

**NOAA Technical Information Series NESDIS  
DSMR-00261 Version 1.0**

doi: 10.25923/09y5-ax87



**Data Stewardship Maturity Report for Water Column Sonar Data**

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 - 3.25	Usability - 2
Production Sustainability - 5	Data Quality Assurance - 2	Data Quality Control/Monitoring - 2
Data Quality Assessment - 3.5	Transparency/Traceability - 2.25	Data Integrity - 3

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 Water Column Sonar Data

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, Water Column Sonar Data, is assessed based on a reference stewardship maturity framework. The current maturity ratings of Water Column Sonar Data are at Level 1 or higher for all nine key components with zero Level 1, four Level 2, three Level 3, one Level 4, and one 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.

## ASSESSMENT REVISION HISTORY

<b>Revision</b>	<b>Description</b>	<b>Date</b>
V01r00	Initial Release	12/27/2021

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Data Stewardship Maturity Report for Water Column Sonar Data

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**Recommended Citation**

Lori Hager, Robert Partee. (2021), Data Stewardship Maturity Report for Water Column Sonar Data, NOAA Technical Information Series NESDIS DSMR-00261 Version 1.0, 19pp., doi: 10.25923/09y5-ax87

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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 Water Column Sonar Data**

### **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**

The collection and analysis of water column sonar data is a relatively new avenue of research into the marine environment. Primary uses include assessing biological abundance, species identification, and habitat characterization. It is also useful for evaluating underwater gas seeps, characterizing the seafloor and bathymetry. The goals of this collection are to archive water column sonar data collected on NOAA, academic and international fleets, and to make the data available to researchers and the public around the world.

## **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**

<b>Dataset Title</b>	Water Column Sonar Data
<b>Dataset Information URL</b>	<a href="http://doi.org/10.7289/V5HT2M7C">http://doi.org/10.7289/V5HT2M7C</a>
<b>Data Provider POC (Name; Email; Affiliation)</b>	Carrie Wall-Bell, carrie.wall@noaa.gov, NOAA NCEI; Chuck Anderson, charles.anderson@noaa.gov, NOAA NCEI
<b>Dataset POC (Name; Email; Affiliation)</b>	Carrie Wall-Bell, carrie.wall@noaa.gov, NOAA NCEI; Chuck Anderson, charles.anderson@noaa.gov, NOAA NCEI
<b>SMM Version (Document ID and Version Number)</b>	NCDC-CICS-SMM_0001_Rev.1 12/09/2014
<b>SMM POC (Name; E-mail; Affiliation)</b>	Ge Peng, ge.peng@uah.edu, University of Alabama-Huntsville
<b>SMM Template Version (Document ID and Version Numbers)</b>	NCDC-CICS-SMM_0001_Rev.1 v4.0 06/23/2015
<b>SMM Template POC</b>	Ge Peng, ge.peng@uah.edu, University of Alabama-Huntsville
<b>SMM Assessment Version (v&lt;nn&gt;r&lt;mm&gt;, e.g., v01r00)</b>	v00r08
<b>SMM Assessment Date (MM/DD/YYYY)</b>	09/21/2016
<b>SMM Assessment POC (Name; E-mail; Affiliation)</b>	Robert Partee, robert.partee@noaa.gov, NOAA NCEI
<b>Stewardship Maturity Ratings (each key component) (kc1/kc2/kc3/kc4/kc5/kc6/kc7/kc8/kc9)</b>	4.5 / 3.25 / 2 / 5 / 2 / 2 / 3.5 / 2.25 / 3
<b>SMM Original Assessment Date (MM/DD/YYYY)</b>	08/18/2016
<b>SMM Original Assessment POC (Name; E-mail; Affiliation)</b>	Robert Partee, robert.partee@noaa.gov, NOAA NCEI
<b>SMM Last Modified Date (MM/DD/YYYY)</b>	11/04/2021
<b>SMM Last Modification POC (Name; E-mail; Affiliation)</b>	Lori Hager, lori.hager@noaa.gov, CASE Consultants International
<b>SMM Modified Date (MM/DD/YYYY)</b>	09/21/2016
<b>SMM Modification POC (Name; E-mail; Affiliation)</b>	Robert Partee, robert.partee@noaa.gov, NOAA NCEI

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
<b>Preservability</b>	<p>Level 4.5</p> <ul style="list-style-type: none"> <li>▪ Archived by NCEI which is a NOAA designated archive compliant to NARA standards.</li> <li>▪ Metadata following ISO 19115-2.</li> <li>▪ Compliant to OAIS RM.</li> <li>▪ Plans to update the metadata to ISO 19115-1 at a later date and will be a pilot dataset for the OneStop initiative.</li> <li>▪ Multiple access points provide several layers of redundancy.</li> </ul> <p>Comments: Audits are not performed.</p>
<b>Accessibility</b>	<p>Level 3.25</p> <ul style="list-style-type: none"> <li>▪ Publicly available with direct file download: <a href="http://doi.org/10.7289/V5HT2M7C">http://doi.org/10.7289/V5HT2M7C</a></li> <li>▪ Collection and granule searchable: <a href="http://www.ngdc.noaa.gov/mgg/wcd/citations.html">http://www.ngdc.noaa.gov/mgg/wcd/citations.html</a></li> <li>▪ New technology for OneStop search and discovery planned (i.e. ElasticSearch, HyRaix Servers, et.). This part of the Water Column Sonar Data will be OneStop ready.</li> <li>▪ Dissemination report metrics are defined and implemented internally.</li> </ul> <p>Comments: Data does not conform to community search metrics. Data does not conform to community standards. Dissemination reports available online: <a href="https://sites.google.com/a/noaa.gov/nedis-nmfs-sonar-data-archive/">https://sites.google.com/a/noaa.gov/nedis-nmfs-sonar-data-archive/</a></p>
<b>Usability</b>	<p>Level 2 (2.5 for single beam)</p> <ul style="list-style-type: none"> <li>▪ Data visualization capability: <a href="http://www.ngdc.noaa.gov/maps/water_column_sonar/index.html">http://www.ngdc.noaa.gov/maps/water_column_sonar/index.html</a></li> <li>▪ Error estimates and are they available online?</li> <li>▪ Product and product algorithm available online? For the single beam: <a href="https://icesjms.oxfordjournals.org/content/early/2016/03/06/icesjms.fsw014.abstract">https://icesjms.oxfordjournals.org/content/early/2016/03/06/icesjms.fsw014.abstract</a> Links to manual and other documentation where?</li> <li>▪ Dataset allows for aggregated downloads.</li> </ul> <p>Comments: Format and metadata are not based on community standards. Error estimates are not available online.</p>
<b>Production Sustainability</b>	<p>Level 5</p> <ul style="list-style-type: none"> <li>▪ NCEI's partnership with all NOAA line offices and academia enables the long-term preservation of publicly funded data.</li> <li>▪ Many of the data management, discovery, and delivery tools developed to support the water column sonar data archive have a broader application across the Federal government and academic institutions, aiding not only fisheries management but also those interested in investigating essential fish habitats and even methane seeps.</li> </ul> <p>Comments:</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
<b>Data Quality Assurance</b>	<p>Level 2</p> <ul style="list-style-type: none"> <li>▪ The data are considered raw and have not been subjected to NOAA's quality control or quality assurance procedures: <a href="https://www.ngdc.noaa.gov/mgg/wcd/">https://www.ngdc.noaa.gov/mgg/wcd/</a></li> <li>▪ DQA procedure not defined and documented.</li> </ul> <p>Comments: No data quality assurance information in the metadata.</p>
<b>Data Quality Control/ Monitoring</b>	<p>Level 2</p> <ul style="list-style-type: none"> <li>▪ When possible, checksum values are compared to verify file integrity before being added to the archive.</li> </ul> <p>Comments: No other processing or quality control steps are applied to the data.</p>
<b>Data Quality Assessment</b>	<p>Level 3.5</p> <ul style="list-style-type: none"> <li>▪ Algorithm theoretical basis, research product, and operational product assessed: <a href="https://icesjms.oxfordjournals.org/content/64/6/1282.full">https://icesjms.oxfordjournals.org/content/64/6/1282.full</a></li> <li>▪ Data quality information in the metadata record.</li> </ul> <p>Comments:</p>
<b>Transparency / Traceability</b>	<p>Level 2.25 (Some will be 2.75)</p> <ul style="list-style-type: none"> <li>▪ Product information available in literature (However not locally): <a href="https://www.ngdc.noaa.gov/mgg/wcd/">https://www.ngdc.noaa.gov/mgg/wcd/</a></li> <li>▪ Data citation tracked (DOI: 10.7289/V5HT2M7C).</li> <li>▪ ATBD and source code available online (<a href="https://icesjms.oxfordjournals.org/content/early/2016/03/06/icesjms.fsw014.abstract">https://icesjms.oxfordjournals.org/content/early/2016/03/06/icesjms.fsw014.abstract</a>)</li> </ul> <p>Comments: No configuration management plan.</p>
<b>Data Integrity</b>	<p>Level 3</p> <ul style="list-style-type: none"> <li>▪ When possible, checksum values are compared to verify file integrity before being added to the archive.</li> </ul> <p>Comments: The checksum is not verified during user downloads.</p>

### **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.

Peng, G., J. Lawrimore, V. Toner, C. Lief, R. Baldwin, N. Ritchey, D. Brinegar, and S. A. Delgreco (2016) assessing stewardship maturity of the global historical climatology network-monthly (GHCN-M) dataset: use case study and lessons learned, *D-Lib Magazine*, 22, doi:10.1045/november2016-peng.

## 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].

<b>DSMM Component</b>	<b>Level 1 <i>Ad hoc</i> Little or no management</b>	<b>Level 2 <i>Minimal</i> Limited management</b>	<b>Level 3 <i>Intermediate</i> Defined management, partially implemented</b>	<b>Level 4 <i>Advanced</i> Well-defined management, fully implemented</b>	<b>Level 5 <i>Optimal</i> Full management, audited, measured, controlled</b>
<b><i>Preservability</i></b> <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
<b><i>Accessibility</i></b> <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><b>Usability</b></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 &amp; 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) &amp; 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><b>Production Sustainability</b></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><b>Data Quality Assurance</b></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 &amp; standards</p> <p>External review</p>

<p><b>Data Quality Control/Monitoring</b></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 &amp; 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 &amp; spatial characteristics</p> <p>Physical consistency check</p> <p>Conforming to community quality metadata &amp; standards</p>
<p><b>Data Quality Assessment</b></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 &amp; standards</p> <p>External ranking</p>
<p><b>Transparency/Traceability</b></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) &amp; 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><b>Data Integrity</b></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