

## Chapter 1

# Seven-Problem Approach to Indexing Names

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When I embarked on this book, I visualized an emphasis on the indexing of “foreign” names, especially those not already covered in *Indexer* articles. It would be an encyclopedic, “one-stop shop” for indexers seeking advice on the indexing of these names. Three factors prevented this dream from coming true.

First, and naively, I never imagined the problems I would have in finding indexers available and willing to write on various foreign names. A number of my original plans had to be curtailed because, try as I did through multiple emails to possible contacts, I often couldn’t secure even a name of someone knowledgeable, let alone someone willing to write. Also, indexers with such expertise are busy people, and some who agreed to write had to withdraw later because of work or the other time restraints we all experience at times.

But on a much more positive note, my plans for the content changed through alternative suggestions by email contacts, both those passing on names and the would-be writers themselves, who suggested other names or other topics to take on.

Also, in brainstorming my projected table of contents, along with queries saved from Index-L, the scope of the book was much widened, as I realized how the indexing of names in particular genres, such as biography, and types of names covering many nationalities, such as religious names, caused problems for indexers. Along with these came the small, deceptively simple problems indexers often have to cope with, like names in subheadings, “passing” vs. “lesser mentions” of names, and when to index names in epigraphs and case studies (which would become the subject of Chapter 19 by Sherry L. Smith).

So, although not the names indexing encyclopedia I had envisaged, this book comprises a plethora of issues facing indexers in their everyday work, along with some that occur in less usual circumstances. Much guidance regarding the indexing of names is already available in the resources cited throughout this book. This book will add much to the existing pool of knowledge, and will, I hope, encourage further contributions by indexers for the benefit of their colleagues.

When I began to make presentations on names indexing and was sorting out my method of attack, it occurred to me that all my accumulated examples of names fell into six categories. There was some overlap, but generally the process worked. And within a couple of years, through reading messages on Index-L, I had added a seventh category. The categories are:

1. Choice of initial element
2. Length or brevity of a name: How much to include/exclude
3. One-word names: When and how to add detail
4. Distinguishing between people with similar names
5. Variant names borne by one person, including changes of name
6. Transliteration and Romanization of names
7. Names as phrases

In many ways, these issues underlie all the contributions in this book, so I have taken this approach for this opening chapter, citing the individual chapters relevant in each category.

### **CHOICE OF INITIAL ELEMENT**

This is the category that concerns indexers most, over which they anguish the most. Given a name consisting of a collection of elements, which do you enter first? In theory, the first mention of a person's name in the text should be the full one; after that, an abbreviated form, usually the most commonly used last one, is cited. Alas, the indexer's life isn't that easy: The person may not be mentioned again, or the first element may differ between the text mention and the citation in the references, or worse, differ within the text itself. So indexers often have to consult indexing manuals and reference works, along with articles in the indexing societies' journals. When in doubt, indexers can confer with the author or editor; however, in their professional capacity, they should marshal evidence from the text and from references before asking.

The following categories of problems are familiar to experienced indexers and quickly become so to those starting in the field.

### **Names With Prefixes**

Names with prefixes occur in many countries and nationalities, in the Western world as well as other parts. It's too large a category for me to go into detail here—

it would take a book in itself. Advice is plentiful via the many names indexing resources and throughout this book.

In order to decide whether to index under a prefix or a following element, one has to know which element is a prefix. This presents a challenge, especially with names containing several words of titles and family and clan information, as with the Arab and Indonesian names explored in this book by Heather Hedden and Madeleine Davis, in Chapter 3 and Chapter 11, respectively, who explain the meanings of commonly occurring elements of names in these societies.

Some relevant questions to be answered before conducting a search are:

- *What nationality is the person?* Differing guidelines exist for various countries. Also, in indexing, a lot depends on where a subject lived the most or at least dwelled for that part of his life written about in the book. For example, persons with surnames including prefixes living in their native countries are indexed according to the conventions of those countries, which often means entry under that part of the name following the prefix. But if they lived primarily in English-speaking countries, they are indexed under the prefix.
- *What time period is involved?* The ordering of the elements of names has often changed over time, with direct order evolving to inverted order.

The following three questions are related:

- *What is the audience for the book?* The age level of the readership can come into play here. I am in favor of using the conventional order for all names, the one to be found in library catalogs and reference books; children should be getting used to consulting these titles.
- *What is the genre of the book?* Academic works often call for a strictly conventional form of entry, unlike trade books or textbooks.
- *Are there pertinent publisher guidelines and author preferences?* In my experience, most publishers do not provide such detail in their own guidelines. They may, however, point to style guides, such as the *Chicago Manual of Style* or *Hart's Rules*, even citing a particular edition. Author's preferences may be gauged by usage in the book; I've had academic authors contact me to make sure I will index the names of persons in their books by certain guidelines, usually the most formal and fullest forms.

A typical example, where any of these factors may come into play, is the oft-cited example of Vincent van Gogh. Is the indexer to use the Dutch form, beginning with “Gogh” or bow to popular usage in many other countries by using “Van Gogh”? Enid Zafran (in Chapter 17) and Jacqueline Pitchford (in Chapter 4) address the indexing of Vincent van Gogh from their two perspectives, Zafran as a U.S. indexer and Pitchford as a European one.

Names with prefixes occur in several chapters of this book. In Chapter 6, Pitchford writes about German names. In Chapter 7, Francine Cronshaw explains Spanish and Portuguese prefixes, and distinguishes between the two. In Chapter 5, I deal with French names.

### **Compound Last Names/Surnames**

In theory, the easiest category is compound last names. The conventions prescribe entry under the first element of the last name. It's easy for hyphenated names, of course, but when they're not linked, it's a head-scratcher to know which is that crucial first element, as with Martin White's examples in Chapter 14 of David Lloyd George and Alexander McCall Smith. Some of my own bugbears are Arthur Conan Doyle, Sacha Baron Cohen, Ralph Vaughan Williams, John Foster Dulles, and William Lyon Mackenzie King, especially the latter two, who often occur in my indexing of history and political science. Both have a single surname, hence they're indexed as:

Dulles, John Foster

King, William Lyon Mackenzie

in spite of often being referred to in texts and elsewhere as Foster Dulles and Mackenzie King.

Women often choose to be known under two last names, usually a birth and a married name; however, and this is common to men as well, a seeming surname may be a given name. The indexer may need to sort out where the last name that is to form the entry element begins. Subsequent mentions of the person could provide the answer, but, if there are none, the indexer must look further. The names of well-known women, like Elizabeth Cady Stanton, will appear in biographical dictionaries and library catalogs. A cited author may occur under a preferred last name in the references, or a web search may be necessary (often a name can be found quickly on the website of the academic institution where she works on the faculty, for example). *See* references should be made from the unused element if there is room in the index and if they don't clutter the index unduly. In a book with a feminist perspective or on women's studies/history, you could create many cross-references, and such enhancements would be essential in genealogical and local history indexing.

Compound surnames are prevalent in Spanish and Portuguese names, and Cronshaw explains these, and the differences between the two, in Chapter 7.

### **Names in Direct vs. Inverted Order**

Whether a surname is present distinguishes whether a name should be entered in direct or inverted order. Simply and crudely put, entry goes under the surname when one is present; when it isn't, the name is entered in direct order.

#### ***Early Names***

Surnames, or family names, weren't commonly used until later medieval times, even where early family names were known, as in ancient Greece, as Kate Mertes points out in Chapter 2 on classical and medieval names. They were often adopted for property reasons, to identify members of families, especially heirs. Because a number of persons would share the same given name even within a small area, descriptive phrases, nicknames, or bynames were added. Many of these later formed family names. When the last, or near-last element, forms a surname, the name is indexed in inverted order, with the surname first. Otherwise, direct order applies, like a phrase, with the given name first.

Knowing when a name is or is not a surname can be difficult to discern, and the names need to be looked up in reputable reference sources like the well-known biographical dictionaries and encyclopedias or the Library of Congress Authorities ([authorities.loc.gov](http://authorities.loc.gov)). A nightmare category can be the names of European artists of the Renaissance period, for example, where no recognizable pattern offers guidance. For such names, the use of specialized reference sources will be needed, like those discussed in Chapter 17 on artists' names. Martin White expresses a preference for following author usage with these sorts of names in Chapter 14.

#### ***Patronymics Instead of Surnames/Family Names***

Patronymics were commonly used virtually around the world, in all societies, before surnames gained popularity. Mertes details their use in medieval times, in her comprehensive Chapter 2. Pitchford and Cronshaw, writing about Dutch and Spanish/Portuguese names respectively in Chapter 4 and Chapter 7, also discuss their use; Pitchford explains that when surnames were required, many people adopted their patronymic as their surname, also a common practice in Britain.

However, patronymics are still common in many parts of the world, including the West. In Iceland, for example, patronymics are still generally used. In recent times, there has been a resurgence in the use of patronymics (and matronymics) in some societies, like the Welsh. This custom should be honored by indexing the names in direct order, given names followed by patronymics, where appropriate. In long, complex names in non-English languages, distinguishing terms of relationship like

patronymics from words indicating titles, tribes, and so on can be very difficult. The International Federation of Library Associations and Institutions' (IFLA's) *Names of Persons* resource provides guidance for many countries. In Chapter 3 of this book, Arabic usage is explained by Hedden, and Indonesian usage is explained by Davis in Chapter 11. Hedden also deals with the "reverse" of a patronymic, the name of a son in names beginning *Abu*.

## East Asian Names

East Asian names often crop up in indexing. It's often a matter of sorting out the surname from the given names, and there is ample guidance in reference sources, often by way of recognizable patterns, like societies where a surname typically consists of one syllable and a given name of two. Even so, some names elude the patterns. A valuable source for Chinese surnames is Liqun Dai's *Indexer* article on Chinese names, with its listing of the 100 most common surnames.

The custom of referring to the person by surname followed by given name favors indexing. One simply indexes the name like that. The same convention is used by reputable newspapers and periodicals, whose press style guides usually follow the same conventions as those for us indexers. Newspaper junkies, like myself, will have often encountered well-known names, the ones most likely to crop in indexing of current events, in newspaper articles.

Examples where much ink (virtual and actual) has been spilled are the well-known Vietnamese names, Ngo Dinh Diem and Vo Nguyen Giap, indexed in this form in the Library of Congress (LOC) Authorities and by Nancy Mulvany in *Indexing Books* and Hans Wellisch in *Indexing from A to Z*. However, these persons are usually referred to as Premier Diem and General Giap, following the Vietnamese convention of using first names (see also Janet Russell's exposition in Chapter 24 around an example from LOC Authorities). So some sources, like the *Chicago Manual of Style* and IFLA's *Names of Persons*, prefer entry under the well-known first name:

Diem, Ngo Dinh  
Giap, Vo Nguyen

The indexing of names like these may well be determined by the publisher's style guide or author's preferences.

Many complications of other East Asian names are discussed in Davis's chapters on Hmong and Indonesian names (Chapter 10 and Chapter 11, respectively) and in Sue Lightfoot's chapter on Thai names (Chapter 13).

## Arabic Names

Arabic names are another group of names in which it can be very difficult to sort out which element should go first or whether to use direct or inverted order. It is the

subject of Chapter 3 by Heather Hedden and is also dealt with extensively in Chapter 14 by Martin White. Outside this book, HURIDOCs supplies usages for modern names in different countries, as does IFLA's *Names of Persons*. In her chapter, Hedden also discusses the indexing of modern names well known in the West, where some element of the name has become the one most commonly referred to, as with Saddam Hussein (Hussein), Osama bin Laden (bin Laden), and Gamal Abdel Nasser (Nasser), advising entry in Western style, beginning with that known element.

## **LENGTH OR BREVITY OF A NAME: HOW MUCH TO INCLUDE/EXCLUDE**

Indexers are often presented with longer and shorter versions of the same person's name in different texts/projects and within the same book. In back-of-the-book indexing, and in general, there often isn't any need to go beyond what is presented within a particular text. Indexing in more "open" contexts, like ongoing periodical indexing or in large databases, may call for a longer form to be established as the authoritative version, to distinguish among people with similar names. Biographical dictionaries and encyclopedias will present names in their fullest forms because their users have to make sure of the identities of requested names. Although library cataloging rules have changed over the decades to focus on the form of name "by which [a person] is commonly known" (such as in the *Anglo-American Cataloguing Rules*, 2nd edition, or AACR2, for example), the Library of Congress and other library catalogs sometimes have to add details like additional given names and dates of birth and death to distinguish between persons of the same name. These authorities are invaluable for providing the elements of a name in indexable order, but the indexer must then decide what to include.

Relevant here is the distinction between "open" and "closed" indexing, as explained by Susan Klement (2002). An index can be either static and fixed, or open-ended and changing over time. "Closed" indexes are those that, once completed, will not be altered (for example, a back-of-the-book index or a retrospective periodical index). "Open" indexes are those undergoing updating occasionally or continuously over a period of time, often years (like encyclopedia, periodical, and database indexes). Both types of indexes are dependent on the information available; but in "closed" indexing, the material to be indexed is almost always briefer, the evidence, as it were, less. "Open" indexes often need to use longer forms of names to distinguish one person from another and in anticipation of future confusion.

In Chapter 14, White advises: "Not attempting to aim higher than the text will likely save the indexer some headaches." Mertes, in Chapter 2, exhorts: "Unless the indexer has been specifically asked to create a glossary-index, his job is to show readers where people may be found in the text, not to explain who they are." Auriol

Griffith-Jones, while providing the method of indexing names including titles, begins Chapter 16 by stating that full titles are not always needed; the text should be the indexer's guide.

Genre and audience often determine shorter or longer forms of the same name. For example, school textbooks and books for younger readers as well as trade books usually call for the shortest form of a name, while scholarly works, genealogy, and local history may require longer forms. In my experience, academic authors, especially in the area of history, usually prefer longer forms. In genealogical and local history indexing, almost as much detail as is available, including explanations in glosses, is needed to help users distinguish one person from another and establish their interrelationships.

At its simplest, this particular problem manifests itself in the use of initials for first names. The following writers are predominantly known by initials, and almost always, there will be no need to substitute full names for the initials:

E. M. Almedingen  
D. H. Lawrence  
L. M. Montgomery  
J. D. Salinger

Likewise, the number of first or last names presented in the text is usually enough. An example of both is the artist Goya, whose full name appears in biographical dictionaries as Goya y Lucientes, Francisco José de. Almost invariably, "Goya, Francisco" will be perfectly sufficient in the index. Winston Churchill's family name was Spencer-Churchill, but, like his father, Randolph Churchill, he chose Churchill for his public life. The name Spencer-Churchill needs to be used only if it occurs in the text.

As Mertes points out in Chapter 2 on classical names, authors may, and within the same text, refer to the following persons as:

Gaius Julius Caesar/Julius Caesar/Caesar  
Josephus/Flavius Josephus  
Marcus Tullius Cicero/Cicero/Tully

Mertes offers four useful steps for deciding how to index these variant names and make appropriate cross-references.

The addition of titles is often an area of indecision among indexers. Let's consider monarchs. If the text mentions Queen Elizabeth, is it necessary to go to the giddy lengths of "Elizabeth II, Queen"? Though many indexers would argue for the sufficiency of either "Elizabeth, Queen" or "Elizabeth II," my choice is always "Elizabeth II, Queen." I prefer to make index entries more self-explanatory in



identifying a particular person, not causing the user to have to pause and wonder for a second or two who is meant.

Aristocratic names consisting of both a title and a family name pose the problem of whether to add the unmentioned one. This usually arises where aristocrats are known for personal achievements. The poet known as Byron, or Lord Byron, was the 6th Baron Byron. His first and family names were George Gordon Byron. For a book about his poetry, it would be appropriate to index him as “Byron, George Gordon, 6th Baron” only if the author and treatment require, or seem to require, this full form. Otherwise, any of the following would be quite sufficient, depending on the wording in the text:

Byron, George, Lord  
Byron, Lord

See also White’s use of this example in Chapter 14.

The aristocratic title can come later in life, after a person has achieved prominence under his or her own name. Both White and Griffith-Jones (Chapter 16) introduce the example of a British prime minister, Benjamin Disraeli, later elevated to the aristocracy as the Earl of Beaconsfield. When he is referred to as Disraeli, which would be most of the time, there’s no need to add “Earl of Beaconsfield.” His full handle would be appropriate only where his life as Earl of Beaconsfield is treated substantially or for a work concentrating on the collective earls of Beaconsfield. Similarly, for a book about Margaret Thatcher’s political career, the addition of “Baroness” would usually be unnecessary.

In Chapter 15 on religious names, Mertes advises that, in general, the title “St.” need not be included in an entry unless the editor or author requests it, or it seems particularly appropriate. She then suggests four possible methods for adding it to the name. Similarly, the title “pope” may be added for disambiguation, or where readers with less familiarity with religious names could benefit from this guidance.

Dutch and German cataloging practice, as Pitchford’s Chapters 4 and 6 explain, demonstrate minimalism with titles. White advises: “Most terms of address can be ignored in the index.” In Chapter 16, Griffith-Jones provides examples of the correct use of titles when they are to be added but states that full names plus titles are often unnecessary. Context—or “it depends”—is pretty well everything here.

Variant and changes of name raise the question of whether a person’s other, or former or later, names should be added as a gloss to the heading. These names are dealt with later in the section “Variant Names Borne by One Person, Including Changes of Name,” but with regard to this particular section, it depends on whether these glosses are needed for clarity, as often happens with women with both married and birth surnames. For example, I used “Bennett, Myra (née Grimsley)” where a chapter in the book was devoted to Myra Bennett, who changed her name

mid-career upon marrying; she served as a nurse under both names. Sherry Smith, in Chapter 19, prefers to use all relevant surnames with each entry. I used the word “née,” rather than “formerly,” because that was the usage of the author, but Smith points out that “born” is the more usual term in North American usage. Likewise, popes, like the aristocrats mentioned previously, have led dual lives under their former names, as with Mertes’s example of Karol Wojtila in Chapter 15, who was known as a poet before becoming Pope John Paul II. Depending on the focus of the text, he would be indexed as one or the other, with appropriate glosses.

Shorter forms of names are used in subheadings. Smith provides guidance and examples of this usage.

## ONE-WORD NAMES: WHEN AND HOW TO ADD DETAIL

A related category to the previous one is when and how to add more details to a name presented as consisting of only one word, whether the name truly is a one-word name or is just referred to as such. These names occur over millennia up to our own, when, particularly, artists of various sorts prefer to use only one name. This sort of chosen name may be one of their own given names, or a surname, or something invented.

In Chapter 2, Mertes addresses examples from classical and medieval times, along with guidelines about adding glosses (see, especially, her examples of the many Alexanders among classical Greek names). Ruth Horie in Chapter 9 points out that Hawaiian names traditionally comprised one word or a phrase and sometimes remained in this form even after the use of surnames became law. Some Indonesian names consist of only one word, explained by Davis in Chapter 11.

Writers and artists of various kinds have often, over the centuries, chosen to use only one name. The names of the writers Molière and Voltaire are both one-word pseudonyms, for example. In Chapter 18 on the names of performing artists, Linda Dunn deals with examples in that field, like Eminem, Fergie, and Rihanna. Such well-known names do not need glosses, except for disambiguation (for example, if the singer Fergie and Sarah Ferguson, Duchess of York, and often referred to as Fergie, happen to appear in the same text).

The choice of a single element, or of a one-word pseudonym, is one thing; reference to a well-known person possessing the usual given names and surname by surname (or title) only is another. This is usually a commonly known and recognized element, such as Montesquieu (whose full name in biographical dictionaries is Charles-Louis de Secondat, baron de la Brède et de Montesquieu). It is sometimes argued that this single element suffices for indexing purposes. This argument has some merit because many readers would know him only as such, with no idea of his first names (or his title, for that matter). I prefer, however, to add at least a first name or title in order that the user knows exactly who is meant—and, even,

that a person is intended—and also because I am quite sure that my clients would question the appearance of only the one word, assuming an omission on my part. White, in Chapter 14, uses this same example in discussing how much of a name to include. Zafran, on the other hand, describes her own practice in Chapter 17 of using only the one element for artists such as Donatello, Leonardo, and Caravaggio.

Memoirs and local histories, especially, can produce people represented by only one name, whether first or last. When there are lots of names in the index, which often occurs, glosses can be desirable for disambiguation because there may be other people in the index with the same first or last name, and also, simply, for clarity.

Some glosses I have used are:

Douglas, Mr.  
Emily (maid)  
Giles (shepherd)  
Hammer (referee)  
Rosalie (fan)  
Sean (Belfast fan)  
Tammy (Dean's girlfriend)  
William (Aunt Geraldine's gardener)

One-word names, especially historic given names, were inevitably shared by others. When such coincidence occurs in an index—and it can, easily—distinctions need to be made between the names concerned, the subject of the next section.

## **DISTINGUISHING BETWEEN PEOPLE WITH SIMILAR NAMES**

People with similar names often occur, especially in biographical, historical, and genealogical texts. These names can crop up as passing mentions in lists or photograph captions, for example, sometimes without much, if any, supporting information given elsewhere. Given these genres, it is usually important to index them for users looking for clues. Indexers have the time and resources only to go so far and no further in researching them; basically, if the author couldn't, neither can you. So some ingenuity comes into devising distinguishing glosses and imposing consistent patterns for an index consisting of a number of such names.

Ways in which these additions may be made usually comprise the following, depending on what's provided in the text or can be discovered:

- More given names or initials; nicknames; former/later names
- Relevant dates
- Relationship

- Profession, title, or status
- Place

In the following examples, these categories are mixed, as they often are in real indexing contexts.

*More given names or initials:*

Hornblow, Alfred J. (James; “Whistling Jimmy”)  
Hornblow, Alfred J. (Whistling Jimmy’s father)  
Ley, Elizabeth (Ball)  
Ley, Elizabeth (Parr)  
Paterson, Geraldine I.  
Paterson, Geraldine Jane (McDougall)

*Relevant dates:*

La Mothe, Frederick (Dominique’s son)  
La Mothe, Frederick (fl. 1921–1925)  
La Mothe, Frederick John (Dominique’s grandson)  
Monro, William (fl. 1878)  
Monro, William Prince

In Chapter 17, Zafran provides several alternative methods of expressing dates in these instances.

*Relationship:*

Cranach, Lucas (the Elder)  
Cranach, Lucas (the Younger)  
Gauguin, Aline (daughter)  
Gauguin, Aline (mother)  
Klein, A.H. de (Jr.)  
Klein, A.H. de (Sr.)  
Savoie, François (ancestor)  
Savoie, François (brother)  
Savoie, François (grandfather)

*Profession, title, or status:*

Hammer, The  
Hammer (referee)  
Jonathan ben Uzziel (Palestinian rabbi)  
Jonathan ben Uzziel (Roman travel author)  
Peter (pony)

Peter (worked for Bebbington)  
Puyi (Manchukuo emperor)  
Puyi (Qing emperor)  
Vanier, Georges  
Vanier, Pauline  
Vanier (Trappist monk)

*Place:*

Hoare, Henry (of Ellisfield Manor)  
Hoare, Henry (of Iden and Raincliff)  
Hoare, Henry (of Staplehurst)  
Paterson, Andrew (great-great-grandfather's brother)  
Paterson, Andrew (of Quebec)

Glosses may consist of the barest minimum to distinguish between two or more persons or include more detail from the text. In Chapter 14, White provides a lengthy example from a biography he indexed, in which he chose to provide relationships of each family member to the biographee. For example:

Parsons, Herbert (husband)  
Parsons, Herbert, Jr. (son)  
Parsons, John (grandson)  
Parsons, John (son)  
Parsons, John Edward (father-in-law)

Only the glosses for the two John Parsonses were strictly necessary. In the same spirit, I have used:

Paterson, Alex (Robb's son)  
Paterson, Alex (son)  
Paterson, Alex Thomas (grandfather)  
Paterson, Robert (of Irvine, Scotland)  
Paterson, Robert MacDougall

Smith, in Chapter 19, also expresses a preference for including relationships within glosses. I also use glosses when two people have nearly similar names, names that were similar enough that I needed to search carefully to distinguish one from the other as I proceeded through the text and built the index:

Alexander, Dr. (King George V Hospital)  
Alexander, A. B.

Alvensleben, Albert von  
Alvensleben, Albrecht (later count)

## **VARIANT NAMES BORNE BY ONE PERSON, INCLUDING CHANGES OF NAME**

This can be a big and complicated category. It includes people who use more than one, sometimes many, different names; for example, they can be writers and other artists who use pseudonyms and sometimes lots of them. The names of others have changed through marriage or change in status (religious persons, royalty, and aristocracy). Also included are variant names used by authors within the one text for the same person, a headache in itself.

Choices for dealing with these variant names are:

1. Entry under all variants, double-, triple-, or more postings, linked by *See also* references
2. Entry under the latest or most well-known name, with *See* references from the other names

Criteria for decisions comprise:

1. How the text predominantly refers to a person, whether by one name or more, and, if the latter, the emphasis given to each name
2. How dramatic the change of name is: whether a change of name is so total it bears little or no association with the previous name; and, similarly, a change of status or career so total there is little association between the names—as if the names belonged to two or more separate persons; and, perhaps most important, the significance of each phase of the person's life under each name

Generally speaking, the choice of one form of name with *See* references from the others makes the indexer's life easier. Depending upon the genre being indexed, this is also the most common choice in texts. The one form used will usually be the latest, where name changes are involved, or the predominant form where persons use more than one name.

Advice on determining what variation to use is dispensed by Mertes in Chapter 2 on classical and medieval names. Although the context of her four-step guidelines is that of authors using variants of the same classical name, these steps are widely applicable to decision making in other contexts, like the categories outlined later.

Other frequently occurring categories are the names of:

- Persons assuming higher status and, therefore, relevant titles (royalty, nobility/aristocracy, and religious persons)
- Persons changing their principal names or choosing to use several different names
- Persons possessing both their given names and a commonly used nickname
- Persons whose names are Romanized and/or spelled differently in different languages (see following section for treatment)

## History

History texts often include the variant names of these individuals:

Leopold of Saxe-Cobourg-Saalfeld, later King Leopold I of Belgium  
Henry of Bolingbroke, later King Henry IV of England  
Ioann Veniaminov, later St. Innocent of Alaska  
Karol Wojtyla, later Pope John Paul II  
Joseph Ratzinger, later Pope Benedict XVI

Again, indexing these alternatives will depend on what appears in the text, and, if more than one, the emphasis given to each. In Chapter 15 on religious names, Mertes advises on treatment of the two popes mentioned in these examples. The same applies to other religious personages who may have had one name for their lay identity and adopted another when they entered an order or achieved sainthood.

Lightfoot, writing on Thai names in Chapter 13, points out that Thai royalty tend to possess long, complex names and titles, which will not usually be necessary for indexing Western texts. She advises indexers to keep to the given name and a short title. Cronshaw mentions in Chapter 7 that the names of Spanish kings used to be Anglicized—for example, Felipe as Philip—but authors now commonly prefer the vernacular. Indexers will, of course, be guided by the usage in the text.

Aristocrats may be born with titles, which sometimes change during their lifetimes, or may accede to titles after accomplishment elsewhere. The indexer is lucky if the last name doesn't change, as with books I indexed where the British politician Robin Butler became Sir Robin Butler and later Lord Butler of Brockwell, and Sir Bernard Montgomery later became Viscount Montgomery of Alamein. In Chapter 16, Griffith-Jones also mentions Margaret Thatcher, later Baroness Thatcher. But sometimes the change can be more dramatic, as with the example of Benjamin Disraeli, later made Earl of Beaconsfield after a long career in politics (see earlier discussion).

Another wrinkle is that aristocracy possesses both family names and titles. Depending on the context, either one may be the more prominent within a given text. A history, say, of the Dukes of Bedford, would call for entries under “Bedford,” but as Griffith-Jones points out, the Russell family, the family name of the dukes of Bedford, may be the subject of the book. So entries would then be under “Russell”:

Russell, Francis, 7th Duke of Bedford

Russell, John, 6th Duke of Bedford

Some use their family names, or a variant on same, when they are well-known in a particular profession. Griffith-Jones points to the example of Anthony Wedgwood Benn, Viscount Stansgate, who chose to be called Tony Benn when he became a politician. In a book predominantly about his life as a politician, “Benn, Tony” would be used and “Wedgwood Benn” would be used only if the Wedgwood Benn family occurs substantively.

## **Artists in Visual and Performing Arts**

Persons changing their names, sometimes using more than one name, are prevalent in the visual and performing arts. Names of performing artists, who frequently work under pseudonyms, are the subject of Chapter 18, in which Dunn offers advice on their indexing, as does Horie in the relevant section of Chapter 9 on Hawaiian names. Changes in women’s names, especially surnames upon marriage, are an obvious category here. They are covered comprehensively in Smith’s chapter (Chapter 19) and White’s chapter (Chapter 14) in this book.

Writers also frequently use one or more pseudonyms, sometimes in addition to their own names, and sometimes for different genres. An example is the British writer John Innes Mackintosh Stewart, who wrote literary criticism and novels as J.I.M. Stewart and thrillers as Michael Innes. Also British is Ruth Rendell (own name), who has also published under the name Barbara Vine (pseudonym). For each of these, any texts on their work will refer to many or all their names. Indexing treatment depends on how the various names occur within the text, which ones and the relative weight given to each, along with my criterion mentioned earlier, the degree to which each name could belong to another person entirely.

## **Nicknames**

Nicknames usually involve only a person’s first, given name. In a book I indexed about the MacDougall family, members of this family were commonly known by nicknames, sometimes based on their second names. I began indexing them under the full names given on their first mentions, but soon I saw that the nicknames were preferred. For example, Donald Lorn MacDougall was referred to as Lorn;



Hartland Campbell was called Tommy; and Edith Grace was Grace. For convenience of the user—and, at this stage, for mine as well—I chose to enter them under their nicknames, with *See* references from their full given names. Indexing depends very much on how such names are handled in the text. One version should be chosen and *See* references made from the variants.

An exceptional circumstance I have faced comes from particular groups of Canadian Aboriginal persons who possess and use both an Aboriginal and an English name: Tom Campbell, also known as Luutkudjiiwus, and Martha Brown, as Xhliimlaxha. I could have double-posted the names or chosen one form with the other in a parenthetical gloss and *See* references from the unchosen. Following the author's predominant usage, I chose to use the English form, also figuring that this was how North American users would look for the names.

## TRANSLITERATION AND ROMANIZATION OF NAMES

Names written in alphabets other than Roman (or Latin) must be transliterated or transcribed into the closest approximation to the Roman alphabet for Westerners, known as Romanization. Transliteration is letter-for-letter substitution; transcription is the substitution of pronunciation. However, all three terms tend to be used interchangeably. Hedden devotes several pages at the beginning of Chapter 3 on Arabic names to explaining Romanization and transliteration, including the insertion of diacritics.

There are several different schemes; Hedden lists the ones for Arabic names. These need not concern us here, apart from two factors. First, the Library of Congress, and consequently other national libraries, often uses a different transliteration scheme from those most commonly used. This leads to the Library of Congress heading “Pan, Ki-mun” for the more usual Ban Ki-mun (or Ki-moon), for example. The second point to note is the two different systems for transliterating Chinese names: Wade-Giles and Pinyin. Pinyin replaced the old Wade-Giles system during the 1970s, so successfully that it's unusual to see Wade-Giles spellings in modern texts. Peking (Wade-Giles) is now Beijing (Pinyin); Chou En-lai (Wade-Giles) has become Zhou Enlai (Pinyin). Liquan Dai presents Chinese place names in both Wade-Giles and Pinyin in Chapter 8 of this book, and also for Chinese surnames in her *Indexer* article, “Chinese Personal Names.”

Almost invariably, the indexer will be following the Romanized or transliterated form provided by the author in the text. When this may be less well known to index users, a *See* reference may be provided from a better-known form whether it appears in the text or not. Both Mertes and I, for example, have encountered variants on the name Genghis Khan: Chingis Khan and Chinggis Qan, respectively. With the present trend favoring more vernacular forms, it seems that these renditions, or similar, will be increasingly used, but in the meantime, most index users

would look for Genghis Khan. So each of us has provided a *See* reference from Genghis Khan to our variants. In the same spirit, Mertes recommends references from Avicenna to Ibn Sina and from Averroes to Ibn Rushd, Avicenna and Averroes being the past predominant Western forms of these Arabic names.

In addition to Hedden and Mertes, White in Chapter 14 presents a section on transliteration, especially with regard to Chinese and Arabic names.

## NAMES AS PHRASES

Names as phrases comprise the likes of Mickey Mouse, Cousin Fannie, Malcolm X, Master of the Amsterdam Cabinet, Mark Twain (because Samuel Clemens took the name from a Mississippi riverboat command), the artist Le Corbusier (French for “basket maker”), and musician Daddy Yankee. They don’t occur as often as other problem names, but when they do, they can cause much head-scratching over whether and when they should be inverted.

For the most part, I find that the options set out in the 1998 revision of *AACR2* provide admirable guidance, fitting my initial instincts regarding how the names were to be indexed. The main options, paraphrased, are:

1. A phrase or appellation that does not contain a forename (and, presumably, no surname). Names represented by these examples are the easiest to index. With neither forename or surname, the name must be entered in direct order, as above. For example:

Daddy Yankee  
Master of the Amsterdam Cabinet  
Sitting Bull

2. A phrase consisting of a forename or forenames preceded by words other than a term of address or a title of position or office. For example:

Calamity Jane  
Gorgeous George

3. A forename preceded by a term of address (e.g., a word indicating relationship) or a title of position or office. In his chapter, White calls these “partial names,” the names of relatives mentioned as such in autobiographies and memoirs. He adds suggestions for the inferring of surnames from clues within the text; otherwise, he would consider double-postings or cross-references for the names in direct order. For example:

Charles, Uncle  
Fannie, Cousin  
Margaret, Miss

4. A name that has the appearance of a forename, forenames, or initials, plus a surname. For example:

Twain, Mark

To me, category (4) includes the names of fictional persons possessing the characteristics of the appearance of forenames with surname. In this, I disagree with Zafran, who states her preference for direct order along with my and others' opinions in Chapter 21 on fictional names. Smith, in Chapter 19, provides circumstances and examples for both approaches, and also for double-posting. However, there has been little disagreement within indexing and cataloging circles over the names of animals. These usually constitute phrases and are entered in direct order even when they mimic human names:

Curious George  
Donald Duck  
Mickey Mouse  
Wile E. Coyote

Some names that look like phrases, and as if they should be entered as such, actually aren't. One example is the name Malcolm X. It turns out that "X" is the surname he adopted; thus, he is indexed as "X, Malcolm." It can pay to check sources before making assumptions. The singer Blossom Dearie fooled me when I first had to tackle her name. I had always assumed her name was a pseudonymous phrase. Fortunately, I checked her biography on the web, discovering that indeed, a Mr. and Mrs. Dearie had been blessed with a daughter, whom they had named Blossom! Thus, she was indexed as "Dearie, Blossom."

## CONCLUSION

All of these examples and citations of chapters in this book demonstrate the rich knowledge provided by its writers. Differences of opinion among the contributors to this book must not deter beginning indexers; rather, they should be seen as different options to approaching a particular issue, applicable to particular indexes at different times. When I began my indexing career, it was as a "purist," probably because of my years in library cataloging, where conformity to underlying principles was essential. As an indexer, I learned to modify my stance in obedience to genres and audiences, authors' usages and preferences, and publishers' style

guides. The indexers' platitude of "it depends," while being somewhat discouraging to beginning indexers, is so often applicable.

It is my earnest wish that this book will be helpful to indexers in some of the multifarious ways that names come to us. The contributions in this book have taught me a lot as I read and edited them, and no doubt will continue to influence my indexing in the future.

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