Make a Lasting Impact on Our Profession

21st Century Standards for Indexes

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Agenda for the Guided Discussion

- Why standards and what are they?

- Governing standards bodies

- The standards landscape relevant to indexing & indexes

- Deep dive into the ANSI/NISO standard for indexes

- Deep dive into and **discussion** about NISO TR02-1997

  - What's still accurate and what isn't?

  - What's missing?

  - Should ASI, as domain experts in this area, drive the re-instatement of a NISO indexing standard?

A Standard vs. a Guide

- A standard is aimed at all possible users or creators of a system.
- A guide (such as a book/textbook/style guide) is aimed at a specific audience of a certain kind of user/creator.
- Back-of the book indexers, or even all manual indexers, are a specific audience.
- Any standard may not seem quite suitable for them because it is too broad in scope and not deep enough for their specific needs.
- For their daily use, indexers prefer a guide, such as a book on back-of-the-book indexing.
- Indexers may not be active users of index standards, but their expertise should contribute to the standards.

Why Standards?

- Two leading purposes for standards are:

  1. To ensure consistency and ease of use across different products or systems used by different users.

  2. To ensure interoperability, the sharing or exchange of products/ services/information.

- Most standards for indexes are of the first kind.

- Standards of the second kind include RTF, XML; epub3 for ebook indexes

Why Standards for Indexes?

- A guide is appropriate for indexers, but indexes involve a wider audience: publishers, publishing services (layout/typesetting), and users of all kinds.

- Standards are created by committees representing different parts of the field/industry.

- Standards are accepted more widely.

- Published from a standards organization, even if it is not a "standard" (like Technical Report 02), it carries more weight.

- Standards give indexing and indexers' work credibility.

- In the age of evolving digital interfaces and search technologies, standards of indexes are important.

ANSI –
American National Standards Institute

- www.ansi.org

- Accredits and provides guidelines and procedures for over 240 industry-specific organizations, such as NISO, that actually develop the standards.

- Works with federal agencies

- Promotes the use of U.S. standards internationally

- Founded in 1918

- A not-for-profit organization with headquarters in Washington, DC

ANSI
American National Standards Institute

NISO – National Information Standards Organization

- www.niso.org

- Identifies, develops, maintains, and publishes technical standards to manage information

- Covers whole lifecycle, from creation through documentation, use, repurposing, storage, metadata, and preservation

- Founded in 1939 with members from Libraries (User), Service Providers (Supplier) and General Interest

- A not-for-profit organization with headquarters in Baltimore, MD

- Organizational Structure – Topic Committees
  - IDI – Information Discovery & Interchange
  - ICC – Information Creation & Curation
  - IPA – Information Policy & Analysis

ISO – International Organization for Standardization

- www.iso.org/standards.html

- Develops and publishes International Standards

- An independent, non-governmental international organization with a membership of 161 national standards bodies

- Designated by ANSI to represent U.S. interests as the Technical Advisory Group (TAG) to the ISO Technical Committee 46 on Information and Documentation

Indexing Related Standards and RP/TR

NISO

- NISO Z39.14-1997 (R2015) ⟷ • ISO 214:1976

- NISO Z39.19-2005 (R2010) ⟷ • ISO 25964-1:2011 & ISO 25964-2:2013

- NISO TR03-1999 ⟷ • ISO 12199:2000

- NISO TR02 1997 ⟷ • ISO 999:1996

⟷ X ⟷ • ISO 5963:1985

ISO

ISO 5963:1985

Documentation -- Methods for examining documents, determining their subjects, and selecting indexing terms

- Last reviewed and confirmed in 2015, so is current

- 5 pages, Price CHF 38 ($39)

- Committee: ISO/TC 46/SC 9 Identification and description

- Scope: "It is restricted to these preliminary stages of indexing, and does not deal with the practices of any particular kind of indexing system."

- Refers to indexing with or without use of thesaurus.

ISO 999:1996

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

- Original version was ISO 999:1975 Documentation -- Index of a publication
- New revision is in progress
- 33 pages + index
- Price CHF 158 ($165)
- Committee: ISO/TC 46/SC 9 Identification and description

ISO/AWI 999

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

- AWI – "Approved Work Item"

- Approved as a work item in 2015.

- Working group TC46/SC09/WG12 Indexes and Indexing formed in 2016.

- Members were appointed via national ISO committees, including ANSI.

- Plan to complete standard by the late 2019/early 2020.

ISO/AWI 999

Working group tasks:

- Incorporate ISO 5963:1985 into ISO 999:1996 into a single standard

- Expand missing parts from ISO 5963:1985

- Add all missing parts concerning digital environment

  - embedding indexing

  - other computer-based and computer-assisted indexing techniques

NISO TR02-1997

Guidelines for Indexes and Related Information Retrieval Devices

- For all kinds of indexes: back-of-the-book and periodical/database, print and digital, manually created and automated

- 44 pages plus a 4-page index

- Concise, dense, and with lots of examples

- Replaced Z.39.4-1984 Basic Criteria for Indexes (first edition was in in 1959)

- NISO members failed to reach consensus on the proposed revised standard, so it was published as a "technical report."

NISO TR03-1999

Guidelines for Alphabetical Arrangement of Letters and Sorting of Numerals and Other Symbols

- Is for "headings in lists of all kinds, such as bibliographies, indexes, dictionaries, directories, inventories, etc." but it does refer to specifics of indexes.

- 15 pages plus a 3-page index.

- Table of Content topics are: order of characters, headings, abbreviations, numbers, and symbols.

- NISO members failed to reach consensus on the proposed standard, so it was published as a technical report (like TR02).

NISO Z39.19 - 2005

Guidelines for the Construction, Format, and Management of Monolingual Controlled Vocabularies

- Primarily about thesauri.

- 167 pages plus a 5-page index.

- First edition published in 1974. Revised in 1980, 1983, 1993, and 2005. Reaffirmed (not revised) in 2010.

- Has many examples, tables, illustrations, etc.

- Relevant to indexers who need to create a thesaurus for a large and/or multi-indexer project or for periodical/database indexing.

- What it does not include: multilingual vocabularies, SKOS model.

NISO Z39.19 - 2005

Table of Contest Topics:

- Scope

- Definitions

- Controlled Vocabularies - Purpose, Concepts, Principles, and Structure (types)

- Term Choice, Scope, and Form

- Compound Terms

- Relationships (Equivalence, Hierarchical, Associative)

- Displaying Controlled Vocabularies

- Interoperability

- Construction, Testing, Maintenance, and Management Systems

- Appendices, Bibliography, Glossary

ANSI/NISO Standard for Indexes

Historical background

- Z.39.4-1959 Basic Criteria for Indexes, 12 pages, prepared by the Z39 committee of the American Standards Association (later reorganized as ANSI)

- Z.39.4-1968 revised the previous version; reaffirmed in 1974

- Z.39.4-1984 revised and expanded the previous version to 24 pages

- Z.39.4 Guidelines for Indexes and Related Information Retrieval Devices A major draft revision was circulated for balloting November 1993 - January 1994, but not approved by all members as a standard

- TR02-1997 Guidelines for Indexes and Related Information Retrieval Devices, 53 pages approved as a "Technical Report" instead, in 1997. Replaced Z.39.4.

ANSI/NISO Standard for Indexes

Problem with standards for indexes is defining the scope.

- Should one or more standards cover them all?
  - Human-created and automated indexes
  - Back-of-the-book and database indexes
  - Displayed and non-displayed indexes

A closer look at Z39.4-1984

- Went beyond print back-of-the-book indexes, but not as broad in scope as its replacement, TR02.

- Included guidance on:

  - alphanumeric arrangement of entries
  - use of controlled vocabularies, coordinated terms, singular and plural forms
  - inversion of multiword entries
  - common cross reference techniques
  - use of tracings and scope notes
  - various options for indentation, punctuation, and spacing
  - index reproduction in microform, electronic media, or in a database

A closer look at TR02-1997

- Scope
  - Print indexes to single documents, including back-of-the-book
  - Database and other continuing indexes (also called open indexes)
  - Automatic/algorithmic indexing
  - Indexes designed for electronic searching (non-displayed)
- Greater treatment is on the first two: print/book indexes and database/open indexes.
- Organization is not by such index types, but rather by topic with above four types discussed within each topic section.

A closer look at TR02-1997

Major Sections:

- Definitions
- Functions of an index
- Types of index
- Design of indexes
- Vocabulary (sources for and forms of term, relationships/cross-references)
- Headings, entries, and search statements (displayed syntax, locators, Boolean, search syntax)
- Display of index arrays (layout)
- Alphanumeric arrangement
- References; Bibliography; Glossary; Index

What TR-02 includes with respect to back-of-the-book indexes

Section 5 Design of indexes

5.1, 5.2, 5.3 Scope and domain defined by the document to be indexed

5.4   Single index vs. multiple

5.5   Use of special symbols

5.7   Index entries referring to document units, rather than page numbers

5.10   Level of detail of indexes and number of index terms

5.11   Specificity of index terminology

5.12   Method of combining terms into multi-term headings or main heading/ subheading combinations

5.13   Method of cross-references or double posts

5.16   Factors in size of displayed index

5.17   Importance of arrangement of entries

Section 6 Vocabulary

6.1   Sources for terms

6.2   Forms of terms

6.2.1   Parts of speech

6.2.2   Spelling

6.2.3   Capitalization

6.2.4   Plural vs. singular

6.2.5   Articles

6.2.6   Compound terms

6.2.7   Compound term cross-references

6.2.8   Word order within multi-word terms

6.2.9   Proper names

6.2.10   Romanization

6.3   Homographs

6.4   Synonyms and equivalent terms (See references)

6.8.1.1 Cross-reference versus double entries

6.8.1.2 Cross references to multiple terms or headings

6.8.1.3 Location of "see also" cross-references

Section 7 Headings, entries & search statements

7.1, 7.2 Display and syntax of heading-subentry/subheading combinations

7.4 Locators

Section 8 Display of index arrays

Section 9 Alphabetic arrangement

9.1   ALA and LC filing rules

9.2   Basic order

9.3   Word-by-word vs. letter-by-letter

9.4   Initial articles

9.5   Subheadings

9.6   Headings with the same initial term9

9.7   Cross-references

9.8   Numerals

Wrap-up

Answers…..

- What's still accurate in TR-02 and what isn't?

- What's missing from TR-02?

- Based on today's discussion, do we think there is value in pursuing a Working Group to re-establish *Guidelines for Indexes and Related Information Retrieval Devices* as a standard?
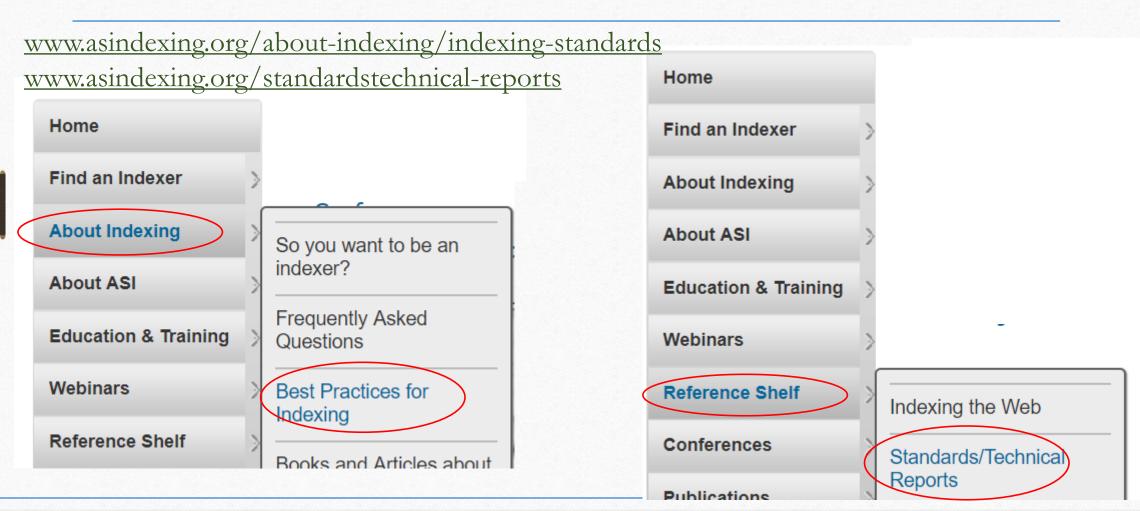
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Thank you for you attention!

Please remember:

domain experts are ALWAYS welcome to join NISO working groups!

Indexing Related Standards and RP/TR

- ISO 25964-1:2011 Information and documentation -- Thesauri and interoperability with other vocabularies -- Part 1: Thesauri for information retrieval

- ISO 25964-2:2013 Information and documentation -- Thesauri and interoperability with other vocabularies -- Part 2: Interoperability with other vocabularies

- ISO 214:1976 Information and documentation -- Abstracts for publications and documentation

- ISO 5963:1985 Information and documentation -- Methods for examining documents, determining their subjects, and selecting indexing terms

- ISO 12199:2000 Information and documentation -- Alphabetical ordering of multilingual terminological and lexicographical data represented in the Latin alphabet

- ISO 999:1996 Information and documentation -- Guidelines for the content, organization and presentation of indexes

- NISO TR02 1997 Guidelines for Indexes and Related Information Retrieval Devices

- NISO TR03-1999 Guidelines for Alphabetical Arrangement of Letters & Sorting of Numerals & Other Symbols

- NISO Z39.14-1997 (R2015) Guidelines for Abstracts

- NISO Z39.19-2005 (R2010) Guidelines for the Construction, Format, and Management of Monolingual Controlled Vocabularies

Standards on the ASI Website

www.asindexing.org/about-indexing/indexing-standards

www.asindexing.org/standardstechnical-reports

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Mission Statement

We advocate, educate, and provide the central resource for indexing.

PURPOSE and OBJECTIVES

The American Society for Indexing, Inc. (ASI) is a national association founded in 1968 to promote excellence in indexing and increase awareness of the value of well-written and well-designed indexes. A nonprofit educational and charitable organization, ASI serves indexers, librarians, abstractors, editors, publishers, database producers, data searchers, product developers, technical writers, academic professionals, researchers and readers, and others concerned with indexing. It is the only professional organization in the United States devoted solely to the advancement of indexing, abstracting and database construction. ASI encourages the participation of all persons, groups, and organizations interested in indexing and related methods of information retrieval.

ASI is affiliated with indexing societies in other countries through an International Affiliation Agreement.

ASI has members from around the world and has chapters across the United States. The annual meeting occurs in the spring or summer. Chapter meetings and workshops are offered on a regional basis. Membership is open to any interested persons - writers, freelance and salaried indexers, librarians, editors, publishers, and organizations employing indexers.

ASI is committed to improving the quality of indexing and serving the needs of indexers. We work to accomplish these goals by:

- Increasing awareness of the value of high-quality indexes and indexing.

- Offering members access to educational resources that enable them to strengthen their indexing performance.

- Keeping members up to date on advances in indexing technology and the expanding role of indexing through conferences, workshops, and publications.

- Providing members with a variety of means of communication - through meetings, directories, publications, and electronic communication - with each other and related professionals.

- Defending and safeguarding the professional interests of indexers.

- Promoting index standards for indexers, editors, and abstractors.

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