

# **NOAA Recommended Practice for the Use of External Data**

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**NOAA Environmental Data Management Committee**

# NOAA Recommended Practice for the Use of External Data

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## Revision History

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0.3	2012 Sep 27	Jeff de La Beaujardière	Third draft for NOSC and CIO Council review. Definitions moved into body of document. Related Policy section improved.
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# NOAA Recommended Practice for the Use of External Data

## 1. Purpose

This document defines a Recommended Practice for US National Oceanic and Atmospheric Administration (NOAA) Programs and Projects regarding the use of data from external (non-NOAA) sources. The Recommended Practice consists of answering the questions in the attached External Data Usage Worksheet (Appendix A) to the satisfaction of the Program or Project's responsible NOAA official.

The External Data Usage Worksheet (Appendix A) includes questions in the following categories:

- Description
- Purpose
- Quality
- Reliability
- Terms of Use
- IT Systems and Security
- Life-Cycle Cost
- Metadata
- Accessibility
- Archiving
- Formal Agreements

The worksheet should be used as a checklist to assess whether to accept external data for the intended purpose and to ensure consideration is given to the need for discovery, access, and long-term preservation within NOAA. Each question should be assessed for relevance to the project and its broader agency context, the specific data in question, and the intended use of the data. Issues raised by the questions should be understood and the questions answered to the satisfaction of the project and any appropriate authorities. The Worksheet should be considered independently for each data source and, if multiple and disparate datasets are involved, for each dataset from each source.

Appendix B lists related NOAA policies and procedures.

## 2. Rationale and Background

NOAA's core activities include collecting, processing, and integrating environmental data to understand, forecast, and respond to Earth's terrestrial, atmospheric, and oceanic phenomena. NOAA information products, analyses, and decisions may require data from both NOAA and external sources. NOAA's credibility and reliability are at stake if NOAA uses external data that are inaccurate, unreliable, or not within NOAA's legal right to use. This Recommended Practice is therefore intended to ensure that external data are used judiciously.

The NOAA Science Advisory Board (SAB) Data Archive and Access Requirements Working Group (DAARWG) presented a report entitled "[Assessing the Use of Data from Non-NOAA Sources](#)" to the SAB in November, 2011. The report recommended developing and implementing NOAA-wide guidelines and identified specific elements to be included therein. The SAB endorsed the recommendation and passed it on to NOAA leadership for a response. Subsequently, the Environmental Data Management Committee (EDMC) was tasked to develop the response to be delivered to the SAB at their Spring 2013 meeting. This document constitutes the NOAA response to the SAB recommendation.

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## 44 **3. Scope**

45 This NOAA Recommended Practice applies to all NOAA projects or programs that wish to obtain  
46 environmental data or socio-economic data from external sources, especially if such data would be used  
47 in products that receive the NOAA imprimatur or in contexts that may affect life, property, or highly  
48 influential scientific assessments.

49 **Environmental Data** are recorded and derived observations and measurements of the physical,  
50 chemical, biological, geological, and geophysical properties and conditions of the oceans, atmosphere,  
51 space environment, sun, and solid earth, as well as correlative data, such as socio-economic data,  
52 related documentation, and metadata. (From NOAA Administrative Order (NAO) 212-15, *Management*  
53 *of Environmental and Geospatial Data and Information* (2003)<sup>1</sup>.

54 **Socio-economic data** are observations and measurements of the ways the environment affects humans  
55 economically, socially, or culturally.

56 **External sources** include, but are not limited to:

- 57 • Other federal agencies
- 58 • State, local, or tribal governments
- 59 • NOAA grantees or contractors
- 60 • Non-governmental organizations (NGOs)
- 61 • Commercial organizations (whether for-profit or not)
- 62 • Agencies of other national governments
- 63 • Research and educational institutions
- 64 • General public (e.g., “crowd-sourcing”)

65 **NOAA products** include, but are not limited to:

- 66 • data records and products derived from satellite and other observations
- 67 • weather forecasts
- 68 • assessments or forecasts of hazardous conditions, ecosystems, or climate
- 69 • thematic portals that provide access to both NOAA and external data sources.

70  
71 This Recommended Practice should be followed prior to new uses of external data. Existing projects that  
72 already use external data should review the Worksheet in Appendix A to ensure they have considered  
73 the matters therein. In emergency-response situations it may be necessary to streamline the process  
74 initially, but personnel should at least familiarize themselves with these guidelines in advance to avoid  
75 inadvertent misuse of external data, and should perform a fuller assessment as soon as the situation  
76 permits.

77  
78 Enforcement and monitoring of this NOAA Recommended Practice is at the discretion of NOAA Line and  
79 Staff Offices and should be appropriate to the level of sensitivity or risk of the programs and projects  
80 concerned. The National Weather Service (NWS) has previously established NWS Policy Directive 1-12  
81 and NWS Instruction 1-1201, which focus on rights and restrictions regarding data use and  
82 redistribution.

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<sup>1</sup> See Appendix C for references.

84 **Appendix A. External Data Usage Worksheet**

- 85 1. Description: Identify the external data, information, or products to be used, and their sources.
- 86 2. Purpose:
- 87 2.1. How NOAA will use the data?
- 88 2.2. Are related data available at NOAA to meet the requirements? Consult the NOAA Observing
- 89 Systems Architecture (NOSA) database maintained by the Technology Planning and Integration
- 90 for Observations (TPIO) program at <https://www.nosc.noaa.gov/tpio/>.
- 91 2.3. Is there an objective requirement for these external data? Has that requirement been
- 92 documented in the NOAA Consolidated Observing Requirements List (CORL) maintained by
- 93 TPIO (<https://www.nosc.noaa.gov/tpio/>)? Need should be the paramount factor in determining
- 94 whether to use external data.
- 95 2.4. Is the data source a critical or supplementary source? Are there alternative external sources?
- 96 2.5. Are the external data to be used temporarily, sporadically or continually?
- 97 2.6. Do emergency conditions justify the use of external data without a complete assessment based
- 98 on this Worksheet?
- 99 3. Quality:
- 100 3.1. Are the external data of known quality and of good quality?
- 101 3.2. Is the data quality documented in the metadata? (See also Metadata questions, below.)
- 102 3.3. What quality control procedures are being followed?
- 103 3.4. Do the data comply with the Information Quality Act (IQA), which applies to Federal agencies?
- 104 3.5. Will use of these data impact NOAA's ability to comply with the IQA? (See Appendix B for
- 105 information about NOAA IQA Guidelines.)
- 106 3.6. How will changes in the quality of an external data stream be detected?
- 107 3.7. How robust are the science algorithms?
- 108 4. Reliability:
- 109 4.1. Is the external data source reliable? With an external data stream, risks may be associated with
- 110 problems in the source or network. These can lead to loss of accuracy and reliability in NOAA
- 111 products.
- 112 4.2. For operational use, will the data source be operationally reliable (highly available and
- 113 redundant)?
- 114 4.3. Does NOAA use require that the data come from a certified source? If so, what constitutes
- 115 appropriate certification for these data and their intended use?
- 116 4.4. How likely is a sudden loss of the external data stream through network or data-source
- 117 problems?
- 118 4.5. What would be the impact to NOAA's mission if there were a sudden loss of this external data
- 119 stream?
- 120 5. Terms of Use:
- 121 5.1. Will the external data be made available to the public by NOAA? It is NOAA policy to make data
- 122 in its possession available to the public without restriction, to the extent practical within legal
- 123 and resource constraints. NOAA's commitment to open and unrestricted data may be affected
- 124 whenever it agrees to terms of use for data obtained from external parties that include
- 125 restrictions on NOAA's distribution of the data. NOAA use of external data does not constitute
- 126 endorsement of the provider's products. NOAA may describe its use of external data in its
- 127 derivative products but is not required to do so.
- 128 5.2. What are the restrictions or conditions, if any, on NOAA's use of the data? Will NOAA be
- 129 exempt from these restrictions when:

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- 130 5.2.1.NOAA products derived from the data it receives do not contain sufficient information to  
131 allow the original content of the data provided to be readily retrieved;
- 132 5.2.2.NOAA deems it appropriate to distribute the data in order to protect life and property in  
133 situations that would constitute and emergency;
- 134 5.2.3.The data are received from a third party or have become a matter of public knowledge;
- 135 5.2.4.The data are redistributed to other federal agencies when access to the data is needed to  
136 fulfill their respective missions;
- 137 5.2.5.The data are cited by NOAA incidentally in a NOAA product or publication;
- 138 5.2.6.Exemption is required by applicable laws.
- 139 5.3. Do the data include personally identifiable information (PII)? If so, does NOAA have the means  
140 to safeguard the PII?
- 141 5.4. Do the data have a national security classification? National Security Information is information  
142 that has been determined, pursuant to Executive Order 12958 or any predecessor order, to  
143 require protection against unauthorized disclosure.
- 144 5.5. Does the provider of the external data want acknowledgement? If so, how will NOAA  
145 acknowledge the data provider?
- 146 6. Information technology (IT) systems and security:
- 147 6.1. What NOAA IT systems will be involved in the data exchange?
- 148 6.2. Do NOAA systems have capacity to receive the data and comply with the terms of use?
- 149 6.3. Will additional hardware or software be needed?
- 150 6.4. Have the NOAA systems owners been consulted?
- 151 6.5. What procedures are in place for security quarantine and anti-virus/anti-malware scanning of  
152 data and external media before use of external data by NOAA?
- 153 6.6. What controls are used to protect data in transit from the source to ensure data integrity and  
154 to prevent interception, loss, and modification?
- 155 6.7. What controls are used to authenticate the data provider to ensure that the data are obtained  
156 from the authoritative source of the data?
- 157 6.8. Does the connection to the external provider require an Interconnection Security Agreement?
- 158 7. Life-Cycle Cost:
- 159 7.1. What is the life-cycle cost of using the external data? Even “free” data may engender long-  
160 term life-cycle costs and obligations. NOAA projects should estimate the cost relative to the  
161 perceived benefit before obtaining data from external sources. Examples of cost include:
- 162 7.1.1.Purchase price;
- 163 7.1.2.Effort required to ingest, transform, or adapt the information for NOAA’s purposes;
- 164 7.1.3.Cost of archival storage or long-term stewardship (see also Archiving questions, below);
- 165 7.1.4.Cost of ongoing data reprocessing, recalibrations, and version control;
- 166 7.1.5.Cost associated with complying with restrictions on use of the data.
- 167 7.1.6.Increased purchased price to allow unrestricted use of the data.
- 168 7.2. How do the total costs compare with the cost of establishing a new observing capability at  
169 NOAA?
- 170 8. Metadata:
- 171 8.1. Are the data adequately documented? Data documentation (metadata) must be adequate for  
172 immediate and future use. The sources of data and the procedures used to develop products  
173 and services from the data should, as much as practical, be transparently evident. Metadata  
174 should be close to the data and bound to the data, if possible. The limitations of saved copies  
175 of datasets to avoid misuses should be documented.
- 176 8.2. Is the provenance known and documented?
- 177 8.3. Have the data been assigned a persistent identifier? Will the data be properly cited when used?

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- 178 9. Accessibility:  
179 9.1. Will the data be appropriately accessible? For ongoing retrieval of data from an external  
180 source, will data be readily accessible via a standardized protocol in a well-known format?  
181 9.2. Does NOAA need to provide access to the data to other users?
- 182 10. Archiving:  
183 10.1. Are the data preserved in a long-term archive by the external source?  
184 10.2. If not, what are NOAA's obligation for long-term archiving of the data?  
185 10.3. If appropriate, has a Request-to-Archive process been initiated with a NOAA Data Center  
186 with a follow-on submission agreement to support this external data source? (See *NOAA*  
187 *Procedure for Scientific Records Appraisal and Archive Approval*, referenced in Appendix B).
- 188 11. Formal Agreements:  
189 11.1. Will the use of external data be subject to a formal agreement between NOAA and the  
190 provider of the data, such as a Contract, Grant, Memorandum of Understanding (MOU), or  
191 Data Sharing Agreement?  
192 11.2. If the source of the data is a NOAA Grantee, has the *Data Sharing by NOAA Grantees*  
193 procedural directive been followed?  
194 11.3. If there are restrictions placed on NOAA use of the data, who will approve the use of these  
195 data and assume any risk on behalf of NOAA associated with compliance with the terms of use?  
196 11.4. Has the NOAA Office of General Counsel cleared the agreement?  
197

198 **Appendix B. Related Policies**

199 *NWS Policy Directive 1-12 and NWS Instruction 1-1201*

- 200 • Focuses on rights and restrictions regarding data use and redistribution.

201 • <http://www.nws.noaa.gov/directives/sym/pd00112001curr.pdf>

202 *NOAA Web Mapping Applications Policy*

- 203 • States external data used in web mapping applications must be necessary for, and material to,  
204 the presentation of agency information or the delivery of agency services; maps must credit or  
205 provide a direct link back to the external provider; data must be relevant and timely, and  
206 complete steps must have been taken to ensure that data layers are actively updated to achieve  
207 the highest level of quality possible.

208 • [http://www.cio.noaa.gov/Policy\\_Programs/NOAA\\_web\\_mapping\\_applications\\_policy.html](http://www.cio.noaa.gov/Policy_Programs/NOAA_web_mapping_applications_policy.html)

209 *NOAA Information Quality Act Guidelines*

- 210 • States that ensuring the quality of information is an important management objective that takes  
211 its place alongside other NOAA objectives; defines key terms including Quality, Objectivity,  
212 Reproducibility, Transparency, and Highly Influential Scientific Assessment.

213 • [http://www.cio.noaa.gov/Policy\\_Programs/IQ\\_Guidelines\\_011812.html](http://www.cio.noaa.gov/Policy_Programs/IQ_Guidelines_011812.html)

214 *NOAA Procedure for Scientific Records Appraisal and Archive Approval*

- 215 • Describes how to decide what to archive and how to make arrangements with NOAA Data  
216 Centers.

217 • [https://geo-ide.noaa.gov/wiki/index.php?title=Category:NOAA\\_Procedural\\_Directives](https://geo-ide.noaa.gov/wiki/index.php?title=Category:NOAA_Procedural_Directives)

218 *Data Sharing by NOAA Grantees procedural directive*

- 219 • States that grantees must include a data-sharing plan with proposals, and if funded must make  
220 resulting data available in a timely fashion.

221 • [https://geo-ide.noaa.gov/wiki/index.php?title=Category:NOAA\\_Procedural\\_Directives](https://geo-ide.noaa.gov/wiki/index.php?title=Category:NOAA_Procedural_Directives)

222 *NAO 212-15: Management of Environmental data and Information*

- 223 • States that environmental data will be visible, accessible and independently understandable to  
224 users, and will be managed based upon an end-to-end data lifecycle.

225 • [http://www.corporateservices.noaa.gov/ames/administrative\\_orders/chapter\\_212/212-15.html](http://www.corporateservices.noaa.gov/ames/administrative_orders/chapter_212/212-15.html)

226 *NAO 212-13: NOAA Information Technology Security Policy*

- 227 • States that IT security will be applied throughout all phases of an information system's lifecycle.

228 • [http://www.corporateservices.noaa.gov/ames/administrative\\_orders/chapter\\_212/212-13.html](http://www.corporateservices.noaa.gov/ames/administrative_orders/chapter_212/212-13.html)

229 Relevant US Government policies include:

- 230 • *OMB Circular A-130: Management of Federal Information Resources.*

231 • *OSTP Policy: Data Management for Global Change Research (1991).*