

Chapter 5

The Harvard (Author-Date) System

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The Harvard (Author-Date) System

About this system

There are many variations for the Harvard (Author-Date) system of referencing so it is wise to check the exact requirements of your department. The information in this chapter is based on a range of sources available on the Harvard referencing style.

The Harvard system is in two parts.

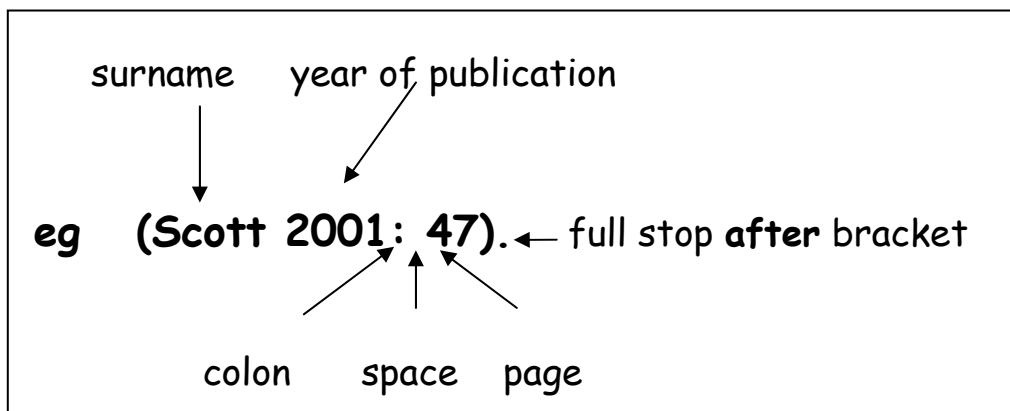
- The in-text referencing.
- The reference list (or bibliography).

In-text referencing

Format

When you cite (identify) references in the text of your assignment, regardless of whether you quote, paraphrase or summarise, you should include:

- The author's surname (family name)
- The year of publication (latest edition imprinted in the text you are using)
- Page numbers if appropriate.



The most important element of in text referencing is consistency. The Author/Year/Page order, together with details such as full stops and colons, should not vary between in text references.

Ways of citing

- **Citing – author prominent**

One way of citing gives prominence to the author by using the author's name as part of your sentence, with the date and pages in parenthesis (round brackets).

Example:

Larsen (1971: 245) was the first to propound the theory.

- **Citing – information prominent**

The other way of citing gives prominence to the information, with all the required details in parentheses:

Example:

The theory was first propounded in 1970 (Larsen 1971: 245-7).

Page numbers

Page numbers are necessary if you directly quote a passage, when you copy tables or figures, and when you paraphrase or summarise an idea from a particular page.

Page numbers are not necessary when you paraphrase or summarise ideas which come from a much larger portion of an author's work.

Paraphrasing

- **Paraphrasing a specific idea**

A recent study (Jones & Chan 1991: 2) has shown that more students stay at school if unemployment increases.

- **Paraphrasing a general idea**

A recent study (Jones & Chan 1991) has shown a series of outcomes which result from economic hardship in the community.

Quotations

- **Short Quotations**

Short quotations (shorter than 30 words or two lines) should be incorporated into your sentence 'without disrupting the flow of your paragraph' (Winckel 1995: 7). Use single quotation marks, and put the full stop outside the reference.

- **Long Quotations**

Long quotations (more than 30 words or two lines) should be introduced in your own words, begin on a new line and be fully indented from the left margin to distinguish from your own text.

Other aspects to notice are:

Quotation marks are not used for longer quotes, as the indentation already shows that it is a quote. Single spacing and a smaller type size are used. The full stop will be after the last sentence of the quotation and before the author-date reference. (Winckel 1995: 8)

Word Limit

When you are estimating the number of words you should have written for an assignment, **DO NOT** count direct quotations or 'in-text' referencing. Words you write as paraphrased or summarised material should be counted.

In-text references - examples

- **Authors – two**

Use an ampersand (&) within the parentheses; or 'and' in your sentence:

Examples:

A recent study (Lim & King 1998) found ... **or** Lim and King (1998) found...

- **Authors – three or more**

A work by Larsen, Green, Withers and Gonzalez becomes:

Examples:

A recent study by Larsen et al. (1998) has found ... **or** ...A recent study (Larsen et al. 1998) has found ...

It should be noted that the names of **all** the authors must be used in the reference list. If there is subsequently a textual reference to another work by the same first author and three other authors, for example, Larsen, Smith, Murphy and Barlen, the names of all the authors should be given in **both** cases to avoid confusion. Provided there is no confusion, the use of [**et al**].after the first reference is acceptable.

- **Authors – several sources are cited at once**

Names of first authors are alphabetical and separated by semicolons when in parentheses:

Examples:

Jones and Chan (1991), Kuwelesky (1988) and Lim (1992) all agree ... **or** ... recent studies (Jones & Chan 1991; Kuwelesky 1988; Lim 1992) agree ...

- **Authors – referring to an author (primary reference) read in another place (secondary reference)**

Marini is the primary reference:

Examples:

Marini (Tan 1992: 71) stated that ... **or** ... Marini's study in 1975 (cited in Tan 1992: 71) stated that ... **or** ... Tan (1992: 71), in reporting Marini's study, states...

- **Different authors with the same surname**

Differentiate between authors by using initials. Also, note that when the author's name and initials (or given name) appear within parentheses, the initials follow the surname; however if the author's surname and initials are incorporated in the text, the initials should precede the surname.

Examples:

The theory was first propounded in 1970 (Larsen, A.E. 1971), but since then many of its elements have been refuted (see, for example, Larsen, M.K. 1983, 2: 157-193).

The theory was first propounded in 1970 (Larsen, A.E. 1971), but since then many of its elements have been refuted; M.K. Larsen (1983) is among those most energetic in their opposition.

- **Multiple works by same author**

Example:

University research (Smith 1982, 1988) ...

- **Multiple works published in the same year by the same author**

Add a, b, c etc to differentiate between works in the same year.

Example:

In recent reports (Nguyen, 1992, 1993a, 1993b)...

- **No author's name appears (but there is a corporate author, newspaper or title)**

Cite the sponsoring organisation, the newspaper or the title.

Examples:

A recent study (CSIRO 1990) has suggested ... **or** ... A recent study (Advertiser 24 January 1994: 5)...**or** ... a recent study (Population Projections 1995) shows...

- **No date can be established or the source is unpublished**

'n.d.' means 'no date'; 'unpub.' means 'unpublished'

Examples:

Lewis (n.d.) began the study ... **or** ... the study was pursued (Lewis n.d.) ... **or** ... James (unpub.) argues ...

- **Personal communications, (e.g., e-mail communications and conversations)**

Note that personal communications are not usually included in the reference list.

Examples:

In a telephone conversation on 17 July 1994, Dr Lim ... **or** ... Evidence given (Lim, H. 1994, personal communication, 17 July) ... **or** ... In an e-mail communication on 3 May 1995, Kate Jones...

- **World Wide Web, author but no date**

Example:

There will be five major changes to the licensing system (Peters n.d.).

- **World Wide Web, corporate author but no author and no date**

Example:

The Port Arthur massacre resulted in tighter gun laws (Coalition for gun control n.d.).

- **World Wide Web, title but no author or corporate author, and no date**

Note that the name of the title of the web site has been shortened from 'Gun Laws: how the current and proposed laws affect us all'. The full name must be listed alphabetically in the reference list.

Example:

The changed laws will have an enormous impact (Gun Laws ... n.d.).

Reference list or bibliography

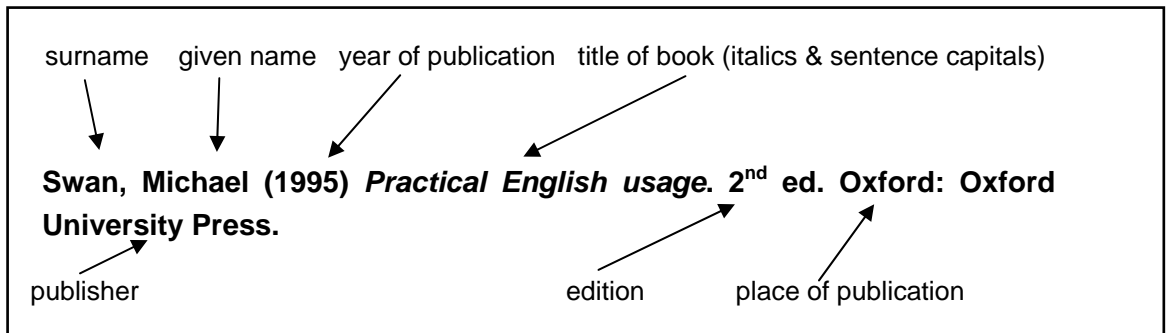
- A **reference list** only includes sources cited in the text of your assignment.
- A **bibliography** includes all the information in a reference list but also contains sources read or consulted but not cited in the assignment. It uses the same format.
- The reference list is **arranged alphabetically** by author (family name or name of organisation) and placed at the end of the assignment.
- It includes full **details of all the sources**, except for personal communications.
- If the item has **no individual author/s**, or **corporate/sponsoring author** (eg CSIRO), **then the title is used** (ignoring the words 'A' and 'The' at the beginning).
- If there are **two or more references by the same author**, they are listed in order of publication date with the oldest work first.
- If references by the **same author have been published in the same year**, they are listed alphabetically by title with the addition of the letter 'a' after the first date, 'b' after the second date and so on (eg. 1993a, 1993b)
- Include all the information needed for someone else to locate that item.
- The requirement is to **be consistent throughout your reference list (or bibliography)**.

Reference list or bibliography - examples

Books, Pamphlets, Brochures and other printed items

Elements needed for referencing are:

- Author's surname and given name or initials
- Year of publication (in round brackets)
- Title of the book (in italics if possible, otherwise underlined). Sentence case is used for book titles, using capitals for the first letter of the first word and for proper nouns.
- Edition (if it is not the first edition)
- Name of series if the book is part of a series
- Place of publication
- Publisher.



- **Author - one**

Example:

Heaven, Patrick (1996) *Adolescent health: the role of individual differences*. London: Routledge.

- **Authors – two**

Example:

Fraser, Sharon and Deane, Elizabeth (1998) *Doers and thinkers: an investigation of the use of open-learning strategies to develop life-long learning competencies in undergraduate science students*. Canberra: Dept. of Employment, Education, Training and Youth Affairs.

- **Authors – three or more**

For a reference list all authors should be named.

For a bibliography where an item may not have been cited or names of all or multiple authors of an individual work may not be available, the first author and 'et al.' which means 'and others' can be used.

Examples:

Kruglak, Haym et al. (1998) *Schaum's outline of theory and problems of basic mathematics: with applications to science and technology*. 2nd ed. New York: McGraw-Hill.

Weiss, Linda, Thurbon, Elizabeth and Mathews, John (2004) *How to kill a country: Australia's devastating trade deal with the United States*. Crows Nest, NSW: Allen & Unwin.

- **Corporate author**

Example:

Family and Community Development Committee, Parliament of Victoria (1997) *Report on the inquiry into planning for positive ageing*. Melbourne: Parliament of Victoria (Family and Community Development Committee).

- **Editors, compilers, revisers or translators**

Example:

Jolley, Moya and Brykczynska, Gosia eds. (1992) *Nursing care: the challenge to change*. London: Arnold.

- **Chapter in a edited book**

Example:

Sedgwick, Eve Kosofsky (1995) Murder incorporated: confessions of a justified sinner. In *Romanticism: a critical reader*, ed. Duncan Wu. Oxford, UK: Blackwell.

- **Book with no author**

Example:

Business and the natural environment. (1997) Oxford, Boston: Butterworth-Heinemann.

- **One volume or part of a multi volumed work**
Example:
 Buckner, Robin (1994) *Art and design*. Book 1. Sydney: McGraw Hill.
- **Multi volume encyclopedia: article**
Example:
 Sherif, N. (1998) Self concept. In *International encyclopedia of social science*. New York: Macmillan. 14:150-159.
- **Government publication**
Example:
 Australian Bureau of Statistics (1994) *Building approvals Australia*. Cat. No. 8731.0. Canberra: ABS.
- **Government Report** (common titles can be added to reference list)
Example:
 Commission of Inquiry into Poverty (1975) *Poverty in Australia*. First main report (Prof.R.F. Henderson, chairman). Canberra: AGPS.

 Henderson Report. See Commission of Inquiry into Poverty (1975).
- **Pamphlet**
Example:
Quit: give smoking away in 5 days (1987) Melbourne: Health Department Victoria, Anti-Cancer Council and National Heart Foundation.
- **Patent**
Example:
 Tan, I.S. and Arnold, F.F. (US Air Force) (1993) *In situ molecular composites based rigid-rod olyamides*. US patents 5 247 057.
- **Personal communication**
 Personal communications, such as conversation, letters and personal e-mail messages, are not usually included in a reference list.
- **Standards**
Examples:
 Standards Association of Australia (1991) *Australian standard: electrical installations – buildings, structures and premises, known as the SAA wiring rules*. AS 3000-1991. North Sydney: Standards Australia.

 Standards Australia and Standards New Zealand (1992) *Australian Standard New Zealand Standard: Quality management and quality system elements, Part 2: guidelines for services* (AS 3904.2-1992 NZS 9004.2:1992). Homebush, NSW: Standards Australia and Wellington, NZ: Standards New Zealand.

Conference or seminar proceedings and symposium papers

- **Conference Paper**
Examples:
 Hunt, F.L. (1990) Ballarat East – from Eureka to the 80's. *Proceedings of the Pacific Rim Congress 90, Gold Coast, Australia*. 3: 473-480. Parkville: Australasian Institute of Mining and Metallurgy.

 Blue, Ian A. ed. et al. (1996) Serving rural and remote Australia through health information and research. *Proceedings of the 1st National Rural Health Research Workshop, Whyalla July 13-15, 1995*. Moe, Vic.: Australian Rural Health Research Institute.

Theses and unpublished works

- **Thesis**

Example:

Moses, Karin (1995) *The silence of the frogs: dysfunctional discourse in the 'English-only' Aboriginal classroom*. M.Arts Thesis, University of Melbourne.

- **Unpublished conference paper**

Example:

Beagley, David (1997) Issues in developing collections. *La Trobe University Bendigo Children's Literature Festival*.

Legislation and case law

Usually articles or books covering law topics use the footnoting system for referencing. Examples are provided in the footnoting section. If using the Harvard/author date system, establish the format to use from examples in this section and take into account the elements used for footnoting.

- **Commonwealth or State Acts**

Example:

Copyright Act 1968 (cwlth).

- **Case Law**

Example:

Greutner v. Everand (1960) 103 CLR 177 at 181.

Periodicals / journal articles

Elements needed for referencing are:

- Author's surname and given name or initials
 - Year of publication (in round brackets)
 - Title of the article (sentence case using capitals for the first letter of the first word and for proper nouns)
 - Name of the journal/periodical (in italics if possible, otherwise underlined and title case - capitals for the first letter of all keywords)
 - Volume number
 - Issue number or other appropriate identifier (place number in brackets and a colon after bracket)
 - Page number/s.
- **One or more authors**
Examples:
Barry, C.L. and Schamber, L. (1998) User-defined relevance criteria: an exploratory study. *Journal of the American Society for Information Science*. 45(3): 149-159.
Hirst, J.B. (1978) The pioneer legend. *Historical Studies*. 18(7): 316-337.
Quinn, James B. (1998) Managing professional intellect: making the most of the best. *Harvard Business Review*. March – April: 71-80.
 - **No author**
Example:
Efficient low cost solar cell developed (1994) *Search*. 25: 309.
 - **No volume or number**
Example:
Cunningham, F. (1996) Innovate or imitate? *Creative Technology*. 32-35.

Newspaper articles

- **Author or authors**
Example:
Daly, Martin (1999) Suffer the little children. *The Sunday Age*. 13 June: 6.
- **No author**
Cite the newspaper title
Example:
A recent study (*Bendigo Advertiser* 12 June 1999: 9) outlined ...
- **Electronic version**
Example:
Allen, Lisa (2005) The nightmare of extortion 'I felt I had been kicked in the stomach'. *Australian Financial Review* [online]. 9 July: 21. Available: Factiva.

Non print non digital media

Elements needed for referencing are:

- Author's surname and given name or initials, corporate author, etc.
 - Year of publication (in round brackets)
 - Title (in italics if possible, otherwise underlined)
 - Type of medium [in square brackets]
 - Place of publication
 - Publisher.
- **Cassette (audio)**
Example:
 Williamson, C. (1985) *Praire fire* [audiocassette]. Oakland, California: Olivia Records.
 - **Map**
Example:
 Division of Survey and Mapping, Victoria. (1988) *Buller South 8123-1-S* [map]. Melbourne: Vicmap.
 - **Microfiche**
Example:
 Herbert, W.G. (1987) *The Australian beef industry: an overview* [microfiche]. Canberra: Australian Livestock Council.
 - **Microfilm**
Example:
 Quammen, David (1998) Planet of weeds [microfilm]. *The Australian Financial Review*. 16 October: 8-11.
 - **Motion pictures**
Example:
Learning to live (1964) [motion picture]. Producer Martin Freeth. London: Fine Films Inc.
 - **Television**
Example:
Inside story: the long walk of Nelson Mandela (n.d) Part 2. Viewed: 15 June 1999. ABC Television.
 - **Videocassette**
Examples:
 Jones, Carolyn, Producer (1997) Creative computing: the graphic designer [videorecording]. *On the job*, Episode 2. ABC Television.

 St-Laurent, Francois (1990) *All about language* [videorecording]. Quebec: Coscient Inc. for Radio-Quebec.
 - **Work of Art**
Example:
 French, L. (1954) *The Legend* [art original]. F.M. Curtis Collection, La Trobe University, Bendigo.

On-line and digital media

Elements needed for referencing are:

- Author's surname and given name or initials, corporate author, etc.
 - Year of publication (in round brackets)
 - Title (in italics if possible, otherwise underlined)
 - Type of medium [in square brackets]
 - Place of publication
 - Publisher
 - Availability (required for online documents)
 - Access date (required for online / Internet references) and place in square brackets. (Access date is not required for subscription database.)
- **Computer program**
Example:
 Wu, A.H. and Jenkins, B. (1990) *Diagnostic ordering in clinical medicine* [computer program]. (Dos version 1.0) Available Distributor: Health Sciences Consortium, 201 Silver Cedar Court, Chapel Hill, NC, USA, 27514.
 - **CD-Rom**
Example:
Body systems: interactive physical education (1995) [CD Rom]. Nedlands, W.A.: Dept. of Human Movement, University of Western Australia.
 - **Conference paper**
Example:
 Jones, D.A. (1992) Numerical simulation. *Proceedings of the fifth Australian Supercomputing Conference* [online]. 15-24. Available: <http://www.supercom.au> [Accessed: 20 October 1994].
 - **Electronic Databases**

Citing an abstract

Examples:

Gooding, Janda (1995) Western Australia flower painting. *Art and Australia* [online]. Spring 33: 80-85. Abstract from Art Abstracts 9/84-3/98.

Wilson, L.M. (1996) Antenatal psychosocial risk factors associated with adverse Postpartum family outcomes. *Canadian Medical Association Journal* [online]. 154(6): 785-799. Abstract from: Current Contents File: 1996, wk1 to wk 30.

Citing a full text document

Examples:

Brahams, D. (1991) IVF legislation: error causes confidentiality trap. *The Lancet* [online]. 338(8780). Available: Infotrac, Expanded Academic ASAP.

Serra, C. et al. (n.d.) *Interventions for preventing tobacco smoking in public places* [online]. Available: The Cochrance Library. [Accessed 28 October 2001].

Sonmez, Sevel F., Apostolopoulos, Yiorgos and Tarlow, Peter (1999) Tourism in crisis: managing the effects of terrorism. *Journal of Travel Research* [online]. August 38(1): 13-18. Available: Proquest 5000.

Smith, A.F. and Pittaway, A.J. (n.d.) *Premedication for anxiety in adults day surgery* [online]. Available: The Cochrance Library. [Accessed 30 October 2001].

- **Newspaper article – full text online**

Example:

Riley, Mark (1998) \$20m to help cut waste. *Sydney Morning Herald* [online]. 1 January 1999:5. Available: LexisNexis Academic.

- **Email, discussion lists or bulletin boards**

Example:

Hurst, J.A. (1992) International finance questions. *Business Libraries Discussion List* [online]. Available email: buslib-l@bsu.bitnet [Accessed 28 October 1992].

- **Internet / World Wide Web (www)**

Author

Example:

Mills, Terry (1996) *Join the dots and see the world* [online]. Available: <http://www.bendigo.latrobe.edu.au/rahdo/research/worner96.html> [Accessed 1 October 2002].

Corporate Author

Examples:

Western Australia. Main Roads Department (n.d.) *Pedestrian safety for seniors* [online]. Available: <http://website.mrwa.wa.gov.au/safety/html/seniors.html> [Accessed 24 August 1998].

Department of Human Services Victoria (n.d.) *Victorian Homelessness Strategy* [online]. Available: <http://www.dhs.vic.gov.au/vhs/> [Accessed 3 October 2002].

Canadian Organisation for Rare Disorders (2003) [online]. Available: <http://www.cord.ca/> [Accessed 7 September 2004].

Title

Example:

Gun laws: how the current and proposed laws affect us all (n.d.) [online]. Available: <http://www.health.su.oz.au/cgc.breach.html> [Accessed 1 April 1998].

An Essay Excerpt

(Taken from an essay in response to a question about Australian values reproduced from the University of South Australia's leaflet entitled *Referencing: The Author-date System*)

IN-TEXT REFERENCING

<p><i>When paraphrasing: always identify author and date</i></p>	<p>...A recent study (Mackay 1993) has found that Australians are suffering from widespread feelings of angst in the 1990s.</p>
<p><i>When quoting: identify the author, date and page no:</i></p>	<p>Mackay (1993: 17) argues that this so-called 'Big Angst' is the result of the fact that Australians are living in an 'Age of Redefinition'. Everything from personal relationships to economic realities is in a state of change, unprecedented in the history of Australia. Angst can be defined as: 'anxiety; feeling of guilt or remorse'. (<i>The Australian Concise Oxford Dictionary</i> 1987: 36).</p>
<p><i>No author: use title instead</i></p>	<p>It has been suggested that in an attempt to overcome their anxiety, Australians have developed:</p>
<p><i>Long quotations are indented</i> <i>Square brackets: indicate word(s) added</i> <i>Ellipsis (...): indicates word(s) omitted.</i></p>	<p>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: 231)</p>
<p><i>Internet documents: often have no page numbers</i></p>	<p>The National Government's recent Cultural Policy also associates the attention given to shared values with the level of stress in the country. The preamble to the policy states that Australians are 'engaged in cultural activities that are helping to re-invent the national identity' (Commonwealth of Australia 1994).</p>
<p><i>Primary reference (Palmer) read about in a secondary reference (Horne)</i></p>	<p>Half a century ago during the second world war, Vance Palmer (cited in Horne 1964: 240) questioned whether Australians had any common sense of purpose. More recent sociological studies have tried to identify the common values which exist in Australian society (Horne 1964; Mackay 1993, 1995b; Overduin & Fleming 1980). It is interesting to note that these studies also identify the stresses facing the nation.</p>
<p><i>Several authors cited at once</i></p>	<p>Overduin and Fleming (1980: 11) describe the 1970s as 'a decade of considerable social change', as do Horne (1964) and Mackay (1993) for the 1960s and 1980s respectively.</p>
<p><i>Original thought of writer</i></p>	<p>These findings are not surprising if one assumes that change will be a major feature of any period of history.</p>
<p><i>Second work by the same author in the same year</i></p>	<p>Mackay (1995b) has gone on to suggest that the rate of change in the last decade has caused young people to be reluctant about making commitments. More recently, Mackay (1999) has emphasised that this attitude can be changed once people realise that society is 'shaped by us and our behavior [sic], by the demands we make or fail to make; by the ways we choose to spend our time and our money'.</p>
<p><i>Internet document</i></p>	

Note that this essay excerpt over-uses references in order to show you a range of examples.

REFERENCE LIST

The Australian Concise Oxford Dictionary (1987) ed. G. W. Turner. Melbourne: Oxford University Press.

Commonwealth of Australia (1994) *Creative nation: Commonwealth cultural policy, October 1994* [online]. Available: <http://www.nla.gov.au/creative.nation/preamble.html> [Accessed 15 January 1995].

Horne, D. (1964) *The lucky country: Australia in the sixties*. Ringwood, Victoria: Penguin Books.

Mackay, H. (1993) *Reinventing Australia: The mind and mood of Australia in the 90s*. Sydney: Angus and Robertson.

Mackay, H. (1995a) My generation. *Weekend Australian*. 5-6 Aug., Weekend Review: 1-2.

Mackay, H. (1995b) Poll position in reverse. *Weekend Australian*. 18-19 Mar., Weekend Review: 4.

Mackay, H. (1999) The power of the present [online]. Available : [http://geocities.com/wellseley/1057/power of the present.html](http://geocities.com/wellseley/1057/power%20of%20the%20present.html) [Accessed 21 December 1999].

Overduin, D. and Fleming, J. (1980) *Wake up, lucky country!* Adelaide: Lutheran Publishing House.