

Citation and referencing in the Harvard system

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This document describes how to use the Harvard system for referencing in a student dissertation. Thanks go to John Sharp for helpful comments. Please send corrections, additions, etc., to the email address given above.

1. Preface

1.1 Copyleft notice

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Please notify me of any modifications you make.

The web page version of this document was generated using the Perl script [sparse.pl](#) together with some free tools.

1.2 Acknowledgements

John Sharp has made helpful comments on the first draft of this document.

2. Introduction

‘Ah, Well! They may write such things in a *book*,’ Humpty Dumpty said in a calmer tone.

That is a quotation. However, there are some problems with it. First, it is not clearly identified as a quotation. Second it not obvious *who* wrote it and *where* they wrote it. And I have given no indication of *how* you might find a copy if you wanted to read the original text. I have not cited it properly.

In fact the quotation comes from ‘Through the Looking Glass’ by Lewis Carroll. This was originally published in 1872, but I am using the Puffin version, which is printed together with ‘Alice’s Adventures in Wonderland.’ The quotation comes from page 270 of that edition. To complicate matters, Lewis Carroll is a pseudonym: Carroll’s real name was Charles Lutwidge Dodgson.

I can make it clear that the words are a quotation by using a set of quotation marks. Better still, I can indent the whole paragraph. But there is too much information to put all the details with the quotation, especially as I might quote the same book again. Instead, I can put just the author’s name, the date of publication and the page number.

“Ah, Well! They may write such things in a *book*,” Humpty Dumpty said in a calmer tone.’
[Carroll \(1962\)](#) p. 270

Now I need to make sure that you can find the source. So I spell it out in detail:

L. Carroll (1962) *Alice’s Adventures in Wonderland and Through the Looking Glass*, Puffin Books, London, 1962. Reprinted from *Through the Looking Glass*, 1872.

Notice that I have deliberately emphasised certain parts of this *reference*. I am following certain conventions so that you will realise quickly that this is from a book, rather than, say, a journal, even though I have not explicitly said it is from a book.

I put this information at the end of the document in the List of References. That way, it will be easy to find. And if I quote from it again (which I do), I will not need to repeat the same information. Since this is a particularly difficult reference to get right I have checked with [British Standards \(1989\)](#) for the conventions on which name I should use (Carroll or Dodgson) and which book I should quote (the original or the Puffin version). Following their advice, I have decided to use the better-known name and the more readily available book. This makes it more likely that you could find the original quote if you need it.

2.1 Why use referencing?

I have just shown an example of how to use referencing. But why use it at all? I could have written this document without the quotation.

The short answer is because you have to demonstrate the skills of citing, referencing and being able to find referenced work as part of your degree programme.

The long answer is that to carry out academic research, you have to base your arguments on evidence. Some of that evidence may come from primary data collection, but some will undoubtedly come from the research of others. In any case you need to show what research has been carried out before and to do that you will need to reference the work of others. If you fail to do so, you may be open to accusations of plagiarism or failure to understand the process of research. Either way, if you fail to reference properly, you are likely to be asked to resubmit a dissertation or to have a fail grade awarded.

This document is specifically about the Harvard system of referencing. There are several other systems and all systems have minor variations, often to suit the needs of particular journals or particular disciplines; so you may not follow this document precisely. However, all good referencing systems have a number of elements in common: they give a uniform style and format for citation and a method of listing the references that makes them clear, unambiguous and easy to trace.

When you write your dissertation, you must comply with the rules set out for your module or degree programme. *It is your responsibility to write references in the form prescribed.*

2.2 Some terminology

“When *I* use a word,” Humpty Dumpty said in rather a scornful tone, “it means what I choose it to mean—neither more nor less.” [Carroll \(1962\)](#) p. 274

Reference

A reference is a short description of a piece of work that can be used by someone else to locate that piece of work should they want to. There are several different systems of referencing, but the good ones all obey the following rules.

- Each reference contains the authors, title, place and date of publication of the work.

- References are written in a uniform style.
- References appear in a **single** list at the end of the document, not at the end of each chapter or section, and **definitely not** as footnotes at the bottom of the page.

Citation

A citation is a mention of another piece of work in yours. Quotation is a special form of citation in which you repeat verbatim part of the cited work. More commonly a citation simply refers to the other work.

There is no one right way to cite. For example, the following are all acceptable.

[Howard and Sharp \(1983\)](#) describe how to choose a project topic.

Other web programming languages are described in [Deitel and Deitel \(1999\)](#) and [Converse and Park \(2000\)](#).

Chapter 3 describes a methodology based on [Rosenhead \(1978\)](#).

One study ([Davies et al. 2000](#)) modelled health care provision options for patients with diabetes.

The possible ways of citing depend on the referencing system. An attractive feature of the Harvard system is that it avoids many problems about whether or not you should write the author's name in the text.

Quotation

Use quotation when you need to cite verbatim part of another work. There are two ways to use quotation. If you have a longer quotation, put it in an indented paragraph with quotation marks around it like so.

‘Few tricks of the unsophisticated intellect are more curious than the naive psychology of the business man, who ascribes his achievements to his own unaided efforts, in bland unconsciousness of a social order without whose continuous support and vigilant protection he would be as a lamb bleating in the desert.’ [Tawney \(1938\)](#) p. 264

It is common nowadays to use single quotes wherever practical.

Short quotations may be made within the main text and are cited in a similar style. An example is the definition of a dictionary as a ‘word not included in this dictionary in order to avoid certain paradoxes’ [Borowski and Borwein \(1989\)](#) p. 157. Typically, short quotes are used for definitions or phrases that do not compose a whole sentence.

Bibliography

A bibliography is a list of books that may or may not be referenced in the work it is attached to. Bibliographies are used when you want to suggest background or wider reading, for example, at the end of a chapter in an academic textbook. As such they are not appropriate in student dissertations. Avoid them. Label your references simply as ‘List of References’.

List of references

A list of references looks just like a bibliography. The difference is that you may not put a book in a list of references unless you have cited it somewhere in your work. The list of references is normally arranged in alphabetical order of surnames of authors.

2.3 Some referencing systems

This section describes some of the problems of using various referencing systems other than the Harvard system. If you have been asked to use Harvard you should **not** use these other systems. If you have been asked to use another system, you probably shouldn't be reading this.

Author–date systems

These systems include the author and date in each citation. The most common is the Harvard system. It is particularly easy to insert new references if you use this system because inserting a new reference probably will not change the way old references are cited.

Author–number and number only systems

Sometimes known as the 'Vancouver system', these use a number for each citation, either in square brackets or as a superscript. They have the disadvantage that the numbers may have to be changed when you insert a new reference. The author–number system is a variant in which the author name appears in each citation.

These are best handled by special referencing software packages such as Endnote or BiBTeX, which can renumber references automatically.

Short-title system.

This system uses a full reference at the first citation and an abbreviated reference subsequently. It is very difficult to follow when there are more than a few references. Avoid it.

Irritating footnote system.

In this system references appear as footnotes, making them very hard to use. This system is pretty much guaranteed to irritate at least one of your examiners and is almost certainly forbidden in your dissertation regulations. Use it only if you want to fail.

The *op. cit.* system

Some older works use words and phrases like *op. cit.*, *ibid.*, *loc. cit.*, *idem*, *eadem* and *art. cit.* You should avoid them unless you speak classical Latin as a first language and expect your examiners to do the same.

3. Elements of the Harvard system

This section describes the Harvard system. If you are asked to use this system, you should check whether your own guidelines specify any variation from the following.

3.1 Reference

Each reference should contain, wherever possible, the names of the Authors (or originators), the date of publication, the title of the work and if the work comes from an academic journal, the title and volume of the journal and the pages of the work in that order.

Normally various elements of each reference are emphasised with *italic* and **bold** fonts. Typically, italics are used for titles and boldface for volume numbers but there is a lot of variation from one version of Harvard to another. For example, some conventions will put titles in quotation marks rather than italics. The most important thing is to be consistent. Try to avoid underlining (which was used in the typewriter era as a substitute for italics). Some academic journals abbreviate journal titles to save space, so that, for example the

Journal of the Operational Research Society becomes *J. Op. Res. Soc.* Try to avoid this practice. It is not necessary, for example, in a dissertation and tends to make it much harder for the reader to trace the reference.

It is important to give information accurately. Remember that your reader will probably use a computer search to look for the reference work. So even a misspelt word can make it hard to find. Be particularly careful with US English spellings and do not correct the spelling or grammar of works you reference. For example, if you are using US English spelling, then you would write 'modeling' rather than 'modelling'. However, you should use the original (British) spelling with the reference for ([Davies et al. 2000](#)). This will make it easier for your reader to trace the original work. The only change you might make is to capitalisation of word in the title of a journal article and here you should check what is required of you and be consistent.

If you want to know whether you have enough information in the reference ask yourself if you could find the work easily given the information you have supplied.

The references should appear as a single list as in Section [List of References](#) . The references should be sorted in alphabetical order by the surname of the first-named author. If further ordering is necessary, use the author's initials, further authors, then year of publication, etc.

Authors or Originators

Usually these are written Surname, Initials. List **all** authors in the same order as in the original work. Use the initials as given in the work even if you know the author has a middle initial they have not used—remember, you are trying to make the work as easy as possible to find. Separate the last two authors with 'and' and all other authors with commas. Try to put down an originator for every reference.

Date

Try to give a date for all works. The date should be the date of publication of the work cited. If the work is merely reprinted, you should use the original publication date: the page numbers will not have changed between reprints and the person reading your reference may only be able to obtain an earlier version of the publication. If the work is not the first edition, say what edition you used: the page numbers and detailed text will probably have changed between editions. Academic journals usually publish the date prominently. Books and journals usually print the date and publication details in the first printed recto (right-hand) page of the work.

If you reference more than one work by the same set of authors in the same initial order in the same year, use a letter (a, b, c,...) immediately after the date so that you can distinguish the works in each citation.

Title

For a book, put the title in italic. Include a subtitle if it contains essential information about the content of the book. For example, 'How to Program' is an essential subtitle of [Deitel and Deitel \(1999\)](#) but 'A Historical Study' is not essential in [Tawney \(1938\)](#).

For a journal article, put the title in roman followed by the title of the journal in italic. Spell out the journal name in full unless you are specifically asked to do otherwise. Make it as easy as possible for your reader to find the journal. Some regulations ask you to put the title in single quotation marks.

Edition

For books where the edition is not the first, put the edition in roman after the title.

ISBN/ISSN

These numbers are not usually required, but feel free to use them. Put, for example ISBN 1-56592-496-7 after the title and edition.

Volume and issue number

For journals with a volume and issue number, put the volume in bold and the issue number in parentheses immediately after. Some journals do not have an issue number. Others put a month instead of an issue number. If so, use that in place of the issue number.

Publisher

Put down the name of the publisher and, if possible, the place of publication. If a publisher lists several addresses, use the first.

Page numbers

If the work is part of another work (e.g. because it is a journal article) include the page numbers. If there is more than one page, the correct way to separate the pages is with an en-dash, which is slightly longer than a hyphen. Check whether your page numbers should start pp. (or p. for one page) or whether they should simply be listed a–b at the end of the reference.

Other information

Occasionally you may need to put down more information, for example if the work is a chapter in a book edited by others. Consult your dissertation supervisor or texts such as [British Standards \(1989\)](#) if you are unsure.

3.2 Citation

Citation is easy in the Harvard system. Put the authors surnames followed by the date in parenthesis. The precise rules are as follows.

- If there is just one author, use that surname only, as for example in [Carroll \(1962\)](#).
- If there are two authors, write their surnames as A and B: [Deitel and Deitel \(1999\)](#), [Borowski and Borwein \(1989\)](#).
- If there are three or more authors, write the surname of the first-named author followed by *et al.*: [Davies et al. \(2000\)](#). *Et al.* is an abbreviation of the Latin phrase *et alii*, *et aliae* or *et alia* (depending on gender) and means *and others*. Do **not** use *et al.* in the reference itself—remember that your reader needs to be able to find the work.
- The date should be a year number only and should be the same as in the reference. If the reference has a letter after the date include the letter in the citation so that the citation is unambiguous: [Lamb et al. \(1997a\)](#)
- You may put a page reference after the date: [Carroll \(1962, 200–210\)](#).
- If the author name does not occur naturally in the sentence, you may include it in the parentheses:

‘Some websites ([sourceforge.net 2001](#); [Fuller 2000](#)) have been designed to work with any browser: others ([www.BNFL.com 2000](#)) have not.’

3.3 Quotation

Section [Quotation](#) describes how to set down the quotation. Cite the source as for a citation except that you **must** include a page reference.

3.4 List of references

The references should appear at the end of your dissertation as a single list. Do not use numbers or bullets unless you are specifically asked to do so. Put the references in order as follows.

- Arrange the references alphabetically in order of the surname of the first-named author, then by initials of the first-named author, then by surname of the second-named author, etc.
- If this is not enough to give an unambiguous list, list the works by the same ordered sets of authors in order of publication year.
- If this is still not enough (see for example, [Lamb et al. \(1997a\)](#), [Lamb et al. \(1997b\)](#)), try to order the works by order of publication and add a letter (a, b, c,...) to the year number.

3.5 Some common problems.

No author

If the work has no named author, try use the title or name of the source. Examples are [British Standards \(1989\)](#), [Business and Technology \(1997\)](#), [www.BNFL.com \(2000\)](#), [sourceforge.net \(2001\)](#).

The article was downloaded from the web

If you have downloaded an article from the web, for example through the library online journal resources, make sure you have all the bibliographical information of the original article. As a general rule, if you download the article as HTML, you will lose most of the information. If you download it as portable document format (*.pdf) you will not. If all else fails, try looking in a bibliographical service such as Web of Science.

4. Some Examples

This section contains some examples that you can use as models.

4.1 A book

‘When going through the text, put a small pencil tick by each reference in the text and in the list, as you check it. The ticks in the text enable you to see at a glance any reference you have missed; and the tick in the reference list shows the reference has been cited in the text.’ [Butcher \(1992\)](#) p. 252

This example is taken from the Copy-Editing by Judith Butcher. A check of the first recto page show that it is the third edition, which was published in 1992 and reprinted in 1993, and the full title is ‘Copy-Editing. The Cambridge Handbook’. So the reference should appear as

Butcher, J (1992) *Copy-Editing*, third edition, Cambridge University Press, Cambridge.

Elements to cite:

- Authors’ Surname, Initials.
- (year of publication)
- *Title in Italics (exactly as published)*,
- edition (if not the first),
- publisher,
- place of publication,
- ISBN (optional).

4.2 A journal article

A single author article such as [Rosenhead \(1978\)](#) and a multiple author article such as [Davies et al. \(2000\)](#) are cited differently, but the reference follow very similar styles. The reference must contain the page numbers unless the article comprises the entire journal issue. Watch the order and italicisation of the elements. The volume number should be in bold.

Davies, R., Brailsford, S., Roderick, P., Canning C. and Crabbe, D. (2000) Using simulation modelling for evaluating screening services for diabetic retinopathy, *Journal of the Operational Research Society* **51**(4), 476–484.

Rosenhead, J. (1978) An Education in Robustness, *Journal of the Operational Research Society* **29**(2), 105–111.

Elements to cite:

- Author's Surname, Initials.
- (year of publication)
- Title of article (normally only the first word is capitalised),
- *Title of Journal (exactly as published unless you are asked to use abbreviations)*,
- **Volume number in boldface**, (and part number if there is one),
- page numbers of contribution. (For a single page, put p. X; for a range of pages put X–Y separated by an en-dash if available.)

4.3 Two articles by the same authors

These should be handled in the same way as any other reference except that when the same authors in the same order publish two or more articles in the same year, you should add a letter as in [Lamb et al. \(1997a\)](#), [Lamb et al. \(1997b\)](#).

Lamb, J. D., Woodall, D. R. and Asher, G. M. (1997a) Bond graphs I: Acausal equivalence, *Discrete Applied Mathematics* **72**, 261–293.

Lamb, J. D., Woodall, D. R. and Asher, G. M. (1997b) Bond graphs II: Causality and singularity, *Discrete Applied Mathematics* **73**, 143–173.

4.4 An article in a book or conference proceedings

The following work, [Fielden \(1984\)](#) was published in a book.

Fielden, J. (1984) Pressures for change in public sector audit. In: Hopwood, A. and Tomkins, C. R. (eds), *Issues in Public Sector Accounting*, Oxford, Phillip Allan, 212–228.

Elements to cite:

- Author's Surname, Initials.
- (year of publication)
- Title of article,
- In:
- Book author's or Editor's Surname, Initials.
- (ed.) (if applicable),
- *Title of Book or Proceedings*,
- publisher,
- place of publication,
- page numbers of contribution.

4.5 An article cited in a textbook

You wish to cite some work that you have seen cited in a textbook. If you have access to the original work, you should cite that without directly referencing the textbook. If you do not, for example, because the original work is out of print, you can cite it in a similar form to that of Subsection [An article in a book or conference proceedings](#) above, perhaps using 'Cited in:' in place of 'In:'.

Use your judgement. If the textbook is much easier to find than the original work then it may be useful to reference the textbook. You may also wish to cite both the original work and the textbook, particularly if the textbook paraphrases some idea in the original work or evaluates it critically.

4.6 A thesis

The thesis of [Wassan \(1998\)](#) should be referenced so:

Wassan N. A. (1998) Tabu search metaheuristics for a class of vehicle routing problems, *PhD thesis*, University of Kent at Canterbury.

Elements to cite:

- Author's Surname, Initials.
- (year of publication)
- Title of thesis,
- *PhD thesis (or similar)*,
- Name of institution to which submitted.

4.7 Web pages

If there is a named author use it as in [Fuller \(2000\)](#), which has links to lots of useful statistics resources.

Fuller, M. F. (2000) <http://hardwick.ukc.ac.uk/cgi-bin/hpda.exe/mff/> Accessed February 2nd 2001.

Web pages change rapidly; so put an access date. If there is no named author you may use the site name taken from the URL as in [www.BNFL.com \(2000\)](#), sourceforge.net (2001). Use the full URL including http:// or https:// etc and any trailing slashes in the reference. Otherwise the reader may not be able to find the site. If you don't believe this try typing sourceforge.net into the address line of Microsoft Internet Explorer.

www.BNFL.com (2000) <http://www.BNFL.com/> Accessed July 23rd 2000.

sourceforge.net (2001) <https://sourceforge.net/> Accessed January 27th 2001.

Elements to cite:

- Author's or Owner's Name
- (year of publication)
- Complete URL
- Date accessed.

4.8 A newspaper or similar article (no named author)

This one is cited as [Business and Technology \(1997\)](#) using the name of the publication instead of the author. This is a monthly publication and so needs the month to identify it uniquely. I have spelt out page to make it clear that just one page was meant.

Business and Technology (1997) Watchdog backs net privacy move, *Business and Technology* July 1997, page 7.

See [Subsection 4.2, A journal article](#) for elements to cite.

5. List of References

Look carefully at the order and layout of these references. They are listed in alphabetical order of the first-named author or originator. See subsection [List of references](#) for details.

Borowski, E. J. and Borwein, J. M. (1989) *The Collins Dictionary of Mathematics*, Collins, Glasgow.

British Standards (1989) *BS 1629: 1989 References to Published Material*.

Business and Technology (1997) Watchdog backs net privacy move, *Business and Technology* July 1997, page 7.

Butcher, J (1992) *Copy-Editing*, third edition, Cambridge University Press, Cambridge.

Carroll, L. (1962) *Alice's Adventures in Wonderland and Through the Looking Glass*, Puffin Books, London, 1962. Reprinted from *Through the Looking Glass*, 1872.

Converse, T. and Park, J. (2000) *PHP 4 Bible*, IDG Books, Foster City, California.

Davies, R., Brailsford, S., Roderick, P., Canning C. and Crabbe, D. (2000) Using simulation modelling for evaluating screening services for diabetic retinopathy, *Journal of the Operational Research Society* **51**(4), 476–484.

Deitel, H. J. and Deitel, P. J. (1999) *Java How to Program*, third edition, Prentice Hall, London.

Fielden, J. (1984) Pressures for change in public sector audit. In: Hopwood, A. and Tomkins, C. R. (eds), *Issues in Public Sector Accounting*, Oxford, Phillip Allan, 212–228.

Fuller, M. F. (2000) <http://hardwick.ukc.ac.uk/cgi-bin/hpda.exe/mff/> Accessed February 2nd 2001.

Howard, K. and Sharp, J. A. (1983) *The Management of a Student Research Project*, Gower.

Lamb, J. D., Woodall, D. R. and Asher, G. M. (1997a) Bond graphs I: Acausal equivalence, *Discrete Applied Mathematics* **72**, 261–293.

Lamb, J. D., Woodall, D. R. and Asher, G. M. (1997b) Bond graphs II: Causality and singularity, *Discrete Applied Mathematics* **73**, 143–173.

Rosenhead, J. (1978) An Education in Robustness, *Journal of the Operational Research Society* **29**(2), 105–111.

sourceforge.net (2001) <https://sourceforge.net/> (2001), Accessed January 27th 2001.

Tawney, R. H. (1938), *Religion and the Rise of Capitalism*, Penguin, London.

Wassan, N. A. (1998) Tabu search metaheuristics for a class of vehicle routing problems, *PhD thesis*, University of Kent at Canterbury.

www.BNFL.com (2000) <http://www.BNFL.com/> Accessed July 23rd 2000.