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**Data Stewardship Maturity Report for NUCAPS: NOAA Unique Combined
Atmospheric Processing System Outgoing Longwave Radiation (OLR)**

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 - 4.5	Accessibility - 5	Usability - 4.5
Production Sustainability - 4	Data Quality Assurance - 3.5	Data Quality Control/Monitoring - 3
Data Quality Assessment - 3	Transparency/Traceability - 3.5	Data Integrity - 5

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National Environmental Satellite, Data, and Information Service

Cover Image: Data Stewardship Rating Diagram for NUCAPS: NOAA Unique Combined Atmospheric Processing System Outgoing Longwave Radiation (OLR)

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, NUCAPS: NOAA Unique Combined Atmospheric Processing System Outgoing Longwave Radiation (OLR), is assessed based on a reference stewardship maturity framework. The current maturity ratings of NUCAPS: NOAA Unique Combined Atmospheric Processing System Outgoing Longwave Radiation (OLR) are at Level 1 or higher for all nine key components with zero Level 1, zero Level 2, four Level 3, three Level 4, and two Level 5 key components.

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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Copies of earlier reports may be available by contacting NESDIS Chief of Staff, NOAA/ NESDIS, 1335 East-West Highway, SSMC1, Silver Spring, MD 20910, (301) 713-3578.

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Data Stewardship Maturity Report for NUCAPS: NOAA Unique Combined Atmospheric Processing System Outgoing Longwave Radiation (OLR)

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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 measureable 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.

Data Stewardship Maturity Report for NUCAPS: NOAA Unique Combined Atmospheric Processing System Outgoing Longwave Radiation (OLR)

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

This data set consists of Outgoing Longwave Radiation (OLR) from the NOAA Unique Combined Atmospheric Processing System (NUCAPS). NUCAPS was developed by the NOAA/NESDIS Center for Satellite Application and Research (STAR) and is produced operationally at the NOAA/NESDIS Office of Satellite and Product Operations (OSPO). The Cross-track Infrared Sounder (CrIS) onboard the Suomi National Polar-orbiting Partnership (S-NPP) satellite is a Fourier transform spectrometer with a total of 1,305 spectral channels covering the longwave IR (9.14 - 15.38 um), midwave IR (5.71 - 8.26 um) and shortwave IR (3.92 - 4.64 um) wavelengths. The Advanced Technology Microwave Sounder (ATMS) also onboard the S-NPP satellite is a cross-track scanner with 22 channels in spectral bands from 23 GHz through 183 GHz. Each product file encompasses one 32-second granule of data, corresponding to 4 scan lines of CrIS/ATMS data. The products are distributed in netCDF-4 file format with metadata attributes included.

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	NUCAPS: NOAA Unique Combined Atmospheric Processing System Outgoing Longwave Radiation (OLR)
Dataset Information URL	https://doi.org/10.7289/V5RV0KRF
Data Provider POC (Name; Email; Affiliation)	Customer Engagement Branch, ncei.sat.info@noaa.gov, DOC/NOAA/NESDIS/NCEI > National Centers for Environmental Information, NESDIS, NOAA, U.S. Department of Commerce
Dataset POC (Name; Email; Affiliation)	Mark Liu, quanhua.liu@noaa.gov, DOC/NOAA/NESDIS/STAR > Center for Satellite Applications and Research, NESDIS, NOAA, U.S. Department of Commerce
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)	06/07/2017
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)	4.5 / 5 / 4.5 / 4 / 3.5 / 3 / 3 / 3.5 / 5
SMM Original Assessment Date (MM/DD/YYYY)	10/17/2016
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)	10/07/2021
SMM Last Modification POC (Name; E-mail; Affiliation)	Lori Hager, lori.hager@noaa.gov, CASE Consultants International
SMM Modified Date (MM/DD/YYYY)	04/24/2019
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
<p>Preservability</p>	<p>Level 4.5</p> <ul style="list-style-type: none"> ▪ Archived by NCEI which is a NOAA designated archive compliant to NARA standards. ▪ Metadata following ISO 19115-2. ▪ Compliant to OIAS RM. ▪ Plans to update metadata to ISO 19115-1 at a later date and may be a pilot dataset for the OneStop initiative. ▪ Using CLASS. <p>Comments: CLASS is CMMI-Level 3. No external auditing of the archiving processes.</p>
<p>Accessibility</p>	<p>Level 5</p> <ul style="list-style-type: none"> ▪ Collection level searchable online. ▪ CLASS ordering: https://www.class.noaa.gov/saa/products/search?sub_id=0&datatype_family=JPSS_GRAN ▪ Granules searchable and orderable via CLASS. ▪ Direct file download available via CLASS FTP: ftp://ftp-npp.bou.class.noaa.gov/ ▪ CLASS has dissemination reports available internally and externally. Users have to e-mail the CLASS Help Desk to request access to the metrics tools. ▪ New technology for OneStop search and discovery planned (i.e. ElasticSearch, Hyrax Servers, etc.) This is part of the CDR data group that will be OneStop ready. <p>Comments: A CLASS improvement (GEARS) is in the works.</p>
<p>Usability</p>	<p>Level 4.5</p> <ul style="list-style-type: none"> ▪ Community standard netCDF data format following ACDD and CF conventions. ▪ CLASS has aggregating/subsetting options for downloads. ▪ Error estimates available in the ATBD [Gambacorta, 2013] available online here: https://www.star.nesdis.noaa.gov/jpss/Docs.php ▪ JPSS Visualization Long Term Monitoring (LTM) tool available for NUCAPS NDE products: https://www.star.nesdis.noaa.gov/jpss/EDRs/products_Soundings.php ▪ Additional visualization and documentation including a user’s manual [King, Zhang, Soulliard, et al., 2015] and a system maintenance manual [King, Zhang, Soulliard, et al., 2015] is available online at: https://www.ospo.noaa.gov/Products/atmosphere/soundings/nucaps/ <p>Comments: No known external rankings.</p>

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
Production Sustainability	<p>Level 5</p> <ul style="list-style-type: none"> ▪ Long-term institutional commitment from NESDIS to further develop and improve NOAA Unique Products (NUPs). ▪ National commitment from NWS AWIPS and NASA. ▪ Versioning process in place that captures upgrade history of the algorithm. ▪ Changes for processing environment technology planned as this product will transit out of NDE and into the new PDA hardware. <p>Comments: No comments.</p>
Data Quality Assurance	<p>Level 4.5</p> <ul style="list-style-type: none"> ▪ Quality assurance procedure documented in the ATBD [Gambacorta, 2013] available online here: https://www.star.nesdis.noaa.gov/jpss/Docs.php ▪ Data quality assurance plan [Mikles and Liu, 2016] is reviewed externally by stakeholders and is available here: https://www.star.nesdis.noaa.gov/jpss/Docs.php. ▪ Quality flags available at the file level that can be considered limited data quality assurance metadata. <p>Comments: No comments.</p>
Data Quality Control/Monitoring	<p>Level 4.75</p> <ul style="list-style-type: none"> ▪ OSPO PAL will perform product quality monitoring as part of the Product Monitoring project (per the User’s Guide). ▪ Global cross-validation with ECMWF, NPROVS, AIRS, IASI, GPSRO, Op. RAOB, and Dedicated RAOB. ▪ Product quality is monitored by ESPC Ops and e-mail alerts are automatically generated when anomalies occur. ▪ Additional metadata file in XML format is generated with each file that contains statistical information that is used to monitor product data quality and processing status. It is used internally at OSPO by monitoring team. ▪ Users can contact the ESPC help desk 24/7 for information about the data product and they can resolve issues through coordination with the PAL. <p>Comments: No known physical consistency check.</p>

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
<p>Data Quality Assessment</p>	<p>Level 3.5</p> <ul style="list-style-type: none"> ▪ Beta & Provisional (Research) & Validated (Operational) product assessments are available in the algorithm maturity review documents available here: https://www.star.nesdis.noaa.gov/jpss/AlgorithmMaturity.php ▪ ATBD [Gambacorta, 2013] available online here: https://www.star.nesdis.noaa.gov/jpss/Docs.php ▪ Research product assessment [Gambacorta, Barnet, et al., n.d.] available online here: https://cimss.ssec.wisc.edu/itwg/itsc/itsc18/program/files/links/1.03_Gambacorta_pa.pdf ▪ Operational product assessment [Sun, Reale, et al, 2017] available online here: https://doi.org/10.1109/JSTARS.2017.2670504. ▪ Data quality assessment information in the auxiliary metadata file that is generated by the system. <p>Comments: No known external rankings.</p>
<p>Transparency / Traceability</p>	<p>Level 3.5</p> <ul style="list-style-type: none"> ▪ DOI: https://doi.org/10.7289/V5RV0KRF ▪ CLASS Assigned OID: NUCAPS_OLR ▪ Product information available in literature [Gambacorta, Barnet, et al., n.d.] and available online here: https://cimss.ssec.wisc.edu/itwg/itsc/itsc18/program/files/links/1.03_Gambacorta_pa.pdf ▪ ATBD [Gambacorta, 2013] available here: https://www.star.nesdis.noaa.gov/jpss/Docs.php ▪ Configuration Management Plan [Zhao, 2014] available online here: https://www.star.nesdis.noaa.gov/jpss/Docs.php <p>Comments: No OAD available.</p>
<p>Data Integrity</p>	<p>Level 5</p> <ul style="list-style-type: none"> ▪ CLASS offers data signatures option for downloads and checksums available. ▪ File level checksums are verified at ingest and at archive. ▪ CLASS maintains a copy of the checksum for validation during dissemination and that checksum is used for validation during the staging process when an order is fulfilled. ▪ Discrepancies identified in checksum validation are automatically reported to CLASS team for investigative purposes. <p>Comments: No comments.</p>

3. Acknowledgment

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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

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Mikles, V., and Liu, X., (2016), STAR JPSS Quality Assurance Plan v1.0, NOAA Center for Satellite Applications and Research, College Park, MD, retrieved online: <https://www.star.nesdis.noaa.gov/jpss/Docs.php> (accessed 2017 June 6).

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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 <i>Ad hoc</i> Little or no management	Level 2 <i>Minimal</i> Limited management	Level 3 <i>Intermediate</i> Defined management, partially implemented	Level 4 <i>Advanced</i> Well-defined management, fully implemented	Level 5 <i>Optimal</i> Full management, audited, measured, controlled
<i>Preservability</i> <i>(The state of being preservable)</i>	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
<i>Accessibility</i> <i>(The state of being searchable and accessible publicly)</i>	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

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

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

<p>Data Integrity</p> <p><i>(The state of data integrity being verifiable)</i></p>	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