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Encouraged by among other things the "publish or perish" milieu of today, scientists, educators and researchers are a prolific lot, publishing technical literature in explosive proportions. The volume is such that machines have been called on to aid and expedite the processing and retrieval of information.

This thesis discusses keyword-in-context (KWIC) indexing, a new method of machine indexing literature. In presenting the subject, the author assumes that the reader is unfamiliar with the new discipline of Information Science, precipitated by the information explosion.

The background of machine indexing is developed deductively. Next, the author describes KWIC indexing, evaluates statistically the hypothesis upon which it is based (that titles are descriptive of the article or document they represent), lists its pros, cons and applications. And finally, the author concludes that KWIC indexing is indeed an efficacious new tool.
KEYWORD-IN-CONTEXT (KWIC) INDEXING:
BACKGROUND, STATISTICAL EVALUATION, PROS AND CONS, AND APPLICATIONS

by

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1964
Six months ago the author was first introduced to a keyword-in-context (KWIC) index. That the KWIC index was based upon the titles of documents rather than document contents seemed unusual, that it was produced by a computer, not a human, in minutes at a fractional cost seemed incredible and that there were individuals who doubted and even belittled the efficacy of this wonderous technique seemed perplexing. As time passed the author became more intrigued with KWIC indexing and finally decided to make it the subject of this his Masters thesis. Format-wise, the background of machine indexing in general is developed deductively. Next the author describes KWIC indexing, evaluates the hypothesis upon which it is based, lists its pros, cons and applications, and lastly draws conclusions. Furthermore, this complete investigation into KWIC indexing is basic in approach; it is written for the reader who is unfamiliar with the newly emerged discipline, Information Science.
ACKNOWLEDGEMENT

The author wishes to express his gratitude to the members of the reviewing committee - Dr. A.G. Holzman, Dr. A. Kent and Professor H.W. Wolfarth - for their comments and suggestions; to Mr. C.K. Bauer, Manager, Scientific and Technical Information Department, Lockheed Aircraft Corporation, Marietta, Georgia for sending the author exhibits for inclusion in this thesis; and especially to Mr. D.H. Kraft, Industry Representative, Information Retrieval, IBM Corporation, Chicago, Illinois for generously providing ideas, information and materials used throughout the thesis.
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I. BACKGROUND

A. Information Explosion

The importance of the availability of information to the scientific community has long been recognized. As early as 1852, Joseph Henry, secretary of the Smithsonian Institution reported to Congress:

"...It is estimated that about twenty thousand volumes, including pamphlets, purporting to be additions to the sum of human knowledge, are published annually; and unless this mass be properly arranged, and the means furnished by which its contents may be ascertained, literature and science will be overwhelmed by their own unwieldy bulk. The pile will begin to totter under its own weight." (1)*

A half-century later, Henry Adams wrote of the law of acceleration of human knowledge, that if it were "prolonged one generation longer it would require a new social mind...subject to new laws." (2),(3)

World War II precipitated a massive increase in scientific research and a concomitant increase in scientific literature of all sorts. Noting the momentum of wartime research and its implications, Dr. Vannevar Bush, the great American scientist prophetically urged his colleagues at war's end to direct their efforts toward the problem of sophisticating the storage, processing and retrieval of information. In his now famous article entitled "As We May Think" he stated:

"...He (man) has built a civilization so complex that he needs to mechanize his records more fully if he is to push his experiment to its logical conclusion and not merely become bogged down part way there by over taxing his limited memory. His excursions may be more enjoyable if he can reacquire the privilege of forgetting the manifold things he does not need to have immediately at hand, with some assurance that he can find them again if they prove important." (4)

* Parenthetical references placed superior to the line of text refer to the bibliography.
But the growth of scientific output has continued unabated such that in more recent years an ever increasing chorus of voices crossing all disciplines may be heard expressing alarm at the accretion rate of records in fields of science. Indeed many scholars have elaborated the theory of the exponential growth of scientific knowledge and literature. The following quotes illustrate the existing concern.

"The world's scientific community is presently generating a flood of technical literature, and much of it is not getting into the hands of people who could use it." (5)

"As the mass of information produced by scientists and engineers increases (at rates estimated to be exponential), the inadequacies of available methods of handling information are revealed: dissemination is delayed because publication media are backlogged; retrieval is delayed because the time needed to search for information is a function of the amount of information to be searched." (6)

Senator Hubert H. Humphrey in a televised introduction to a panel discussion presented in connection with the 1962 Convention of Special Libraries Association stated that the world is in a midst of a "Revolution in Information."

"The ironic fact is that the sheer mass of information almost defeats our efforts to find what we are looking for. The result is that a vast amount of information is unfortunately, not really at our command. It may be known, but inaccessible; or it may be unknown or perhaps lost or forgotten." (7)

Francis Bello earlier expressed a similar sentiment and suggested the obvious means for wrestling with the problem.

"Mankind is learning things so fast that it's a problem how to store information so it can be found when needed."
Not finding it costs the U.S. over $1 billion a year.
Now machines are being called on for help." (8)

Currently there exists no quantitative means for accurately measuring the output of technical literature. However this does not preclude the possibility of obtaining some partial definition of it. It may be said that there are now somewhere between 50,000 and 100,000 technical journals being published in more than sixty languages. New journals keep appearing at the rate of at least two a day. This year's journals will carry between one million and two million significant technical articles with a yearly increase of five to eight per cent. And what is more astounding is the fact that the world's supply of recorded knowledge more than doubles every 15 years. To this must be added an increase in content so vast it can not be measured.

In view of the foregoing a literature crisis might be defined as: an explosion or revolution producing at a geometrical or exponential rate piles, masses, mountains or floods of information to bogg down, inundate, bury or even drown poor humanity. Such a definition is exaggeratory only to the extent of its redundant terms, beyond this it is accurate.

Even the famed mathematician and philosopher, Yehoshua Bar-Hillel, who rejects the urgency and the existence of a crisis in science, recognizes the possible crisis in the fields of patents, law and library acquisitions. (12)

Suffice it to say that an information crisis does exist. Beyond the ominous declarations of competent scientists, the incontrovertible fact remains that millions of dollars are being spent annually by the National Science Foundation, the three military services, with particular emphasis by the U.S. Air Force, the Council of Library Resources, commercial organizations and
a handful of interested academicians in developing systems that will analyze, store, and, on demand, accurately retrieve what has been published.

B. Advent of Mechanized Information Retrieval

The rapid escalation in recorded knowledge has had the following irreversible effects upon man as a user of information.

(A) Limited by his finite capacity for absorption and retention, man is forced to specialize.

(B) The scope of his specialty is shrinking as man finds it increasingly more difficult to keep informed and current.

(C) Man desires more specific and detailed responses to his information needs.

(D) Attendant to the foregoing is the matter of timeliness. Man wants to find the information he is searching for more rapidly.

Man is not alone, repositories of recorded knowledge are also being effected.

(A) Libraries sample and offer less material because of the enormity of recorded knowledge.

(B) The traditional library has given way to specialized libraries and specialized information centers in response to man's more detailed searches.

(C) Libraries and specialized information centers are applying modern machines to expedite the processing, searching and delivery of information.
In essence the inordinate size of recorded knowledge has precipitated a new discipline. Some call it "librarianship", others call it "documentation science" or "information science". Whatever the label, its reference is clear; the effective management of man's heritage of information. It transcends traditional librarianship by featuring the skills combination of the librarian, the documentalist, the publisher, the writer, the editor, and very importantly, the scientist and engineer. That puts everyone into the game. The interest of this multidisciplinary corps is in the handling of specialized knowledge. Its exponents seek to make information available - quickly, conveniently, accurately - to the man who seeks to add to knowledge or to draw upon it. The embodiment of this aspiration logically leads to an information storage and retrieval system. And for clarity's sake the definition of such a system seems appropriate.

"A storage and retrieval system in its simplest terms is an organized method for putting items away in a manner which permits or facilitates their recall or retrieval from storage. This definition, although essentially circular, is intended to establish that a storage and retrieval system must be considered as a single system and not as a storage system plus a retrieval system." In other words, the method of storage determines to a considerable extent the possibilities of retrieval. Conversely, the requirements of retrieval establish the range of methods of storage. Continuing, "mechanized" information retrieval merely implies the utilization of machines (from the simple to the complex) to augment a storage and retrieval system.
Experience in mechanized information retrieval indicates that, in general, it must handle these types of material:

(a) large files or collections of documents;

(b) complex subject matter, usually containing many subjects of potential interest;

(c) scattered information, usually requiring selection from among many documents and subsequent correlation.

Having explained that mechanized information came into being in order to ameliorate the conditions precipitated by the "Information Explosion" and having stated the types of material a mechanized information retrieval system handles, it is appropriate to discuss the component operations of such a system. Further, a discussion of the component operations of an information retrieval system continues the deductive manner (first stated in the introduction) in which this thesis is being developed. Parenthetically this "modus operandi" - proceeding from a general background of information retrieval to the specifics of machining indexing - was chosen on the assumption that a complete understanding of the evaluation of machine indexing is contingent upon the reader's having a clear idea how machine indexing, per se, fits into the total information retrieval picture. With this in mind, the component operations or unit operations of an information retrieval system follow in logical sequence.
C. Unit Operations

Any information retrieval system, whether based on traditional library methods or on the most modern machines, involves a series of steps which Allen Kent, Director of the Knowledge Availability Systems Center at the University of Pittsburgh, terms "unit operations." They are: acquisition, analysis, terminology control, recording of results of analysis, storage of source documents, question analysis, searching, and delivery of search results. Except for a description of each, only the second unit operation - analysis - will be discussed at any length.

It is worth noting that these unit operations cannot be performed to precise specifications, that is, it is difficult to delineate precisely where one begins and the other ends. Additionally, some may be performed simultaneously or at different times. The following columnar list gives Mr. Kent's unique and original description of each.

<table>
<thead>
<tr>
<th>Unit Operation</th>
<th>Functions Performed</th>
</tr>
</thead>
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<tr>
<td><strong>Input</strong></td>
<td></td>
</tr>
<tr>
<td>1. Acquisition</td>
<td>Locating, selecting, ordering and receiving of source documents for a collection.</td>
</tr>
<tr>
<td>2. Analysis</td>
<td>Perusal of source documents and selection of points of view (or analytics) that are considered to be of sufficient probable importance to warrant the effort of rendering them searchable in the system.</td>
</tr>
<tr>
<td>a. Abstracting</td>
<td>Concentrating the essential qualities of a larger thing - a summary of a publication accompanied by an adequate bibliographic description, to enable the publication to be traced.</td>
</tr>
</tbody>
</table>
b. Indexing  
Selection of words or ideas from a graphic record on the basis of well-defined rules, in order to facilitate the identification or selection of desired records after they have been stored.

c. Classifying  
Arranging or placing in a class on the basis of similarities or differences.

d. Extracting  
Selecting for quotation portions or source material.

3. Terminology Control  
Establishing arbitrary relationships among analytics, e.g., based on similarities among analytics as revealed in dictionary definitions.

4. Recording of Results of Analysis on Searchable Medium  
Use of card, tape, film or other medium on which the analytics are transcribed.

5. Storage of Source Documents  
Physical placement of record in some location, either in original form, or transcribed or copied onto a new medium.

Output

1. Question Analysis and Development of Search Strategy  
Expression of question or problems, selection of analytics in terms of a particular search mechanism, and arrangement into a configuration that represents a probable link between the question as expressed and the records on file as analyzed.

2. Conducting of Search  
Manipulation or operation of the search mechanism in order to identify records in the file.

3. Delivery of Results of Search  
Physical removal or copying of record from file in order to provide it in response to question.

As may be readily inferred from the foregoing list, the term "input" implies the processing of documents into the system by system.
operator personnel. Contrariwise, the term output implies the retrieval of data from the system by either system personnel or the user. Also, for simplicity's sake Mr. Kent limits the results of analysis to abstracts, extracts, classifications and indexes. It is recognized that this is not an exhaustive grouping. Results of analysis among other things includes annotations, first paragraphs, last paragraphs, tables of contents, etc.

D. Analysis

Analysis is the most time-consuming, laborious, ill-defined, complex, and undoubtedly the most important input unit operation. Its complexity stems from the fact that it is basically predictive. Naturally, because the analyst - digesting, reducing and making readily searchable the masses of documents or records being put into a system - is essentially attempting to predict the desires of a searcher who is separated from him in time and space. In effect the analyst is a middleman trying to serve two masters: the author by accurately representing his document, and the searcher or user by answering his information needs. It is axiomatic that no analyst can predict every possible point of view or use that could be demanded of any document.

Analysis may be formally defined as the detailed examination of anything complex in order to understand its nature or determine its essential features. The specific purposes of this unit operation are:

(a) to provide a substitute for the original source material - abstract, extract or annotation;
(b) to permit determination as to whether it is useful to obtain and read the source material - abstract, extract or annotation;
(c) to permit identification of source materials that are probably of interest in connection with one or another quest for information - index entries or classification subject headings.

These purposes establish the amount of detail, or depth of analysis as well as the form in which the result is provided, i.e., abstract, index, etc. The results of the analysis function may be represented graphically on a continuum which depicts the degree of processing to which the original document is processed. See Figure 1.

![Degree of Document Processing](image_url)

**Figure 1: Degree of Document Processing**

The four processes which comprise the analysis function are similar in certain respects. First, each of the processes, namely, abstracting, extracting, indexing, and classifying, could be performed independently. Second, all involve the following preliminary steps:
(a) reading and understanding the document or record being processed;

(b) deciding what aspects of subject content are important;

(c) selection of terminology or other symbolisms to designate the important aspects of subject content.

As shown in Figure 2, these three basic preliminary operations are followed by different steps, in particular the composing of sentences in writing literary style abstracts, the copying of desired sentences from the source document for extracts, the establishment of index entries in the case of indexes and the assignment of class designations with classification systems.

Third, each process results in loss of information through the elimination of certain individual facts and the corresponding reduction in amount of recorded detail. Depending upon policy, the relative loss of information for each of these four types of output may vary within wide limits. For example, if current policy emphasizes research and development, scientific information will undoubtedly be retained in great detail while other information or facts may be arbitrarily lost. As a general rule, the information loss is minimal with literary style abstracts, particularly when these are written to be informative in character. Next in loss is extracts which lack continuity from sentence to sentence. The greatest loss in information occurs in assigning class designations which, as a rule, do little more than indicate that the subject contents of a given document pertain to one or more generic classification subdivisions. The totality of index entries pertaining to the contents of a document or graphic record usually is more informative than a classification heading. Additionally, although indexing will be discussed in more detail subsequently, it is worth noting
Documents, records, technical papers (text, drawings, etc.)

Read and understand

Decision made as to what is important (Implies a policy)

Use of terminology or symbolism to express important aspects of subject matter

Abstracting (literary) Extracting (copying) Classifying (class designations) Indexing (index entries)

Figure 2: Preliminary Steps Common to Generating Abstracts, Extracts, Classifications and Indexes
now that taken separately each individual index entry, as encountered in alphabetized or similarly arranged lists, usually pertains to a single narrow feature of the subject contents of the original document.

A detailed discussion of the analysis function is beyond the scope of this thesis. The preceding remarks concerning analysis are intended to provide a bridge between the unit operations and indexing.

E. Indexing

The importance of indexing is succinctly expressed by authoritative Calvin Mooers in the following comment:

"The indexing language of an information retrieval system is the intellectual mechanism that makes the system operate. Next to the actual information stored in the collection, it is probably the most important part of the system. The indexing language is the means of mediating between the minds of the customers and the information stored in the collection. It is the bridge, the connection between the users and the information." (24)

Moreover, Allen Kent confirms the bridge idea and expresses the myriad nature of indexing methodology. Here is Mr. Kent on the subject:

"If analysis may be thought of as the cry to open the gates to the flood of human imagination, then indexing may be considered the force that burst the dam and turned the stream of information handling methods into an unconstrained torrent. It is almost as though everyone concerned with specialized information activities has invented an indexing method of his own, and there seems to be more enthusiasm connected with this unit operation fragment than with any other." (25)

This "bridge" - indexing - may be defined as the selection of a set of terms or descriptors from an available vocabulary to describe an
item. Putting it in other words, the process of indexing involves the selection of words or ideas from a graphic record on the basis of well-defined rules; the purpose of indexing is to facilitate the identification or selection of desired documents after they have been sorted and stored.

A number of factors must be taken into consideration in determining index requirements for a particular collection of documents. These include the value of information contained in the collection, its size and use, the required speed and completeness of retrieval, and last but not least, the type or types of questions asked of the collection. The type of index is directly related to types of search questions. The following table illustrates how one research company matches index requirements with types of search questions.

<table>
<thead>
<tr>
<th>Types of Requests</th>
<th>Types of Indexes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Report by code</td>
<td>Collection arranged by code - no index required</td>
</tr>
<tr>
<td>Report by author</td>
<td>Author index</td>
</tr>
<tr>
<td>Report by title</td>
<td>Index to titles, shallow subject index, permuted title index.</td>
</tr>
<tr>
<td>General background information</td>
<td>Shallow subject index</td>
</tr>
<tr>
<td>Information in document on:</td>
<td></td>
</tr>
<tr>
<td>Specific subject</td>
<td>Alphabetic subject index</td>
</tr>
<tr>
<td>Generic subject</td>
<td>Classified index</td>
</tr>
<tr>
<td>Coordinate subject, i.e. effect of part of chemical such as functional group on its properties</td>
<td>Coordinate index</td>
</tr>
</tbody>
</table>
Essentially, the general operations in indexing and searching may be reduced to this: A document is read for indexable information; concepts are selected that represent important aspects of this document, aspects that will provide future handles for getting at the document. This indexable information is then translated into standard index language. In searching the index the operation is reversed. The question is first translated into the language of the index. Thereupon the desired document is chosen. This description is elementary, almost infantile, but simple as the operation may seem it is not without serious complications. These complications arise because indexing is predictive and represents a loss in information as stated earlier. Moreover, according to Frederick Jonker it is diffuseness, not just volume, which compounds the indexing and, for that matter, the entire information problem. Dr. Jonker asserts:

"Diffuseness of information implies that items of information may be of interest in a great many problems, uses, and fields of pure and applied science. It implies that these items should be indexed from each viewpoint of potential importance. The diffuseness of an item of information therefore is measured by the number of potential indexing viewpoints or criteria."

"By far the greatest proportion of our present store of knowledge which we need to consult constantly and rapidly is of a highly diffuse nature. This high degree of diffuseness is not something accidental. It is inherent in the very nature of our technological civilization, in the fact that every achievement or finding in any particular field may be of enormous potential interest in almost any other field. It is this crossfertilization which is responsible for the rapid acceleration of progress, which, measured by the time scale of history, almost assumes the proportions of an explosion. Here indexing theory touches the mechanism of progress."
Studies devoted to evaluating the capabilities and limitations of subject indexes have led to the conclusion that they are inadequate in the form in which they have been previously produced to respond to many information requirements, especially those whose scope may specify one or more generic concepts. These inadequacies in subject indexes, mounting concern at the time and cost of index preparation, plus an urgent need to increase the level of efficiency in scientific research and development, have provided the impetus for applying and developing various automatic and semiautomatic devices to accomplish the identification of documents, reports and other technical literature that are of keen interest to a given R and D problem. The net result is that in the past 20 years of increasing information retrieval research many breakthroughs have been achieved, one of which is the successful application of machines to the indexing syndrome.

F. Machine Indexing

1. General

Before discussing the various approaches to automatic or machine indexing a few general comments seem appropriate. First, one of the primary objectives of research in machine indexing is minimizing the human physical and intellectual effort at the "input" end, that is, in processing documents or records into the system. The aim is to derive the appropriate index entries directly from the unedited text of a document. The intermediate human efforts of creating or designating index entries to stand
for a document in storage and coding this data prior to feeding it into a computer are eliminated.

Second, automatic indexing should not be confused, as it often is in the literature, with mechanical storage or with mechanical searching systems. The latter merely store away and search for index entries that were created and coded by human effort. Understand, of course, that a machine index may be used in conjunction with mechanical storage and retrieval systems.

And third, the automatic processing of information requires that the full text of a document be available in some machine-readable form such as punched cards or paper or magnetic tape. Also, the earlier in the production process the text is available in machinable form, the greater the saving. In the case of the permuted index, which will be discussed in great detail subsequently, this aspect is not significant because only the bibliographic data pertaining to a document need be in machine readable form.

2. Approaches to Machine Indexing

There are three basic techniques for machine indexing. They are: the statistical, the linguistic (syntactic) and the semantic.

The statistical approach utilizes the frequency of occurrence of words and their relative distance from one another within the document as the rationale for determining which words from the text are suitable index entries.

The linguistic approach depends upon a modern linguistic analysis of the language structure such as grammar, word order and other distinctive
forms a word may assume. It is based on the assumption that "the ability of the machine adequately to determine information relevance depends strongly on its ability to recognize and manipulate the syntactic structure of the text." (34),(35),(36)

The semantic approach embraces the nature of meaning of words. Strictly speaking, words have "meaning" only as they are used in particular statements. They can be studied individually, but as they are recorded in a dictionary, which offers their linguistic data, they have only typical or possible meaning. Which sense was intended is usually clear from the sentence in which it is used - that is, from the "context". "The semantic approach, according to Climenson and his colleagues, evolved from the traditional interest in semantic classification, descriptive terms, cross-indexing of related subject fields, etc." (38),(39) In practice, most approaches are a combination of the three. It may help to think of these techniques as a continuum of structural information, see Figure 3, ranging from the individual word as a complete and highly structured unit on the one hand to pure meaning on the other hand. (40)

Figure 3: Degree of Format Structure
To date, these approaches have achieved varying degrees of success in producing machine-made indexes from textual material. More sophisticated techniques for automatic selection of indexable matter from unedited text and automatic processing into suitable index entries are currently being developed.

Still there is another approach to machine indexing, one which avoids the complexities of manipulating unedited text since it deals exclusively with the titles of documents. There are, in fact, several methods based on the use of the title only. The most widely used of these is the "Keyword-in-Context" or KWIC index. It is this mode of indexing which will comprise the body of this thesis.

Before discussing KWIC indexing in detail, however, a glance at Figure 4 will graphically reveal how KWIC indexing fits into an information retrieval system and, no less important, the deductive development of this thesis.

<table>
<thead>
<tr>
<th>System</th>
<th>Unit Operations</th>
<th>Analysis Suboperations</th>
<th>Types of Indexes</th>
<th>Types of Title Indexes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information Storage and Retrieval System</td>
<td>Acquisition</td>
<td>Abstracting, Classifying, Indexing</td>
<td>Author, Citation, Coordinate</td>
<td>Classified/Alphabetic, Title, Permutal (KWIC), Subject, Shallow subject, Etc.</td>
</tr>
<tr>
<td></td>
<td>Analysis</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Term. Control</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Recording Results</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Storage</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Question Analysis</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Search</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Delivery of Results</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 4: Development of Thesis: From the General to the Specific
II. KEYWORD-IN-CONTEXT (KWIC) INDEX

KWIC is a machine-generated printed index of documents which uses as index entries solely the keywords in the document titles. A KWIC index is frequently referred to as a permuted title index, since the words in the title to a document are rotated or permuted, one at a time. Figure 5 illustrates how the title "Statistical Analysis in Advanced Information Retrieval", might appear in a KWIC or permuted title index.

```
Keyword Column
Statistical Analysis in Advanced Information Retrieval.
Statistical Analysis in Advanced Information Retrieval.
Statistical Analysis in Advanced Information Retrieval.
Statistical Analysis in Advanced Information Retrieval.
```

Figure 5: KWIC Index Example Using a Single Title

Note that all words in the title with the exception of "in" have been rotated under the keyword column and that each indexing word or keyword appears in alphabetical order.

Normally this title would appear in a KWIC index five times, once for each keyword. On the subject of keywords, H. P. Luhn, the originator of KWIC indexing has this to say:

"Keywords need only be defined as those which characterize a subject more than others. To derive them, simple rules have to be established for differentiating between what is significant and what is non-significant. Since significance is difficult to predict, it is more practical to isolate it by rejecting all obviously non-significant or "common" words, with the risk of admitting certain words of"
questionable status. Such words may subsequently be
eliminated or tolerated as so much "noise". A list
of non-significant words (called a stoplist) would
include articles, conjunctions, prepositions, auxiliary
verbs, certain adjectives and words such as "report",
"analysis", "theory", and the like. It would become the
task of an editor to extend this list as required." (41)

A typical stoplist might include, but certainly not be restricted to, the
following:

```
a    been    if    our    these
ago  but     in    put    those
all  by      into  see    thru
also do      it     she    to
an   for     me     so     too
and  from    my     some   upon
any  he      or     than   we
as   her     off    the    with
at   him     on     then   yet
be   his     or     there  you  (42)
```

The phrase "in-context" suggests that after the keywords are
alphabetically ordered, they appear at one location in relation to the
other words in the title. Further, the resulting index listing contains
the words which surround the keyword, so that the user can read the keyword
in its context.

Usually, a KWIC index consists of three parts or sections: Keyword
Index, Bibliography and Author Index. Figures 7, 8 and 9 are examples
(43) of each. In Figure 7 note that the keywords have been arranged alpha-
bettically to the right of the blank column. A total of 60 characters is
printed (this may vary with individual preference), 24 to the left of the
keyword and 35 to the right of it. Because the space allotted to titles
in a KWIC index proper is fixed, many entries will show only part of a
title. A technique called "wrap around" (also called recirculation or snap-back) is employed to make maximum use of available space. For comparison, observe that Figure 5 does not employ wrap-around, but Figure 6 does. In Figure 5 considerable empty space may appear either to the right or left of an entry - particularly if the keyword is the first or last word in the title. This space may later be filled with more of the context of the keyword. Just how many other words can be shown depends upon the length of the particular keyword and the total number of spaces allotted to the title. (Sixty spaces are used for the titles shown in Figure 7; also, note the use of wrap-around.)

<table>
<thead>
<tr>
<th>Keyword Column</th>
</tr>
</thead>
<tbody>
<tr>
<td>Statistical Analysis in Advanced Information Retrieval.</td>
</tr>
<tr>
<td>Statistical Analysis in Advanced Information Retrieval.</td>
</tr>
<tr>
<td>Statistical Analysis in Advanced Information Retrieval.</td>
</tr>
</tbody>
</table>

Figure 6: KWIC Index Using "Wrap-Around"

To the right of each entry in the KWIC index proper appears a reference code. This directs the user to the proper bibliographical entry, where he will find complete information regarding the title, author and source (see Figure 7). Thus the usual KWIC index requires a double look-up to actually find or order a document - once in the KWIC (or author) index and once in the bibliographic index.
A typical reference code is shown in Figure 7. It consists of the first four letters of the author’s last name, his first two initials, the last two digits of the year of publication, and the initial letters of the first three words of the title of his document. (The following words are disregarded: the, of, in, from, by, at, as, and, an, a, on, or, to, with, for.) The choice of the composition of the reference code is practically unlimited, however. It may be assigned on the basis of report numbers, patent numbers, some arbitrary numbering system, characteristics of the document concerned, or even on the order in which the bibliographical entries are to appear.

Computer manufacturers offer on request detailed instructions, programs and other essential data necessary for producing KWIC indexes. No attempt will be made here to duplicate their effort. The intricate data processing techniques inherent in the preparation of KWIC indexes do not conform with nor advance the aims of this thesis which are rather to subjectively evaluate this mode of indexing and to statistically test the hypothesis upon which it is based. Before concluding the general description of KWIC indexing, however, it is worth noting that in order to produce a KWIC index of titles, bibliographical entries consisting of at least, title, author and source are recorded in machine-readable form, such as punched cards, so that computer processing can produce the printed index with its bibliographical data. The cards making up the master record bibliography, the special word list, and the KWIC program constitute the input to the computer (see Figure 10). Upon processing, the computer determines the status (keyword or common) of each word in a document title by looking it
up in the stop list. All ordering and arranging of the input information is performed by the computer. A magnetic output tape containing the final arrangement of the KWIC index, the bibliography and the author index is fed through a printout device to produce copy for subsequent reproduction.
III. STUDY OF ADEQUACY OF TITLES AS SEARCH TOOLS

A. General

"If the (KWIC) index is based on titles of documents, its quality depends on how well the authors have composed the titles of their papers", with these words H. P. Luhn almost matter-of-factly stated the hypothesis upon which KWIC indexing is based. Essentially, the efficacy this mode of indexing is dependent upon whether titles are in fact descriptive. Those who assail KWIC indexing claim that titles are not descriptive, or at least not sufficiently descriptive to merit serious consideration as sources of index entries; its exponents claim the converse. The natural result of this debate has been several studies aimed at assessing the adequacy of titles as search tools.

A study by Montgomery and Swanson showed that "the present indexing of medical literature as published in Index Medicus is, or could be, based largely on examination of titles and word-plus-synonym match of titles to subject headings." Titles were found to be about 50 per cent effective as a basis for judging the relevance of an article to a given information need.

Maizell found that in a sample of 25 articles, included both in Physics Abstracts and Chemical Abstracts, the titles alone contained about 50-70 per cent of the key terms under which the articles were indexed.

In the area of legal literature, Kraft examined 3428 titles from legal research projects, theses and the Index to Legal Periodicals. His findings, among other things, revealed that 64.4 per cent of the title entries contained as keywords one or more of the subject heading words.
under which they were indexed; and 35.1 per cent contained logical equivalents. The remaining 10.5 per cent of the title entries had non-descriptive titles. He concluded that a KVJ index of legal titles produces an index which costs less than a subject heading system in both time and cost of production and which ranks high in "findability."

It seems intuitive to this author that highly descriptive titles will, in the main, be found in the technical fields of science and engineering and that less descriptive, or the least descriptive titles, will be found in the social sciences and humanities. As stated this is intuition, and regardless of its plausibility, it is an untested premise. This author decided to test the premise by examining titles from several fields, principally science and engineering, and in so doing continue the overall research effort at determining the adequacy of titles as search tools. In this regard, Kraft's study provided a worthy guide and reasonable point of departure - his procedure was modified slightly for this research. Six published indexes to periodical literature provided the source of titles for the study and the findings for each will be discussed in detail after the following description of the procedure employed.

B. Procedure

The scope of this study as indicated by the following list, spans the subject fields of science, engineering, social science and the humanities.
In each instance the most recent annual index was chosen on the assumption that each index mirrors the most current periodical literature in its respective field.

From each of these indexes a genuine random sample was taken. Randomness was achieved using numbers taken from tables of random numbers, initially. Later, to expedite the process of locating a desired title, random numbers were computer generated within limits, the limits being the total number of pages in the particular index and the maximum number of titles per page. Randomness was maintained in order that statistical inferences with a desired level of precision might be made from sample data. In this respect previous studies lacked precision or confidence limits because sampling was not conducted statistically.

After each title was randomly chosen, keywords were selected from it by the author using the rules under which a computer would have operated. All words were considered keywords with the exception of stoplist articles, prepositions, conjunctions and other "common" words (the stoplist was previously discussed). For purposes of analysis the titles were, in the context of acceptance sampling, considered as either effective (KWIC-able) or defective (not KWIC-able). Beyond this major dichotomous classification, the KWIC-able titles were grouped into four types. For a graphic illustration
of the logic used in sorting titles, see Figure 11. The examples which follow use titles from the Engineering Index (EI).

**TYPE 1:** A title which contains a keyword exactly or in some root form as a word in a subject heading of the index.

Examples:

- **EI Heading:** FUEL CELLS
  - **Title:** "Fuel Cells and Their Effects on Utilities"

- **EI Heading:** THERMODYNAMICS
  - **Title:** "Entropy Function Makes Entropy Easier to Understand"

The first title has a word which is the exact same as the subject heading under which it is indexed. The second title has a word "Entropy" which is a subject heading in the Engineering Index, however, "entropy" has a "see" reference to "Thermodynamics". In either case the title contains a keyword exactly or in some root form as a word in a subject heading of the index.

**TYPE 2:** A Type 1 title which could have been indexed equally well under another subject heading which appears in the title.

Example:

- **EI Heading:** PYROMETRY and OPEN HEARTH FURNACE
  - **Title:** "Immersion Pyrometry and Open Hearth Furnace Productivity"

Titles of this type are even more "findable" than those of Type 1, hence very KWIC-able.
Examine Title and S.H.

**Does K/W = S.H.?**

**Is Another S.H. Equally Good?**

**Does K/W = Synonym of S.H.?**

**Would Title be Found by K/W in it?**

S.H. = Subject Heading  
K/W = Any Keyword in Title  
Types 1, 2, 3, & 4 = Effective Titles  
Type 5 = Defective Titles

Figure 11: Logic Followed in Sorting Titles by Type
TYPE 3: A title not classified 1 or 2 but which contains a synonym of its subject heading:

Examples:

**EI Heading:** PLUTONIUM or URANIUM  
**Title:** "Simultaneously Determining Pu and U in Dissolver Samples"

**EI Heading:** AUTOMOBILE  
**Title:** "Atomic Age Car Concept"

This classification includes few titles because it is limited to abbreviations as in the first title and bona fide synonyms as in the second title.

TYPE 4: A title not of Types 1, 2 or 3, but which contain keywords that would enable an informed researcher to find it in an obvious manner under a KWIC indexing system.

Example:

**EI Heading:** HYDROCARBONS, PROCESSING  
**Title:** "Isomerization or Normal Pentane over Platinum Alumina Catalysts"

**EI Heading:** SPACE VEHICLES, COMMUNICATIONS SYSTEMS  
**Title:** "Transmission of Electromagnetic Waves through Ionized Layer in Presence of Strong Magnetic Field"

As Kraft points out, titles such as these, illustrate the problem inherent in all subject heading systems: How can the searcher "outguess" the
In their documentation, the user would be lost if the indexer failed to think of the subject headings "Hydrocarbons, Processing" and "Space Vehicles, Communications Systems"; also the titles were not indexed under any other related subject headings. A KWIC index, however, would index the titles under each of the underlined words, some of which are very descriptive, making them a cinch to find.

Title 5: A title not of Types 1, 2, 3 or 4. This is the class of non-descriptive ("defective" in acceptance sampling context) titles.

Examples:

EI Heading: MOTOR SHIPS
Title: "Nordwind"

EI Heading: PETROLEUM PROSPECTING, OKLAHOMA and TEXAS
Title: "Major Play Shaping Up in Palo Duro"

Admittedly this classification scheme is subjective, not so much in separating Types 1 and 2 titles (this is simply a matter of determining the presence or absence of a subject heading for each keyword in the title), but certainly in sorting titles into Types 4 and 5. The author attempted to be unbiased, if indifferent, in the sorting process. Whenever there was reasonable doubt about how to classify a title it was placed in that group which was least advantageous for proving a case for KWIC indexing.

Now that the procedure has been elucidated, the sampling from each index will be discussed in turn.
C. Engineering Index Sample

1. General

The Engineering Index is published annually by Engineering Index, Inc., 345 East 47th Street, New York 17, New York, which "indexes and annotates, selectively, on the basis of engineering significance, the available current technical periodicals received by and permanently housed in the Engineering Societies Library. Included are the regular professional and trade journals, publications of engineering societies, scientific and technical associations, universities, laboratories and research institutions, government departments and agencies, and industrial organizations. Papers of conferences and symposia, separate and non-serial publications of various kinds, and selected books are also covered. Patents are excluded."

The particular issue chosen was 1962; it includes approximately 31,000 brief abstracts of articles from 1000-odd periodicals and serial publications reviewed. As stated previously it is considered by the author to contain a representative sampling of titles from the fields of science and engineering.

The Engineering Index lists each title only once, under what is presumed to be the most appropriate subject heading, but makes liberal use of the "see" and "see also" reference.

2. Estimation of Sample Size

Before the statistical sample could be performed on this index it was necessary to first get some indication of the required size of the
sample. In probability sampling the size of the sample can be determined mathematically once the desired precision and estimated variability of the result is decided.

With respect to sampling titles from the index, recall that the titles are sorted into two broad classes, KWIC-able and not KWIC-able. For purposes of computation, \( Q \) represents the proportion of KWIC-able titles, \( P \) represents the proportion of not KWIC-able titles, and \( p \) is the estimated proportion of \( P \) from the sample. The author chose a margin of error \( d \) in the estimated proportion \( p \) of titles in \( P \) and willingly incurred the small risk \( \alpha \) that the actual error was larger than \( d \); that is,

\[
\Pr (|p - P| > d) = \alpha \quad (1)
\]

Again, simple random sampling was assumed; \( p \) was taken as normally distributed. Since the sample (\( n \)) is very small in proportion to the total number of titles in the index (\( N \)), the standard deviation of \( p \) is,

\[
\sigma_p = \sqrt{\frac{PQ}{n}} \quad (2)
\]

Hence the formula that connects \( n \) with the desired degree of precision is,

\[
d = t \sqrt{\frac{PQ}{n}} \quad (3)
\]

where \( t \) is the abscissa of the normal curve that cuts off an area at the tails. Substituting the advance estimate \( P \) for \( P \) and solving for \( n \), yields,

\[
n = \frac{t^2 PQ}{d^2} = \frac{PQ}{V} \quad (4)
\]

where \( V = \frac{d^2}{\chi^2} \) is desired variance of the sample proportion.
Next the author set the precision requirements consistent with the critical result. Parenthetically, the critical result in any study is that result requiring the greatest sample size to achieve the desired precision in view of the estimated variability. Briefly, the specification of precision is that \( p \) is to lie in the range \( (P \pm 2.5) \), except for a 1 in 20 chance. Kraft's work is used as a basis for an advance estimate \( p \) of \( P \). Thus,

\[
d = .025, \quad p = .10, \quad \alpha = .05, \quad t = 1.96
\]

and

\[
n = \frac{\frac{2}{d^2}}{\frac{p(1-p)}{\alpha}} = \frac{(1.96)^2(.10)(.90)}{(.025)^2} = 550 \quad (5)
\]

It is worth noting at this point that 550 is an estimate of sample consistent with desired precision and advance estimate, \( p \), of population proportion defective, \( P \). As it turned out, upon sampling from the Engineering Index, the number of not KWIC-able titles was so few that the advance estimate of 10% defective titles proved to be disproportionate, hence all sampling was terminated after 390 titles had been examined.

3. Classification

The results of the sorting of titles are in the table below:

<table>
<thead>
<tr>
<th>Type</th>
<th>&quot;1&quot;</th>
<th>&quot;2&quot;</th>
<th>&quot;3&quot;</th>
<th>&quot;4&quot;</th>
<th>&quot;5&quot;</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number</td>
<td>324</td>
<td>124</td>
<td>8</td>
<td>50</td>
<td>8</td>
<td>390</td>
</tr>
<tr>
<td>% of Total</td>
<td>83.1*</td>
<td>31.8</td>
<td>2.05</td>
<td>12.8</td>
<td>2.05</td>
<td>100.0</td>
</tr>
</tbody>
</table>

* The reader should recall that Type 1 titles include Type 2 titles.
### 4. Confidence Limits

Since \( n \), or more specifically the number of titles observed in the smaller (defective) class, is small, only 8 and less than 10% of sample size, Duncan states that the binomial distribution is better approximated by the Poisson distribution than the normal distribution in setting confidence for \( P \). Confidence limits may be determined for this case in a variety of ways such as the Thorndike Chart, Molina's Table II or Dodge and Romig's Tables. The author took Cochran's suggestion, however, and used Table VIII in Fisher and Yates' *Statistical Tables* (1957) which "gives binomial confidence limits for \( P \) for any value of \( n \), and is a useful alternative to the ordinary binomial tables." The applicable portion of Table VIII is included in order to illustrate the calculation of the confidence limits for \( P \).

<table>
<thead>
<tr>
<th>( a/N )</th>
<th>Probability ( P ) of 'a' or more</th>
<th>Probability ( P ) of 'a' or fewer</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>.005</td>
<td>.025</td>
</tr>
<tr>
<td>8 .5</td>
<td>3.04</td>
<td>3.94</td>
</tr>
<tr>
<td>.4</td>
<td>2.92</td>
<td>3.82</td>
</tr>
<tr>
<td>.3</td>
<td>2.82</td>
<td>3.72</td>
</tr>
<tr>
<td>.2</td>
<td>2.72</td>
<td>3.62</td>
</tr>
<tr>
<td>.1</td>
<td>2.65</td>
<td>3.53</td>
</tr>
<tr>
<td>0</td>
<td>2.57</td>
<td>3.45</td>
</tr>
</tbody>
</table>

To obtain the limits of the probability of an event (observed to occur 'a' times out of N) corresponding to a given probability level \( P \), divide the tabulated values by \( N \), first interpolating if necessary by linear interpolation with reference to \( P = a/N \). The limits of the expectation of Poisson distributions are given directly, taking \( p = 0 \).
The limits for the probability of 8 defective titles occurring in a sample of size 390 may be gotten from the table directly. Taking \( p = 0 \), the limits are 3.45 and 15.76 as circled above. Thus the 95% limits for \( P \) are estimated as:

\[
\hat{P}_L = \frac{3.45}{390} \times 100\% = 0.885 \text{ per cent}
\]

\[
\hat{P}_U = \frac{15.76}{390} \times 100\% = 4.04 \text{ per cent}
\]

From which it may be said that there is a very good chance, a 95% probability in fact, that the proportion of defective or not KWIC-able titles in the Engineering Index falls within the interval from 0.885 to 4.04 per cent.

Next confidence limits were determined for the Type 1 titles — those titles having at least one keyword exactly or in some root form as a subject heading in the Index. Now, however, the fraction defective, in this instance the fraction of Type 1 titles, is larger than 10% such that the Poisson distribution and the very convenient Fisher and Yates Table VIII no longer apply. Duncan points out that in this case the binomial distribution can be approximated reasonably well by a normal distribution with a mean equal to \( p \) and a standard deviation equal to \( \sqrt{\frac{pq}{n}} \) (59). Thus the 95% limits for Type 1 titles are

\[
83.1 \pm 1.96 \sqrt{\frac{(83.1)(16.9)}{390}} = 83.1 \pm 3.72
\]

\[
\hat{P}_L = 79.3 \quad \hat{P}_U = 86.7
\]
This simply means that there is a 95% chance that the proportion of titles in the Engineering Index having at least one keyword exactly or in some root form as a subject heading in the Index will fall within the interval from 79.3 to 86.7 per cent.

Comments concerning the implications of this sample and the attendant confidence limits are being withheld until all sample data is presented. This permits a graphical compilation and a comparison of results.

D. Applied Science and Technology Index Sample

1. General

Applied Science and Technology Index is published monthly by H. W. Wilson Company, 950 University Avenue, New York 52, New York. This publication classified engineering and science articles according to a subject heading system, including hundreds of headings such as Ablation, Aeration, Toddies, Magnetism, Polarograph, Transistors and Zwitterions.

The particular issue chosen was the 1962 annual cumulated index. The Applied Science and Technology Index indexes engineering and science articles from some 215 publications. This issue contained 1313 pages with 55-60 titles per page or some 75,000-odd bibliographic citations; however, since an article may be indexed under more than one subject heading, it is not known how many distinct titles the volume includes.

No estimate of sample size was computed for sampling this index, the experience gained in sampling from the Engineering Index led the author to adopt a wait and see attitude; the assumption being that since both indexes are concerned with engineering and science that results should be similar. Sampling was terminated after 400 titles had been examined.
2. Classification

<table>
<thead>
<tr>
<th>Type</th>
<th>&quot;1&quot;</th>
<th>&quot;2&quot;</th>
<th>&quot;3&quot;</th>
<th>&quot;4&quot;</th>
<th>&quot;5&quot;</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number</td>
<td>176</td>
<td>135</td>
<td>2</td>
<td>15</td>
<td>7</td>
<td>200</td>
</tr>
<tr>
<td>% of Total</td>
<td>88</td>
<td>67.5</td>
<td>1.0</td>
<td>7.5</td>
<td>3.5</td>
<td>100.0</td>
</tr>
</tbody>
</table>

3. Confidence Limits

Using Fisher and Yates again the 95% confidence limits for $P$ are estimated as:

$$\hat{P}_L = \frac{281}{200} = 1.4, \quad \hat{P}_U = \frac{1442}{200} = 7.2$$

Also the 95% limits for Type 1 titles are:

$$\frac{176}{200} \pm 1.96 \sqrt{\frac{(88)(12)}{200}} = 88 \pm 4.5$$

(7)

$$\hat{P}_L = 83.5, \quad \hat{P}_U = 92.5$$

E. Metal Literature Sample

1. General

ASM Review of Metal Literature is published monthly by the American Society for Metals, Metals Park, Ohio. It is "an annotated survey of articles, technical papers and reports appearing in engineering, scientific and industrial journals and books, here and abroad." This index professes to index based on the content of the article and not merely
on the title. To accomplish this a deeper and more detailed analysis of subject content is performed and more flexible cross-referencing is employed.

The particular issue chosen was Vol. 19, January-December 1962. This particular issue contained approximately 17,800 indicative abstracts from 900-odd publications. The author chose to sample from this index because it embraced a far more specific subarea, metal literature, of science and engineering. It was assumed that this index would yield even better results, that is, fewer defective titles.

2. Classification

<table>
<thead>
<tr>
<th>Type</th>
<th>&quot;1&quot;</th>
<th>&quot;2&quot;</th>
<th>&quot;3&quot;</th>
<th>&quot;4&quot;</th>
<th>&quot;5&quot;</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number</td>
<td>103</td>
<td>67</td>
<td>0</td>
<td>17</td>
<td>0</td>
<td>120</td>
</tr>
<tr>
<td>% of Total</td>
<td>86</td>
<td>56</td>
<td>0</td>
<td>14</td>
<td>0</td>
<td>100.0</td>
</tr>
</tbody>
</table>

3. Confidence Limits

Using Fisher and Yates again, the 95% confidence limits for $P$ are estimated as:

$$\hat{P}_L = 0, \quad \hat{P}_U = \frac{369}{120} = 3.08$$

And the 95% limits for Type 1 titles are:

$$\frac{103}{120} \pm 1.96 \sqrt{\frac{(86)(14)}{120}} = 86 \pm 6.22$$

$$\hat{P}_L = 80.0, \quad \hat{P}_U = 92.2$$
F. Public Affairs Information Service Sample

1. General

The Public Affairs Information Service, Annual Cumulated Bulletin is published by Public Affairs Information Service, Inc., 11 West 40th Street, New York, New York, 10018. "Its purpose is the publication of a weekly Bulletin, listing by subject current books, pamphlets, periodical articles, government documents, and any other useful library material in the field of economics and public affairs. The Bulletin is not primarily an index to periodicals, though selected articles in more than one thousand periodicals are listed each year. Publications of all kinds from all English-speaking countries are included, as well as many printed in English in other countries. Emphasis is placed upon factual and statistical information. Works in foreign languages are not mentioned.

This index or bulletin was chosen by the author as a first step in evaluating titles outside of the fields of engineering and science. The particular issue selected was Vol. 48, October 1962-September 1963 which included 845 pages of brief annotations with approximately 33,000 distinct titles. No attempt was made to predetermine a sample size; it was arbitrarily set by the author at 300. Further, because of the extra time involved in the additional look-up required of Type 2 titles, the Type 2 classification was dropped. Obviously titles which would have appeared under this classification still appear as Type 1 titles.
2. Classification

<table>
<thead>
<tr>
<th>Type</th>
<th>&quot;1&quot;</th>
<th>&quot;2&quot;</th>
<th>&quot;3&quot;</th>
<th>&quot;4&quot;</th>
<th>&quot;5&quot;</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number</td>
<td>166</td>
<td>-</td>
<td>10</td>
<td>113</td>
<td>11</td>
<td>300</td>
</tr>
<tr>
<td>% of Total</td>
<td>55.3</td>
<td>-</td>
<td>3.3</td>
<td>37.7</td>
<td>3.7</td>
<td>100.0</td>
</tr>
</tbody>
</table>

3. Confidence Limits

Using Fisher and Yates, the 95% confidence limits for P are:

\[ \hat{P}_L = \frac{550}{300} = 1.83, \quad \hat{P}_U = \frac{1965}{300} = 6.55 \]

The 95% limits for Type 1 titles are:

\[ \frac{166}{300} \pm 1.96 \sqrt{\frac{(55.3)(44.7)}{300}} \approx 55.3 \pm 5.63 \]  \hspace{1cm} (9)

\[ \hat{P}_L = 49.7, \quad \hat{P}_U = 60.9 \]

G. Business Periodicals Index

1. General

The Business Periodicals Index is published monthly by H. W. Wilson Company, 950 University Avenue, New York 52, New York. This publication indexes 118 periodicals in the fields of accounting, advertising, bank and finance, insurance, general business, labor, marketing public administration and taxation. Its citations are bibliographic and the particular issue chosen, which included material from July 1962 through
June 1963, contained approximately 49,000 entries. It is not known how many distinct titles the volume includes because articles may be indexed under more than one subject heading.

As with the previous index, the author arbitrarily set sample size, in this case at 510. Also the Type 2 classification was dropped.

### 2. Classification

<table>
<thead>
<tr>
<th>Type</th>
<th>&quot;1&quot;</th>
<th>&quot;2&quot;</th>
<th>&quot;3&quot;</th>
<th>&quot;4&quot;</th>
<th>&quot;5&quot;</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number</td>
<td>229</td>
<td>-</td>
<td>38</td>
<td>164</td>
<td>79</td>
<td>510</td>
</tr>
<tr>
<td>% of Total</td>
<td>45.0</td>
<td>-</td>
<td>7.5</td>
<td>32.0</td>
<td>15.5</td>
<td>100.0</td>
</tr>
</tbody>
</table>

### 3. Confidence Limits

Now however the fraction defective is larger than 10%, therefore the normal approximation to the binomial distribution was employed. Thus the 95% confidence limits for $P$ are:

$$15.5 \pm 1.96 \sqrt{\frac{(84.5)(15.5)}{510}} = 15.5 \pm 3.15$$

$\hat{P}_L = 12.4, \quad \hat{P}_U = 18.7$

The 95% limits for Type 1 titles are:

$$\frac{229}{510} \pm 1.96 \sqrt{\frac{(45)(55)}{510}} = 45.0 \pm 4.33$$

$\hat{P}_L = 40.7, \quad \hat{P}_U = 49.3$
1. General

The *International Index* is published quarterly by H. W. Wilson Company, 950 University Avenue, New York 32, New York. It is a guide to periodical literature in the social sciences and humanities and as such was the most generic body of titles with the author examined.

The particular issue chosen was the annual cumulated index consisting of bibliographic citations of articles appearing in 173 international periodicals from April 1962 through March 1963. As with previous Wilson volumes, it is not known how many distinct titles are included because titles may be indexed under more than one subject heading.

Again due to time constraints, the author set sample size at 510 and dropped the Type 2 classification.

2. Classification

<table>
<thead>
<tr>
<th>Type</th>
<th>&quot;1&quot;</th>
<th>&quot;2&quot;</th>
<th>&quot;3&quot;</th>
<th>&quot;4&quot;</th>
<th>&quot;5&quot;</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number</td>
<td>164</td>
<td>-</td>
<td>8</td>
<td>225</td>
<td>113</td>
<td>510</td>
</tr>
<tr>
<td>% of Total</td>
<td>32.2</td>
<td>-</td>
<td>1.5</td>
<td>44.2</td>
<td>22.1</td>
<td>100.0</td>
</tr>
</tbody>
</table>

3. Confidence Limits

Using the normal approximation again, the 95% limits for \( P \) are:

\[
22.1 \pm 1.96 \sqrt{\frac{22.1(77.9)}{510}} = 22.1 \pm 3.66
\]

\( \hat{P}_1 = 18.4, \quad \hat{P}_0 = 25.8 \)
The 94% limits for Type 1 titles are:

\[
\frac{164}{310} \pm 1.96 \sqrt{\frac{(32.2)(67.8)}{310}} = 32.2 \pm 4.06 \tag{11}
\]

\[\hat{P}_l = 27.9, \quad \hat{P}_u = 36.1\]

I. Interpretation of Data

The results of the preceding six samples are compiled in Table I, page 48.

At a glance it is obvious that titles within the fields of engineering and science are very effective or KWIC-able, beyond all expectation as far as the author is concerned. There is, in fact, a 95% probability that a vast percentage, between 79.3 and 92.2 per cent (the lower confidence limit of the Engineering Index and the upper confidence limit of the Applied Science and Technology Index), of the titles within these fields are Type 1 titles.

The Applied Science and Technology Index has the largest percentage (83.5 to 92.5 per cent confidence interval) of Type 1 titles. The author feels that this is due to the fact that titles may be indexed under more than one subject heading and that this index has the largest number of subject headings per se. The author offers no factual evidence to verify the latter comment; however, the fact that this index has the largest number of Type 2 and smallest number of Type 4 titles, seems to substantiate the observation.

The preponderance of Type 1 and 2 titles might suggest that indexers in the fields of engineering and science, either intentionally or unwittingly,
<table>
<thead>
<tr>
<th>Type</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Engineering Index</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Number</td>
<td>324</td>
<td>124</td>
<td>8</td>
<td>52</td>
<td>6</td>
<td>100.0</td>
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<tr>
<td>% of Total &amp; Conf. Limits</td>
<td>79.3</td>
<td>83.1</td>
<td>86.7</td>
<td>32.8</td>
<td>2.05</td>
<td>100.0</td>
</tr>
<tr>
<td><strong>AP. SC. and Tech. Index</strong></td>
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<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Number</td>
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<td>125</td>
<td>4</td>
<td>15</td>
<td>-</td>
<td>200.0</td>
</tr>
<tr>
<td>% of Total &amp; Conf. Limits</td>
<td>83.5</td>
<td>88</td>
<td>92.5</td>
<td>67.5</td>
<td>1.0</td>
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</tr>
<tr>
<td><strong>ASH Review</strong></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number</td>
<td>103</td>
<td>67</td>
<td>6</td>
<td>17</td>
<td>-</td>
<td>100.0</td>
</tr>
<tr>
<td>% of Total &amp; Conf. Limits</td>
<td>80.0</td>
<td>86</td>
<td>92.2</td>
<td>56</td>
<td>0</td>
<td>100.0</td>
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<tr>
<td><strong>Bulletin Paid</strong></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number</td>
<td>166</td>
<td>65</td>
<td>5</td>
<td>14</td>
<td>1</td>
<td>300.0</td>
</tr>
<tr>
<td>% of Total &amp; Conf. Limits</td>
<td>49.7</td>
<td>55.3</td>
<td>60.9</td>
<td>33.3</td>
<td>2.3</td>
<td>100.0</td>
</tr>
<tr>
<td><strong>Bsns. Period. Index</strong></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number</td>
<td>229</td>
<td>38</td>
<td>164</td>
<td>-</td>
<td>75</td>
<td>510.0</td>
</tr>
<tr>
<td>% of Total &amp; Conf. Limits</td>
<td>40.7</td>
<td>45.0</td>
<td>49.3</td>
<td>7.5</td>
<td>12.4</td>
<td>100.0</td>
</tr>
<tr>
<td><strong>International Index</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number</td>
<td>164</td>
<td>6</td>
<td>225</td>
<td>113</td>
<td>-</td>
<td>510.0</td>
</tr>
<tr>
<td>% of Total &amp; Conf. Limits</td>
<td>27.9</td>
<td>32.2</td>
<td>36.1</td>
<td>1.5</td>
<td>4.2</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Table I: Compilation of Data
use titles as a basis for originating subject headings. This fact, if so, 
adds substantial support for KWIC indexing, because KWIC indexing, in con-
trast to human indexing, can be done by machines with little physical and 
infinitesimal intellectual effort being required.

That the ASM Review sample yielded no defective titles came as no 
surprise to the author. It was apparent while conducting the sample that 
this index bases its analysis on the content of the article and not merely 
on the title - something which was not apparent in the other samples. The 
author concluded that the ASM Review indexes metal literature thoroughly and 
deeply. Further, it and the Applied Science and Technology Index actually 
had more Type 2 titles than Type 1.

Comparison or contrast of the width of the confidence intervals 
for Type 1 titles in the engineering and science fields yields little 
because the sample sizes are unequal. In this instance the width of the 
intervals is not related to proportion of Type 1 titles but to sample size.

In the engineering and science area the percentage of defective titles 
was least in the ASM Review sample, increased in the Engineering Index sample 
and increased again in the Applied Science and Technology sample. The author 
feels that this order is plausible, if predictable. Assuming identical 
analysis, in this case KWIC indexing, the percentage of defective or not 
KWIC-able titles in a file of documents, even an amorphous file, is inversely 
proportional to the degree of technicality or, better stated, the technical 
character of the documents themselves.

The small number of not KWIC-able titles in the Public Affairs and 
Information Service sample came as a surprise to the author, for it imputes
a technical character to titles of documents in fields (economics and public
affairs) which are unquestionably vastly less technical "in the usual sense"
than science and engineering. "In the usual sense" deserves discussion.
Technical in the usual sense has come to delimit the use of the word tech-
nical to science and in particular engineering. This is erroneous; technical
may apply to any highly specialized field. In this sense medicine, law,
the priesthood as well as the Navy and many trades are technical. Fre-
quently such fields have languages or lingos which the non-cognoscenti
find confusing or unintelligible. Jargon-filled titles from such fields,
however, are exceedingly specific and descriptive for the profession or
trade-oriented searcher. It is in this context that titles from the Public
Affairs and Information Service Bulletin rank so high in findability. Its
source material is indeed technical in character, much of it being the
outputs of congressional committees, governmental departments and other
bureaucratic agencies which characteristically title their exudations with
balefully scientific and/or onerously long, but nonetheless descriptive,
titles.

The International Index sample indicates the woeful lack of des-
scriptive titles in the social sciences and humanities. Here authors employ
metaphor, simile, metonymy, synecdoche and other unpronounceable artifices
to be cleverly non-descriptive. For example, the title, "Saints and Sinners
in Foreign Investment", which appeared under the subject heading, "Foreign
Investment" contains metaphor, but remains descriptive and KWIC-able. Thus
some artful languages in titles is tolerable. On the other hand titles
such as "Milestone", "The Greeks Had a Name for It", and "Squeezplay" are
hopelessly non-KWIC-able in their present form. The author is not suggesting that all titles be descriptive. On the contrary, the figurative use of words in non-technical and transient literature is refreshing and desirable. Still, figurative plays in titling are the bane of machine indexing as this sample and the Business Periodicals Index sample, which was little better, readily illustrate.

In summary this study reveals that a KWIC index, based on keywords which appear in the title alone will index documents in the fields of engineering and science in the same way as would a human between 79.3 and 92.5 per cent of the time, and also that the largest proportion of not KWIC-able titles sampled was a mere 3.5 per cent. Further, KWIC indexing is suitable for any highly specialized field (the more that it is jargon-filled the better), not just engineering and science. Clearly the adequacy of titles as search tools in any highly specialized field is certain. Finally the less specialized the field (as in social science and the humanities), the less descriptive titles are and the less effective KWIC indexing is.
IV. PROS AND CONS OF KWIC INDEXING

A. General

Up to this point this protracted discourse has embraced the background of KWIC indexing, a description of it and a complete evaluation of the hypothesis— that titles are adequate search tools— upon which it is based. However, without a discussion of the pros and cons of KWIC indexing, previous effort is singularly incomplete. This chapter is aimed at such a discussion and advantages shall be enumerated first.

B. Advantages

1. Heretofore this thesis has discussed KWIC indexing as applied to titles of documents. It may, however, be carried out on various levels, depending on the purpose an index is to serve. The process may be applied to either the title, abstract or entire text of a document.

2. Words of titles are ordered in their original sequence so that the reader has little difficulty in grasping the content of the document which the words describe. In printed form the indexes can be searched rapidly by eye, so that the need for machines in the retrieval phase is largely obviated.

3. The machine will index a document many other ways, the exact number of entries depending on the number of keywords in the title. This redundancy improves the probability of finding desired references, since the number of access points for conducting a search are increased. Certainly a human would index under multiple subject headings. It is doubtful though that he would use as many entries as a computer.
4. One of the major advantages of KWIC indexing is its flexibility. If the title does not adequately describe the content of a document, descriptive words may be editorially added to improve title significance. Further, such words can be made to act as keywords under which the title will be indexed or they may function as stoplist words, which appear each time a title is indexed but which themselves do not become index entries. When the situation arises, editorial revisions may be made either to prevent unwanted terms from indexing or to index more than one part of some words. For example, the word mucopolysaccarides could be indexed under muco, poly and saccarides in order to give researchers more than one approach to the subject. Conversely the hyphen may be used to prevent the indexing of certain words contained in multiple-word expressions. For example very-high-speed instead of very high speed. The references "see" and "see also" are readily exploitable and can be inserted in proper alphabetic positioning automatically by the computer while it is preparing the KWIC index.

5. The acronym "KWIC" is well chosen because it conveys the concept of speed. It is not extravagant to say that this system produces indexes more rapidly and accurately than any other form of indexing. Because of the speed of electronic data processing equipment, elapsed time between the date of publication of a document and its appearance in an index can be reduced from many months to a few days.

6. A KWIC index system has the capacity of providing the users a double convenience in having an index in book form at their desks.

7. The establishment of categories and the assignment to such categories of index entries is a matter of judgment and experience and constitutes a considerable part of the intellectual effort involved in the
manual compilation of indexes. These and a whole host of indexing decisions inherent in any human indexing effort are eliminated by the KWIC index. Once the index is developed and in production, indexing can be done rapidly on a routine, essentially clerical, basis with the exception of adding descriptive words.

8. Printouts may have unlimited formats and may be reproduced for distribution by any convenient process, such as photo-offset.

9. Generally, a KWIC index contains three sections as previously stated; the keyword index, a bibliography of documents, and an author index. Other sections may be added if desired, however. For example, corporate entries, lists of periodicals index, etc.

10. KWIC indexing can be adopted to the literature of any scientific discipline, as well as to such areas as correspondence files, files of internally generated memorandums, legal papers, procedure manuals, etc.

11. Costs with respect to the preparation of a KWIC index are very encouraging. Kraft says that the approximate cost of producing a KWIC index containing 2000 titles on rented equipment is $580 per month. Naturally on in-house equipment the cost would drop drastically. Kraft makes the comment:

"The cost per article indexed is only 29¢. This compares most strikingly with the cost of manually indexing an article, which averages 34¢. ... Since each title will average six keywords, the cost per index entry is 5¢ (29¢/6)." (70)

C. K. Bauer, manager of the Scientific and Technical Information Department of the Lockheed Aircraft Corporation, Marietta, Georgia, claims that Lockheed's newly installed KWIC system which processes 150 new books, 1250
reports and 425 periodicals monthly and prepares monthly overdue notices, accession lists and financial reports saves the company $600 per month. Further, total run time in data processing for all outputs of the system is less than two and one-half hours per month, including taping, sorting and printing. Materials from Mr. Bauer's system are exhibited in Appendix A.

C. Disadvantages

1. The most common objection to KWIC indexing is that titles are not descriptive enough. In view of the results of this and other studies, the author does not feel that this is a legitimate objection. KWIC is feasible in highly specialized fields; its wholesale use is not suggested. On the other hand, when a title is found to be non-descriptive, or not sufficiently descriptive, it may be repaired by the scant editorial effort of adding descriptors.

2. KWIC indexing does not index deeply enough. This is less a disadvantage than a limitation. Certainly KWIC's hands are tied by the title when it comes to depth of indexing. By design a KWIC index is a shallow index, and consequently it cannot hope to compete with the likes of the ASM Review of Metal Literature. Each, the shallow and the deep index, serves a useful purpose.

3. A title will sometimes have adequate keywords but still cause confusion because it is not descriptive. For example, an article titled, "Fixed Points and Antipodal Points", which concerns topology, appeared in the American Mathematical Monthly in the 1963 issue and could just as easily have appeared in the Engineering Index or the Applied Science and Technology
Index. If this title were to appear in a KWIC index comparable to either the Engineering Index or the Applied Science and Technology Index it would cause confusion. The title, "Fixed Points and Antipodal Points", could easily be assumed by radio engineers - particularly one who was working in the currently active research area of the antipodal reception of VLF waves - to belong to an article about electromagnetic wave propagation. Another title that could be confusing is "Ray Paths of Whistling Atmospherics - Differential Geometry:, that of an article on the propagation of radio waves. An editor, lacking sufficient subject-field expertise, would undoubtedly KWIC both titles and thereby generate "noise" in the system. But the total elimination of noise can not be achieved except at great cost. The author feels that titles such as these appear infrequently. Hence, the noise they generate can easily be lived with, at least until interested cognoscenti inform the editor.

4. Another objection to KWIC indexing is that bibliographic information must be in machine readable form, that is, must be punched on IBM cards. This of course is a drawback; however, the time and manpower required for, and the cost of this operation is low. Keypunching is faster than typing. Also, since bibliographic entries are in machine readable form, they may be used for other purposes, such as the preparation of library catalog cards, accession lists, etc.

5. Two objections which involve the format of the KWIC index are that it is not very readable and that too much of the title is chopped or lost. These objections involve programming and are easily remedied. One technique which is employed by the American Bar Foundation to make its Index to Current State Legislation more readable is shown in Figure 12.
AMENDMENTS

1. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
   a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
   b. Provides for the establishment of a foreigner employment agency.
   c. Specifies the obligation of employers to register foreign workers with the agency.

2. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
   a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
   b. Provides for the establishment of a foreigner employment agency.
   c. Specifies the obligation of employers to register foreign workers with the agency.

3. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
   a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
   b. Provides for the establishment of a foreigner employment agency.
   c. Specifies the obligation of employers to register foreign workers with the agency.

4. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
   a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
   b. Provides for the establishment of a foreigner employment agency.
   c. Specifies the obligation of employers to register foreign workers with the agency.

5. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
   a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
   b. Provides for the establishment of a foreigner employment agency.
   c. Specifies the obligation of employers to register foreign workers with the agency.

6. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
   a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
   b. Provides for the establishment of a foreigner employment agency.
   c. Specifies the obligation of employers to register foreign workers with the agency.

7. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
   a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
   b. Provides for the establishment of a foreigner employment agency.
   c. Specifies the obligation of employers to register foreign workers with the agency.

8. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
   a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
   b. Provides for the establishment of a foreigner employment agency.
   c. Specifies the obligation of employers to register foreign workers with the agency.

9. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
   a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
   b. Provides for the establishment of a foreigner employment agency.
   c. Specifies the obligation of employers to register foreign workers with the agency.

10. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
    a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
    b. Provides for the establishment of a foreigner employment agency.
    c. Specifies the obligation of employers to register foreign workers with the agency.

11. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
    a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
    b. Provides for the establishment of a foreigner employment agency.
    c. Specifies the obligation of employers to register foreign workers with the agency.

12. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
    a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
    b. Provides for the establishment of a foreigner employment agency.
    c. Specifies the obligation of employers to register foreign workers with the agency.

13. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
    a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
    b. Provides for the establishment of a foreigner employment agency.
    c. Specifies the obligation of employers to register foreign workers with the agency.

14. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
    a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
    b. Provides for the establishment of a foreigner employment agency.
    c. Specifies the obligation of employers to register foreign workers with the agency.

15. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
    a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
    b. Provides for the establishment of a foreigner employment agency.
    c. Specifies the obligation of employers to register foreign workers with the agency.

16. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
    a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
    b. Provides for the establishment of a foreigner employment agency.
    c. Specifies the obligation of employers to register foreign workers with the agency.

17. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
    a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
    b. Provides for the establishment of a foreigner employment agency.
    c. Specifies the obligation of employers to register foreign workers with the agency.

18. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
    a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
    b. Provides for the establishment of a foreigner employment agency.
    c. Specifies the obligation of employers to register foreign workers with the agency.

19. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
    a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
    b. Provides for the establishment of a foreigner employment agency.
    c. Specifies the obligation of employers to register foreign workers with the agency.

20. AMENDMENTS BY DOMESTIC AND FOREIGN LAW.
    a. Amends the Act on Employment of Aliens to include provisions for the registration and control of foreign workers.
    b. Provides for the establishment of a foreigner employment agency.
    c. Specifies the obligation of employers to register foreign workers with the agency.
Observe that the left portion of each entry is shaded grey to highlight the keyword column and that each keyword appears only once for quicker recognition. Figure 13 illustrates what can be done to remedy the chopped title problem. Here 103 characters instead of the conventional 60 characters is available for the title. "An analysis of the lengths of titles in a 4500-article computer literature index of periodicals, books and proceedings showed that 30 per cent of the titles would have been chopped in order to produce a 60 character single line, but only 2 per cent of the titles were chopped by using a 103 character line." The 103 character format is the obvious solution to the chopping problem.

Thus, objections regarding format are easily rectified.
Figure 13: The 103 Character, Single Line KIVIC Index Format
V. APPLICATIONS OF KWIC INDEXING

KWIC indexes are used in such a variety of applications, that it would be difficult to enumerate all of them. Donald Kraft, information retrieval expert of the IBM Corporation has summarized several uses. Kraft says:

"KWIC indexes are used regularly by a number of companies and organizations. Perhaps the most well known is Chemical Titles, published twice a month by the American Chemical Society as a current awareness program. Each issue indexes approximately 2,800 titles of chemistry. Biological Abstracts use a KWIC index in each monthly issue. Bell Telephone Laboratories use a KWIC index to disseminate technical information to its staff. Trans-Canada Airlines indexes its procedural manuals with KWIC indexes. In January 1963 the American Bar Foundation began publication of a KWIC Index of bills enacted by the 50 state legislations. This current awareness service is published approximately every two weeks during the height of the legislative sessions. In July 1962 the American Bar Foundation published its first KWIC Index, Index to Legal Theses and Research Projects - 1960-1961. ...IBM uses KWIC indexes for its collection of marketing publications and procedure manuals as well as for indexes to current IBM research projects and computer program libraries." (74)

In a letter to the author dated April 20, 1964 Mr. Kraft mentioned additional applications of KWIC indexing. One of these called a "Responsibility Index", seemed especially novel. The index, used at IBM Headquarters, permutes the job titles of Headquarters personnel and instead of a reference code a man's name is used. "Consequently one can use this to determine who is responsible for what. ...The American Medical Association uses a KWIC index to the signs and symptoms of diseases in their publication entitled "Current Medical Terminology." Northwestern University, Department of Languages (Greek), used a KWIC index to study the writings
of Galen. In this example, the entire text of Galen was keypunched in a transliterated form and treated as if it were one title. The listing proved to be very helpful. Kansas State University produced a KWIC index called "Kansas Slavic Index", which is a transliteration of Russian sociological titles. In closing, Kraft mentioned the work of Professor Kenneth Janda of the Political Science Department at Northwestern University. Professor Janda, to the surprise of this author, has KWIC indexed 236 recent political science doctoral dissertations. The author assumes that these titles were edited but from Professor Janda's index it is impossible to discern either the presence or amount of editing. Perhaps Professor Janda's political science index suggests an ever broadening scope of activity for KWIC indexing.
VI. CONCLUSIONS

The flood of research papers, scientific articles, government reports and documents of every description, which began with World War II and continues unabated today, compounded by a multiplicative analysis factor (the number of analytics, extracts, index entries, etc. per document) has generated an alarming information morass. The morass per se is harmless: fire consumes paper. The harm is in the result of the morass - the difficulty in processing and retrieving useful information. The severity of the information problem has sent librarians, documentalists and information scientists in quest of means to expedite the handling of literature. Dr. Dwight Gray of the National Science Foundation, who equates information retrieval with experiment, recently wrote "...the processing and dissemination of the results of research - that is of scientific information - is as integral a part of the total research sequence as experimentation is."

He then concluded, "the prerequisite to a solution to this problem is realistic recognition of information dissemination as a blood brother of experimentation..."

Science, at the appeal of the information handlers and given impetus by interested constituents and government funding, is applying mechanical innovations - notably today's newest breeds of lightning fast computers - to all aspects of the information handling problem. Clearly there are vast horizons for mechanization in information handling, for in any information storage and retrieval system there are only two tasks which are exclusively assignable to man - the choice of documents to go into the system and the final evaluation of the usefulness of answers by the user of the information.
In between these two points is a series of unit operations - all of which may be performed by human beings and some of which may be performed wholly or in part by various machines.

Within the analysis unit operation, science has applied machines to abstracting, extracting, classifying and with distinct success to indexing. And of the various forms of machine indexing none has been as successful and widely adopted as keyword-in-context indexing (KWIC), the subject of this thesis.

After traversing the deductive path to machine indexing and journeying along the path stopping in succession at a description of KWIC indexing, a study of the adequacy of titles as search tools, pros and cons, and most recently at applications of KWIC indexing, the reader might conclude that the author regards KWIC indexing as a panacea. Not so! KWIC indexing does not impinge on nor will it replace other modes of indexing, with the possible exception of the shallow alphabetic subject index. A cure-all it is not: but a new and efficacious weapon to attack the information problem it is!

The author feels that the following principal conclusions may be elicited from the preceding discourse of KWIC indexing:

(A) Titles are adequate search tools, particularly in highly specialized fields.

(B) KWIC indexing, despite the repairability of non-descriptive titles, is best suited for highly specialized fields.

(C) The KWIC index is useful for either dissemination or retrieval.
(D) "KWIC" offers many advantages, such as speed, ease of preparation, flexibility and cost, but few disadvantages.

(E) Any specialized library or information center, given sufficient funds, or direct access to the machines necessary for preparing a KWIC index, or both, should give serious consideration to initiating this mode of indexing.

And finally, a comment regarding the study of the adequacy of titles as search tools is appropriate. As stated earlier, several similar studies to test titles have been conducted in the past. However, their results are not readily comparable and suggest limited inferences. This is because these studies covered very specialized fields, i.e., medicine, law, etc. and were performed by different individuals using different procedures and criteria. The study in this thesis spanned science, engineering, economics, business, social science, public affairs and the humanities. It was performed exclusively by the author, thus eliminating inter operator error and, in the author's estimation, lending additional support to its results.
VII. FUTURE

In the future, new applications of KWIC indexing will appear with great frequency now that the advantages of this system have been demonstrated. If the information to be indexed can be described in roman letters, it can be handled by a computer by using a keyword-in-context program. As KWIC indexes become available in more and more areas of knowledge, it is possible that authors will bear in mind to an even greater extent the later retrievability of their papers when writing the title. At Bell Telephone Laboratories, to encourage further improvement in titling, its Technical Information Libraries recently prepared and distributed to more than 5000 of the Laboratories' scientific and engineering personnel a concise guide on choosing titles for their papers.

W. W. Youden, data processing expert of the National Bureau of Standards, sees a bright future for computer-produced indexes. The author includes Mr. Youden's comment because it provides the desired prophetic note on which to end this thesis. Here is what Mr. Youden has to say on the subject:

"The use of computers in the production of indexes will increase. By feeding the output of the computer into a photo composition machine there will be an improvement in both the quality of the printing and the size of the character set. Today, the entire cost of a computer run to produce one copy of an index should be less than the cost of keystroking the input. The facility with which indexes may be updated and the ease of selecting items for special bibliographies will result in the majority of indexes being computer produced before many years. As more and more keyword indexes are published the author's choice of title words will improve, which will lead to more and better keyword indexes. Because of the intellectual labor involved
it is unlikely that even with computers the amount of subject-indexing will increase greatly.

...The day can not be too far off when printed indexes to scientific and technical libraries will be available to the individual researcher at his desk at a reasonable cost." (77)
APPENDIX A

Lockheed Aircraft Corporation Materials
APPENDIX A

This appendix offers four examples of computer-produced outputs from the newly installed mechanized information service system at the Lockheed Aircraft Corporation, Marietta, Georgia. The outputs are:

(a) an accession list announcing all information material received, prepared on Multilith stencils for large reproduction (see Figure 12); (b) a cumulative index of report numbers in lieu of a conventional card file, with a carbon copy for each information center within company (see Figure 13); (c) a mechanically prepared subject index (for each information center through carbon copy print-out process) in lieu of conventional card file, using a "Keyword-In-Context" title system (see Figure 14); and (d) a cumulative personal author index for books and reports in lieu of a conventional card file with a carbon copy for each information center (see Figure 15).
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### MATHEMATICS

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QUARTERLY KWIC INDEX

KEY WORD

ACADEMY
ACCELERATION
ACCELERATING
ACCELERATION
ACCELERATION
ACCELERATION
ACCELERATIONS
ACCELERATOR
ACCELERATORS
ACCEPTANCE-CRITERIA
ACCEPTANCE-PROBABILITY
ACCESS-DOOR
ACCESSION-LIST
ACCIDENTS
ACCOMMODATIONS
ACCOUNTING
ACCURATELY
ACETONITRILE

REPORTS OF THE ACADEMY OF SCIENCES OF USSR PHYSICAL CHEMISTRY (SELECTED ARTICLES)
1963 SUMMER STUDY REPORT PART ONE SUMMER 1963 • ACCELERATORS NUCLEAR-PHYSICS
PHOTOELECTRIC EARPIECE RECORDINGS • OTHER PHYSIOLOGIC VARIABLES AS OBJECTIVE METHODS OF MEASURING THE INCREASE IN TOLERANCE TO HEADWARD ACCELERATION
THE ACCELERATING EFFECT OF ADDITIVES ON RADIATION-INDUCED GRAFT POLYMERIZATION • SOLVENT-ACTION VESTIBULAR SUPPRESSION • ACCELERATION DECREASES IN ARTERIAL OXYGEN SATURATION AS AN INDICATOR OF THE STRESS IMPOSED ON THE CARDIORESPIRATORY SYSTEM BY FORWARD ACCELERATION WEIGHTLESSNESS AND ACCELERATION
SOVIET STUDIES ON REACTIONS TO ACCELERATION
HUMAN TRACKING PERFORMANCE UNDER TRANSVERSE ACCELERATIONS
THE VERTICAL LONGITUDINAL + LATERAL ACCELERATIONS EXPERIENCED BY AN S. E. 5A AIRPLANE WHILE MANEUVERING • AERODYNAMIC CONFIGURATIONS
TWO-MILE ACCELERATOR PROJECT QUARTERLY STATUS REPORT 1 JULY TO 30 SEPTEMBER 1963
BOEING RADIATION EFFECTS LABORATORY • RESEARCH LINEAR ACCELERATORS
C-141A SONIC FATIGUE-TEST OF BRAZED HONEYCOMB SANDWICH-PANELS FOR ACCEPTANCE-CRITERIA C-141A TAILPIPE ( AIRCRAFT ) (RELIABILITY)
SINGLE SAMPLING INSPECTIONS-PLANS WITH SPECIFIED ACCEPTANCE-PROBABILITY + MINIMUM-COSTS • PROBABILIT Y
C-141A FATIGUE TEST OF A LOWER SURFACE ACCESS-DOOR OR CENTER-WING PANEL ( BL 19.25L )
RADIATION-EFFECTS INFORMATION CENTER MONTHLY
ACCESSION-LIST ABSTRACT NO 21127 TO 21177 • BIOLOGY BATTLE
ARGONNE-NATIONAL LABORATORY RADIOLoGICAL-ASSISTANCE TEAM • ACCIDENTS SAFETY A SUMMARY OF INDUSTRIAL-ACCIDENTS IN USAEC FACILITIES 1961-1962 ACCIDENTS SAFETY
CONTINUED USE OF UNECONOMICAL FIRST-CLASS AIR-TRAVEL ACCOMMODATIONS BY EMPLOYEES OF DEFENSE CONTRACTORS
THE ACCOMPLISHMENTS OF AIRPOWER IN THE MADAYAN-EMERGENCY (1918-1960) • GUERRILLA-WARFARE WARFARE
HANDBOOK OF SAMPLING FOR AUDITING + ACCOUNTING SCIENTIFIC EXPERIMENTS UP TO 25 FEET FROM LARGE SPACECRAFT
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23. Ibid.


29. Jahoda, G., "Indexing with Edge-Notched and Internally Punched Cards."
In "Information Retrieval Today" papers presented at the institute conducted by the Library School and the Center for Continuation Study, University of Minnesota, pp. 37-39, September 1962.


34. Ibid.


37. Ibid.


41. Luhn, H.P. "Keyword-In-Context Index for Technical Literature (KWIC Index)." IBM Advanced System Division, Yorktown Heights, New York. pp. 4-6, August 1959.


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51. Ibid.
52. Ibid.


68. Ibid.


