



NISO RP-35-2020

JATS4R Preprint Citations

*A Recommended Practice of the
National Information Standards Organization*

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JATS4R Preprint Citations

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*ASAPBio preprint working group members (Members: Hannah Hope, Wellcome; Richard Sever, bioRxiv; Michael Markie, F1000; Brooks Hanson, AGU; Jessica Polka, ASAPbio; Melissa Harrison, eLife; Emily Marchant, CUP)

Context

<element-citation> and <mixed-citation> and elements contained therein.

Description

In order to differentiate cited preprint articles from journal articles we recommend that a value of “preprint” is used to populate the @publication-type attribute when citing the article as it was published on the preprint server.

Preprints have not been certified by journal-organized peer review. Most preprint servers apply some screening before a preprint is posted. Also, some preprints receive some form of review (e.g., Review Commons) and may have improved as a result, but the important difference is that the preprint version precedes journal acceptance.

Note, JATS4R does not have a position on publishing practices; whether a journal updates preprint citations to journal citations should the article be subsequently published in a journal is up to the individual journal policy.

This recommendation applies to JATS 1.0 and forward.

Recommendations

1. **@publication-type="preprint"** on <mixed-citation> or <element-citation>
Use “preprint” as the value of @publication-type to indicate that the citation is a preprint.

2. **@person-group-type** on <person-group> is required.

[[Validator tool result: Error if **@person-group-type** not present and **@publication-type="preprint"**]]

3. **<name> / <string-name> / <collab>**. As per existing JATS4R recommendations on general [citations](#), the <name> or <string-name> element should be used for an individual named author. Use <name> when the parent element is <element-citation>, and <string-name> when the parent is <mixed-citation>. When groups of authors (consortia) are cited under a group name or an institution is cited as the contributor, the <collab> element should be used.

4. **<article-title>**. This is used for the title of the preprint article.

[[Validator tool result: Error if **<article-title>** not present and **@publication-type="preprint"**]]

5. **<source>**. This is used for the preprint platform name.

[[Validator tool result: Error if <source> not present and **@publication-type="preprint"**]]

6. **<pub-id>**. Preprint articles should have a persistent identifier (PID). If there is no PID then the URL of the preprint article (see <ext-link> below) should be present.

[[Validator tool result: Error if no **<pub-id>** or **<ext-link>** present]]

7. **@pub-id-type** on <pub-id>. A typical id type will be “doi” or, for example “arxiv”

8. **@assigning-authority** on <pub-id>. It is not necessary to add this information but if the publisher chooses to they must ensure the assigning-authority is correct. For example, not all DOIs are minted by Crossref, DataCite is another popular DOI provider.

9. **<ext-link>**. This should be used to capture the URL of the cited preprint ONLY if no PID is provided. The @xmlns:xlink attribute should be used to capture the full URL without the use of entities. As per the [JATS Tag Library](#), the @ext-link-type attribute should indicate the type of resource to which the link points. A list of commonly used values can be found [in the PMC Tagging Guidelines](#).

10. **<year>** is sufficient detail when providing a date for citations. It’s recommended that as much detail as possible is recorded in **<date>**

[[Validator tool result: Error if year is non-integer and there is no @iso-8601-date.]]

11. **@iso-8601-date** attribute on <date> is only required if the element content of <year> is non-integer. Otherwise it is recommended.

[[Validator tool result: Error if the year extracted from @iso-8601-date attribute does not match the numeric digits in the <year> element]]

12. **<date date-type="published">**. If you have more details than just the year, this should be used for full publication date of the preprint instead of <year>

[[Validator tool result: Validator error if use both year and date and error if both absent]]

13. **<date-in-citation content-type="access-date">**. It's recommended that for preprint citations an access date be recorded with <year>, <month>, and <day>. If an access time is available, it can be included in the @iso-8601-date.

[[Validator tool result: Warning if date-in-citation[@content-type eq 'access-date'] is absent.]]

Examples

Preprint citation with DOI:

```
<ref id="bib3">
  <element-citation publication-type="preprint">
    <person-group person-group-type="author">
      <name><surname>Bloss</surname><given-names>CS</given-names></name>
      <name><surname>Wineinger</surname><given-names>NE</given-names></name>
      <name><surname>Peters</surname><given-names>M</given-names></name>
      <name><surname>Boeldt</surname><given-names>DL</given-names></name>
      <name><surname>Ariniello</surname><given-names>L</given-names></name>
      <name><surname>Kim</surname><given-names>JY</given-names></name>
      <name><surname>Sheard</surname><given-names>J</given-names></name>
      <name><surname>Komatireddy</surname><given-names>R</given-names></name>
      <name><surname>Barrett</surname><given-names>P</given-names></name>
      <name><surname>Topol</surname><given-names>EJ</given-names></name>
    </person-group>
    <year iso-8601-date="2016">2016</year>
    <article-title>A prospective randomized trial examining health care utilization in individuals using
multiple smartphone-enabled biosensors</article-title>
    <source>bioRxiv</source>
```

```

    <pub-id pub-id-type="doi">10.1101/029983</pub-id>
  </element-citation>
</ref>

```

Preprint citation with DOI and full date:

```

<ref id="bib3">
  <element-citation publication-type="preprint">
    <person-group person-group-type="author">
      <name><surname>Hu</surname><given-names>X</given-names></name>
      <name><surname>Chen</surname><given-names>D</given-names></name>
      <name><surname>Wu</surname><given-names>L</given-names></name>
      <name><surname>He</surname><given-names>G</given-names></name>
      <name><surname>Ye</surname><given-names>W</given-names></name>
    </person-group>
    <date date-type="published" iso-8601-date="2020-03-02">
      <day>2</day>
      <month>March</month>
      <year>2020</year>
    </date>
    <article-title>Low Serum Cholesterol Level Among Patients with COVID-19 Infection in Wenzhou,
China</article-title>
    <source>SSRN</source>
    <pub-id pub-id-type="doi">10.2139/ssrn.3544826</pub-id>
  </element-citation>
</ref>

```

Citation to a version of a preprint where the versions have separate DOIs:

```

<ref id="bib3">
  <element-citation publication-type="preprint">
    <person-group person-group-type="author">
      <name><surname>Nyhan</surname><given-names>B</given-names></name>
      <name><surname>Helmke</surname><given-names>G</given-names></name>
      <name><surname>Sanders</surname><given-names>M</given-names></name>
      <name><surname>Clayton</surname><given-names>K</given-names></name>
      <name><surname>Carey</surname><given-names>J</given-names></name>
      <name><surname>Stokes</surname><given-names>S</given-names></name>
    </person-group>
    <year iso-8601-date="2019">2019</year>
    <article-title>Who Will Defend Democracy? Evaluating Tradeoffs in Candidate Support Among
Partisan Donors and Voters</article-title>
    <source>APSA Preprints</source>
  </element-citation>
</ref>

```

```

    <pub-id pub-id-type="doi">10.33774/apsa-2019-wjva3-v3</pub-id>
  </element-citation>
</ref>

```

Citation to a new version of a preprint where the versions do not have separate DOIs:

```

<ref id="bib3">
  <element-citation publication-type="preprint">
    <person-group person-group-type="author">
      <name><surname>Ding</surname><given-names>SS</given-names></name>
      <name><surname>Muhle</surname><given-names>LS</given-names></name>
      <name><surname>Brown</surname><given-names>AEX</given-names></name>
      <name><surname>Schumacher</surname><given-names>LJ</given-names></name>
      <name><surname>Endres</surname><given-names>RG</given-names></name>
    </person-group>
    <year iso-8601-date="2019">2019</year>
    <article-title>Comparison of solitary and collective foraging strategies of Caenorhabditis
elegans in patchy food distributions</article-title>
    <source>bioRxiv</source>
    <pub-id pub-id-type="doi">10.1101/744649</pub-id>
    <date-in-citation content-type="access-date" iso-8601-date="2020-02-03">February 3,
2020</date-in-citation>
  </element-citation>
</ref>

```

Citation to a preprint that does not have a DOI, but a PID:

```

<ref id="bib3">
  <element-citation publication-type="preprint">
    <person-group person-group-type="author">
      <name><surname>Liu</surname><given-names>T</given-names></name>
      <name><surname>Wang</surname><given-names>X</given-names></name>
      <name><surname>Wang</surname><given-names>H</given-names></name>
      <name><surname>Shi</surname><given-names>G</given-names></name>
      <name><surname>Gao</surname><given-names>F</given-names></name>
      <name><surname>Feng</surname><given-names>H</given-names></name>
      <name><surname>Deng</surname><given-names>H</given-names></name>
      <name><surname>Hu</surname><given-names>L</given-names></name>
      <name><surname>Lochner</surname><given-names>E</given-names></name>
      <name><surname>Schlottmann</surname><given-names>P</given-names></name>
      <name><surname>von Molnár</surname><given-names>S</given-names></name>
      <name><surname>Li</surname><given-names>Y</given-names></name>
      <name><surname>Zhao</surname><given-names>J</given-names></name>
    </person-group>
  </element-citation>
</ref>

```

```

    <name><surname>Xiong</surname><given-names>P</given-names></name>
  </person-group>
  <year iso-8601-date="2001">2001</year>
  <article-title>Spin selectivity through chiral polyalanine monolayers on
semiconductors</article-title>
  <source>arXiv</source>
  <pub-id pub-id-type="arxiv">2001.00097</pub-id>
</element-citation>
</ref>

```

Preprint that does not have a PID:

```

<ref id="bib3">
  <element-citation publication-type="preprint">
    <person-group person-group-type="author">
      <name><surname>Barkeloo</surname><given-names>JE</given-names></name>
      <name><surname>Cripe</surname><given-names>T</given-names></name>
      <name><surname>Guo</surname><given-names>L</given-names></name>
      <name><surname>Laymon</surname><given-names>R</given-names></name>
      <name><surname>Pomposiello</surname><given-names>P</given-names></name>
      <name><surname>Staines</surname><given-names>H</given-names></name>
      <name><surname>Su</surname><given-names>S</given-names></name>
    </person-group>
    <year iso-8601-date="2017">2017</year>
    <article-title>A philosophy for Opening Biotechnology Collaboration for Therapeutics</article-title>
    <source>Therapoid</source>
    <ext-link ext-link-type="uri"
xlink:href="https://https://therapoid.net/en/preprint/manuscript-21/">https://therapoid.net/en/prepri
nt/manuscript-21/</ext-link>
  </element-citation>
</ref>

```

Preprint with a full date using <mixed-citation>:

```

<ref id="cit0040">
  <mixed-citation publication-type="preprint">
    <person-group person-group-type="author">
      <string-name>
        <surname>Gazal</surname>, <given-names>S.</given-names>
      </string-name>,
      <string-name>
        <surname>Marquez-Luna</surname>, <given-names>C.</given-names>
      </string-name>,

```



```

    <string-name>
      <surname>Finucane</surname>, <given-names>H. K.</given-names>
    </string-name>, and
    <string-name>
      <surname>Price</surname>, <given-names>A. L.</given-names>
    </string-name>
  </person-group>
  (<date date-type="published" iso-8601-date="2018-08-16">
    <day>16</day>
    <month>October</month>
    <year>2018</year>
  </date>).
  <article-title>Reconciling S-LDSC and LDAK models and functional enrichment
  estimates</article-title>.
  <source>bioRxiv</source>.
  <pub-id pub-id-type="doi">10.1101/256412</pub-id>.
</mixed-citation>
</ref>

```

Mixed-citation example without DOI:

```

<ref id="bib1">
  <mixed-citation publication-type="preprint">
    <person-group person-group-type="author">
      <string-name>
        <surname>Jana</surname>, <given-names>S.</given-names>
      </string-name>, and
      <string-name>
        <surname>Mandal</surname>, <given-names>S.</given-names>
      </string-name>
    </person-group>
    (<year>2020</year>).
    <article-title>A comparative study of endoscopic and conventional septoplasty</article-title>.
    <source>Therapoid</source>.
    <ext-link ext-link-type="uri"
  xlink:href="https://therapoid.net/en/preprint/manuscript-27/">https://therapoid.net/en/preprint/man
  uscript-27/</ext-link>
  </mixed-citation>
</ref>

```