NOAA Technical Information Series NESDIS
DSMR-00026 Version 1.0

doi:10.25923/622t-wz03

Data Stewardship Maturity Report for Monterey, California 1/3 arc-second NAVD 88 Coastal Digital Elevation Model

Table 1 Legend				
Level 1	Level 2	Level 3	Level 4	Level 5
Ad Hoc	Minimal	Intermediate	Advanced	Optimal
Little or no management	Limited Management	Defined Management, partially implemented	Well-defined Management, fully implemented	Full Management, audited, measured, controlled

Table 1. Scores for the Nine DSMM Key Components at a Glance		
Preservability - 5	Accessibility - 4.5	Usability - 3
Production Sustainability - 4	Data Quality Assurance - 3	Data Quality Control/Monitoring - 3.5
Data Quality Assessment - 2.5	Transparency/Traceability - 2.5	Data Integrity - 3.5

NOAA National Centers for Environmental Information January 2020

U.S. DEPARTMENT OF COMMERCE
National Oceanic and Atmospheric Administration
National Environmental Satellite, Data, and Information Service

Cover Image: Data Stewardship Rating Diagram for Monterey, California 1/3 arc-second NAVD 88 Coastal Digital Elevation Model

Shades of green are used to represent level 1 through level 5 ratings; denoting Ad Hoc, Minimal, Intermediate, Advanced, and Optimal stages for each of the nine key components, respectively. The dark green level indicates all the practices are completely satisfied. The lighter green levels indicate only some of the practices are satisfied. The lightest green level indicates none of the practices are satisfied.

The stewardship maturity of NCEI data product, Monterey, California 1/3 arc-second NAVD 88 Coastal Digital Elevation Model, is assessed based on a reference stewardship maturity framework. The current maturity ratings of Monterey, California 1/3 arc-second NAVD 88 Coastal Digital Elevation Model are at Level 1 or higher for all nine key components with zero Level 1, two Level 2, four Level 3, two Level 4, and one Level 5 key components.

NOAA Technical Memorandum Series
National Environmental Satellite, Data, and Information Service

The National Environmental Satellite, Data, and Information Service (NESDIS) manages the Nation's civil Earth-observing satellite systems, as well as global national data bases for meteorology, oceanography, geophysics, and solar-terrestrial sciences. From these sources, it develops and disseminates environmental data and information products critical to the protection of life and property, national defense, and the national economy, energy development and distribution, global food supplies, and the development of natural resources.

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ASSESSMENT REVISION HISTORY

Revision	Description	Date
V01r00	Initial Release	10/27/2021

NOAA Technical Information Series NESDIS DSMR-00026

Version 1.0

doi:10.25923/622t-wz03

Data Stewardship Maturity Report for Monterey, California 1/3 arc-second NAVD 88 Coastal Digital Elevation Model

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Recommended Citation

Paul Lemieux III, Katy Luquire. (2021), Data stewardship maturity report for Monterey, California 1/3 arc-second NAVD 88 Coastal Digital Elevation Model

NOAA/NESDIS Technical Report DSMR-00026, 20pp.,
doi:10.25923/622t-wz03

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Preface

In response to the President's Open Government Initiative and related policies, NOAA has committed to providing improved public access to all of its environmental information, to enable research and commercial innovation through ease of data discovery and use [*Casey*, 2016].

OneStop supports NOAA's efforts by leveraging existing access technologies and infusing specific innovations to provide improved discover, access, and visualization services for NOAA's data. Also, OneStop is viewed by a NESDIS as a pathfinder effort with an initial focus on selected high-priority datasets from NESDIS and other program data meeting OneStop standards, but eventually scalable across NOAA's data. Lastly, OneStop is implementing the USGEO Common Framework for Earth Observation Data and leveraging/supporting the NOAA Big Data Project (BDP) and Big Earth Data Initiative (BEDI) [*Casey*, 2016].

As with any process of improvement planning, agencies need to find out where they are in terms of their compliance to the federal regulations and what they need to do if any areas of non-compliance are identified. To this end, a unified framework would be beneficial for assessing the current stage of stewardship practices applied to individual datasets and for providing a road map that will guide future investments towards enhanced stewardship of environmental datasets. The value and quality of a dataset depends in part on the stewardship practices applied after its development and production. Therefore, a unified framework providing a holistic view of the quality of stewardship practices applied to individual datasets is beneficial to data stewards and users [*Casey*, 2016].

The data stewardship maturity matrix (DSMM), jointly developed by domain (data management, technology, and science) subject matter experts from NOAA's National Centers for Environmental Information (NCEI) and Cooperative Institute for Climate and Satellites – North Carolina (CICS-NC), provides such a consistent framework [*Peng et al.,* 2016]. The DSMM, leveraging institutional knowledge and community practices and standards, defines a graduated maturity scale for each of nine key components of scientific data stewardship to enable a consistent assessment of the measurable stewardship practices applied to a given data set or product.

The NOAA data stewardship maturity technical series captures stewardship maturity assessment results for individual datasets, provides consistent representation and citable documents of those assessments, ensures transparency, and allows better data quality information integration and content-based search and discovery of NOAA data.

NOAA Technical Report NESDIS DSMR-00026

Data Stewardship Maturity Report for Monterey, California 1/3 arc-second NAVD 88 Coastal Digital Elevation Model

1. Introduction

1.1 Purpose

The purpose of this document is to describe the results of stewardship maturity assessment for NOAA Climate Data Record for Mean Layer Temperature (Upper Troposphere & Lower Stratosphere from UCAR, Version 2, utilizing the Scientific Data Stewardship Maturity Matrix or DSMM [Peng, et al, 2016]. DSMM defines levels of stewardship maturity stages for Preservability, Accessibility, Usability, Production Sustainability, Data Quality Assurance, Data Quality Control/Monitoring, Data Quality Assessment, Transparency/Traceability, and Data Integrity key components. Each of these components is ranked from 'Ad hoc' to 'Optimal' (see Appendix I). This report is based on evaluation performed by NOAA OneStop metadata specialists working with Subject Matter Experts and utilizing the DSMM template [Peng, 2016].

1.2 Scope

Assessing stewardship maturity - the current state of how datasets are documented, preserved, stewarded, and made accessible publicly, is a critical step towards meeting U.S. federal regulations, organizational requirements, and user needs [Peng et al., 2016]. The goal of this document is to provide consistent and transparent stewardship maturity information to data users and decision-makers.

1.3 Dataset Abstract

NOAA's National Geophysical Data Center (NGDC) is building high-resolution digital elevation models (DEMs) for select U.S. coastal regions. These integrated bathymetric-topographic DEMs are used to support tsunami forecasting and modeling efforts at the NOAA Center for Tsunami Research, Pacific Marine Environmental Laboratory (PMEL). The DEMs are part of the tsunami forecast system SIFT (Short-term Inundation Forecasting for Tsunamis) currently being developed by PMEL for the NOAA Tsunami Warning Centers, and are used in the MOST (Method of Splitting Tsunami) model developed by PMEL to simulate tsunami generation, propagation, and inundation. Bathymetric, topographic, and shoreline data used in DEM compilation are obtained from various sources, including NGDC, the U.S. National Ocean Service (NOS), the U.S. Geological Survey (USGS), the U.S. Army Corps of Engineers (USACE), the Federal Emergency Management Agency (FEMA), and other federal, state, and local government agencies, academic institutions, and private companies. DEMs are referenced to the vertical tidal datum of Mean High Water (MHW) and horizontal datum of World Geodetic System 1984 (WGS84). Grid spacings for the DEMs range from 1/3 arc-second (~10 meters) to 3 arc-seconds (~90 meters).

1.4 Document Maintenance

This document is generated and maintained by NOAA's National Centers for Environmental Information. More on policy is available at https://www.ncei.noaa.gov/.

2. Results

The data stewardship maturity assessment information is summarized in Table 1. Each component is displayed along with its corresponding score in a color-coded table.

Table 2. Dataset and Data Stewardship Maturity Assessment Metadata	
Dataset Title	Monterey, California 1/3 arc-second NAVD 88 Coastal Digital Elevation Model
Dataset Information URL	https://www.ncei.noaa.gov/metadata/geoportal/rest/metadata/item/gov.noaa.ngdc.mgg.dem:3544/html
Data Provider POC (name; email; affiliation)	NOAA National Centers for Environmental Information (NCEI), dem.info@noaa.gov
Dataset POC (name; email; affiliation)	Barry Eakins, Barry.Eakins@noaa.gov, National Centers for Environmental Information (NCEI); Dan Kowal, Dan.Kowal@noaa.gov, NOAA National Centers for Environmental Information (NCEI)
SMM Version (Document ID and Version Number)	NCDC-CICS-SMM_0001_Rev.1 12/09/2014
SMM POC (Name; E-mail; Affiliation)	Ge Peng, ge.peng@uah.edu, University of Alabama-Huntsville
SMM Template Version (Document ID and Version Numbers)	NCDC-CICS-SMM_0001_Rev.1 v4.0 06/23/2015
SMM Template POC	Ge Peng, ge.peng@uah.edu, University of Alabama-Huntsville
SMM Assessment Version (v<nn>r<mm>, e.g., v01r00)	v02r02
SMM Assessment Date (MM/DD/YYYY)	02/22/2017
SMM Assessment POC (Name; E-mail; Affiliation)	Paul Lemieux III, paul.lemieux@noaa.gov, Earth Resources Technology, Inc.
Stewardship Maturity Ratings (each key component) (kc1/kc2/kc3/kc4/kc5/kc6/kc7/kc8/kc9)	5 / 4.5 / 3 / 4 / 3 / 3.5 / 2.5 / 2.5 / 3.5
SMM Original Assessment Date (MM/DD/YYYY)	06/20/2016
SMM Original Assessment POC (Name; E-mail; Affiliation)	Paul Lemieux III, paul.lemieux@noaa.gov, Earth Resources Technology, Inc.
SMM Last Modified Date (MM/DD/YYYY)	09/29/2021
SMM Last Modification POC (Name; E-mail; Affiliation)	Katy Luquire, catherine.luquire@noaa.gov , CASE Consultants International
SMM Modified Date (MM/DD/YYYY)	04/17/2019
SMM Modification POC (Name; E-mail; Affiliation)	Paul Lemieux III, paul.lemieux@noaa.gov, Riverside Technology, Inc.

Table 3. Stewardship Maturity Levels and Detailed Justifications for Each of Nine DSMM Key Components for the Dataset.	
DSMM Key Component	Stewardship Maturity Rating, Justification, and Comments
Preservability	Level 5 ▪ Conforms to NCEI archive guidelines which are OAIS RM and NARA compliant. ▪ Conforms to ISO 19115-2 metadata standards. ▪ Plans in place to upgrade to newer ISO 19115-1 metadata standard. ▪ Products managed per the submission agreement (SA). ▪ Archive procedures and processes are managed and Trustworthy Digital Repositories (TDR) audit in place. ▪ Annual reviews per the SA. Comments: The assessment does not apply to the source data used to create this DEM
Accessibility	Level 4.5 ▪ DEMs available through multiple data services (search forms, mapping, geoportal): https://www.ngdc.noaa.gov/mgg/coastal/coastal.html ▪ Each DEM is a collection and individual DEMs are discoverable by different attributes. ▪ Dissemination reports available internally but not online. ▪ New technology for OneStop search and discovery planned (i.e. ElasticSearch, Hyrax Servers, etc.) This dataset is part of the DEM data group that will be OneStop ready Comments: No comments
Usability	Level 3 ▪ Community standard format (ASCII) and metadata (ISO 19115). ▪ Source code from MBSystem, primary software used for generating DEMs is available as community software but other source code of COTs software used in the process is not available due to licensing agreements. ▪ DEM development report [Grothe, Taylor, Eakins, et al., 2012] describing workflows are available online: https://www.ncei.noaa.gov/metadata/geoportal/rest/metadata/item/gov.noaa.ngdc.mgg.dem:3544/html Comments: No subsetting or aggregating options available No known external rankings
Production Sustainability	Level 4 ▪ Coastal Science Team is a NOAA internal group dedicated to supporting DEMs. ▪ Contracts negotiated annually for DEMs with funding programs. ▪ Product improvement process based on user feedback in place. Comments: No comments

Table 3. Stewardship Maturity Levels and Detailed Justifications for Each of Nine DSMM Key Components for the Dataset.	
DSMM Key Component	Stewardship Maturity Rating, Justification, and Comments
Data Quality Assurance	Level 3 ▪ Metadata and technical reports describe quality assessments performed on the products. ▪ Evaluation of source data and "defect detection" are critical parts of DEM development. ▪ For additional data quality assessment information see the DEM Development Report [Grothe, Taylor, Eakins, et al., 2012] available online here: https://www.ncei.noaa.gov/metadata/geoportal/rest/metadata/item/gov.noaa.ngdc.mgg.dem:3544/html Comments: No known external review
Data Quality Control/ Monitoring	Level 3.5 ▪ DQA procedures [Grothe, Taylor, Eakins, et al., 2012] are defined and available online here: https://www.ncei.noaa.gov/metadata/geoportal/rest/metadata/item/gov.noaa.ngdc.mgg.dem:3544/html ▪ Evaluation of source data and "defect detection" are paramount in the development of the DEMs. Comments: User feedback process in place
Data Quality Assessment	Level 2.5 ▪ Research assessment in the DEM development report [Grothe, Taylor, Eakins, et al., 2012] available online here: https://www.ncei.noaa.gov/metadata/geoportal/rest/metadata/item/gov.noaa.ngdc.mgg.dem: 3544/html ▪ Some operational products are assessed by the modeling community. Comments: No known external rankings

Table 3. Stewardship Maturity Levels and Detailed Justifications for Each of Nine DSMM Key Components for the Dataset.	
DSMM Key Component	Stewardship Maturity Rating, Justification, and Comments
Transparency / Traceability	Level 2.5 ▪ Software information available internally but not online due to licensing agreements. ▪ Technical report [Grothe, Taylor, Eakins, et al., 2012] available online that document workflows: https://www.ncei.noaa.gov/metadata/geoportal/rest/metadata/item/gov.noaa.ngdc.mgg.dem: 3544/html Product information available in literature [Eakins and Grothe, 2014] ▪ available online here: https://doi.org/10.2112/JCOASTRES--13-00192.1 OID assigned: gov.noaa.ngdc.mgg.dem:3544 ▪ Comments: No DOI assigned DEMs are not under any CM
Data Integrity	Level 3.5 ▪ The archive compressed source data and DEM final products. The compressed file contains an internal checksum which could be used for obtaining MD5 checksums for AIPs. ▪ Final DEMs and support data goes through NCEI's Enterprise Ingest systems, checksums are computed per SIP, verified and stored in a tracking database with other information from the AIP. Comments: No comments

3. Acknowledgment

This work is supported by the NOAA OneStop Project.

We thank the dataset POCs for their valuable input, as well as the collaborative efforts of the OneStop teams, especially the Metadata team. We would also like to show appreciation to Ge Peng for her contributions.

The draft of this data stewardship maturity report is systematically generated by a tool created by Kieran Hodnett and populated with the stewardship maturity assessment done by the author(s) of this report. The tool was developed based on a Word template created collaboratively by Robert Partee II, Raisa Ionin, Paul Lemieux III, Ge Peng, Don Collins, and Sonny Zinn with helpful input from the NOAA Central Library and the NCEI Communication Team.

4. References

Casey, K. (2016), The NOAA OneStop data discover and access framework project, Version: June 3, 2016. https://cdn.ioos.noaa.gov/media/2017/12/OneStop-IOOS-DMAC-03-June-2016.pdf

Peng, G. (2015) The scientific data stewardship maturity assessment model template, Version: NCDC-CICS-SMM-0001-Rev.1 v4.0 6/23/2015. doi:10.6084/m9.figshare.1211954.

Peng, G., J.L. Privette, E.J. Kearns, N.A. Ritchey, and S. Ansari (2015), A unified framework for measuring stewardship practices applied to digital environmental datasets, *Data Science Journal*, 13, 231-253, doi: 10.2481/dsj.14-049.

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Easkins, B., and Grothe, P., (2014), Challenges in building coastal digital elevation models, _Journal of Coastal Research_, 30(5), 942—953, doi:10.2112/JCOASTRES-D-13-00192.1.

Appendix I: The Scientific Data Stewardship Maturity Matrix (DSMM)

Table A1: This matrix (Version: NCDC-CICS-SMM-0001-Rev.1. 12/09/2014) describes the criterion used to evaluate data stewardship maturity for each of the nine DSMM key components [*Peng et al.*, 2015]

DSMM Component	**Level 1** ***Ad hoc*** Little or no management	**Level 2** ***Minimal*** Limited management	**Level 3** ***Intermediate*** Defined management, partially implemented	**Level 4** ***Advanced*** Well-defined management, fully implemented	**Level 5** ***Optimal*** Full management, audited, measured, controlled
Preservability *(The state of being preservable)*	Any storage location Data only	Non-designated repository Redundancy Limited archiving metadata	Designated archive Redundancy Community-standard archiving metadata Conforming to limited archiving standards	Level 3 + Conforming to community archiving standards	Level 4 + Archiving process performance controlled, measured, and audited Future archiving standard changes planned
Accessibility *(The state of being searchable and accessible publicly)*	Not publically available person-to-person	Publically available direct file download (e.g., via anonymous FTP server) Collection or dataset level searchable online	Level 2 + Non-standard data service Limited data server performance Granule/file level searchable Limited search metrics	Level 3 + Community-standard data service Enhanced data server performance Conforming to community search metrics Dissemination report metrics defined and implemented internally	Level 4 + Dissemination reports available online Future technology and standard changes planned

Usability *(The state of being easy to use)*	Extensive product-specific knowledge required No documentation online	Non-standard data format Limited documentation (e.g., user's guide online)	Community standard-based interoperable format & metadata Documentation (e.g. source code, product algorithm document, processing or/and data flow diagram) online	Level 3 + Basic capability (e.g., subsetting, aggregating) & data characterization overall/global, e.g., climatology, error estimates) available online	Level 4 + Enhanced online capability (e.g., visualization, multiple data formats) Community metrics of data characterization (regional/cell) online External ranking
Production Sustainability *(The state of data production being sustainable and extendable)*	Ad Hoc or Not applicable To obligation or deliverable requirement	Short-term Individual PI's commitment (grant obligations)	Medium-term Institutional commitment (contractual deliverables with specs and schedule defined)	Long-term Institutional commitment Product improvement process in place	Level 4 + National or international commitment Changes for echnology planned
Data Quality Assurance *(The state of data quality being assured)*	Data quality assurance (DQA) procedure unknown or none	Ad Hoc and random QA procedure not defined and documented	DQA procedure defined and documented and partially implemented	DQA procedure well documented, fully implemented and available online with master reference data Limited data quality assurance metadata	Level 4 + DQA procedure monitored and reported Conforming to community quality metadata & standards External review

Data Quality Control/ Monitoring *The state of data quality being controlled and monitored*	None or Sampling unknown or spotty Analysis unknown or random in time	Sampling and analysis are regular in time and space Limited product-specific metrics defined & implemented	Level 2 + Sampling and analysis are frequent and systematic but not automatic Community metrics defined and partially implemented Procedure documented and available online	Level 3 + Anomaly detection procedure well-documente d and fully implemented using community metrics, automatic, tracked and reported Limited quality monitoring metadata	Level 4 + Cross-validation of temporal & spatial characteristics Physical consistency check Conforming to community quality metadata & standards
Data Quality Assessment *(The state of data quality being assessed)*	Algorithm/ method/model Theoretical basis assessed (methods and results online)	Level 1 + Research product assessed (methods and results online)	Level 2 + Operational product assessed (methods and results online)	Level 3 + Quality metadata assessed Limited quality assessment metadata	Level 4 + Assessment performed on a recurring basis Conforming to community quality metadata & standards External ranking
Transparency/ Traceability *(The state of being transparent, trackable, and traceable)*	Limited product information available Person-to-person	Product information available in literature	Algorithm Theoretical Basis Document (ATBD) & source code online Dataset configuration managed (CM) Unique Object Identifier (OID) assigned (dataset, documentation, source code) Data citation tracked (e.g., utilizing Digital Object Identifier	Level 3 + Operational Algorithm Description (OAD) online, OID assigned, and under CM	Level 4 + System information online Complete data provenance online

Data Integrity *(The state of data integrity being verifiable)*	Unknown or no data ingest integrity check	Data ingest integrity verifiable (e.g, checksum technology)	(DOI) system) Level 2 + Data archive integrity verifiable	Level 3 + Data access integrity verifiable Conforming to community data integrity technology standard	Level 4 + Data authenticity verifiable (e.g., data signature technology) Performance of data integrity check monitored and reported