REFERENCING USING THE HARVARD AUTHOR-DATE SYSTEM

Developed using the Commonwealth of Australia Style manual for authors, editors and printers of 2002

PART A: REFERENCING AND ITS IMPORTANCE

Referencing, or citing, means acknowledging the sources of information and ideas you have used in an assignment (e.g. essay or report). This is a standard practice at university. It means that whenever you write an assignment that requires you to find and use information from other sources, you are expected to reference these resources in your writing. Sources could include books, journal or newspaper articles, items from the internet, pictures or diagrams.

Why reference?

In academic assignments you are required to read widely so that you can identify the current thinking about a particular topic. You can then use the ideas expressed by other people to reinforce the arguments you present in your assignment. The referencing in your assignment shows two things:

- the range of ideas and approaches to a topic that you have found and thought about
- your acknowledgement of where these ideas came from

By using references appropriately, you will show the breadth and quality of your research and avoid plagiarism.

Plagiarism is presenting someone else’s ideas and/or the way they express their ideas as if they are your own. So, when you present a sentence in an assignment without a reference, or words without inverted commas (‘…….’) it means that you are, in effect, saying to your reader that those ideas, information or words are your own original ideas or words. If they are not, then you may have plagiarised. Most plagiarism is unintentional and appropriate referencing helps writers to avoid unintentional plagiarism.

The ‘rules’ of referencing?

There are three main rules of referencing.

1. A reference must be included every time you use someone else’s ideas or information.
2. A reference must be included when you:
   - paraphrase (express someone else’s idea in your own words)
   - summarise (express someone else’s idea in a reduced form in your own words)
   - quote (express someone else’s idea in their exact words)
   - copy (reproduce a diagram, graph or table from someone else’s work).
3. Each reference must appear in two places:
   - shown as a shortened reference in the text of your assignment each time it is used (the in-text reference)
   AND
   - listed in full once in the reference list at the end of the assignment. This listing has full details so that your reader can find the reference.

The two most common types of referencing systems used are:

- **author-date** systems—such as the Harvard system, APA and MLA
- **numerical** systems—such as Chicago or Turabian, Vancouver and Footnote

**Which referencing system to use**

Follow the system that is specified for your course. Look in your course handout materials or if still unsure, check with your lecturer for the system that is required. The following systems are required in the following Schools:

- School of Commerce  Harvard author-date referencing system
- School of Management  Harvard author-date referencing system
- School of Marketing  Harvard author-date referencing system
- International Graduate School of Business  Harvard author-date referencing system
- School of Psychology  American Psychological Association (APA) author-date referencing system

Resources for a number of different systems are available through the Learning Connection website. They are available at:

PART B: THE HARVARD REFERENCING SYSTEM

In every referencing system each reference must be:

- shown each time you use it **in the text** of your assignment (the in-text reference)

AND

- listed once **in the reference list** at the end of the assignment

**The In-text reference**

When you cite (identify) references in the text of your assignment include:

- the **author’s or editor’s family name** (or organisation responsible). Do not include given names or initials

- the **year of publication**

- **page numbers** if appropriate and where available

In many cases, you just need to use the family name plus date. For example:

Many factors are known to affect the successful outcomes for students at university (Johnston 2003).

OR

Johnston (2003) claims that there are many factors that are known to affect the success of students at university.

In the examples above, the sentence summarises the main view expressed in an article written by Johnston and does not come from one page only. Also note that the first example highlights the information but the second one highlights the author of that information.

There are cases where you also need to include a **page number** in the brackets. For example:

McLaine (2002, p. 16) stated that productivity among 69 percent of workers was found to be affected by work related stress.

You need to include the page number when you:

- use a direct quote from an original source

- summarise an idea from a particular page

- copy tables or figures, or provide particular details like a date

When there are **two or three authors** for a reference, you include all their family names in your in-text reference. For example:

According to Cooper, Krever and Vann (2002) the use of this process leads to greater accuracy.

but if there are **more than three authors** for a reference you use ‘**et al.**’ (which is Latin for ‘and the others’) after the first family name listed on the reference. For example:

This has been suggested by Sandler et al. (2002) in their first Australian study.

‘Et al.’ is used for the first and every time you give an in-text reference for more than three authors. However, **all the authors**, no matter how many there are, are listed in the Reference List in the same order that they are listed in the original reference.
The Reference list

The Reference list in the Harvard Author-Date system:

- is titled ‘References’
- is arranged alphabetically by author’s family name
- is a single list—books, journal articles and electronic sources are listed together and not arranged in separate lists
- includes the full details of your in-text references (author, date, title, publishing details)
- is not a bibliography—you do not need to produce a bibliography for your assignments unless specifically asked to do so by your lecturer. A bibliography lists everything you may have read, while a reference list is limited to the in-text references in your assignment

Setting out the items in a Reference list using the Harvard system

The main elements required for a reference are set out in this order:

   author, date, title, publication information.

The title is placed in italics and the elements are separated by commas.

Example of a book

The main elements required for a book are set out in this order:

   author, date, title, publisher, place of publication.


Example of an academic journal article

The main elements required for a journal article are set out in this order:

   author, date, ‘title of article’, title of journal, volume number, issue number, pages of article

Example of an electronic publication

Author’s family name followed by a comma and the initial(s)

Year of publication followed by a comma — no brackets

Title of the article in italics, followed by a comma


The internet address (URL) is enclosed in < and >, with the full address and followed by a full stop if at the end of the item

Date accessed from www—comma after year

Using bibliographic/citation management software with the Harvard system

There are a number of different versions of the Harvard author-date system. The main differences between these versions are in formatting, punctuation and capitalisation. Some students like to use citation management software such as RefWorks and EndNote which enable them to establish their own database of references; store references on this database; transfer references from the database to their own documents (e.g. assignments); and choose the referencing system in which the references will be formatted. (For further information about this software explore the ‘Managing References’ link on the Library’s homepage)

Both RefWorks and EndNote allow the user to transfer references in the Harvard author-date system, but the versions of the Harvard system in both software packages are different from the version outlined in the University of South Australia’s materials. Because of this, it is recommended that students using citation software to compile their reference lists, add a note to their assignments to show this. For example, a note such as the following could be added below the heading ‘References’:

This Reference list has been compiled using the RefWorks (or EndNote as applicable) version of the Harvard author-date system
Some Frequent questions

1. Referencing an idea or information by one author (Author 1) which occurs in a book or journal article by another author (Author 2).
The rule is that you must mention both authors (Author 1 and Author 2) in your in-text reference; but in your reference list you only list the item you read, that is, by Author 2. For example, if you read about an idea by Lim (Author 1) in a book by Strauss (Author 2) you need to mention both in your in-text reference. So the in-text reference would be written as:

Lim (Strauss 2004, p. 71) stated that … OR
Lim’s study (cited in Strauss 2004, p. 71) indicates that … OR
Lim’s 1972 study (Strauss 2004, p. 71) shows that … OR
Strauss (2004, p. 71) in reporting Lim’s study, emphasized the aspect … OR

But, in the reference list you list only Strauss (Author 2 - the source you read) and not Lim (whose idea you only read about in Strauss).

2. Referencing two different authors who have the same family name
You distinguish between the two authors in your assignment by adding their initials to the in-text reference (which usually only has the family name and date). For example:
The theory was first suggested in 1970 (Johnson, HJ 1971) but since then many researchers, including DE Johnson (2001), have rejected the idea.

3. Referencing the work of an author has written more than one work in the same year
You put a lower case letter of the alphabet next to the year date and keep these letters in your reference list as well. For example you might write:

In a recent publication Pedder (2001b) argued that this process was only applicable in a few circumstances and that for small business alternative processes were more suitable (Pedder 2001a).
The order in which you attach the letters is determined by the alphabetical order of the title of the works by the author.

4. Referencing information from my lectures or tutorials or study guide
You do not cite your lectures, tutorials or study guide as sources unless your lecturer has particularly said this is acceptable. This is because lectures, tutorials and study guides are intended to give you an introduction to a topic. In assignments where you undertake research you are expected to read widely and identify for yourself the main ideas that are relevant from various sources.

5. Referencing sources without an author or a date
A basic principle of Harvard referencing is providing the author and date. Where there is no author given, look for a sponsoring body like an organisation or government department responsible for the information. Where there is no sponsoring body, use the title of the book, article or document on the screen as the ‘author’.
Where there is no date, use n.d. (no date). If a resource has no author and no date you need to consider whether it is a suitable source for academic work.

6. Referencing graphs or diagrams that are copied
A basic principle of Harvard referencing is providing the author and date as an in-text reference. This also applies when you use other people’s pictures or graphs or figures. You also need to make clear if you have been adapted the picture or graph for your own purposes.

An example of referencing a graph:

Modes of support (Hussin 2004, p. 3)

7. Referencing an article from a Book of Readings from a course
Generally the readings are referenced using the bibliographic material on the front page of each reading. This means that you reference each reading back to the book or journal in which they were originally published.

8. Presenting exact quotations
Short quotations are fewer than 30 words. They should be written in single quotation marks (‘….’) and as part of your own sentence. They are accompanied by an in-text reference including a page number. For example:

A recent report showed that ‘the levels in the soil were at critical levels’ (Ang 2005, p.6).

Long quotations are more than 30 words. They should be written without any quotation marks, indented (using Tab key) at the left, and introduced in your own words. A smaller type size can be used. They are followed by an in-text reference including a page number. For example:

Australians have developed:

an emerging interest in values, vision, meaning and purpose which is the common characteristic of societies facing the end of a chronological era …each new decade is approached as if it holds some new promise (Mackay 1993, p.231).

The three dots after the word ‘era’ show that a word or words have been left out.
A sample essay which demonstrates the use of the Harvard referencing system

The essay

… Quantitative research is most often associated with pure sciences like physics and chemistry and is the ‘how much’ of research methodology. Babbie (2001, p. 37) stated that quantitative research is ‘… where things are quantifiable, measurable, explained and finite’. Data are usually derived through testing, experimentation and calculation and the results are often reported as graphs, numbers, percentages, statistics and scales. From an epistemological point-of-view, quantitative research sits within the domain of the empiricist or positivist where:

The observer is dispassionate and independent of the object of observation. Knowledge is objective, generisable, and can [usually] be used to predict and control future events (Sanderson 2001, p. 198).

In contrast, the qualitative methodology is the ‘what’s it like?’ facet of research which is concerned with ‘images, feelings, impressions and qualities’ (Bouma 2000, p. 19). Researchers develop and pose their own theories and hypotheses – rather than testing and proving existing ones.

Denzin and Lincoln (1998, p. 28) describe how each ‘strategy of [research] inquiry [is connected to] … complex literature … a separate history … and a bundle of skills’. For example, when health workers and educators research their practice ‘action research’ is often undertaken. This can be defined as ‘a form of collective self-reflective inquiry undertaken by participants in social situations in order to improve the rationality and justice of their own social or educational practices’ (Kemmis & McTaggart cited in Masters 1995).

Qualitative research provides an ‘ideographic’ or ideas based world view which takes into account culture, personality and other nuances related to humans and society (Babbie 2001, p. 37; Smith cited in Sanderson 2001, p. 216). The research methodologies associated with qualitative research are concerned with elucidating new knowledge through careful and deep observation of real life. The approach is inductive and generates hypotheses, rather than testing them (Williamson, Burstein & McKemmish 2002, p. 26). Unlike the empiricist/positivist worldview with its emphasis on prediction and control, Sanderson (2001, p. 215) describes the emphasis as being on a mutual understanding by researcher and researched.

Both quantitative and qualitative research methods have their supporters and need not be seen as operating separately from each other. For example, in the humanities area most often associated with qualitative methods, there is also widespread use of quantitative methods. An example of this is when social workers study and measure social problems such as poverty and mental illness. Barry (1998) describes how the coding of qualitative research enriches data analysis and provides a ‘more comprehensive summary of theoretical ideas’.

Comments on the referencing

When paraphrasing: always identify author and date

Ellipsis (…) shows a word or several words been omitted

Long quotations are indented

Square brackets show a word(s) has been added

When quoting: identify the author, date and page no. (p.=page; pp.=pages)

Use square brackets to show words added to the original quote

Primary reference (Kemmis & McTaggart) you read about in a secondary reference (Masters)

No page because it is an electronic source

Several sources cited at once

Three authors of one chapter

Internet documents require the same information for the in-text reference (author and date)
Indeed, well known uses of quantitative methods of research today are the Gallup polls so often quoted in local newspapers around election time (Sarantakos 1998, p. 4). Other examples often reported in the news media are the findings of health studies on popular topics. For example, Peric (2004) describes Burns’ recent study in Perth that found ‘big [tea] sippers who’d been imbibing for 20 years were two thirds less likely to develop [prostate] cancer than the control group’. This simple example demonstrates the figures, findings and methodologies that typify quantitative research. So …

References


**PART C: EXAMPLES OF REFERENCING USING HARVARD**

**Books**

**Basic format for books:** Author’s family name, Initial(s) year, *Title of book*, Publisher, Place of publication.

<table>
<thead>
<tr>
<th>Example</th>
<th>An example of an in-text reference</th>
<th>The entry in the reference list</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Book with 2 or 3 authors</strong></td>
<td>According to Cooper, Krever and Vann (2002) … OR It has been argued (Cooper, Krever &amp; Vann 2002) that …</td>
<td>Cooper, GS, Krever, E &amp; Vann, RJ 2002, <em>Income taxation: commentary and materials</em>, 4th edn, Australian Tax Practice, Sydney, NSW.</td>
</tr>
<tr>
<td><strong>Book with no date</strong></td>
<td>This has been emphasised by Seah (n.d.) when …</td>
<td>Seah, R n.d., <em>Micro-computer applications</em>, Microsoft Press, Redmond, Washington.</td>
</tr>
<tr>
<td><strong>2nd or later edition of a book</strong></td>
<td>Several characteristics support this (Derham 2001, p. 46) and …</td>
<td>Derham, F 2001, <em>Art for the child under seven</em>, 7th edn, 7th edn, Australian Early Childhood Association, Watson, ACT.</td>
</tr>
</tbody>
</table>
| **Edited book with more** | … key diagnostic tools (eds Sandler et al. 1995) | Sandler, MP, Patton, JA, Coleman, RE, Gottschalk, A, Wackers, FJ & Hoffe,
<table>
<thead>
<tr>
<th>Reference Type</th>
<th>Example</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Encyclopaedia or Dictionary – with author</td>
<td><em>The Hutchinson encyclopaedia</em> (2001) defines ethics as …</td>
<td>No entry is required in the reference list because you have the name and date of the encyclopaedia or dictionary as an in-text reference.</td>
</tr>
</tbody>
</table>
**Journal articles**

**Basic format for journal articles:** Author’s family name, Initial(s) year, ‘Title of article,’ *Title of journal*, vol and issue numbers, page range.

<table>
<thead>
<tr>
<th>Example</th>
<th>An example of an in-text reference</th>
<th>The entry in the reference list</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Journal article with single author</strong></td>
<td>This procedure has received support (O’Hara 2000, p. 1548) and …</td>
<td>O’Hara, MJ 2000, ‘Flood basalts, basalt floods or topless bushvelds? Lunar petrogenesis revisited’, <em>Journal of Petrology</em>, vol. 41, no. 11, pp. 1545–1651.</td>
</tr>
<tr>
<td><strong>Journal article with two or three authors</strong></td>
<td>Williams, Sewell and Humphrey (2002, p. 18) acknowledge … OR It has been acknowledged (Williams, Sewell &amp; Humphrey 2002, p.18) that …</td>
<td>Williams, RA, Sewell, D &amp; Humphrey E 2002, ‘Perspectives in ambulatory care. Implementing problem-based learning in ambulatory care’, <em>Nursing Economics</em>, vol. 20, no. 3, pp. 135–141. Note: If the article is accessed using a database (e.g Ebsco, Academic Science Direct) there is no need to refer to the database in the reference. Journals which have an electronic form may be accessed using different databases and these can vary from library to library.</td>
</tr>
<tr>
<td><strong>Journal article with more than three authors</strong></td>
<td>The fact that alpha-bungarotoxin iso-toxins are not derived from edited mRNAs (Chang et al. 1999, p. 3971) suggests that …</td>
<td>Chang, L, Lin, S, Huang, H &amp; Hsiao, N 1999, ‘Genetic organisation of alpha-bungarotoxins from <em>Bungarus multicinctus</em> (Taiwan banded krait): evidence showing that the production of alpha-bungarotoxin iso-toxins is not derived from edited mRNAs’, <em>Nucleic Acids Research</em>, vol. 27, no. 20, pp. 3970–75. Note: The use of italics for <em>Bungarus multicinctus</em> is a scientific convention with species and genera</td>
</tr>
<tr>
<td><strong>Journal article with no author</strong></td>
<td>Such a strategy is already in use (‘Building human resources instead of landfills’ 2000) and …</td>
<td>‘Building human resources instead of landfills’ 2000, <em>Biocycle</em>, vol. 41, no. 12, pp. 28–29.</td>
</tr>
</tbody>
</table>


## Electronic publications

### Basic format for electronic publications:

Author’s family name, Initial(s) year date, *Title of document or website*, date viewed, <URL>.

<table>
<thead>
<tr>
<th>Type</th>
<th>An example of an in-text reference</th>
<th>The entry in the reference list</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Journal article from an electronic journal</strong></td>
<td>… and this has been established by Garcia (2004) who…</td>
<td>Garcia, P 2004, ‘Pragmatic comprehension of high and low level language learners’, <em>TESL–EJ</em>, vol 8, no. 2, viewed 2 December, 2005, <a href="http://berkeley.edu/TESL-EJ/ej30/a!.html">http://berkeley.edu/TESL-EJ/ej30/a!.html</a>. Note: If the article is accessed using a database (e.g. Ebsco, Academic Science Direct) there is no need to refer to the database in the reference. E-Journals may be accessed using different databases and these can vary from library to library.</td>
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<tbody>
<tr>
<td><strong>Document on World Wide Web with no author or no date</strong></td>
<td>If a resource from the <a href="http://www">www</a>. has no author and no date you may need to reconsider whether it is a suitable source for academic work.</td>
<td></td>
</tr>
<tr>
<td><strong>Email</strong></td>
<td>Davenport confirmed this by email on 1 August 2003.</td>
<td>Emails are dealt with in the same way as personal communications. The document is mentioned in the text but no entry is given in the reference list. It is important to get permission of the person being referred to before mentioning them.</td>
</tr>
<tr>
<td><strong>Computer program</strong></td>
<td>A program was developed (MathWorks 2001) to …</td>
<td>MathWorks 2001, <em>MATLAB</em>, ver. 6, computer program, The MathWorks Inc., Natick, MA, USA.</td>
</tr>
</tbody>
</table>
Special publications and materials

**Basic format for special publications and materials:** Author’s family name, Initial(s) year, *Title of item*, description of item, publisher, place of publication

<table>
<thead>
<tr>
<th>Example</th>
<th>An example of an in-text reference</th>
<th>The entry in the reference list</th>
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</thead>
<tbody>
<tr>
<td>Video, DVD or television recording</td>
<td>The processes involved have been well documented (<em>They did it their way</em>, 1998).</td>
<td><em>They did it their way</em> 1998, video recording, BBC for The Open University. OR if it is a broadcast television program it would be: <em>They did it their way</em> 1998, television program, SBS television, Sydney, 5 May.</td>
</tr>
<tr>
<td>Pamphlet or brochure</td>
<td>Additional resources are identified in the pamphlet … (Online resources, publications, training 2001).</td>
<td>Online resources, publications, training 2001, Australian Copyright Council, Redfern, NSW.</td>
</tr>
<tr>
<td>----------------------</td>
<td>--------------------------------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Compact disk (CD) &amp; Audio cassette</td>
<td>The original broadcast (War of the worlds 1999) in 1938 is said to have caused mass panic amongst listeners.</td>
<td>War of the worlds 1999, Mercury Theatre On The Air, audio CD, Radio Spirits, ASIN: B00002R145.</td>
</tr>
<tr>
<td>Personal communication</td>
<td>It has been confirmed by Seow (2003, pers. comm. 3 July) that this practice is widespread.</td>
<td>For personal communications such as conversations, letters, email s and faxes, the document is mentioned in the text but no entry is given in the reference list. It is important to get permission from the person being referred to.</td>
</tr>
<tr>
<td>Unpublished report</td>
<td>Such habitats have been studied extensively by, for example, Sinclair, Knight and Merz (1999)</td>
<td>Sinclair, J, Knight, G &amp; Merz, R 1999, ‘Video transect analysis of subtidal habitats in the Dampier Archipelago’, Museum of WA.</td>
</tr>
<tr>
<td>Thesis on microfiche</td>
<td>Dance is seen as having an important educational role (Dominiak 1998).</td>
<td>Dominiak, KM 1998, The role of dance making for the older adult, microfiche, MappSci. thesis, Texas Woman’s University, Microform Publications, University of Oregon.</td>
</tr>
</tbody>
</table>

**Source:**