

The Harvard System of Referencing

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Introduction

Referencing is the practice of letting the reader of your written work know where you obtained an idea or information. There is an assumption that when students are writing in the academic context they are often using other people's ideas, and information collected by other people. These ideas and information are most often discovered through written materials such as books, journal articles, reports, newspapers, but also through interviews and the internet.

Referencing enables you to identify whose ideas and arguments you are using. There are three specific reasons for using referencing:

(a) *To let the reader know whose ideas you are using.* Ideas are a kind of property of those who develop them. To not acknowledge from where you received an idea is a form of stealing, i.e. plagiarism.

(b) *To enable your reader to check your information.* You may come up with a different interpretation of some information presented by an author. Your reader might want to go back to that author's original work for her/himself and check if your new interpretation works. Your reader will be able to find that original work if you have referenced it accurately.

(c) *To provide information for your reader.* Your research into a topic might produce an interesting book or journal article that may be new to your reader. If you reference accurately, your reader will be able to find that book or article.

You might ask "Don't the lecturers want my own opinions?" The academic system is designed to encourage you to develop skills in researching the relevant information on any given topic; comparing the ideas and arguments of different writers on any topics; and being able to make your own judgements about which ideas and arguments are valid and most useful.

References need to be cited in two different places: (1) at the point at which a document is referred to in the text of the work, (2) in a list at the end of the work.

Many of the following notes are based on British Standards BS1629:1976 and BS5605:1990. Please let me know (bruce.malamud@kcl.ac.uk) if you find mistakes or have any comments.

CONTENTS OF THIS DOCUMENT

1. CITATION IN THE TEXT
 - 1.1 Author's name occurs naturally in the sentence
 - 1.2 Author's name does not occur naturally in the sentence
 - 1.3 Author has published more than one cited document in the same year
 - 1.4 Two authors
 - 1.5 More than two authors
 - 1.6 Two authors with the same surname.
 - 1.7 More than one citation
 - 1.8 Source quoted in another work
 - 1.9 Work without a clear author
 - 1.10 Quotations
 - 1.11 Personal communications
2. ELEMENTS TO INCLUDE IN THE LIST OF REFERENCES AT THE END OF A WORK
3. SPECIFIC REFERENCE TYPES
 - 3.1 Reference to a book
 - 3.2 Reference to a contribution in a book
 - 3.3 Reference to an article in a journal
 - 3.4 Reference to a conference paper
 - 3.5 Reference to a publication from a corporate body (*e.g.* a government department or other organization)
 - 3.6 Reference to a thesis
 - 3.7 Reference to newspaper articles.
 - 3.8 Reference to an anonymous work.
4. INTERNET AND OTHER ELECTRONIC SOURCES
 - 4.1 The basic form for electronic material
 - 4.2 Journal article in electronic format, examples
 - 4.3 WWW sites, examples
 - 4.4 CD-ROM, examples
5. THE FINAL LIST OF REFERENCES

1. CITATION IN THE TEXT

The Harvard System (Author-date method)

All statements, opinions, conclusions etc. taken from another writer's work should be acknowledged, whether the work is directly quoted, paraphrased or summarised. In the Harvard System cited publications are referred to in the text by giving the author's surname and the year of publication in one of the forms shown below:

1.1 If the **author's name occurs naturally in the sentence** the year is given in parentheses:

e.g. In a recent study Harvey (1993) argued that ...

1.2 If, however, the **author's name does not occur naturally in the sentence**, both name and year are given in parentheses:

e.g. A recent study (Harvey 1993) shows that ...

1.3 When an **author has published more than one cited document** in the same year, these are distinguished by adding lower case letters (a,b,c, etc.) after the year and within the parentheses:

e.g. Johnson (1989a) discussed the subject ...

e.g. A recent study (Johnson 1989a) discusses the subject...

1.4 If there are **two authors**, the surnames of both should be given:

e.g. Matthews and Jones (1992) have proposed that...

e.g. A recent study (Matthews and Jones 1992) proposes that...

1.5 If there are **more than two authors** the surname of the first author only should be given, followed by *et al.* in italics ("*et al.*" has a point after it as it is an abbreviation):

e.g. Wilson *et al.* (1993) conclude that...

e.g. A recent study (Wilson *et al.* 1993) concludes that

In the reference list at the end of your text you will include ALL of the authors' names (see Section 3.3), not just the first author. Only if there are above a certain number of authors (this number varies, but let us say nine or more) do you use the first author's surname and "*et al.*" in the reference list.

1.6 In the main text, **initial letters** of the author are only used when two or more authors have the same surname and have published in the same year, in which case initials should identify them in order to avoid confusion.

e.g. A. Smith (1980) and J. Smith (1980) both found that...

e.g. Two studies (Smith, A. 1980; Smith, J. 1980) found that...

1.7 If **more than one citation** is referred to in a sentence, list them by date and then alphabetically:

e.g. Two studies (Matthews and Jones 1992; Wilson *et al.* 1993) have shown...

1.8 If you refer to a **source quoted in another work** you cite both in the text, listing the work you have used (in the following example, Jones 1994) in the list of references at the end of your essay:

e.g. A 1960 study by Smith (cited by Jones 1994) showed that...

1.9 If you refer to a **work without a clear author** you cite the principal group or organization responsible for the document in place of the author's name. In rare cases, there is no principal group responsible for the work, in which case refer to the work's title (see Section 3.8 below).

e.g. The Sydney Morning Herald (1977) reported 100 dead during the Sydney flood of 1977.

e.g. The UNESCO (1985) study concluded that...

e.g. The origin of this word (The Concise Macquarie Dictionary 1982) is...

1.10 Quotations:

When the exact words of a writer are quoted they must be reproduced exactly in all respects: wording, spelling, punctuation, capitalisation, paragraphing. Quotations should be carefully selected and sparingly used, as too many quotations can lead to a poorly integrated argument.

Use of a direct quotation is justified when: (a) changes, through paraphrasing, may cause misinterpretation; (b) the original words are so concisely and convincingly expressed, that they cannot be improved upon; (c) a major argument needs to be documented as evidence; (d) you wish to comment upon, refute or analyse the ideas expressed.

A short quotation (less than about 40 words) may be included in the body of the text in quotation marks, but if it is longer start a new line and indent it. For both, as these are direct quotes, include the page number. Long direct quotes should in general be avoided. If part of the quotation is omitted then this can be indicated using three dots "...".

e.g. ... so "good practices must be taught" (Smith 1996, p.15) and we should...

e.g. McFee (1971, p. 245) noted that "many of the facts in this case are incorrect".

e.g. According to one author, "Stakeholding...is part of a general cultural backlash that is taking place in British politics against the individualism of the 80s" (Gamble 1996, p. 2).

e.g.

Computer simulations suggest that our global climate may indeed have at least three principal strange attractors. One strange attractor corresponds to the typical conditions we have grown to expect in our short human history: moderate temperatures and moderate cloud cover and rainfall. The other two strange attractors are drastically different. (Zebrowski 1997, p. 282).

1.11 If you refer to a **personal communication**, for instance information that is privately obtained by interview, letter, e-mail, etc., then the personal communications is listed in the text but not in the list of references at the end of the text.

e.g. In a telephone conversation on 12 May 1991, Mr D. McCarthy pointed out that ...

e.g. In an e-mail communication on 21 October 1996, Dr Karl Kruszelnicki explained ...

e.g. Mr D. McCarthy's letter claimed that ... (McCarthy 1991, pers. comm., 12 May)

2. ELEMENTS TO INCLUDE IN THE LIST OF REFERENCES AT THE END OF A WORK

Bibliographical references describing the documents cited are given in a list at the end of the text.

2.1 In the Harvard System, the references are listed in alphabetical order of authors' names. If you have cited more than one item by a specific author they should be listed chronologically (earliest first), and letter (1993a, 1993b) if more than one item has been published during a specific year.

2.2 Whenever possible, elements of a bibliographical reference should be taken from the *title page* of the publication rather than from the front cover.

2.3 Each reference should use the elements and punctuation given below.

3. SPECIFIC REFERENCE TYPES

There is leeway within the Harvard System of referencing as to how to do full stops, parentheses, commas, italics, etc. Whatever you decide, BE CONSISTENT! Following is one standard that I suggest you use. Other standards exist and other faculty members (and different journals and publishing companies) may have specific rules that are different. **In the following, note carefully the use of punctuation.** For each case, the general format is given, followed by an example.

3.1 Reference to a book

Surname of author, initials. [If two initials are available, use both. Put a full stop after each initial.] (Year of publication) *Title in italics*. Edition (if not the first) followed by “ed.” Place of publication: Publisher.

White, R. (1988) *Advertising: What it is and how to do it*. 2nd ed. London: McGraw Hill.

3.2 Reference to a contribution in a book

Contributing author’s surname, initials. (Year of publication) Title of contribution. The word “In:” [in italics]: Editor(s) of publication (initials and then surname) followed by “ed.” or “eds.” *Title of book in italics*. Edition (if not the first) or volume number if part of a series. Place of publication: Publisher, Year of publication, Page number(s) of contribution.

Wright, P. (1986) Reactions to an Ads contents versus judgements of Ads impact. *In: J. Olsen and K. Sentis, eds. Advertising and Consumer Psychology*. Vol. 3. New York: Praeger, 1986, 108–117.

3.3 Reference to an article in a journal

Author’s surname, initials. (Year of publication) Title of article. *Title of journal in italics*, Volume number and issue number (with the latter in parentheses), Page numbers of contribution.

Greco, A. J. and Swayne, L. D. (1992) Sales response of elderly customers to point-of-purchase advertising. *Journal of Advertising Research*, 32(5), 43–63.

Wilson, T. C., Dougherty, B. S., Smith, A. B. and Lami, X. A. (1993) Finding the fractal dimension of chocolate. *Journal of Food Sciences*, 15(2), 35–71.

3.4 Reference to a conference paper

Surname of contributing author(s), initials. (Year of publication) Title of contribution. The word “In:” which should be [in italics]: Editor of conference proceedings (initials followed by surname) followed by “ed.” or “eds.” If there is no editor, do not put one down. *Title of conference proceedings (in italics) including date and place of conference*. Place of publication: Publisher, Page numbers of contribution.

Silver, K. (1989) Electronic mail: The new way to communicate. *In: D. I. Raitt, ed. 9th International Online Information Meeting, London 3–5 December 1988*. Oxford: Learned Information, 323–330.

3.5 Reference to a publication from a corporate body (e.g. a government department or other organization).

Name of issuing body (Year of publication) *Title of publication (in italics)*. Place of publication: Publisher, Report Number (where relevant).

Independent Television Commission (1991) *The ITC Code of Advertising Standards and Practice*. London: ITC.

UNESCO (1993) *General Information Programme and UNISIST*. Paris: UNESCO, PGI-93/WS/22.

3.6 Reference to a thesis or dissertation

Author’s surname, initials. (Year of publication) *Title of thesis or dissertation (in italics)*. Designation (and type). Name of institution to which submitted.

Agutter, A. J. (1995) *The Linguistic Significance of Current British Slang*. Thesis (PhD). Edinburgh University.

3.7 Reference to newspaper articles.

(a) Author listed: Author’s surname, initials. (Year of publication) Title of article. *Title of newspaper in italics*, date of publication, Page number(s) of article.

Atherton, G (1977) Whitlam offers citizenship in two years. *The Australian*, 7 November, p.2.

(b) No author listed: *Title of newspaper in italics*. (Year of publication) Title of article. Date of publication, Page number(s) of article.

Sydney Morning Herald (1977) Computer industry blamed. 7 July, p.3.

3.8 Reference to an anonymous work.

A work is considered anonymous if the author or sponsoring organization (see 3.5 and 3.7 above) is unknown. Some people use the word “anonymous” or “anon”, whereas others list the reference by title. I would recommend the latter:

Title (in italics) (Year of publication) Place of publication: Publisher.

The Concise Macquarie Dictionary (1982) Lane Cove, New South Wales: Doubleday.

4. INTERNET AND OTHER ELECTRONIC SOURCES

No standard method for citing electronic sources of information has yet been agreed upon. Electronic sources include full-text CD ROM products, electronic journals, and other sources from the Internet. The recommendations here are intended as guidance as this is still a grey area. It is not always easy to find the author or group that wrote information, and it is sometimes hard to distinguish between authors and publishers of the information. Often the material exists, but it may take some digging around the web pages that you have accessed. The principle is to provide as much information as possible to enable the reader to locate the material. Be consistent in what you do.

Citing electronic material in the text is done in the same way as for printed matter (see section 1, this document). *Avoid using the actual URL (http://...) in the text.* URLs can be very cumbersome, and are normally not needed. Some examples of citing material in the text:

- e.g.* There is a lot of data available on the King’s College London (1999) web pages.
- e.g.* Tsunamis can go up to speeds of 1 km/s (CNN 2000).
- e.g.* Data from the National Geophysical Data Center (2000) are used in Figure 4.

If you access a journal article using KCL’s on-line journals, you do not need to treat it as an electronic source if the journal normally is published in printed form. Cite it as you would the printed journal article (see Section 3.3).

4.1 The basic form for electronic material

The basic form of citation for electronic material follows the principles for print sources:

Author/editor/creator (often this is a group). (Publication Year) Title of article or specific web page. *Title of medium (for instance the name of the journal, or the specific database accessed) in italic.* Type of medium, eg. [Online] or [CD-ROM] Volume number (and issue) if these are applicable. Location within host (for instance page numbers) if applicable, Available from: <http://...> [Accessed date in square brackets] This last is important as information from electronic sources can change.

It is not always necessary to list the WHOLE address of the web address. Use your best judgment of what will be useful to someone trying to find your source of information. Sometimes the addresses are very long, and the additional information (particularly when the result of a search within a given website) are not very useful.

4.2 Journal article in electronic format, examples

Alexander, D. (1998) Do natural disasters lead to the deliberate ending of human life? *Natural Hazards Observer* [Online] 22(5) Available from: <http://www.colorado.edu/hazards/o/98o.htm> [Accessed 19 October 2000].

Parkin, D. M. (1999) Breast cancer in Europe: epidemiology and forecasts. *Electronic Journal of Oncology* [Online] 2, pp 45–64. Available from: <http://ejo.univ-lyon1.fr/> [Accessed 22 August 1999].

4.3 WWW sites, examples

Brians, P. (2001) *Common English Errors*. [Online]. Available from: <http://www.wsu.edu/~brians/errors/> [Accessed 12 January 2001].

- National Climatic Data Center (2000) *Global Historical Climatology Network (GHCN)*. [Online]. Version 1.0. Available from: <http://www.ncdc.noaa.gov/cgi-bin/res40.pl> [Accessed 15 October 2000].
- National Organization for Rare Disorders (2000) [Online]. Available from: <http://www.rarediseases.org/> [Accessed 18 October 2000].
- Strunk, W. and White, E. (1999) *The Elements of Style*. [Online]. Available from: <http://www.bartleby.com/141/index.html> [Accessed 20 January 2001].

4.4 CD-ROM, examples

Author/editor. (Year) *Title* [CD-ROM]. (Edition). Version number. Place of publication: Publisher (if ascertainable). [Access date in square brackets] This last is important if the CD-ROM was not published with a specific year, but is a database that is continually updated over time.

- Clinical Pharmacology: An Electronic Drug Reference and Teaching guide* (1998) [CD-ROM] Gainesville, FL, USA: Gold Standard Multimedia [Accessed 7 August 1998].
- Perkin, G. D., Hochberg F. H. and Miller D.C. (1996) *Atlas of Clinical Neurology* [CD-ROM]. 2nd ed. Version 1.1. London: Mosby.

The first example above come out quarterly therefore needs an accessed date. Also note that the first example does not have a clear author/editor/group, so it is treated as an “anonymous” work, and the citation begins with the title. An access date is not needed in the second example above, because this CD-ROM was published with a version number and a year.

5. THE FINAL LIST OF REFERENCES

Your final reference list is alphabetically by author(s), then by year. An easy way in Microsoft Word to sort alphabetically is to select all of the references in your final list, and then go to “Table”, then “Sort.” You may have to do some other minor adjustments once you have done this.

Each reference entry should have an indent for all but the first line. This is called a hanging indent and can be formatted easily in most word processing software packages. For instance, in Microsoft Word, one can format a hanging indent via the ruler. An alternative method in Microsoft Word is to select the text in question, go to “format”, then “paragraph”, then select “special”, and put in a hanging indent (e.g. 1 cm).

Separate each reference entry with a hard return at the end of the entry itself, but do not put an extra line in between individual entries.

An example is as follows (note the word “References” at the top of the list).

References

- Alexander, D. (1998) Do natural disasters lead to the deliberate ending of human life? *Natural Hazards Observer* [Online] 22(5) Available from: <http://www.colorado.edu/hazards/o/98o.htm> [Accessed 19 October 2000].
- Department of Health (1998) *Our Healthier Nation: A Contract for Health*. Cm 3854. London: Stationery Office.
- Greco, A. J. and Swayne, L. D. (1992) Sales response of elderly customers to point-of-purchase advertising. *Journal of Advertising Research*, 32 (5), 43–63.
- Independent Television Commission (1991) *The ITC code of Advertising Standards and Practice*. London: ITC.
- Silver, K. (1989) Electronic mail: the new way to communicate. In: D. I. Raitt, ed. *9th International Online Information Meeting, London 3–5 December 1988*. Oxford: Learned Information, 323–330.
- White, R. (1988) *Advertising: What it is and how to do it*. 2nd ed. London: McGraw Hill.
- Wilson, T. C., Dougherty, B. S., Smith, A. B. and Lami, X. A. (1993) Finding the fractal dimension of chocolate. *Journal of Food Sciences*, 15(2), 35–71.
- Wright, P. (1986) Reactions to an Ads contents versus judgements of Ads impact. In: J. Olsen and K. Sentis, eds. *Advertising and Consumer Psychology*. Vol. 3. New York: Praeger, 1986, 108–117.