



This work is licensed under a [Creative Commons Attribution-ShareAlike 2.5 License](https://creativecommons.org/licenses/by-sa/2.5/).

UNIVERSITY OF BIRMINGHAM

Preparing and Quoting References using the Harvard System

1. About referencing

Good referencing is an essential part of academic scholarship. It has three functions:

- i. To acknowledge an intellectual debt to another author where you have drawn on ideas, words, facts, claims or other material from his or her work, either explicitly or implicitly;
- ii. To support specific facts or claims which you make in your text;
- iii. To enable the reader to find sources to which you have referred easily and quickly.

If you acknowledge your sources correctly, you will avoid plagiarism. University guidelines can be found at:
www.asbham.ac.uk/study/support/sca/plagiarism.shtml

2. About the Harvard System

The Harvard System of referencing and bibliography has been adopted as the standard for the presentation of academic text at the University of Birmingham. It should be used in all your work unless your School or Department has instructed you otherwise.

Citations are used within the text whenever sources are referred to or directly quoted. A *reference list* including all sources consulted is provided at the end of the document.

3. Citing references within the text

3.1 Referencing ideas

Where the author's family name falls naturally within the text, put the date of the publication in brackets after the family name.

Bloggs (1990) demonstrated the importance of suspended sediment in determining the pollution profile of rivers. However, Smith and Jones (1992) claim that additional factors such as channel hydraulics have been shown to be equally influential.

When referring to a source in passing, include the author's family name and date in brackets. If you have multiple references, separate them with semi-colons and order them either alphabetically or chronologically:

These ideas have been pursued by other American scientists (Graf, 1994; Outcalt, 1996; Wolman and Brown, 1999).

When citing **three or more authors** use the first author's family name followed by "et al." or "and others" e.g. (Meakin et al., 1991).

Where reference is being made to a specific part of a work, a page reference should be given, e.g. (Gregory, 1990, p.26). This applies particularly where you

are making reference to a particular figure, diagram or table within a work.

3.2 Primary and secondary sources (referring to a source quoted in another work)

You may wish to refer to an author's idea, model or dataset but have not been able to read the actual chapter containing the information, but only another author's discussion or report of it. Similarly you may refer to a primary source, e.g. an author's letters or diary, or a government report, that you have only 'read' as cited or reproduced within another author's text. In both cases you should acknowledge the use of a secondary source using the following format:

The model of Mitchell (1996) (cited in Parry and Carter, 2003, p.160) simulates the suppressing effects of sulphate aerosols on the magnitude of global warming.

In this example ideally you should list both the Parry and Carter (2003) and Mitchell sources in your reference list but many schools will accept the listing of the secondary source (i.e. Parry and Carter) only.

3.3 Quoting words from published material

When quoting words from published material, the quoted text must be enclosed in quotation marks. For example:

Harvey (1992, p.226), however, now questions the validity of quantitative geography, stating: '...the so-called quantitative revolution has blinded many researchers to the truths they are supposedly seeking'

Lengthy quotations are indented and separated:

Harvey (1992, p.226), however, now questions the validity of quantitative geography, stating:

'...the so-called quantitative revolution has blinded many researchers to the truths they are supposedly seeking: results are scorned if they are not liberally sprinkled with equations and formulae. The growing popularity of qualitative methods, however, is thankfully reversing this trend'.

Here, the use of three full stops (ellipsis) is used to indicate missing text.

3.4 Citing authors of book chapters

If the book in which the chapter appears is edited by a different author, you still need to cite the author of the *chapter* (see 4.3.3).

3.5 Citing anonymous works

When citing works with no identifiable author, cite the title of the work (see 4.3.4).

3.6 Citing works of Corporate Authorship and Official Publications

In situations where works have no named personal author use the issuing organisation as if it were the author (see 4.3.5).

3.7 Prolific authors

If you wish to cite an author who has published more than one item in the same year, use lower case letter to distinguish between them. E.g., Smith (1990a) is the first piece of Smith's work referred to, Smith (1990b) the second and so on. The letters should also be included in the reference list.

7. Page numbers in full

Broida, T.J. and Chellappa, R.
(1991) Estimating the kinematics
and structure of a rigid object from
a sequence of monocular images.
**IEEE Transactions on Pattern
Analysis and Machine
Intelligence**, 13 (6): 497-513

4. The Reference List

A complete reference list or bibliography should be included at the end of any written work. A reference list includes all cited items only; whilst a bibliography includes all cited items and any other works consulted but not cited in your text. In either case, all cited sources must be included. Items are listed alphabetically by author's family name, year (and letter if necessary). The name that is given in the reference list must be the same as the name used in the text. For each work listed, certain elements should be present:

4.1 Books

1. Name(s) of author(s)/editor(s)
2. Year of publication (in brackets); if no year put n.d. in brackets (n.d.)
3. Title of book **emboldened**
4. Edition, if not the first
5. Number of volumes, if more than one
6. Place of publication
7. Name of publisher
Parker, C.C. and Turley, R.V.
(1986) **Information sources in
science and technology: a
practical guide to traditional
and online use.** 2nd ed. London:
Butterworths.

The date should be the original date of publication of the edition being cited, not the publication date of the first edition or the date of the most recent reprinting. Other elements may be appropriate, such as the sub-title of a book, or a volume number and series title if the book is issued as part of a series. Conceivably (in a full bibliography, for example), the international standard book number (ISBN) might also be included.

4.2 Periodical (i.e. journal) articles

1. Names(s) of author(s)
2. (Date)
3. Title of article
4. Title of periodical **emboldened**
5. Volume number
6. Part number (if used by the journal) in brackets

4.3 Particular types of references

4.3.1 Works of personal authorship

Personal authorship is where the work is authored either by a single individual or two or more authors in collaboration. The first author's name is always presented in inverse order with surname preceding forenames or initials. Subsequent names are also inverted.

a. Works by a single personal author

These require the essential elements for works given above:

Williams, J.G. (1991) **The bible,
violence and the sacred:
liberation from the myth of
sanctioned violence.** San
Francisco: Harper.

b. Works by two personal authors

In a joint-authored work list both of the authors:

Heymann, H.G. and Bloom, R.
(1990) **Opportunity cost in
finance and accounting.** New
York: Quorum.

c. Works by three personal authors

In a work by three authors list all the authors:

Husk, G., Colley, M. and Elliott, C.
(2009) The role of mental health
staff in intermediate care.
Nursing Older People, 21 (9):
24-28

d. Works by more than three authors

The abbreviation "et al" or "and others" can be used. For example, in a work authored by six authors the first three should be named followed by *et al*:

Herron, C.M., Mirkov, T.E. and
Solis-Gracia, N. et al. (2005)
Severity of Citrus tristeza virus

isolates from Texas. **Plant Disease**, 89 (6): 575-580

the Kremlin. London: Pinter. pp.106-122

* Where author names are particularly long and make referencing unwieldy it is acceptable to use only the first author name followed by 'et al'.

4.3.2 Works produced under editorial direction

These are items produced under the general editorial control of one or more editors. Individual chapters, however, may each be written by different authors. The abbreviation (*ed.*) or (*eds.*) is used to denote an edited collection:

Seidman, S. and Wagner, D.G. (eds.) (1992) **Postmodernism and social theory: the debate over general theory**. Cambridge (MA): Blackwell.

4.3.3 Parts of books

If you wish to refer to a chapter in a book or a particular part of a publication, construction of the reference will depend on whether or not the author of the chapter or part is also responsible for the whole book.

a. Author of the chapter is also the editor of the book

Parrot, B. (1990) **The dynamics of Soviet defense policy**. Washington DC: Wilson Center Press. pp.7-40

b. Author of the chapter is not the editor of the book

1. Name(s) of author(s)
2. Year of publication (in brackets)
3. Title of chapter (in speech marks) In
4. Author or editor of book
5. Title of book **emboldened**
6. Edition, if not the first
7. Number of volumes, if multi-volumed work/series
8. Place of publication
9. Name of publisher
10. Page numbers

Lake, D. (1991) "British and American hegemony compared: lessons for the current era of decline." In Fry, M.G. (ed.) **History, the White House and**

Here it is clear that the chapter by Lake in an edited collection by Fry has been drawn upon specifically, rather than the book as a whole.

4.3.4 Anonymous and pseudonymous works

Truly anonymous works have no identifiable or ascertainable author. These should be listed by title first.

Dod's parliamentary companion. (1992) 173rd ed. Etchingham: Dod's Parliamentary Companion Ltd.

In the alphabetical list of references, file such items by the first significant word of the title, omitting definite and indefinite articles (such as 'the').

Where the author is ascertainable, but not given in the item, the real name can be given in parentheses:

(Horsley, S.) (1796) **On the prosodies of the Greek and Latin languages**.

Pseudonymous works should be listed under the pseudonym if that is how the author is primarily known. However, the real name may be supplied in square brackets after the pseudonym for less well-known pseudonymous authors:

Stendahl [Marie Henri Beyle]. (1925) **The charterhouse of Parma**. Translated by Scott-Moncrieff, C.K., New York: Boni and Liveright.

4.3.5 Works of corporate (organisational) authorship

These items have no named personal author, but are issued by a professional body, society, government department or other similar corporate body. In such cases the organisation is named as if it were the author:

Swedish Trade Council. (1991) **Swedish export directory**. 72nd

ed. Stockholm: Swedish Trade Council.

British Medical Association. (1981) **The handbook of medical ethics.** London: BMA.

Where a list of references includes items published by government departments of more than one country it is advisable to enter the name of the country of origin before the name of the department. This collects such items and makes location and identification of them simpler:

Great Britain. Home Office. (1981) **Direct broadcasting by satellite: report of a Home Office study.** London: HMSO.

United States. Atomic Energy Commission. (1958) **Progress in peaceful uses of atomic energy, July-December, 1957.** Washington: US Government Printing Office.

4.3.6 Multi-volume works

For multi-volume works always enter the number of volumes after the general title:

Clarendon, Edward Hyde, Earl of. (1958) **The history of the rebellion and civil wars begun in England in the year 1641.** 6 vols., W.Dunn Macray (ed.). Oxford: Clarendon Press.

Where an individual volume within a multi-volume work is your main source enter the volume number and individual volume title after the general title:

Wright, S. (1978) **Evolution and the genetics of populations. Vol.4, Variability within and among natural populations.** Chicago: University of Chicago Press.

4.3.7 Unpublished works

Research may involve consulting materials which have not been published. Use the

word "unpublished" only if appropriate. In many cases it is unnecessary. For an unpublished thesis or dissertation use the style:

Wild, M.T. (1972) **An historical geography of the West Yorkshire textile industries to C.1850.** PhD thesis, University of Birmingham

For material which is soon to be published, but is 'in press' at the time of your writing give as much detail as you can:

Kouvatsos, D. (in press) (1993) **Maximum entropy analysis of queuing systems and networks.** Oxford: Blackwell.

Personal conversations, letters or interviews etc are often cited only in the text. If entered in the references use the style:

Smith, J. (2004) **Personal communication.**

Fuller information can be given if available:

Smith, J. (10 July 1999). **Interview with author.** Boston, Massachusetts.

You may also wish to indicate the status of Smith if that is relevant, e.g. Chief Executive of a major manufacturing company.

4.3.8 Conference proceedings

When referencing conference proceedings there are two possibilities. The sponsoring organisation may be treated as an author:

Institution of Electronic and Radio Engineers. (1970) **Proceedings of the joint conference on automatic test systems. Birmingham, 13-17 April 1970.** London: I.E.R.E (I.E.R.E Conference proceedings; 17)

Or the conference may be entered under its title:

Fourth world congress of anaesthesiologists. London, 9-13 September 1968 (1969) Amsterdam; London: Excerpta Media Foundation. (International Congress Series; 168)

Paper from a conference

Gillies, R. and Glen, J. (2004). "A year in the life of a journey time website." **In 12th IEE International Conference on Road Transport Information & Control (RTIC). London, 20-22 April 2004.** Stevenage: IEE. pp.56-59 (Conference Publications IEE; 501).

4.3.9 Newspaper Articles

Print newspaper articles:

1. Name(s) of author(s)
2. Year of publication (in brackets)
3. Title of article
4. Full title of newspaper **emboldened**
5. Day and Month
6. Page number(s) in full

Smith, P. and Tucker, S. (2009) Australia stamps its mark on M&A and equity-raising leagues. **Financial Times.** Monday 25th May, p. 14

For electronic newspaper articles please go to "Referencing electronic sources" section.

4.3.10 Videos, films or broadcasts

1. Title
2. Year (for films, the preferred date is the year of release in the country of production)
3. Format of the material
4. Director if ascertainable
5. Production details (place and organisation).

The amazing newborn. (1977) Film. Consultant: Marshall H. Klaus. USA.

Programmes and series

Number and title of an episode should be given, series title and transmitting organisation and channel and date and time of transmission.

Holby City (1999) Episode 7, Take me with you. TV, BBC1. 1999 23 Feb.

Contributions

Items within a programme should be cited as contributors.

Blair, T. (1997) Interview. In: **Six o'clock news.** TV, BBC1. 1997 Feb 29. 1823hrs.

4.3.11 Referencing electronic sources

Electronic sources of information are becoming increasingly important in academic work, but as yet a fixed standard for referencing these does not exist. A good guideline is to emulate the style for printed material as far as possible and to include as much information as possible.

a. Webpages

In citing an electronic work such as a webpage, elements include author's/editor's surname and initials, year of publication, title, the word online in square brackets, edition details, place of publication, publisher (if ascertainable). The web address and the date the page was accessed should also be included:

Environment Agency (1999) **Nitrate vulnerable zones** [online]. Available from: www.environment-agency.gov.uk/modules/MOD43.7.html [Accessed 1 September 1999]

b. e-Books

When referencing an e-book elements include author's/editor's surname and initials, year of original in print (if not available use the date of the electronic version), title (emboldened), edition (if not the first), [online], place of publication (of printed original if available), publisher. Available from, give details of the e-book service you used. The web address of the e-book service and the date the e-book was accessed.

Whyte, D.A. (1997) **Explorations in family nursing** [online]. London: Routledge. Available from: ebrary. <http://site.ebrary.com/lib/bham> [Accessed 11 July 2008]

c. E-journals

If you are referencing an electronic version of a journal article which also exists in print, reference the article as you would if it were the print version, using the page numbers taken from the on-screen article (see section 4.2). A reference to an article from an 'electronic only' journal should include author's/editor's surname and initials, year, title, journal title (followed by [online]) and volume and issue details.

Bailey, S. (2005). Assessing the Impact of the Freedom of Information Act on the FE and HE Sectors. **Ariadne** [online], 42. Available from: www.ariadne.ac.uk/issue42/bailey/ [Accessed 20 June 2005].

If the document does not include pagination or an equivalent internal referencing system, the extent of the item may be indicated in terms such as the total number of lines, screens, etc., e.g. "[35 lines]" or "[approx. 12 screens]".

d. Electronic newspaper articles:

For an online version of a newspaper article, you should also include information on how you accessed the article. If you have accessed the article through a database then provide these details in place of the URL.

1. Name(s) of author(s)
2. Year of publication (in brackets)
3. Title of article
4. Full title of newspaper **emboldened**
5. Type of medium in square brackets
6. Day and Month
7. Available from: URL (or database details)
8. Accessed date in square brackets

Prosser, D. (2010) China overtakes Japan as world's second-largest economic power. **The Independent** [online], Tuesday 17th August. Available from: <http://www.independent.co.uk/news/business/news/china-overtakes-japan-as-worlds-secondlargest-economic-power-2054412.html> [Accessed 18 August 2010]

Prosser, D. (2010) China overtakes Japan as world's second-largest economic power. **The Independent** [online], Tuesday 17th August. Available from: Nexis UK [Accessed 18 August 2010]

e. Referencing from a financial database

When referencing from a database the referencing elements are:

1. Corporate Author
2. Year of publication (in brackets)
3. Title of dataset or report
4. code if appropriate
5. Name of database **emboldened**
6. Type of medium [in square brackets]
7. Available from: URL
8. Accessed date [in square brackets]

Thomson Reuters (2009) Total Assets 1990-2000 of Tesco: TSCO, DWTA. **Datastream Advance 5.0** [online]. Available from: www.datastream.com [Accessed 26 May 2009]

Bureau van Dijk (2010) Company Report of Tesco PLC. **FAME** [online]. Available from: www.bvdep.com/fame [Accessed 25 August 2010]

f. Referencing market research reports

Mintel (2009) **Tea and Herbal Tea – UK – February 2009**. [online]. London: Mintel. Available from: <http://academic.mintel.com> [Accessed 25 August 2010]

Datamonitor (2010) **Department Stores in the United Kingdom – May 2010**. [online]. London: Datamonitor. Available from: <http://library.marketlineinfo.com> [Accessed 26 August 2010]

g. Personal electronic communication (e-mail)

When referencing personal e-mail messages, give the sender as the author followed by their email address, identify the full date and use the subject line as the title of the work. Identify the recipient of the message and their email address.

Smith, J. (j.smith@bham.ac.uk), (4 April 2005). **Re: How to format bibliographies**. e-mail to T. Jones (t.jones@bham.ac.uk).

h. CD-ROMs and DVDs

For CDs and DVDs which are works in their own right (and not bibliographic databases), list the author's family name and initials, year, title, medium (CD or DVD), place of publication (if known) and the publisher.

Hawking, S.W. (1994) **A brief history of time: an interactive adventure**. [CD-ROM]. Crunch Media.

If submitting a manuscript for publication, formatting conventions may be stipulated by the publisher or in the instructions to authors for a particular periodical. You should consult and study these 'instructions for authors' if you are considering submission. These normally appear inside the front or back covers of single periodical issues. The most important principle regarding formatting is consistency – adopt the same practices throughout.

In selecting information for each part of the reference quote from the title page and other preliminaries of the book or article. Generally capitalisation and punctuation can be changed (as long as you are consistent) but the author's original

spelling on the title page should be observed.

5. Good Practice

Noting your references as you work is imperative if you are to use your time efficiently. As you make notes or photocopy material note the full reference details. This will prevent you from relying on memory or having to find your source again when you come to write your bibliography/reference list.

Acknowledging your sources correctly is time-consuming but essential, so leave plenty of time for this important activity.

6. Reference Management Software

Packages such as EndNote, Reference Manager and RefWorks (web-based) allow you to create a 'database' of references and then output them in a consistent style, such as Harvard (please ensure that you check the style you use to format your references before submission). They also integrate with word processing software so that you can 'cite as you write'. Endnote and Reference Manager can be found on a variety of school and student cluster computers. More information can be found at www.i-cite.bham.ac.uk. RefWorks is available via eLibrary (www.elibrary.bham.ac.uk).

7. Further Reading

No guide can hope to instruct you in every conceivable possibility when referencing your sources. By applying these guidelines and by using your own judgement (bearing in mind the need to give enough information for interested readers to locate an item) you should be able to construct a proper reference for any item which you have consulted.

The following works provide detailed recommendations for using the Harvard system of referencing.

British Standards Institution. (2010) **Information and documentation. Guidelines for bibliographic references and citations to information resources**. London: BSI (BS ISO 690)

British Standards Institution. (1990)
**Recommendations for citing and
referencing published material.** London:
BSI (BS 5605)

*British Standards are available online. Go
to www.elibrary.bham.ac.uk and enter
your university computer username and
password.

**The Chicago manual of style: for
authors, editors and copywriters.**

(1993). 14th ed. Chicago: University of
Chicago Press.

Gibaldi, J. (2008) **MLA style manual and
guide to scholarly publishing.** 3rd ed.
New York: Modern Language Association
of America.

University of Illinois at Urbana-Champaign
The Center for Writing Studies (2008)

Writers Workshop: Writer Resources

[online]. Available from:

[www.cws.illinois.edu/workshop/writers/cita
tion/mla](http://www.cws.illinois.edu/workshop/writers/citation/mla) [Accessed 18 August 2010]

All Library Services documents are available in other formats, please contact Library
Services on 0121 414 5828 or www.library.bham.ac.uk/help/ask.shtml for
information

SK.04 - SS - 31/08/2010