

# Software Citation Principles

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Software is a critical part of modern research and yet there is little support across the scholarly ecosystem for its acknowledgement and citation. Inspired by the activities of the FORCE11 working group focussed on data citation, this document summarizes the recommendations of the FORCE11 Software Citation Working Group and its activities between June 2015 and April 2016. Based on a review of existing community practices, the goal of the working group was to produce a consolidated set of citation principles that may encourage broad adoption of a consistent policy for software citation across disciplines and venues. Our work is presented here as a set of software citation principles, a discussion of the motivations for developing the principles, reviews of existing community practice, and a discussion of the requirements these principles would place upon different stakeholders. Working examples and possible technical solutions for how these principles can be implemented will be discussed in a separate paper.

## SOFTWARE CITATION PRINCIPLES

ARFON M. SMITH<sup>1</sup>, DANIEL S. KATZ<sup>2</sup>, KYLE E. NIEMEYER<sup>3</sup>, AND THE FORCE11 SOFTWARE CITATION WORKING GROUP

**ABSTRACT.** Software is a critical part of modern research and yet there is little support across the scholarly ecosystem for its acknowledgement and citation. Inspired by the activities of the FORCE11 working group focussed on data citation, this document summarizes the recommendations of the FORCE11 Software Citation Working Group and its activities between June 2015 and April 2016. Based on a review of existing community practices, the goal of the working group was to produce a consolidated set of citation principles that may encourage broad adoption of a consistent policy for software citation across disciplines and venues. Our work is presented here as a set of software citation principles, a discussion of the motivations for developing the principles, reviews of existing community practice, and a discussion of the requirements these principles would place upon different stakeholders. Working examples and possible technical solutions for how these principles can be implemented will be discussed in a separate paper.

### 1. SOFTWARE CITATION PRINCIPLES

The principles in this section are written fairly concisely, and discussed further later in this document (§5). Here, for example, we do not define what software should be cited, but how it should be cited, and we talk about how such decisions might be made in the discussion section (§5).

- (1) **Importance:** Software should be considered a legitimate and citable product of research. Software citations should be accorded the same importance in the scholarly record as citations of other research products, such as publications and data; they should be included in the metadata of the citing work, for example in the reference list of a journal article, and should not be omitted or separated. Software should be cited on the same basis as any other research product such as a paper or a book, that is, authors should cite the appropriate set of software products just as they cite the appropriate set of papers.
- (2) **Credit and Attribution:** Software citations should facilitate giving scholarly credit and normative and legal attribution to all contributors to the software, recognizing that a single style or mechanism of attribution may not be applicable to all software.
- (3) **Unique Identification:** A software citation should include a method for identification that is machine actionable, globally unique, interoperable, and recognized by at least a community of the corresponding domain experts, and preferably by general public researchers.
- (4) **Persistence:** Unique identifiers and metadata describing the software and its disposition should persist – even beyond the lifespan of the software they describe.
- (5) **Accessibility:** Software citations should facilitate access to the software itself and to its associated metadata, documentation, data, and other materials necessary for both humans and machines to make informed use of the referenced software.

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26 (6) **Specificity:** Software citations should facilitate identification of, and access to, the specific  
 27 version of software that was used. Software identification should be as specific as necessary,  
 28 such as using version numbers, revision numbers, or variants such as platforms.

29 These software citation principles were originally based on an adaptation of the FORCE11 Data  
 30 Citation Principles [11], and then were modified based on discussions of the FORCE11 Software  
 31 Citation Working Group (see Appendix A for members), information from the use cases in §3, and  
 32 the related work in §4. The adaptations have been made because software, while similar to data in  
 33 terms of not traditionally having been cited in publications, is also different than data in that it can  
 34 be used to express or explain concepts, it is updated more frequently, and it is executable. Also,  
 35 while software can be considered a type of data, the converse is not generally true.

36

## 2. MOTIVATION

37 As the process of research<sup>1</sup> has become increasingly digital, research outputs and products have  
 38 grown beyond simply papers and books to include software, data, and other electronic components  
 39 such as presentation slides, posters, (interactive) graphs, maps, websites (e.g., blogs and forums), and  
 40 multimedia (e.g., audio and video lectures). Research knowledge is embedded in these components.  
 41 And papers and books themselves are also becoming increasingly digital, allowing them to become  
 42 executable and reproducible. As we move towards this future where research is performed in and  
 43 recorded as a variety of linked digital products, the characteristics and properties that developed  
 44 for books and papers need to be applied to all digital products and possibly adjusted. Here, we  
 45 are concerned specifically with the citation of software products. The challenge is not just the  
 46 textual citation of software in a paper, but the more general identification of software used within  
 47 the research process.

48 Software and other digital resources currently appear in publications in very inconsistent ways.  
 49 For example, a random sample of 90 articles in the biology literature found seven different ways that  
 50 software was mentioned, including simple names in the full-text, URLs in footnotes, and different  
 51 kinds of mentions in references lists: project names or websites, user manuals, publications that  
 52 describe or introduce the software [26]. Table 1 shows examples of these varied forms of software  
 53 mentions and the frequency with which they were encountered. Many of these kinds of mentions  
 54 fail to perform the functions needed of citations, and their very diversity and frequent informality  
 55 undermines the integration of software work into bibliometrics and other analyses. Studies on data  
 56 and facility citation have shown similar results [27, 39, 43].

TABLE 1. Varieties of software mentions in publications, from Howison and Bullard [26].

Mention Type	Count (n=286)	Percentage
Cite to publication	105	37%
Cite to users manual	6	2%
Cite to name or website	15	5%
Instrument-like	53	19%
URL in text	13	5%
In-text name only	90	31%
Not even name	4	1%

57 There are many reasons why this lack of both software citations in general and standard practices  
 58 for software citation are of concern:

<sup>1</sup>We use the term “research” in this document to include work intended to increase human knowledge and benefit society, in science, engineering, humanities, and other areas.

- 59 • Understanding Research Fields: Software is a product of research, and by not citing it, we leave  
60 holes in the record of research of progress in those fields.
- 61 • Credit: Academic researchers at all levels, including students, postdocs, faculty, and staff,  
62 should be credited for the software products they develop and contribute to, particularly when  
63 those products enable or further research done by others.<sup>2</sup> Non-academic researchers should  
64 also be credited for their software work, though the specific forms of credit are different than  
65 for academic researchers.
- 66 • Discovering Software: Citations enable the specific software used in a research product to be  
67 found. Additional researchers can then use the same software for different purposes, leading to  
68 credit for those responsible for the software.
- 69 • Reproducibility: Citation of specific software used is necessary for reproducibility, but is not  
70 sufficient. Additional information such as configurations and platform issues are also needed.

71 The FORCE11 Software Citation Working Group [17] was created in April 2015 with the  
72 following mission statement:

73 *The software citation working group is a cross-team committee leveraging the perspectives*  
74 *from a variety of existing initiatives working on software citation to produce a consolidated*  
75 *set of citation principles in order to encourage broad adoption of a consistent policy for*  
76 *software citation across disciplines and venues. The working group will review existing*  
77 *efforts and make a set of recommendations. These recommendations will be put of for*  
78 *endorsement by the organizations represented by this group and others that play an*  
79 *important role in the community.*

80 *The group will produce a set of principles, illustrated with working examples, and*  
81 *a plan for dissemination and distribution. This group will not be producing detailed*  
82 *specifications for implementation although it may review and discuss possible technical*  
83 *solutions.*

84 The group gathered members (see Appendix A) in April and May 2015, and then began work  
85 in June, with a number of meetings and some off-line work by group members to gather materials  
86 documenting existing practices in member disciplines; gather materials from workshops and other  
87 reports; review those materials, identifying overlaps and differences; and subsequently draft this  
88 resulting document, which will be presented and discussed at the Force2016 Conference [19] in  
89 April 2016. We expect that this discussion may lead to a second, final version, and we also plan  
90 to have a follow-on working group that will work with stakeholders to ensure that these principles  
91 impact the research process.

92 The principles in this document should guide further development of software citation mecha-  
93 nisms and systems, and the reader should be able to look at any particular example of software  
94 citation and see if it meets the principles. Please note that while we strive to offer practical guide-  
95 lines that acknowledge the current incentive system of academic citation, a more modern system  
96 of assigning credit is sorely needed. It is not that academic software needs a separate system  
97 from academic papers, but that the need for credit for application software underscores the need to  
98 overhaul the system of credit for all research products.

99 In the next section (§3), we provide some detailed context in which software citation is important,  
100 by means of use cases. In §4, we summarize and analyze a large amount of previous work and  
101 thinking in this area. In §5, we discuss issues related to the principles stated in §1, and finally, in  
102 §6 we discuss the work needed to lead to these software citation principles being applied.

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<sup>2</sup>Providing recognition of software can have tremendous economic impact as demonstrated by the role of Text REtrieval Conference (TREC) in information retrieval [44].

103

### 3. USE CASES

104 We have documented and analyzed a set of use cases related to software citation in [18]. Table 2  
105 summarizes these use cases and makes clear what the requirements are for software citation in  
106 each case. Each example represents a particular stakeholder performing an activity related to citing  
107 software, with the given metadata as information needed to do that. In that table, we use the  
108 following definitions:

- 109 • “Researcher” includes both academic researchers (e.g., postdoc, tenure-track faculty member)  
110 and research software engineers.
- 111 • “Publisher” includes both traditional publishers that publish text and/or software papers as well  
112 as archives such as Zenodo that directly publish software.
- 113 • “Funder” is a group that funds software or work using software.
- 114 • “Indexer” examples include Scopus, Web of Science, Google Scholar, and Microsoft Academic  
115 Search.
- 116 • “Domain group/library/archive” includes the Astronomy Source Code Library (ASCL) [3],  
117 bioCADDIE [6], Computational Infrastructure for Geodynamics (CIG) [9], libraries, institu-  
118 tional archives, etc.
- 119 • “Repository” refers to public software repositories such as GitHub, Netlib, Comprehensive R  
120 Archive Network (CRAN), and institutional repositories.
- 121 • “Unique identifier” refers to unique, persistent, and machine-actionable identifiers such as a  
122 DOI, ARK, or PURL.
- 123 • “Description” refers to some description of the software such as an abstract, README, or other  
124 text description.
- 125 • “Keywords” refers to keywords or tags used to categorize the software.
- 126 • “Reproduce” can mean actions focused on reproduction, replication, verification, validation,  
127 repeatability, and/or utility.
- 128 • “Citation manager” refers to people and organizations that create scholarly reference manage-  
129 ment software and websites including Zotero, Mendeley, EndNote, RefWorks, BibDesk, etc.,  
130 that manage citation information and semi-automatically insert those citations into research  
131 products.

132 All use cases assume the existence of a citable software object, typically created by the authors/  
133 developers of the software. Developers can achieve this by, e.g., uploading a software release to  
134 figshare [14] or Zenodo [23] to obtain a DOI. Necessary metadata should then be included in a  
135 CITATION file [51] or machine-readable CITATION.jsonld file [35]. When software is not freely  
136 available (e.g., commercial software) or when there is no clear identifier to use, alternative means  
137 may be used to create citable objects as discussed in §5.9.

138 In some cases, if particular metadata are not available, alternatives may be provided. For example,  
139 if the version number and release date are not available, the download date can be used. And the  
140 contact name/email is an alternative to the location/repository.

141

### 4. RELATED WORK

142 With approximately 50 working group participants (see Appendix A) representing a range of  
143 research domains, the working group was tasked to document existing practices in their respective  
144 communities. A total of 47 documents were submitted by working group participants, with the  
145 life sciences, astrophysics, and geosciences being particularly well-represented in the submitted  
146 resources.

TABLE 2. Use cases and basic metadata requirements for software citation, adapted from [18]. Solid circles (•) indicate that the use case depends on that metadata, while open circles (◦) indicate that the use case would benefit from that metadata if available.

Use case	Basic requirements										Example stakeholder(s)	
	Unique identifier	Software name	Author(s)	Contributor role	Version number	Release date	Location/repository	Indexed citations	Software license	Description		Keywords
1. Use software for a paper	•	•	•	•	•	•	•	◦				Researcher
2. Use software in/with new software	•	•	•	•	•	•	•	◦				Researcher, software engineer
3. Contribute to software	•	•	•	◦	•	•	•	◦	◦			Researcher, software engineer
4. Determine use/citations of software	•	•						•				Researcher, software engineer
5. Get credit for software development	•	•	•	◦		•	•					Researcher, software engineer
6. “Reproduce” analysis	•	•			•	•	•	◦	◦			Researcher
7. Benchmark software	•	•			•	•	•	◦	◦			Researcher, software engineer
8. Find software to implement task	•	•	•	•	•	•	•	◦	◦	◦	◦	Researcher, software engineer
9. Publish software paper	•	•	•		•	•	•					Publisher
10. Publish papers that cite software	•	•	•		•	•	•	•				Publisher
11. Build catalog of software	•	•	•		•	•	•	•	◦	◦	◦	Indexer
12. Build software catalog/registry	•	•	•				•		◦	◦		Domain group, library, archive
13. Show scientific impact of holdings	•	•						•				Repository
14. Show how funded software has been used	•	•						•				Funder, policy maker
15. Evaluate contributions of researcher	•		•	◦		•		•				Evaluator, funder
16. Store software entry	•	•	•		•	•	•	•				Citation manager
17. Publish mixed data/software packages	•	•	•		•	•	•		◦	◦	◦	Repository, library, archive

147 4.1. **General community/non domain-specific activities.** Some of the most actionable work has  
 148 come from the UK Software Sustainability Institute (SSI) in the form of blog posts written by their  
 149 community fellows:

150 In a blog post from 2012, Jackson discusses some of the pitfalls of trying to cite software in  
 151 publications [30]. He includes useful guidance for when to consider citing software as well as some  
 152 ways to help “convince” journal editors to allow the inclusion of software citations.

153 Wilson suggests that software authors include a CITATION file that documents exactly how the  
 154 authors of the software would like to be cited by others [51]. While this is not a formal metadata  
 155 specification (e.g., it is not machine readable) this does offer a solution for authors wishing to give  
 156 explicit instructions to potential citing authors and as noted in the motivation section (§2), there is  
 157 evidence that authors follow instructions if they exist [27].

158 In a later post on the SSI blog, Jackson gives a good overview of some of the approaches package  
 159 authors have taken to automate the generation of citation entities such as B<sub>I</sub>T<sub>E</sub>X entries [31], and  
 160 Knepley et al. do similarly [36].

161 While not usually expressed as software citation principles, a number of groups have developed  
 162 community guidelines around software and data citation. Van de Sompel et al. [48] argue for  
 163 registration of all units of scholarly communication, including software. In “Publish or be damned?  
 164 An alternative impact manifesto for research software” [8], Chue Hong lists nine principles as part  
 165 of “The Research Software Impact Manifesto.” In the “Science Code Manifesto” [4], the founding  
 166 signatories cite five core principles (Code, Copyright, Citation, Credit, Curation) for scientific  
 167 software.

168 Perhaps in recognition of the broad range of research domains struggling with the challenge of  
169 better recognizing the role of software, a number of community efforts hosted (and sponsored) by  
170 funders and agencies in both the US (e.g., NSF, NIH, Alfred P. Sloan Foundation) and UK (e.g.,  
171 SFTC, JISC, Wellcome Trust) have run a number of workshops with participants from across a  
172 range of disciplines.

173 Most notable of the community efforts are those of WSSSPE [52] and SSI [46], who between them  
174 have run a series of workshops aimed at gathering together community members with an interest  
175 in (1) defining the set of problems related to the role of software and associated people in research  
176 settings, particularly academia, (2) discussing potential solutions to those problems, (3) beginning to  
177 work on implementing some of those solutions. In each of the three years that WSSSPE workshops  
178 have run thus far, the participants have produced a report [32, 33, 34] documenting the topics  
179 covered. Section 5.8 and Appendix J in the WSSSPE3 report [34] has some preliminary work  
180 and discussion particularly relevant to this working group. In addition, a number of academic  
181 publishers such as APA [40] have recommendations for submitting authors on how to cite software  
182 and journals such as F1000Research [13], SoftwareX [45], and Open Research Computation [42]  
183 allow for submissions entirely focussed on research software.

184 **4.2. Domain-specific community activities.** One approach to increasing software “citability” is  
185 to encourage the submission of papers in standard journals describing a piece of research software,  
186 often known as software papers (see §5.2). While some journals (e.g., Transactions on Mathematical  
187 Software (TOMS), Bioinformatics, Computer Physics Communications, F1000Research, Seismo-  
188 logical Research Letters, Electronic Seismologist) have traditionally accepted software submissions,  
189 the American Astronomical Society (AAS) has recently announced they will accept software pa-  
190 pers in their journals [1]. Professional societies are in a good position to change their respective  
191 communities, as the publishers of journals and conveners of domain-specific conferences; as pub-  
192 lishers they can change editorial policies (as AAS has done) and conferences are an opportunity to  
193 communicate and discuss these changes with their communities.

194 In astronomy and astrophysics: The Astronomy Source Code Library (ASCL) [3], is a website  
195 dedicated to the curation and indexing of software used in the astronomy-based literature. In  
196 2015, the AAS and GitHub co-hosted a workshop [41] dedicated to software citation, indexing,  
197 and discoverability in astrophysics. More recently, a Birds of a Feather session was held at the  
198 Astronomical Data Analysis Software and Systems (ADASS) XXV conference [2] that included  
199 discussion of software citation.

200 In the life sciences: In May 2014, the NIH held a workshop aimed at helping the biomedical  
201 community discover, cite, and reuse software written by their peers. The primary outcome of this  
202 workshop was the Software Discovery Index Meeting Report [49] which was shared with the com-  
203 munity for public comment and feedback. The authors of the report discuss what framework would  
204 be required for supporting a Software Discovery Index including the need for unique identifiers,  
205 how citations to these would be handled by publishers, and the critical need for metadata to describe  
206 software packages.

207 In the geosciences: The Ontosoft [22] project describes itself as “A Community Software Com-  
208 mons for the Geosciences.” Much attention was given to the metadata required to describe, discover,  
209 and execute research software. The NSF-sponsored Geo-Data Workshop 2011 [20] revolved around  
210 data lifecycle, management, and citation. The workshop report includes many recommendations  
211 for data citation.

212 **4.3. Existing efforts around metadata standards.** Producing detailed specifications and recom-  
213 mendations for possible metadata standards to support software citation was not within the scope

214 of this working group. However some discussion on the topic did occur and there was significant  
215 interest in the wider community to produce standards for describing research software metadata.

216 Content specifications for software metadata vary across communities, and include DOAP [12],  
217 an early metadata term set used by the Open Source Community, as well as more recent commu-  
218 nity efforts like Research Objects [5], The Software Ontology [38], EDAM Ontology [28], Project  
219 CRediT [10], the OpenRIF Contribution Role Ontology [25], Ontosoft [22], RRR/JISC guide-  
220 lines [21], or the terms and classes defined at Schema.org related to the `SoftwareApplication`  
221 class. In addition, language-specific software metadata schemes are in widespread use, including  
222 the Debian package format [29], Python package descriptions [24], and R package descriptions [50],  
223 but these are typically conceived for software build, packaging, and distribution rather than citation.  
224 CodeMeta [7] has created a crosswalk among these software metadata schemes and an exchange  
225 format that allows software repositories to effectively interoperate.

226

## 5. DISCUSSION

227 In this section we discuss some the issues and concerns related to the principles stated in Section 1.

228 **5.1. What software to cite.** The software citation principles do not define what software should  
229 be cited, but rather, how software should be cited. What software should be cited is the decision  
230 of the author(s) of the research work in the context of community norms and practices, and in  
231 most research communities, these are currently in flux. In general, *we believe that software*  
232 *should be cited on the same basis as any other research product such as a paper or book*; that is,  
233 authors should cite the appropriate set of software products just as they cite the appropriate set of  
234 papers, perhaps following the FORCE11 Data Citation Working Group principles, which state, “In  
235 scholarly literature, whenever and wherever a claim relies upon data, the corresponding data should  
236 be cited.” [11]

237 Note that some software which is or could be captured as part of data provenance may not be  
238 cited. Citation is a record of software that is important to a research outcome, where provenance is a  
239 record of all steps (including software) used to generated particular data within the research process.  
240 This implies that for a data research product, provenance data will include all cited software, but not  
241 necessarily vice versa. Similarly, the software metadata that is recorded as part of data provenance  
242 should be a superset of the metadata recorded as part of software citation. The data recorded for  
243 reproducibility should also be a superset of the metadata recorded as part of software citation.  
244 These statements may also be true for software products. In general, we intend the software citation  
245 principles to cover the minimum of what is necessary for software citation for the purpose of  
246 software identification. Other use cases (e.g., provenance, reproducibility) may lead to additional  
247 requirements (i.e., enhanced metadata).

248 **5.2. Software papers.** Currently, and for the foreseeable future, software papers are being pub-  
249 lished and cited, in addition to software itself being published and cited, as many community norms  
250 and practices are oriented towards citation of papers. As discussed in the Importance principle (1)  
251 and the discussion above, *the software itself should be cited on the same basis as any other research*  
252 *product; authors should cite the appropriate set of software products*. If a software paper exists and  
253 it contains results (performance, validation, etc.) that are important to the work, then the software  
254 paper should also be cited. In addition, if the software authors ask that a paper should be cited, that  
255 should typically be respected and the paper cited *in addition to* the software being cited.

256 **5.3. Derived software.** The goals of software citation include the linked ideas of crediting those  
257 responsible for software and understanding the dependencies of research products on specific  
258 software. In the Importance principle (1), we state that “software should be cited on the same basis  
259 as any other research product such as a paper or a book; that is, authors should cite the appropriate

260 set of software products just as they cite the appropriate set of papers.” In the case of one code that is  
261 derived from another code, citing the derived software may appear to not credit those responsible for  
262 the original software, nor recognize its role in the work that used the derived software. However, this  
263 is really analogous to how any research builds on other research, where each research product just  
264 cites those products that it directly builds on, not those that it indirectly builds on. Understanding  
265 these chains of knowledge and credit have been part of the history of science field for some time,  
266 though more recent work is suggesting more nuanced evaluation of the credit chains [10, 35].

267 **5.4. Software peer review.** Adherence to the software citation principles enables better peer  
268 reviews through improved reproducibility. However, since the primary goal of software citation is  
269 to identify the software that has been used in a scholarly product, the peer review of software itself  
270 is mostly out of scope in the context of software citation principles. For instance, when identifying  
271 a particular software artifact that has been used in a scholarly product, whether or not that software  
272 has been peer-reviewed is irrelevant. One possible exception would be if the peer-review status of  
273 the software should be part of the metadata, but the working group does not believe this to be part  
274 of the minimal metadata needed to identify the software.

275 **5.5. Citation format in reference list.** Citations in references in the scholarly literature are for-  
276 matted according to the citation style (e.g., AMS, APA, Chicago, MLA) used by that publication.  
277 (Examples illustrating these styles have been published by Lipson [37]; the follow-on Software  
278 Citation Implementation Group will provide suggested examples.) As these citations are typically  
279 sent to publishers as text formatted in that citation style, not as structured metadata, and because  
280 the citation style dictates how the human reader sees the software citation, *we recommend that all*  
281 *text citation styles support the following: a) a label indicating that this is software, e.g., [Software],*  
282 *potentially with more information such as [Software: Source Code], [Software: Executable], or*  
283 *[Software: Container], and b) support for version information, e.g., Version 1.8.7.*

284 **5.6. Citations limits.** This set of software citation principles, if followed, will cause the number of  
285 software citations in scholarly products to increase, thus causing the number of overall citations to  
286 increase. Some scholarly products, such as journal articles, may have strict limits on the number of  
287 citations they permit, or page limits that include reference sections. Such limits are counter to our  
288 recommendation, and *we recommend that publishers using strict limits for the number of citations*  
289 *add specific instructions regarding software citations to their author guidelines to not disincentivize*  
290 *software citation. Similarly, publishers should not include references in the content counted against*  
291 *page limits.*

292 **5.7. Unique identification.** The Unique Identification principle (3) calls for “a method for identifi-  
293 cation that is machine actionable, globally unique, interoperable, and recognized by a community.”  
294 What this means for data is discussed in detail in the “Unique Identification” section of a report by  
295 the FORCE11 Data Citation Implementation Group (DCIG) [47], which calls for “unique identifica-  
296 tion in a manner that is machine-resolvable on the Web and demonstrates a long-term commitment  
297 to persistence.” This report also lists examples of identifiers that match these criteria including  
298 DOIs, PURLs, Handles, ARKS, and NBNs. For software, *we recommend the use of DOIs as the*  
299 *unique identifier due to their common usage and acceptance, particularly as they are the standard*  
300 *for other digital products such as publications.*

301 Note that the “unique” in a UID means that it points to a unique, specific software. However,  
302 multiple UIDs might point to the same software. This is not recommended, but is possible. *We*  
303 *strongly recommend that if there is already a UID for a version of software, no additional UID*  
304 *should be created.* Multiple UIDs can lead to split credit, which goes against the Credit and  
305 Attribution principle (2).

306 *Software versions and identifiers.* There are at least three different potential relationships between  
307 identifiers and versions of software.

308 (1) An identifier can point to a specific version of a piece of software.

309 (2) An identifier can point to the piece of software, effectively all versions of the software.

310 (3) An identifier can point to the latest version of a piece of software.

311 It is possible that a given piece of software may have identifiers of all three types. And in addition,  
312 there may be one or more software papers, each with an identifier.

313 While we often need to cite a specific version of software, we may also need a way to cite  
314 the software in general, or the latest version, and to link multiple releases together, perhaps for  
315 the purpose of understanding citations to the software. The principles in §1 are intended to be  
316 applicable at all levels, and to all types of identifiers, such as DOIs, RRIDs, etc., though we again  
317 recommend when possible the use of DOIs that identify specific versions of source code. We  
318 note that RRIDs were developed by the FORCE11 Resource Identification Initiative [15] and have  
319 been discussed for use to identify software packages (not specific versions), though the FORCE11  
320 Resource Identification Technical Specifications Working Group [16] says “Information resources  
321 like software are better suited to the Software Citation WG.” There is currently a lack of consensus  
322 on the use of RRIDs for software.

323 **5.8. Types of software.** The principles and discussion in this document have generally been written  
324 to focus on software as source code. However, we recognize that some software is only available as  
325 an executable, a container, or a virtual machine image, while other software may be available as a  
326 service. We believe the principles apply to all of these forms of software, though the implementation  
327 of them will certainly differ based on software type. *When software exists as both source code and*  
328 *another type, we recommend that the source code be cited.*

329 **5.9. Access to software.** The Accessibility principle (5) states that “software citations should  
330 permit and facilitate access to the software itself.” This does not mean that the software must be  
331 freely available. Rather, the metadata should provide enough information that the software can be  
332 accessed. If the software is free, the metadata will likely provide an identifier that can be resolved  
333 to a URL pointing to the specific version of the software being cited. For commercial software, the  
334 metadata should still provide information on how to access the specific software, but this may be a  
335 company’s product number or a link to a web site that allows the software be purchased. As stated  
336 in the Persistence principle (4), we recognize that the software version may no longer be available,  
337 but it still should be cited along with information about how it was accessed.

338 **5.10. What an identifier should resolve to.** While citing an identifier that points to, e.g., a GitHub  
339 repository can satisfy the principles of Unique Identification (3), Accessibility (5), and Specificity  
340 (6), such a repository cannot guarantee Persistence (4). *Therefore, we recommend that the software*  
341 *identifier should resolve to a persistent landing page that contains metadata and a link to the*  
342 *software itself, rather than directly to the source code files, repository, or executable.* This ensures  
343 longevity of the software metadata—even perhaps beyond the lifespan of the software they describe.  
344 This is currently offered by services such as figshare [14] and Zenodo [23], which both generate  
345 persistent DataCite DOIs for submitted software. In addition, such landing pages can contain both  
346 human-readable metadata (e.g., the types shown by Table 2) as well as content-negotiable formats  
347 such as RDF or DOAP [12].

348 **5.11. Updates to this document.** As this set of software citation principles has been created by  
349 the FORCE11 Software Citation Working Group, which will cease work and dissolve after these  
350 principles have been published, any updates will require a different FORCE11 working group  
351 to make them. As mentioned in §6, we expect a follow-on working group to be established to

352 promote the implementation of these principles, and it is possible that this group might find items  
353 that need correction or addition in these principles. *We recommend that this Software Citation*  
354 *Implementation Working Group be charged, in part, with updating these principles during its*  
355 *lifetime, and that FORCE11 should listen to community requests for later updates and respond by*  
356 *creating a new working group.*

## 357 6. FUTURE WORK

358 Software citation principles without clear worked-through examples are of limited value to  
359 potential implementers, and so in addition to this principles document, the final deliverable of this  
360 working group will be an implementation paper outlining working examples for each of the use  
361 cases listed in §3.

362 Following these efforts, we expect that FORCE11 will start a new working group with the goals of  
363 supporting potential implementers of the software citation principles and concurrently developing  
364 potential metadata standards, loosely following the model of the FORCE11 Data Citation Working  
365 Group. Beyond the efforts of this new working group, additional effort should be focused on  
366 updating the overall academic credit/citation system.

## 367 APPENDIX A. WORKING GROUP MEMBERSHIP

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374 Sou-Cheng T. Choi, NORC at the University of Chicago & Illinois Institute of Technology  
375 Neil Chue Hong, Software Sustainability Institute  
376 Tom Crick, Cardiff Metropolitan University  
377 Mercè Crosas, IQSS, Harvard University  
378 Scott Edmunds, GigaScience, BGI Hong Kong  
379 Christopher Erdmann, Harvard-Smithsonian CfA  
380 Martin Fenner, DataCite  
381 Darel Finkbeiner, OSTI  
382 Ian Gent, University of St Andrews, recomputation.org  
383 Carole Goble, The University of Manchester, Software Sustainability Institute  
384 Paul Groth, Elsevier Labs  
385 Melissa Haendel, Oregon Health and Science University  
386 Stephanie Hagstrom, FORCE11  
387 Robert Hanisch, National Institute of Standards and Technology, One Degree Imager  
388 Edwin Henneken, Harvard-Smithsonian CfA  
389 Ivan Herman, World Wide Web Consortium (W3C)  
390 James Howison, University of Texas  
391 Lorraine Hwang, University of California, Davis  
392 Thomas Ingraham, F1000Research  
393 Matthew B. Jones, NCEAS, University of California, Santa Barbara  
394 Catherine Jones, Science and Technology Facilities Council  
395 Daniel S. Katz, University of Illinois (co-chair)  
396 Alexander Konovalov, University of St Andrews  
397 John Kratz, California Digital Library

398 Jennifer Lin, Public Library of Science  
399 Frank Löffler, Louisiana State University  
400 Brian Matthews, Science and Technology Facilities Council  
401 Abigail Cabunoc Mayes, Mozilla Science Lab  
402 Daniel Mietchen, National Institutes of Health  
403 Bill Mills, TRIUMF  
404 Evan Misshula, CUNY Graduate Center  
405 August Muench, American Astronomical Society  
406 Fiona Murphy, Independent Researcher  
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408 Kyle E. Niemeyer, Oregon State University (co-chair)  
409 Karthik Ram, University of California, Berkeley  
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411 Ashley Sands, University of California, Los Angeles  
412 Soren Scott, Independent Researcher  
413 Frank J. Seinstra, Netherlands eScience Center  
414 Arfon Smith, GitHub (co-chair)  
415 Kaitlin Thaney, Mozilla Science Lab  
416 Ilian Todorov, Science and Technology Facilities Council  
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418 Miguel de Val-Borro, Princeton University  
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