

Citation File Format (CFF)

Specification - Version 1.0.0-beta

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24 September 2017

Abstract

The *Citation File Format (CFF)* is a human- and machine-readable format for citation files, which provide references to (research and scientific) software to be used for citation and other types of reference. The format aims to support all use cases for software citation described in 1. CFF is serialized in YAML 1.2, and is therefore Unicode-based and cross-language (in terms of both natural language scripts and programming languages). This specification, together with the Unicode standard for characters, aims to provide all the information necessary to understand CFF, and to use (i.e., write) and re-use (i.e., read, validate, convert from) it. The specification is maintained openly at <https://github.com/sdruskat/citation-file-format>.

Contents

| | |
|------------------------------------|-----------|
| Introduction | 2 |
| Status of this document | 2 |
| Rationale | 2 |
| Goals | 2 |
| Concepts | 2 |
| Format | 3 |
| File structure | 3 |
| Formatting | 4 |
| Keys | 4 |
| Exemplary use cases | 6 |
| Entities | 7 |
| Roles | 8 |
| Statuses | 9 |
| Work Types | 9 |
| Schema | 10 |
| Examples | 10 |
| A software with a DOI | 10 |
| A software without a DOI | 12 |
| Infrastructure | 12 |
| Contributions | 12 |
| License | 12 |
| References | 12 |

Introduction

Status of this document

This document reflects the first version of the *Citation File Format* (CFF). CFF has been developed in the context of the *Workshop on Sustainable Software for Science: Practice and Experiences (WSSSPE5.1)*, which was held on 6 September 2017 in Manchester, UK. More specifically, the constraints for CFF has been developed in the discussion and speed blogging group “Development and implementation of a standard format for CITATION files”, whose members were Stephan Druskat (Humboldt-Universität zu Berlin, Germany), Neil Chue Hong (Software Sustainability Institute, University of Edinburgh, UK), Raniere Silva (Software Sustainability Institute, University of Manchester, UK), Radovan Bast (University of Tromsø, Norway), Andrew Rowley (University of Manchester, UK), and Alexander Konovalov (University of St. Andrews, UK).

CFF Version 1.0 has been developed by Stephan Druskat with contributions from the following.

- tba

CFF has been developed to provide the first iteration of a format for CITATION files which could be recommended to readers of the blog post which has been produced by the group during the workshop and shortly after, and which will be published on the blog page of the Software Sustainability Institute.

Rationale

The rationale for a standardized, machine- and human-readable format for CITATION files is discussed in 2. CFF has been developed to support all use cases for the citation of software, as discussed in 1, and thus promote attribution and credit for software in general, and research software in particular.

In a blog post 3, Robin Wilson has introduced CITATION files as a means to make citation information for software easily accessible. This accessibility is important, because in order to receive deserved credit for research software in the academic system - where credit is still mainly measured based on citations -, the citation information for software must be made visible; Authors will only cite software if the citation information is readily available, as there is no standard, easily deducible way (yet) to cite software, such as there is for journals for example.

Some have followed the advice, and have uploaded CITATION (or CITATION.md, or CITATION.txt) files to the root of the source code repository holding their software. While this practice has made for a good start, plain text, unstandardized CITATION files are not machine-readable, and machine-readability is a precondition for re-use of the citation information in different contexts which could further support a fair distribution of credit for research software.

Goals

The goal of CFF is to provide an all-purpose citation format (similar to BibTeX or RIS), and specifically provide optimized means of citation for software via the provision of software-specific reference keys and types, e.g., a dedicated type for source code and one for executables, and a reference key for versions.

The ultimate goal of CFF as a project is comprehensive uptake and re-use of the format by Research Software Engineers and software developers as well as by vendors and services, such as software repositories, reference managers, etc., in order to boost the visibility of citation information for research software, and empower the fair distribution of credit for software development, maintenance, etc., in academia.

Concepts

For users of other reference formats, such as BibTeX or RIS, it is important to note that in CFF, all available keys can be used for all Work Types. CFF leaves reasonability of use with format users and providers of tooling, such as conversion software for CFF and other formats. In other words, the use of keys should follow common sense. If not, it will confuse the user of the CITATION file, and some of the information will probably be lost in re-use scenarios such as conversion or display. If you feel that CFF does not offer a solution for your specific use case, please consider contributing to the format as described in section Contributions.

Furthermore please note that if a section of a work is referenced, this is not supported by a dedicated Work Type. Instead, the `section` key in the parent type (i.e., `book` for a section of a book, etc.) should be used.

Format

CFF CITATION files must be named `CITATION.cff`.

CFF is implemented in YAML 1.2, as the language provides optimal human-readability and the required core data types.

File structure

CFF CITATION files are made up of

- exactly one message containing instructions on how to cite the software which the file is associated with;
- one or more references, containing at least `type`, `author`, and `title` information.

For full examples, please see section Examples.

Start the file with a message object:

```
- message: If you use this software, please cite the works below.
```

Add a reference object:

```
- message: If you use this software, please cite the works below.
- type: software-code
  authors:
    - name: Druskat::Stephan
      orcid: 0000-0003-4925-7248
  title: Stephan's Research Software
  doi: 10043/zenodo.1234
```

Complete the reference with the respective information, and perhaps add more references.

```
- message: If you use this software, please cite the works below.
- type: software-code
  authors:
    - name: Druskat::Stephan
      orcid: 0000-0003-4925-7248
  title: Stephan's Research Software
  version: 1.0.4
  languages:
    - Java
    - Python
    - Haskell
    - Rust
    - JSON
  doi: 10043/zenodo.1234
- type: article
  authors:
    - name: Druskat::Stephan
      orcid: 0000-0003-4925-7248
      role: main-author
    - name: McAuthor::Clodagh
      orcid: 0000-0001-1234-5678
      role: main-author
```

```

- name: Nown::Unk
- name: Stant::Studentass I.
  orcid: 0000-0001-4321-4083
  role: contributor
title: A fast implementation of McAuthor's algorithm
journal: Journal of Sound Research Software
volume: 42
issue: 1
month: 1
year: 2017
start: 138
end: 147
doi: 12345/josrs.9876543

```

Formatting

CFF is YAML 1.2, so it follows the formatting rules of YAML 1.2, of which one of the most important ones is that the colon (:) after a key should always be followed by a whitespace.

Keys

CFF defines the following keys.

| CFF Key | CFF Data Type | Description |
|-------------------|-------------------------------|---|
| abbreviation | String | The abbreviation of the work |
| abstract | String | The abstract of a work |
| authors | Collection of entities | The author of a work |
| collection-title | String | The title of a collection or proceedings |
| collection-type | String | The type of a collection |
| commit | String | The (e.g., Git) commit hash or (e.g., Subversion) revision number of the work |
| conference | Entity | The conference where the work was presented |
| contact | Collection of entities | The contact person for a work |
| copyright | String | The copyright information pertaining to the work |
| data-type | String | The data type of a data set |
| database | String | The name of the database where a work was accessed/is stored |
| database-provider | Entity | The provider of the database where a work was accessed/is stored |
| date-accessed | Date | The date the work has been last accessed |
| date-downloaded | Date | The date the work has been downloaded |
| date-published | Date | The date the work has been published |
| date-released | Date | The date the work has been released |
| department | String | The department where a work has been produced |
| dependencies | String (<i>URI</i>) | A Uniform Resource Identifier pointing to a resource that makes the dependencies of a work accessible |
| doi | String | The DOI of the work |

| CFF Key | CFF Data Type | Description |
|---------------------|-------------------------------|--|
| edition | String | The edition of the work |
| editors | Collection of entities | The editors of a work |
| editors-series | Collection of entities | The editors of a series in which a work has been published |
| entry | String | An entry in the collection that constitutes the work |
| filename | String | The name of the electronic file containing the work |
| format | String | The format in which a work is represented |
| institution | Entity | The institution where a work has been produced or published |
| isbn | String | The ISBN of the work |
| issn | String | The ISSN of the work |
| issue | Integer | The issue of a periodical in which a work appeared |
| issue-date | String | The publication date of the issue of a periodical in which a work appeared |
| issue-title | String | The name of the issue of a periodical in which the work appeared |
| journal | String | The name of the journal/magazine/newspaper/periodical where the work was published |
| keywords | Collection of strings | Keywords pertaining to the work |
| languages | Collection of strings | The language of the work |
| license | String | The license under which a work is licensed |
| license-url | String (<i>URL</i>) | The URL of the license text under which a work is licensed |
| loc-start | Integer | The line of code in the file where the work starts |
| loc-end | Integer | The line of code in the file where the work ends |
| message | String | A message providing the user with instructions on how to cite the work the CITATION file is attached to |
| month | Integer | The month in which a work has been published |
| nihmsid | String | The NIHMSID of a work |
| notes | String | Notes pertaining to the work |
| number | String | The accession number for a work |
| number-volumes | Integer | The number of volumes making up the collection in which the work has been published |
| pages | Integer | The number of pages of the work |
| patent-states | String | The states for which a patent is granted |
| pmcid | String | The PMCID of a work |
| publisher | Entity | The name of the publisher who has published the work |
| recipients | Collection of entities | The recipient of a personal communication |
| repository | String (<i>URL</i>) | The repository where the work is stored |
| repository-code | String (<i>URL</i>) | The version control system where the source code of the work is stored |
| repository-artifact | String (<i>URL</i>) | The repository where the (executable/binary) artifact of the work is stored |

| CFF Key | CFF Data Type | Description |
|---------------|-------------------------------|---|
| section | String | The section of a work that is referenced |
| sender | Collection of entities | The sender of a personal communication |
| status | Status string | The publication status of the work |
| start | Integer | The start page of the work |
| thesis-type | String | The type of the thesis that is the work |
| title | String | The title of the work |
| translators | Collection of entities | The translator of a work |
| type | Work Type string | The type of the work |
| url | String (<i>URL</i>) | The URL of the work |
| version | String | The version of the work |
| volume | Integer | The volume of the periodical in which a work appeared |
| volume-title | String | The title of the volume in which the work appeared |
| year | Integer | The year in which a work has been published |
| year-original | Integer | The year of the original publication |

Table 1: Complete list of CFF keys.

Exemplary use cases

This section details exemplary use cases for some of the keys to avoid ambiguity/misuse.

abstract

- If the work is a journal paper or other academic work: The abstract of the work.
- If the work is a film, broadcast or similar: The synopsis of the work.

department

- If the work is a thesis: The academic department where the thesis has been produced.
- If the work is a government document: The governmental department which has issued the document.

dependencies

- If the work is a software: A URL of a metadata entry, e.g., <http://depsy.org/package/python/nltk>; the URI or a URL of a file listing the software’s dependencies, e.g., <file:///NOTICE> (if the artifact of the software version available from `repository-artifact` includes a NOTICE file in the root folder), or <https://github.com/user/project/blob/master/NOTICE>.
- If the work is a virtual machine or a software container: A URI of a file, or a URL of a website, listing the software packages that are installed on the virtual machine or included in the container.

format

- If the work is a music file: The digital format in which a musical piece is saved, e.g., MP3.
- If the work is a data set: The digital format in which the data set is saved.
- If the work is a painting: The format of the painting, e.g., the width and height of the canvas.

institution

- If the work is a report: The institution where the report has been produced.
- If the work is a case: The court where a case has been held.
- If the work is a blog post: The institution responsible for running the blog.

- If the work is a patent, legal rule or similar: The issuing institution of the patent/rule.
- If the work is a grant: The funding agency sponsoring the grant.
- If the work is a thesis: The university where a thesis has been produced.
- If the work is a statute: The institution or geographical unit which the statute adheres to.
- If the work is a historical work, illuminated manuscript or similar: The library or archive where the work is held.
- If the work is a conference: The organisation which held the conference.

languages

- If the work is a book: The language in which the book is written.
- If the work is a software: The programming/markup languages in which the software is written.

month

- If the work is a conference: The month in which the conference has been held.
- If the work is a magazine article: The month in which the magazine issue containing the article has been published.

number

- If the work is a conference paper: E.g., the submission number of the paper
- If the work is a grant: The grant number provided by the funding agency.
- If the work is a work of art: E.g., the catalogue number provided by a museum holding the artwork.
- If the work is a report: The report number of a report.
- If the work is a patent: The patent number of the work.
- If the work is a historical work, illuminated manuscript or similar: The codex or folio number of a manuscript, or the library identifier for a manuscript.

term

- If the work is a dictionary or encyclopedia: The term in the dictionary or encyclopedia that is being referenced.

title

- If the work is a case: The name of the case (e.g., Name v. Name).

version

- If the work is a software: The version of the referenced software.

Entities

Entity objects can represent different types of entities, e.g., a person, publishing company, or conference. In CFF, they are realized as collections with a defined set of keys. Only the key **name** is mandatory. When the entity represents a person, the **name** key must be formatted following the pattern "**{last names} :: {first names} {middle names}**". This pattern is used to parse names correctly, and implicitly disambiguate person entities from other entities. Therefore, if a non-person entity name follows this pattern, it must be given as **{first part of the name} \:: {second part of the name}**.

Note that the whitespaces preceding and following the separators (**::**, **\::**) are optional.

| Entity key | Entity Data Type | optional |
|------------|------------------|----------|
| name | String | |
| city | String | • |
| country | String | • |
| street | String | • |
| orcid | String | • |
| email | String | • |

| Entity key | Entity Data Type | optional |
|-------------|-----------------------|----------|
| affiliation | String | • |
| tel | String | • |
| fax | String | • |
| website | String (<i>URL</i>) | • |
| date-start | Date | • |
| date-end | Date | • |
| location | String | • |
| role | Role string | • |

Table 2: Complete list of entity keys.

Roles

An entity representing a person can be assigned a role for the purposes of specifying authorship status, e.g., to distinguish main authors of a software from contributors who have provided a small patch. The defined roles are:

| Key |
|---|
| artist |
| assignee (e.g., of a patent) |
| main-author |
| benchmarker (e.g., of a software) |
| cartographer |
| composer |
| contributor |
| creator |
| designer |
| director (e.g., of a movie) |
| editor (e.g., of an edited book/edition) |
| evangelist (e.g., for a software) |
| insitution (e.g., issuing a standard) |
| inventor |
| manager (e.g., of a software project) |
| programmer |
| reporter (e.g., of a court case) |
| reporter (e.g., of a software bug) |
| researcher (e.g., authoring a data set) |
| software engineer (e.g., for a software) |
| technical writer (e.g., of a software documentation) |
| tester (e.g., of a software) |
| trainer |

Key

Table 3: Defined roles for entities.

Statuses

Works can have a different status of publication, e.g., journal papers. CFF provides the following defined statuses for works.

| Status (String) | Description |
|-----------------------|--|
| in-preparation | A work in preparation, e.g., a manuscript |
| abstract | The abstract of a work |
| submitted | A work that has been submitted for publication |
| in-press | A work that has been accepted for publication but has not yet been published |
| advance-online | A work that has been published online in advance of publication in the target medium |

Table 4: Defined statuses for works

Work Types

| Work Type string | Description |
|----------------------------|----------------------------------|
| art | A work of art, e.g., a painting |
| article | |
| audiovisual | |
| bill | A legal bill |
| blog | A blog post |
| book | A book or e-book |
| catalogue | |
| conference | |
| conference-paper | |
| data | A data set |
| database | An aggregated or online database |
| dictionary | |
| edited-work | An edited work, e.g., a book |
| encyclopedia | |
| film-broadcast | A film or broadcast |
| generic | The fallback type |
| government-document | |
| grant | A research or other grant |
| hearing | |

| Work Type string | Description |
|---------------------------------|---|
| historical-work | A historical work, e.g., a medieval manuscript |
| legal-case | |
| legal-rule | |
| magazine-article | |
| manual | A manual |
| map | A geographical map |
| multimedia | A multimedia file |
| music | A music file or sheet music |
| newspaper-article | Conference proceedings |
| pamphlet | |
| patent | |
| personal-communication | |
| proceedings | |
| report | |
| serial | |
| slides | |
| software | |
| software-code | |
| software-container | A software container (e.g., a docker container) |
| software-executable | An executable software, i.e., a binary/artifact |
| software-virtual-machine | A virtual machine/vm image |
| sound-recording | An academic thesis |
| standard | |
| statute | |
| thesis | |
| unpublished | A video recording |
| video | |
| website | |

Table 5: Complete list of CFF work types.

Schema

It is planned to provide a PyKwalify schema for the validation of CFF files. This is work in progress.

Examples

A software with a DOI

Note that [1, p. 12] recommends

[...] the use of DOIs as the unique identifier due to their common usage and acceptance, particularly as they are the standard for other digital products such as publications.

Furthermore, DOIs should point to a “unique, specific software version” [1, p. 12]. Also it is recommended [1, p. 13] that:

the [DOI] should resolve to a persistent landing page that contains metadata and a link to the software itself, rather than directly to the source code files, repository, or executable.

Therefore, a minimal CITATION.cff file in such a case would look similar to the following.

```
- message: If you use this software, please cite it as below.
- type: software
  authors:
    - name: Druskat::Stephan
      orcid: 0000-0003-4925-7248
  title: Stephan's Research Software
  version: 1.0.4
  doi: 10043/zenodo.1234
```

A more comprehensive version could look similar to the following.

```
- message: If you use this software, please cite it as below.
- type: software
  authors:
    - name: Druskat::Stephan
      orcid: 0000-0003-4925-7248
      affiliation: Humboldt-Universität zu Berlin, Dept. of German Studies and Linguistics
      email: mail@sdruskat.net
      website: https://hu.berlin/sdruskat
  title: Stephan's Research Software
  version: 1.0.4
  doi: 10043/zenodo.1234
  commit: ab3d513
  repository-code: https://github.com/sdruskat/stephans-research-software
  repository-artifact: https://hu.berlin/nexus/srs
  date-published: 2017-09-23
  dependencies: https://github.com/sdruskat/stephans-research-software/blob/srs-1.0.4/NOTICE
  keywords:
    - "McAuthor's algorithm"
    - linguistics
    - nlp
    - parser
    - deep convolutional neural network
  languages:
    - Java 1.8
    - Python 3.3
    - C
    - Haskell
    - Turbo Pascal
    - Rust
  license: Apache License, Version 2.0
  license-url: http://www.apache.org/licenses/LICENSE-2.0
  url: https://sdruskat.github.io/stephans-research-software
```

A software without a DOI

For software without a DOI, it is recommended that “the metadata should still provide information on how to access the specific software, but this may be a company’s product number or a link to a website that allows the software be purchased.” [1, p. 13]. Furthermore, “if the version number and release date are not available, the download date can be used. Similarly, the contact name/email is an alternative to the location/repository.” [1, p. 7]

Hence, for a closed source software without a DOI for which the version number and release date cannot be determined, a `CITATION.cff` file could look like this.

```
- message: If you dare to use this commercial, closed-source, unversioned software in your research, please
- type: software
  title: Opaquity
  number: opq-1234-XZVF-ACME-RLY
  date-downloaded: 2017-02-31
  contact:
    - name: Vader::Darth
      affiliation: Dark Side Software
      location: DS-1 Orbital Battle Station, near Scarif
      email: father@imperial-empire.com
      tel: +850 (0)123-45-666
```

Infrastructure

It is planned to provide further infrastructure (e.g., software packages), to support the following use cases for CFF:

- Creating CFF `CITATION` files
- Reading CFF `CITATION` files
- Validating CFF `CITATION` files
- Converting CFF `CITATION` files

For some use cases in software, cf. <https://www.software.ac.uk/blog/2014-07-30-oh-research-software-how-shalt-i-cite-thee>

Contributions

Link to `CONTRIBUTING.md`, tba.

License

This document is licensed under a CC-BY-SA-4.0 license. The full license text can be obtained from the URL <https://creativecommons.org/licenses/by-sa/4.0/legalcode>.

References

- [1] A. M. Smith, D. S. Katz, K. E. Niemeyer, and FORCE11 Software Citation Working Group, “Software citation principles,” *PeerJ Computer Science*, vol. 2, p. e86, Sep. 2016 [Online]. Available: <https://doi.org/10.7717/peerj-cs.86>
- [2] S. Druskat, “Track 2 Lightning Talk: Should `CITATION` files be standardized?” in *Proceedings of the Workshop on Sustainable Software for Science: Practice and Experiences (WSSSPE5.1)*, 2017 [Online]. Available: <https://doi.org/10.6084/m9.figshare.3827058>

[3]R. Wilson, “Encouraging citation of software—introducing cITATION files.” 2013 [Online]. Available: <https://www.software.ac.uk/blog/2013-09-02-encouraging-citation-software-introducing-citation-files>