.88)
Sources for authorizing corporate names			
Corporate names (Bridge, 279–98)	'Items issued by the [corporate] body in its own language' (74)	Organization names (180–4)	Abbreviations (Bibliography 4.7); Almanacs and Yearbooks (Bibliography 4.4); Miscel-laneous Works Cited in Text (Bibliography 5)
LOC authorities for corporate names are not as helpful as for personal names (Russell, 333–5)	Use reference sources only if an item issued by the corpo-rate body cannot be found (74)	See 'reference books' in the index (308)	
Direct versus inverted entries			
Although the general rule is not to invert corporate names, there are circumstances in which they should be inverted.			
'Corporate names are entered in direct order' (Bridge, 280)	Corporate names are not usually inverted; AACR2 rules mandate direct order (89)	Corporate names beginning with first names should not be inverted; they should be entered under the first name of the person the corporate body is named after (180–1)	A personal name or initials which begins a corporate name should not be inverted: A. G. Edwards & Sons, Inc. [alphabetize under A] (16.89)
Direct vs inverted entries/ double entries (Bridge, 280–1)	Order of entry (Wellisch, 64–5)		If the company might be more commonly known by the person's last name or there are entries for the person as well as the company, a *see* reference should be used:
'Other candidates for both inversion and grouping could well be commissions, conferences, and government agencies' (Bridge, 281)			Penney, J. C. *see* J. C. Penney Company, Inc. Saphir, Kurt *see* Kurt Saphir Pianos, Inc. (16.89)
Disambiguation of identical corporate names			
Identical or similar corporate names can be distinguished from each other by a 'fuller' form or by way of a gloss or qualifier, usually in parentheses.			
Use of qualifiers (Russell, 335)	For corporate bodies with the same or similar name, *in the same file*, add a qualifier with a place (first choice) or institution name:	'Qualifiers for various time periods' (184)	Homographic corporate names (Wellisch, 331)

Table 2 continued

Bridge (2012)	Maxwell (2002)	Mulvany (2005)	CMOS (2010)
Additions/glosses to [corporate] names (Bridge, 297–8)	Sotheby's (London) Sotheby's (Beverly Hills, Calif.)	For personal names as corporate names add identifier to corporate name (181)	
	Lilly Library (Indiana University) Lilly Library (Wabash College)	Example: Roma, Tony Roma's, Tony (restaurant) *see* Tony Roma's	
	Last resort is dates as qualifiers: Yale College (1718–1887); Yale College (1887–) (91)		
Variant versions of corporate names and cross-references			
Variant versions of corporate names usually occur because of name changes in the corporate entity; referrals to subdivisions of corporations or government bodies; or acronyms commonly used instead of the whole name.			
Variant names (Bridge, 285–7) Includes information about see references	For variant forms the items issued by a corporate body are the 'chief sources of information' (75–6)	*See* references should be provided for corporate bodies commonly known by their acronyms or vice versa (180)	'Parenthetical glosses, cross-references, or both should be added if the abbreviations, however familiar to the indexer, may not be known to all readers of the particular work' (16.46)
Several names (Wellisch, 66–7)	If the 'chief sources of information' have variants as well, then use a 'formal presentation' (76)	If a business has more than one formal name, then the indexer should decide on the predominant name and make cross-references from the others (183)	Examples: EEC (European Economic Community)
	If a 'formal presentation' does not help determine the authorized name, then choose the predominant form (75)		MLA *see* Modern Language Association
	If there is no predominant form, then use a brief form which does not conflict with the name of another corporate body (75)		
Changes in corporate names			
If the current name of a corporate body will be the authorized name, then include a see reference from the old name if it appears in the text (Bridge citing Mulvany, 290)	'when a corporate body changes, this signals the end of the existence of the body attached to the earlier name and the beginning of a new one' (75)	Mergers and acquisitions (184)	[Changes of names] (Wellisch, 1991: 67)
If users are likely to look for a former corporate name rather than a current one, a *see* reference may be included even if it does not appear in the text (Bridge, 290)	'Under cataloging rules this is not a variant name; it is the name of a new and different corporate body' (75)		Changes of corporate names (Booth, 2001: 97–8)
If both new and old names are discussed in the text, the names should be connected by *see also* references (Bridge, 290–1)			

Table 2 continued

Bridge (2012)	Maxwell (2002)	Mulvany (2005)	CMOS (2010)
Acronyms			
Acronyms and initialisms (Bridge, 287–8)	Initialisms or corporate entities whose names begin with initials should retain the initials at the beginning of their names (89)	Use acronyms or shortened form of the corporate name if the users are likely to look it up that way (184)	Abbreviations or acronyms should be used if that is the way the corporate name is widely known (16.42)
		If users are more likely to look up the formal form of the corporate name then use the full name (184)	
		Whichever way is chosen, *see* references should be made from the nonchosen form (184)	
Cross-references versus double posting			
Direct vs inverted entries/ double entries (Bridge, 280–1)		'In some situations [it makes] more sense to double-post a name in both direct and inverted format rather than provide a cross-reference' (181)	If the company might be more commonly known by the person's last name or there are entries for the person as well as the company a *see* reference should be used:
If users are likely to look for a former corporate name rather than a current one, a *see* reference may be included even if it does not appear in the text (Bridge, 290)		This will save space in the index if 'there are only a few reference locators at each of these entries' (182)	Penney, J. C. *see* J. C. Penney Company, Inc. Saphir, Kurt *see* Kurt Saphir Pianos, Inc. (16.89)
		'Any unusual treatment should be explained in a headnote' to the index (182)	In some cases the company is definitely known by the person's last name so the company should be author-ized without the person's first name or initials:
			John G. Shedd Aquarium *see* Shedd Aquarium (16.89)
			Recommends double-posting over *see* references (16.16)

Table 3 Geographic names

Bridge (2012)	Maxwell (2002)	Mulvany (2005)	CMOS (2010)
Choice of geographic name forms			
Usually chosen from the text, but if alternative names are included check in outside sources (Bridge, 299)	Place names should be in English unless there is not an English form for that place (76)	The text should help the indexer decide on the place name form (177)	Full name should be used even if only shortened name or nickname appears in the text (16.44)
	Names beginning with any variation on the word Saint, including St, should use 'Saint' except in UK and Ireland where the preference is for 'St' (95)		'Older place names [used in the work being indexed] should not be altered to their present form' [unless that form also appears in the work] (16.29)

Table 3 continued

Bridge (2012)	Maxwell (2002)	Mulvany (2005)	CMOS (2010)
			Full name should be used even if only shortened name or nickname appears in the text (16.44)
Initial articles and prepositions			
Filing (sorting) on initial articles [invert] or prepositions [retain direct order] (Bridge, 302–5)	Initial articles are dropped except for certain non-English names (94)	Preliminary expressions: articles and prepositions (178–9)	Indexing names beginning with the definite article (16.91)
			Indexing names beginning with foreign definite article (16.92)
Sources for authorizing geographic names			
References [at the end of the chapter] include several good sources for geographic place names (Bridge, 314–15)	U.S. Geological Survey's Geographic Names Information Service (online) (76)	*Merriam-Webster's Geographical Dictionary; US Board on Geographic Names* (179)	*Merriam-Webster's Geographical Dictionary; US Central Intelligence Agency's World Factbook* (8.43)
	Bartholomew Gazeteer of Places in Britain; Rand McNally Commercial Atlas and Marketing Guide (76)		Geography (Bibliography 4.2); Almanacs and yearbooks (Bibliography 4.4)
Disambiguation of identical geographic place names			
Identical or similar geographic place names can be distinguished from each other by a 'fuller' form or by way of a gloss or qualifier, usually in parentheses.			
Two places with same name (Bridge, 311–12)	'Additions are not made to countries or states unless they conflict' (94)	Identifiers for geographic names (179)	Indexing confusing names (16.45)
Dates for disambiguation (Bridge, 310); Other additions to place names (Bridge, 312–13)	'Local place names in English-speaking countries are qualified by the name of state, territory, province, etc.' (94–5)		Examples: New York (city) or New York City New York (state) or New York State (16.45)
Variant versions of geographic place names and cross-references			
Variant versions of geographic place names include incomplete names, name changes, vernacular or local popular names, and confusing names.			
Alternative names for the same place (Bridge, 299–300)	[Many places are known by different names] (Booth, 2001: 98)	[See references] (104)	
Changes in place names (Bridge, 309–11)	Changes of name (Wellisch, 1991: 303–4) [Place names] (Wellisch, 1991: 331)	Names of places: changes of name in the text of the book require a *see* or *see also* reference (26)	
Depending on the text or type of publication, *see* and *see also* references should be used (Bridge, 309–11)			
Geographic names as jurisdictions or political entities			
Jurisdictions are political entities made up of place names (United States, Istanbul, Rhode Island) and are treated as corporate names by AACR2 (Maxwell, 77). Jurisdictions may also be used as identifiers or qualifiers, usually in parentheses.			
Bridge (2012)	**Maxwell (2002)**	**Mulvany (2005)**	**Zafran (2014)**
Governments (Bridge, 292–3)	[Addition of qualifiers to country names] (Maxwell, 94); [Changes in jurisdiction names] (Maxwell, 78–9)	Unification of formerly separate jurisdictions require cross-references from former entitites (Wellisch, 1991: 304)	Political entities (Binder, 74–5)

Table 3 continued

Bridge (2012)	Maxwell (2002)	Mulvany (2005)	Zafran (2014)
Initial terms indicating jurisdiction (Bridge, 307–8)	Local place names qualified by jurisdictions (Maxwell, 94–5)	Disregard jurisdiction terms which are the first part of a place name unless it is 'an integral part of' the name (Wellisch, 1991: 305–6)	
Formal vs less formal country names (Bridge, 301–2)	Omit from the name any jurisdiction words (Maxwell, 93–4)		
	Latest entry: jurisdictional name or geographic subject heading (Maxwell, 225–6)		
Geographic features as topographical names			
Geographic features are physical places (lakes, mountains, rivers). If a name begins with a geographic feature it is inverted unless it is a place name (Binder, 2014: 73). These place names which are not jurisdictions are considered as subjects by AACR2 (Maxwell, 80–4).			
Names beginning with geographical features are inverted (Bridge, 305–7)	Local place names qualified by jurisdictions (94–5)	Preliminary expressions: geographic features (77–8)	Physical features (Binder, 73–4)
Except for the names of places beginning with geographic features which are not inverted (Bridge, 307)	Topographic features often are located in multiple jurisdictions, and require double posting (Wellisch, 1991: 304–5)		
Geographic names as qualifiers			
Jurisdictions may be used as identifiers or qualifiers for corporate names, events, and titles, usually in parentheses.			
[Corporate names] (Russell, 335)	Geographic names established as subjects (222–5)		Royalty (Binder, 68–9)
	[Addition of qualifiers to uniform titles] (131–6)		
Geographic names as subject terms or subdivisions for subject terms			
Geographic features as topographical names, as explained above, are considered subjects by AACR2 (Maxwell, 305–7). Jurisdictions may also be used as subheadings or subentries in an index. This may be the most common use of geographic names in a large index.			
	Latest entry: jurisdictional name or geographic subject heading (225–6)		Geographic subheadings (Dunn, 2014: 139–40)
	List of kinds of geographic name considered subjects by LOC (222–3)		
	Geographic subdivision (234–6)		

Table 4 Event names

Zafran (2014)	Maxwell (2002)	Mulvany (2005)	CMOS (2010)
Choice of event name forms			
Choose the name used most often by the author (Binder, 77)	Some of the events in the LOC name authority files are also in the subject authorities (second example) (84–5)		Historical events and programs (8.74); Meteorological and other natural phenomena (8.76); Religious events (8.107)

Table 4 continued

Zafran (2014)	Maxwell (2002)	Mulvany (2005)	CMOS (2010)
All event names should have a date and sometimes a country in a parenthetical gloss (Binder, 76)	LOC examples: World War, 1914–1918 World's Columbian Exposition (1893: Chicago, Ill.)		Sporting events (8.77)
Examples: World War I (1914–1918) World's Columbian Exposition (Chicago, 1893)			Battles and campaigns (8.113); Wars and revolutions (8.112)
Dates of events			
	'omit from conference names indications of numbers, frequency, or years of convocation' (89–90)	Include dates and place (Bridge, 2012: 286)	
Sources for authorizing event names			
Merriam-Webster's Biographical Dictionary (Binder, 79)	Use the LOC Authorities for Subjects and Names; very good on possible *see* references	New Encyclopaedia Britannica (www.britannica.com/) (Mulvany, 158)	Columbia Encyclopedia (www.infoplease.com/encyclopedia/) (Bridge, 2012: 349)
Disambiguation of events with identical names			
Use parenthetical glosses to differentiate different events with the same name (Binder, 77)	'Meeting names are usually qualified' (Maxwell, 91)		
Variant versions of event names and cross-references			
Use the name most commonly used by the author (Binder, 77)	Events as names or subjects (84–5)		Numerical designations for periods (8.70)
Cross-references from other names for the event to the authorized name (Binder, 77)	Names of meetings as corporate headings (76)		
Use generic cross-references for battles and other similar types of event (Binder, 77)			
Example: *See specific battle locations*			

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Linda Dunn has been a periodical/database indexer for over 30 years. Until the Film Literature Index *became an EBSCO database she was a co-editor and monitored the subject thesaurus and name authority files for persons and corporate entities. She has written about performing arts names in* Names *(ASI, 2012) and periodical indexing in* Index it right! Volume 3 *(ASI, 2014). She has taught workshops on periodical indexing for chapters and at national conferences of ASI as well as for Simmons College Graduate School of Library and Information Science online professional development program. She presented one of the first webinars for ASI on authority files. She is currently writing about the use and meaning of backgrounds in the cinema. Email:* linda47dunn@yahoo.com