



PACIFIC ISLANDS  
CLIMATE CHANGE  
COOPERATIVE

# Data Management Manual

Prepared by: Patrick Grady,  
PICCC GIS and Data Manager  
[patrick.grady@piccc.net](mailto:patrick.grady@piccc.net)

January 2015

## **Charter Purpose**

The Pacific Islands Climate Change Cooperative (PICCC) is a self-directed, non-regulatory conservation alliance whose purpose is to assist those who manage native species, island ecosystems, and key cultural resources in adapting their management to climate change for the continuing benefit of the people of the Pacific Islands.

## **Mission Statement**

The PICCC will improve the ability of native island species and ecosystems to accommodate future climate change and related perturbations, and support the long-term protection of key cultural resources by providing useful projections of climate and natural resource change in the Pacific Islands, innovative management options, and a membership that supports coordinated action among institutional and community stakeholders.

## **Contact Information**

Address: 677 Ala Moana Boulevard, Suite 320, Honolulu, Hawai'i 96813

Phone: (808) 687-6175 • Fax: (808) 664-8510 • Web: <http://piccc.net>

## **ACKNOWLEDGEMENTS**

This manual is an adaptation of the data manual and strategy developed by the National Climate Change and Wildlife Science Center/Climate Science Center Data Management Working Group of the US Geological Survey, and is fully compliant with current US Fish and Wildlife Service data management policies. Peer review of this manual was graciously provided by Kelly Kozar (NPS), Paul Berkowitz (HCSU/USGS), Kalisi Mausio (NOAA) and Erin Stockenberg (USFWS).

More Information: [NCCWSC Data Policies](#), [FWS Data Policies](#)

# TABLE OF CONTENTS

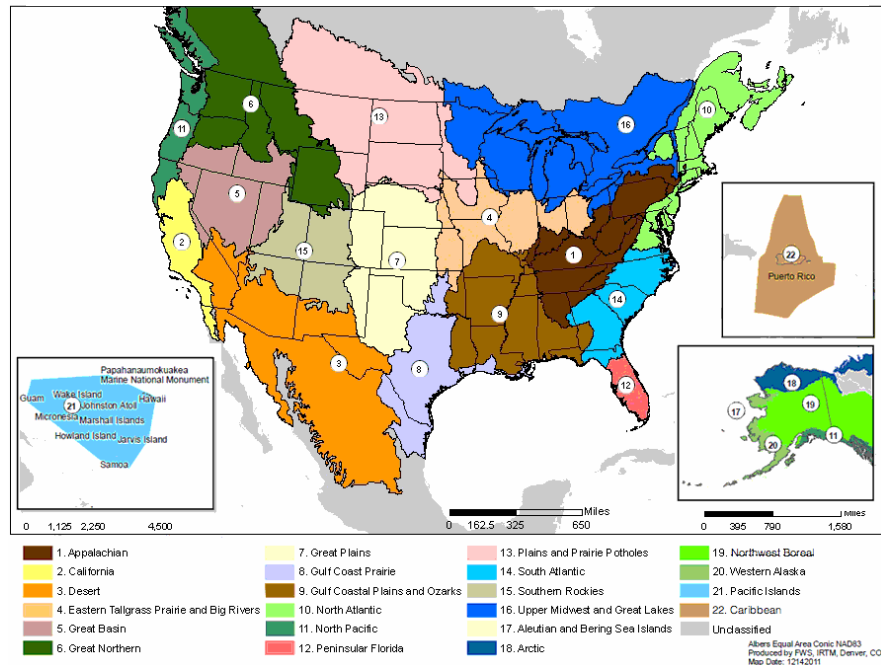
- Background ..... 1
  - Purpose and Scope..... 2
  - Importance of Data Management ..... 2
  - Links to Other Organizations and Initiatives ..... 2
  - Organization of and Audience for this Manual ..... 2
- LCC Enterprise and Repository ..... 3
- Laws and Policies..... 3
- Project Tracking ..... 4
- Roles and Responsibilities ..... 4
  - Collect Data or Reuse Existing Datasets ..... 5
  - Perform Data Quality Review ..... 6
  - Describe Science Workflow/Process ..... 6
  - Provide Standards-Compliant Metadata..... 6
    - Introduction to Metadata ..... 6
  - PICCC funded research Data and Data Products ..... 8
  - Other Data and Data Products..... 8
  - Preserve Data and Data Products ..... 9
  - Provide Mechanisms for Data Discovery and Integration..... 9
- Attachment A: Laws and Policies Relevant to Data Management ..... 11
  - 1.1. Federal..... 11
    - Laws ..... 11
    - Executive Orders..... 14
    - Office of Management and Budget (OMB) Circulars ..... 14
    - Executive Office of the President (EOP) Policy and Guidance..... 16

1.2. Department of the Interior (DOI) Policies .....	18
1.3. US Geological Survey (USGS) and US Fish and Wildlife Service (USFWS) Policies .....	21
Attachment B: Data Citation .....	23
Attachment C: Information on Metadata Standards .....	24
Attachment D: Approved Formats for Data Submission.....	26
Attachment E: Data Standards .....	28
Data Encoding Standards and Formats .....	28
Data Exchange Standards.....	29
Attachment F: PICCC Data management policy .....	30
Introduction .....	30
Data Management Plan .....	31
Data Development, Documentation, and Delivery .....	32
Roles & Responsibilities .....	32
Data Delivery .....	32
Special Cases .....	32
Physical Specimens.....	33
Proprietary Data and Software.....	33
Metadata .....	33

## BACKGROUND

On September 14, 2009, then Secretary of the Interior Salazar signed Secretarial Order (No. 3289) entitled “Addressing the Impacts of Climate Change on America’s Water, Land, and Other Natural and Cultural Resources.” The Order established the Department’s first-ever coordinated strategy to address current and future impacts of climate change on our land, water, wildlife, cultural heritage, and tribal resources. The Secretarial Order directed that 21 Landscape Conservation Cooperatives (LCCs) and eight regional Climate Science Centers (CSCs) be established. (The Caribbean LCC was added at a later point in time bringing the total to 22 LCCs.) The LCCs are management-science partnerships that inform integrated resource management actions addressing climate change and other stressors within and across landscapes. The CSCs are aimed at addressing the regional climate science and information needs of a full range of natural and cultural resource managers.

Figure 1: Map of Landscape Conservation Cooperative Regions



Collectively, the LCCs, National Climate Change and Wildlife Science Center and CSCs generate, integrate, and disseminate data and derived data products that help resource managers develop adaptation strategies in response to a changing climate. To fulfill the LCC mission, managers need data management policy and guidance to ensure that appropriate standards, consistent guidelines, and common strategies are used, providing linkages to and consistency with other similar systems, and fostering a true national network of LCCs.

The Pacific Islands Climate Change Cooperative (PICCC) data management policies and guidance will evolve as LCC, NCCWSC, and CSC implementation and operations progress. The LCC Data Management working group was formed to address data management across the LCC enterprise. Membership in this group includes representatives of the LCCs, CSCs, and USFWS/USGS staff with expertise in data management. This working group will continue to identify needs, set priorities, and make adjustments to the data management strategy as the LCCs progress. As changes occur, the groups will update policies and guidance and this manual will be modified as needed.

## PURPOSE AND SCOPE

This manual serves to lay out procedures and processes by which data useful to the PICCC will be obtained, stored, and made accessible to researchers and other stakeholders.

## IMPORTANCE OF DATA MANAGEMENT

The PICCC invests in data management and associated tools and resources for many reasons. In order for resource managers to make decisions based on good science, that information needs to be available and accessible. Accessibility helps move the state of the science forward because colleagues can access data and leverage it as part of their work. Because one purpose of managing data is to make it useful for climate adaptation, PICCC's data will be incorporated into our web presence and made fully accessible via such tools as Data Basin, LC MAP, ScienceBase, ArcGIS Online and our website. Data sharing helps researchers get credit for their work and raise its visibility. Data management helps the scientist and research teams. When data are well-managed, they are easier to find, understand, and access. Data loss is also prevented with additional security and back-up procedures. Many funding organizations and groups require data management plans as part of their proposals, and the PICCC is consistent with those requirements and the series of federal laws and policies related to data management. More information on the laws and policies relevant to data management can be found in [Attachment A](#).

## LINKS TO OTHER ORGANIZATIONS AND INITIATIVES

The PICCC data management policies and guidance focus primarily on supporting the scientific work of the PICCC. Data management actively works to create appropriate linkages, minimize duplication, and maximize standards-based interoperability with partner organizations. Policies, guidance, and technology investments will leverage the capabilities and work done by other USFWS and partner organizations as much as possible. Collaboration with partners and related activities will be an ongoing high priority activity.

## ORGANIZATION OF AND AUDIENCE FOR THIS MANUAL

A priority for the LCC enterprise is to make the results of funded and other relevant research, analyses, and modeling available to the scientific and resource management community as well as the public. Sharing of data and derived data products is vital to the study of climate change and its cascading impacts on resource management.

In order to provide guidance and support for data sharing, the NCCWSC/CSC Data Management Working Group has developed three documents that have served as points of reference for the PICCC's data management policies. The first document, a [NCCWSC/CSC Data Sharing Policy](#), requires data and associated products to be shared publically, and the development of a data management plan. The second document, [NCCWSC/CSC Data Management Plan Guidance](#), provides details to researchers on what should be included in the data management plan, as required for proposals and funded projects. Finally, the third document, the [NCCWSC/CSC](#)

[Data Management Manual](#), (which heavily influenced this manual) provides information on a variety of topics including roles, responsibilities, metadata, file formats, and data standards to LCC and CSC Data Stewards and researchers funded by the PICCC, other LCCs, the NCCWSC, or a CSC. Each LCC and CSC has a Data Steward to work with funded PIs and researchers on the development of the Data Management Plan, answer any questions related to data management, and assist with the transition of data and information products into the relevant repository.

## LCC ENTERPRISE AND REPOSITORY

The LCC network has developed an enterprise capability to support data sharing and interdisciplinary collaboration. Each LCC functions individually and as part of the larger network to ensure that resources, tools, standards, and data are shared across the enterprise. The PICCC is committed to defining, building, and sharing a flexible framework to help researchers focus on science within the LCC network during the lifespan of a project; the focus will be on supporting the data management of the research and associated products. After the completion of a project, the data and associated products will be transferred to the LCC project and data repository (LC MAP) which will permanently store and serve that information. Principal Investigators (PI) may choose to make their data available through other repositories; however, they are still obligated to provide the PICCC with a copy of all datasets and derived data products. In some cases, the PICCC may allow data and data products to reside in established third-party repositories, but that exception must be approved by the PICCC Data Steward (the PICCC GIS & Data Manager fills this role for the PICCC).

An agreed-upon and mandated data integration framework composed of data, metadata, and web service standards will link the PICCC and other LCCs' data and derived data products. Elements of the PICCC data integration framework are defined later in this document.

## LAWS AND POLICIES

All activities conducted by the federal government and its employees or contractors are subject to all applicable federal laws and policies. All activities conducted by non-federal government entities (e.g., contractors, universities, and researchers) are subject to federal law and the terms of the agreement with the federal government. See [Attachment A](#) for a listing of relevant laws and policies. Please note that FOIA applies to all information developed by funded studies and delivered to the PICCC.

Guidelines on data.gov (<http://www.data.gov/>), have led to the PICCC adopting the following data policy statements:

### Secondary Use

Data accessed through PICCC sources do not, and should not, include controls over its end use. Once the data have been downloaded from the agency's site, the PICCC cannot vouch for their quality and timeliness. Furthermore, the PICCC cannot vouch for any analyses conducted with data retrieved from PICCC data sources.

## Citing Data

Citation information for each dataset is included in its metadata. Users should also cite the date that data were accessed or retrieved from PICCC sources. Users must clearly state that “the PICCC cannot vouch for the data or analyses derived from these data after the data have been retrieved from PICCC sources.”

## PROJECT TRACKING

Central to the PICCC enterprise is information on funded projects including descriptions of the work, project deliverables, and information on the geographic footprint of the research (e.g., a footprint shapefile or bounding coordinates), keywords, schedule, and budget. This information allows tracking and aggregation of project information for both internal and external audiences.

The USFWS application LC MAP will be the primary repository for PICCC funded projects. LC MAP provides:

- Tools for science and management teams to find, organize, manage, and track project activities and deliverables;
- Data uploading and documentation;
- Selective, secure data sharing;
- Integration with other DOI systems such as the Publications Warehouse, DMP Editor, rfpManager, ServCat and BASIS+; as well as non-DOI systems such as Data Basin and ArcGIS Online.
- Serving data and metadata through standards-compliant Web services.

PICCC-funded researchers will eventually be able to review their project information on the PICCC website which is set to become live early in 2015. Any corrections or additional information (pictures, publications, data, website URL, etc.) that can be shared should be provided to the PICCC Data Steward. As projects develop reports, publications, or websites, the project information should be updated to reflect those accomplishments and information.

## ROLES AND RESPONSIBILITIES

The PICCC has centrally funded a Data Steward who can assist PICCC-funded researchers with their data management plans and implementation questions. The PICCC Data Steward will contact all funded PIs at the beginning of their projects to facilitate the completion of a data management plan (DMP) and answer any data management questions. As projects near completion, the steward will assist the research team in the transition of data and derived data products into the PICCC repository of choice.

The tables below identify various activities and the person responsible for those activities. There will likely be exceptions to these generalizations. Those exceptions should surface during the data management planning process and can be discussed and clarified at that time.



**Table 1. Roles and Responsibilities Between Researchers and the PICCC Data Steward**

Activity	Role	
	Research Team	Data Steward
Collect data or reuse existing datasets	Responsible	Supportive
Perform data quality review	Responsible	Supportive
Describe scientific workflow/process	Responsible	Supportive
Provide standards-compliant metadata	Responsible	Supportive
Submit data and data products	Responsible	Supportive
Preserve data and data products	Consulted, Informed	Responsible
Make data products available to the public	Consulted, Informed, Optional	Responsible

An additional responsibility of researchers is citing other’s data and data products as appropriate when preparing documentation, reports, or references of their work. To assist researchers, this manual provides information on standards developed in the earth science community that can be used when citing data and datasets in [Attachment B](#).

#### COLLECT DATA OR REUSE EXISTING DATASETS

Researchers funded by the PICCC will collect new data in the field and/or reuse existing datasets. The PICCC has adopted much of the [NCCWSC/CSC Data Management Guidance](#) as it has been organized to collect information on each dataset, both new and existing. During the proposal process, a subset of the Data Management Plan (DMP) is required. If a proposal is identified for funding by the PICCC, the Principal Investigator will be requested to produce a written Data Management Plan (DMP) that must be approved by the PICCC Science Coordinator and Data Steward before funds are provided for the project. This DMP must use the [DMP template](#) referenced in the PICCC Data Management Policy, that can be found in [Attachment F](#) or on the NCCWSC [website](#).

As outlined in the NCCWSC/CSC Data Management Guidance, during the data input phase PIs are required to carefully track and document the following:

- Existing Input Dataset(s) or Data Source(s): Source for data, any restrictions on its reuse, and processing or workflow steps that transform the existing data into a new dataset
- New Input Dataset(s): Details on how data were collected, prepared, reviewed, and assessed for accuracy
- Models
- Custom Software/Code and Web Tools

- Project Data Outputs

Information from the DMP is an important first step in collecting project and data-level documentation. Careful tracking of these components will facilitate more thorough documentation of processes and products in the required project and dataset-level metadata records (see below for more information on metadata).

#### PERFORM DATA QUALITY REVIEW

The usefulness of a particular dataset can only be determined based on documentation of quality and other dataset characteristics. Quality assurance and checks may come in several forms, including software tests, validation tests, tests for data anomalies or outliers, and output reproducibility. As part of the DMP, researchers are asked to describe their steps to ensure their data and associated data products are of high quality. The PICCC Data Steward can help answer any questions, share examples, and assist with documentation; however, the researcher maintains ultimate responsibility for data quality and accuracy assessment

#### DESCRIBE SCIENCE WORKFLOW/PROCESS

Analytical workflow documentation is critical to understanding data outputs and products and to allow reproduction of the transformations applied to the data inputs – existing or new – into outputs. This documentation can be done using visualization and/or software tools such as UML diagrams, VisTrails, Kepler, Visio, etc. or in other formats. Visualizations need to be supported by written descriptions such that they can be easily interpreted. Researchers are responsible for describing the process but the PICCC Data Steward will assist with questions. Workflow documentation will be incorporated into the project or data-level metadata record.

#### PROVIDE STANDARDS-COMPLIANT METADATA

---

#### INTRODUCTION TO METADATA

Metadata is a detailed description of a dataset that includes information about the content, quality, structure, accessibility, and other characteristics of the data. Detailed and robust metadata must document the project, datasets, and services in such a way that data can be transmitted, interpreted, reused, and understood. Use of metadata standards is critical for data discovery, integration, and sharing.

Standards for metadata vary in scope and purpose, including metadata written by people to be read and understood by others, while other metadata is machine-generated and describes web services to enable automation, data integration, and discovery. There are also numerous standards that focus on particular scientific domains' unique data description needs. Though many metadata standards share elements, one might be the more appropriate choice for a specific dataset, depending on the data being described.

The Federal Government is required to follow the [Federal Geographic Data Committee](#) (FGDC) metadata guidance to document spatial datasets developed with federal funding. FGDC is in the process of transitioning from the current standard, FGDC Content Standard for Digital Geospatial Metadata (CSDGM), to the International Organization for Standardization (ISO) 19115 and associated standards. With the use of ISO

standards and service-oriented data access, metadata for machine interpretation is becoming increasingly important. Recognizing this, the PICCC program requires that data published using web services be implemented following applicable attribute conventions such as those described by Network Common Data Format – Climate and Forecast (NetCDF-CF) convention or Open Geospatial Consortium (OGC) Web Service standards. For more information on the various metadata standards see [Attachment C](#).

---

## PROJECT METADATA

Project-level metadata describes such attributes as the actors, scope, purpose, methods, timeline, and geographic footprint of the project. The PICCC requires a compliant International Organization for Standardization (ISO) 19115 and associated standards metadata record to describe project-level metadata. Much of the information required for a project level metadata record can be created using information submitted during the proposal submission process. Additional information will be gathered from the research team by the PICCC Data Steward. This information will be entered into LC MAP, the LCC project tracking tool and data repository. Using these application's web services, project information including related products and data will be displayed on the LCC website and data portal. There are several good examples for creating Project Metadata such as the [Alaska Data Integration Working Group's](#) Briefing and Findings Paper on Project Metadata.

---

## METADATA FOR UNDERSTANDING

Metadata content standards (e.g., ISO 19115, FGDC CSDGM) used for documentation are primarily intended for human understanding of the dataset or project. Metadata ensures that other researchers can interpret datasets properly and thus reuse the data in the future. Each PICCC funded project must provide dataset metadata that complies with the federal standards. The [USGS Data Management](#) website lists several tools that can assist with the development of metadata. The PICCC Data Steward will assist the research team with any questions.

---

## DATASET METADATA

Metadata must be available to describe each dataset generated by a project. For the purposes of cataloging, metadata should summarize datasets at what is commonly referred to as the "collection" level. This is the highest level of granularity (most coarse) that can be used to document a dataset uniquely. This approach is critical to the ability of data consumers to search for and identify datasets where the important, unique characteristics of a dataset are clear and distinguishable from many similar datasets. [Metadata creation and cataloging tools](#) are available as well as the PICCC Data Steward's expertise to assist in creating this metadata content. The PICCC will accept dataset metadata that follows any broadly accepted interoperable dataset metadata standard that is applicable to the data in question.

---

## SERVICE METADATA

Data should be published using appropriate web service standards whenever possible. The metadata to describe these services can be manually or automatically added to a dataset metadata record as a separate, standalone but related component. In addition to dataset metadata, a service-level metadata record should include contact

information (contact name, email, physical address, and position), a title, keywords, an abstract, and any access constraints for the data service itself. This allows not only machine-to-machine interaction with the data service but also human understanding of the data service.

---

## INTEGRATED CATALOG AND DISCOVERY

[LC MAP](#), [ScienceBase](#), and the [Geo Data Portal](#) are dataset metadata catalogs capable of handling web services and the data they hold. All three are available from the LCC network and NCCWSC. These catalogs rely on ISO content and encoding standards with support for numerous scientific domain and data-type specific meta-attributes (from several metadata standards). These catalogs and associated data discovery tools will be designed in cooperation with third party data archives. As this system of metadata catalogs and data repositories develops and matures, guidance and requirements regarding data publication and documentation will evolve.

## PICCC FUNDED RESEARCH DATA AND DATA PRODUCTS

After the research proposal has been awarded, the PICCC Data Steward can assist the PI in identifying the specific data collections and derived data products that will be required for submission at the conclusion of the project, including the use of recommended data and metadata standards. As the project nears completion the PI should once again consult with the PICCC Data Steward to review and assist in formatting of data and preparation of metadata for transmission to the PICCC Data Steward.

At the conclusion of PICCC funded research, the PI is responsible for submitting all new data collections, derived data products, and links to publications that were developed as part of the funded research to the PICCC Data Steward. These data will be provided via the most convenient method possible. Examples of transferring methods include email, FTP, Dropbox™, CD/DVD or in some cases an external hard drive or thumb drive. For very large datasets, the PICCC Data Steward will determine whether it is necessary for the PI to also deliver a copy of the data by way of internet-based mapping services. Project data which are deemed feasible to store locally will reside on the PICCC Data Steward's local data server. In addition to this guidance, temporary exclusive rights are outlined in the PICCC Data Management Policy section titled "Special Cases" (see [Attachment F](#)).

[Attachment D](#) of this document provides guidance to researchers about supported data and metadata standards by data type. The PI may format his/her data for transmission using any of the supported formats for a data type. All exceptions to formats listed in [Attachment D](#) must be pre-approved by the PICCC Data Steward.

## OTHER DATA AND DATA PRODUCTS

Each PICCC-funded project has a Data Management Plan that clearly states the exclusivity of individual datasets as well as their conditions of use and accessibility. Not all of the data that the PICCC handles as an organization comes from funded research. While PICCC-funded research data must legally be provided to a federal repository (ScienceBase or LC MAP), this does not hold true for data from other sources. Examples of these data include University-funded research data, internal research and project data, in-house derived data and products as well

as copies of existing data provided by partners and outside agencies. These data will be organized accordingly on the PICCC Data Steward's local data server and will be backed up as part of the IT support plan provided by the USFWS local office.

## PRESERVE DATA AND DATA PRODUCTS

The PICCC and broader LCC network assumes full responsibility for the long-term care and preservation of all data collections and derived data products that result from its funding. Once the PI has transmitted the project data to the PICCC Data Steward, the PI is cleared of further responsibility for the data's preservation. The LCC network may make portions of the data available to the public through portals or other distribution points of its choosing according to procedures outlined in section "Provide Mechanisms for Data Discovery and Integration" of this document. The PI does retain the right to maintain his/her copies of the research data for future use including distribution at his/her discretion. In some instances a dataset may be considered too sensitive for public exposure or may require restricted or limited access. In this event the dataset will already have been flagged as such in both the proposal and Data Management Plan process. The final decision as to whether or not a dataset receives this treatment will be made by the LCC Science Coordinator upon final review of proposal and DMP.

## PROVIDE MECHANISMS FOR DATA DISCOVERY AND INTEGRATION

In addition to preserving data and data products, the PICCC and broader LCC network are developing mechanisms to enable data discovery and integration. To encourage data discovery as well as to support researchers in using data which are already available, several data discovery mechanisms are in place. The LCC network has an online catalog built within the data community known as [Data Basin](#). Individual LCCs can make their data discoverable within the broader context of the entire LCC network by way of a Conservation Planning Atlas (CPA) within Data Basin. The PICCC is currently developing its own [CPA \(http://piccc.databasin.org/\)](http://piccc.databasin.org/) so as to enhance the management of natural and cultural resources by making it easier to discover and explore spatial information from multiple sources. This online atlas will also allow individuals to create interactive maps, generate queries and reports, download data, collaborate on specific topics, and export information. The interoperability of Data Basin provides complementary mapping and analysis functionality to the growing collection of spatial datasets cataloged within ScienceBase/LC MAP, and does not require hosting the data in multiple locations to achieve the full suite of functionality. Data outputs from PICCC-funded research may be made available for discovery, download, and engagement within the CPA if not identified as sensitive by funded research teams or other data providers.

To allow for data integration, the LCC enterprise is adopting common, broadly accepted standards and ensuring access to these data sources. The LCC Network strongly encourages the use of open data encoding standards but acknowledges that some scientific communities commonly work with proprietary formats. In these situations, community norms should dictate allowed formats. If a project works with a proprietary format (e.g., MS Excel), the project needs to consider alternative file formats for product presentation. At a minimum, the data should be submitted in a non-proprietary format as well as the proprietary format (e.g., production of a comma delimited text file in addition to representation in a MS Excel spreadsheet). In all cases, any non-

standard or proprietary file format produced must be identified and justified in the DMP. Details on the common standards and data encoding services can be found in [Attachment E](#).

## ATTACHMENT A: LAWS AND POLICIES RELEVANT TO DATA MANAGEMENT

The laws and policies relevant to management of data, standards, and computer applications in the guardianship of or contracted by a federal agency are shown in the tables below. These abbreviated descriptions are summarized from the full text of the U.S. Geological Survey Data Management Plan Framework – Layer II – Part A, Laws and Policies. Please reference that document for additional information. This list is not intended as an all-inclusive list; rather, it highlights particular laws and policies that are of interest.

### 1.1. FEDERAL

#### LAWS

Laws are an encapsulated set of rules or act passed by a legislative body to govern the affairs of a ‘community’ which are enforced by a political authority and legal system.

Identifier	Title	Brief Description	Data Management Relevance
FOIA	Freedom of Information Act	The FOIA grants anyone the right to access any DOI records unless DOI reasonably foresees that the release of the information would harm a protected interest or falls under one of the nine exemptions.	The public and other researchers have the right to all research data upon request.
	Link: <a href="http://www.doi.gov/foia">http://www.doi.gov/foia</a>		
CCA	Clinger-Cohen Act of 1966 a.k.a. “Information Technology Reform Act”	Rules for information technology acquisition and management (primarily for hardware and software)	Agencies must track their information technology spending and manage its assets.
	Link: <a href="https://cio.gov/resources/document-library/">https://cio.gov/resources/document-library/</a>		

Identifier	Title	Brief Description	Data Management Relevance
E-Gov Act	E-Government Act of 2002 a.k.a. "Title II - Federal Management and Promotion of Electronic Government Services § 207 – Accessibility, usability, and preservation of government information"	The purpose of the E-Gov Act is to improve the methods by which Government information, including information on the Internet, is organized, preserved, and made accessible to the public.	Provides guidance and structure for sharing government information on the Internet.
	Link: <a href="http://www.archives.gov/about/laws/egov-act-section-207.html">http://www.archives.gov/about/laws/egov-act-section-207.html</a>		
CIPSEA	Confidential Information Protection and Statistical Efficiency Act of 2002	CIPSEA provides strong confidentiality protections for statistical information collections and statistical activities such as data analysis and sample design that are sponsored or conducted by Federal agencies.	Data that contains PII or other sensitive information must be summarized to abstract the sensitive information.
	Link: <a href="http://www.whitehouse.gov/omb/memoranda_m03-22/">http://www.whitehouse.gov/omb/memoranda_m03-22/</a>		
Section 508	Section 508 of the Rehabilitation Act of 2000	Provide open access to information products, with provisions for serving people with disabilities	Project data and communication products of significance to the general public must be made 508-compliant. 2011 revisions are available in draft.
	Link: <a href="http://www.section508.gov/index.cfm?fuseAction=1998Amend">http://www.section508.gov/index.cfm?fuseAction=1998Amend</a>		



Identifier	Title	Brief Description	Data Management Relevance
PRA	Paperwork Reduction Act of 1995	This Act is a subpart of the Coordination of Federal Information Policy, and is intended to streamline and standardize government IT planning, purchasing, operations, and activities.	Requires data created or managed by the federal government to be effectively and efficiently made accessible to the public.
	Link: <a href="http://www.gpo.gov/fdsys/pkg/PLAW-104publ13/html/PLAW-104publ13.htm">http://www.gpo.gov/fdsys/pkg/PLAW-104publ13/html/PLAW-104publ13.htm</a>		
GPEA	Government Paperwork Elimination Act of 1998	GPEA requires federal agencies to allow individuals or entities that deal with the agencies the option to submit information or transact with the agency electronically. The Act specifically states that electronic records and their related electronic signatures are not to be denied legal effect.	Data Management plans must provide for external researchers and labs to submit findings electronically. Standards can still be applied to requirements.
	Link: <a href="http://www.whitehouse.gov/omb/fedreg_gpea2/">http://www.whitehouse.gov/omb/fedreg_gpea2/</a>		
Bayh Dole Act	Patent and Trademark Law Amendments Act (the Bayh Dole Act) of 1980	In 1980, the Bayh-Dole Act (PL 96-517, Patent and Trademark Act Amendments of 1980) created a uniform patent policy among the many federal agencies funding research. As a result of this law, universities retain ownership to inventions made under federally funded research. In return, universities are expected to file for patent protection and to ensure commercialization upon licensing.	Research conducted by universities is subject to the Bayh Dole Act requirements.

Identifier	Title	Brief Description	Data Management Relevance
	Link: <a href="http://www.gpo.gov/fdsys/pkg/CFR-2002-title37-vol1/content-detail.html">http://www.gpo.gov/fdsys/pkg/CFR-2002-title37-vol1/content-detail.html</a>		

---

## EXECUTIVE ORDERS

An Executive Order is a directive issued by the executive head of a government office, generally the President of the United States. Executive orders are considered to carry the full weight of the law since they are usually issued in conjunction with implementing certain acts of Congress. Executive Orders may also be issued by Governors or Mayors.

Identifier	Title	Brief Description	Data Management Relevance
CSDGM	Content Standard for Digital Geospatial Metadata – Executive Order 12906	CSDGM is the federal standard for the documentation of geospatial data. The standard was defined by the Federal Geospatial Data Committee.	Projects must adhere to metadata requirements and geographic data management guidelines. In 2012 the 1993 (revised 1998) metadata standard is to be replaced by ISO 19115-2.
	Link: <a href="http://www.archives.gov/federal-register/executive-orders/pdf/12906.pdf">http://www.archives.gov/federal-register/executive-orders/pdf/12906.pdf</a>		

---

## OFFICE OF MANAGEMENT AND BUDGET (OMB) CIRCULARS

A government circular is a written statement of government policy. It provides information, guidance, rules, and often background information on the reasoning behind a policy. OMB Circulars are instructions or information issued by the Office of Management and Budget to Federal Agencies. These are expected to have continuing effect for two years or more.

Identifier	Title	Brief Description	Data Management Relevance
A-16	Coordination of Geographic Information and Related Spatial Data Activities - OMB Circular A-16 (1990, 2003, 2010)	This Circular provides direction for federal agencies that produce, maintain or use spatial data either directly or indirectly in the fulfillment of their mission.	This Circular established a coordinated approach to electronically developing the National Spatial Data Infrastructure and establishes the Federal Geographic Data Committee (FGDC).
Link: <a href="http://www.whitehouse.gov/omb/circulars_a016_rev/">http://www.whitehouse.gov/omb/circulars_a016_rev/</a>			
A-110	Requirements for Grants and Agreements - OMB Circular A-110 (1999, 2003)  a.k.a. "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"	This Circular sets forth standards for obtaining consistency and uniformity among Federal agencies in the administration of grants to and agreements with institutions of higher education, hospitals, and other non-profit organizations.	
Link: <a href="http://www.whitehouse.gov/omb/circulars_a110/">http://www.whitehouse.gov/omb/circulars_a110/</a>			
A-119	Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities – OMB Circular A-119 (1998)	The revised Circular establishes policies on Federal use and development of voluntary consensus standards and on conformity assessment activities; and authorized the National Institute of Standards and Technology to coordinate conformity assessment activities of the agencies.	Agencies must use common standards when creating and managing data resources, including use of subject area domains and common data elements. New standards and methods should be well-documented.
Link: <a href="http://www.whitehouse.gov/omb/circulars_a119/">http://www.whitehouse.gov/omb/circulars_a119/</a>			

Identifier	Title	Brief Description	Data Management Relevance
A-130	Management of Federal Information Resources – OMB Circular A-130	General policies that apply to the information activities of all agencies of the Executive Branch of the Federal government.	This is a set of mandates for effective stewardship of data and information. Establishes requirement for Data Management.
Link: <a href="http://www.whitehouse.gov/omb/circulars_a130_a130trans4">http://www.whitehouse.gov/omb/circulars_a130_a130trans4</a>			

---

EXECUTIVE OFFICE OF THE PRESIDENT (EOP) POLICY AND GUIDANCE

The table below contains policy and guidance issued by parts of the Executive Office of the President, which includes OMB’s E-Government Office and the Office of Science and Technology Policy.

Identifier	Title	Brief Description	Data Management Relevance
DRM	Data Reference Model, Version 2.0	The DRM is a framework whose primary purpose is to enable information sharing and reuse across the federal government via the standard description and discovery of common data and the promotion of uniform data management practices.	The DRM provides a standard means by which data may be described, categorized, and shared. These are reflected within each of the DRM’s three standardization areas: data description, data context, and data sharing.
Link: <a href="http://www.whitehouse.gov/sites/default/files/omb/assets/egov_docs/DRM_2_0_Final.pdf">http://www.whitehouse.gov/sites/default/files/omb/assets/egov_docs/DRM_2_0_Final.pdf</a>			

Identifier	Title	Brief Description	Data Management Relevance
National Strategy for Information Sharing and Safeguarding	National Strategy for Information Sharing and Safeguarding	Provides guidance for effective development, integration, and implementation of policies, processes, standards, and technologies to promote secure and responsible information sharing	Provides principles and goals to guide information sharing between federal organizations and partners
Link: <a href="http://www.whitehouse.gov/sites/default/files/docs/2012sharingstrategy_1.pdf">http://www.whitehouse.gov/sites/default/files/docs/2012sharingstrategy_1.pdf</a>			
Digital Government Strategy	Digital Government: Building a 21 <sup>st</sup> Century Platform to Better Serve the American People	Provides strategies and guidance for making government information more accessible to its citizens	Encourages the use of standards, new technologies, interoperability, and openness
Link: <a href="http://www.whitehouse.gov/sites/default/files/omb/egov/digital-government/digital-government-strategy.pdf">http://www.whitehouse.gov/sites/default/files/omb/egov/digital-government/digital-government-strategy.pdf</a>			
Access to the Results of Federally Funded Scientific Research	Memorandum for the Heads of Executive Departments and Agencies, Increasing Access to the Results of Federally Funded Scientific Research	Provides guidance to agencies to release the results of scientific research funded by the federal government publically	Requires public access to information
Link: <a href="http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf">http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf</a>			

## 1.2. DEPARTMENT OF THE INTERIOR (DOI) POLICIES

Policies are a course of action or policy intended to influence the actions or decisions made in the course of doing business.

Identifier	Title	Brief Description	Data Management Relevance
FWS Geospatial Services	USFWS Geospatial Services	A listing of various policies, plan, and guidance developed by the FWS to improve the use of data within the Bureau.	Provides guidance to ensure consistency and the use of similar standards across the Bureau.
	<a href="http://www.fws.gov/gis/policy/index.html">http://www.fws.gov/gis/policy/index.html</a>		
375 DM 12	Department of the Interior Departmental Manual Information Resources Management, Part 375 IRM Program Management, Chapter 12: Information Resources Standards Program	The Information Resources Standards Program coordinates the development, adoption, implementation, and review of information management, automated data processing, and telecommunications standards.	Standards play an important role in ensuring interoperability and compatibility between systems.
	<a href="http://elips.doi.gov/ELIPS/DocView.aspx?id=1208">http://elips.doi.gov/ELIPS/DocView.aspx?id=1208</a>		
378 DM 1	Department of the Interior Departmental Manual Information Resources Management, Part 378 Data Resource Management, Chapter 1: Program Description and Objectives	The Data Resource Management Program encompasses the process of planning managing, controlling and protecting DOI data assets while supporting DOI business functions and goals.	Promotes the adoption of standards and practices that encourage the sharing and exchange of information to further enhance mission and business performance for DOI.
	<a href="http://elips.doi.gov/ELIPS/DocView.aspx?id=1237">http://elips.doi.gov/ELIPS/DocView.aspx?id=1237</a>		

Identifier	Title	Brief Description	Data Management Relevance
Internet Accessibility Policy	Agency-wide Internet Accessibility Policy	The CIO web page does not restate Section 508, but does provide guidelines for ‘Best Practices’, responsibilities, and tools to assist in complying with section 508 requirements.	
	Link: <a href="https://cio.gov/internet-accessibility-policy/">https://cio.gov/internet-accessibility-policy/</a>		
IP6	Transition to IP6	This CIO Memorandum states the Department’s commitment to the operational deployment and use of Internet Protocol version 6 (IPv6).	
	Link: <a href="https://cio.gov/innovate/transition-to-ipv6/">https://cio.gov/innovate/transition-to-ipv6/</a>		
MS Office	Use of Microsoft Office Products	All DOI agencies are required to standardize on Microsoft Office products for desktop application and use of spreadsheets, documents, databases, and presentation software.	
	Link: <a href="http://www.fws.gov/policy/m0244.pdf">http://www.fws.gov/policy/m0244.pdf</a>		
Administrative Rights	Limiting of Administrative Rights	All DOI agencies are required to limit administrative rights to servers and computers to those staff that are required for operational use.	All users with administrative rights must have an approved request, with justification, on file with the agency’s Chief Information Office (CIO).
	Link: (unable to locate policy statement)		

Identifier	Title	Brief Description	Data Management Relevance
NIST 800-53	National Institute of Standards and Technology – (NIST) Special Publication 800-53	All agencies are required to manage the security of servers, networks (LAN, WAN), and computers must conform to security guidelines, and administrative rights to servers and computers should be limited to those staff that are required for operational use. All users with administrative rights must have an approved request, with justification, on file with the agency’s Office of Chief Information Office.	Security must be managed effectively at all levels of development, implementation, and deployment. Approvals for persons with administrative rights for computers within the agency are documented and filed with the CIO.
Link: <a href="http://csrc.nist.gov/publications/nistpubs/800-53-Rev3/sp800-53-rev3-final_updated-errata_05-01-2010.pdf">http://csrc.nist.gov/publications/nistpubs/800-53-Rev3/sp800-53-rev3-final_updated-errata_05-01-2010.pdf</a>			



1.3. US GEOLOGICAL SURVEY (USGS) AND US FISH AND WILDLIFE SERVICE (USFWS) POLICIES

Identifier	Title	Brief Description	Data Management Relevance
NCCWSC’s data management policies and guidance	Data Policies and Guidance	NCCWSC and the CSCs have developed data management policies and guidance as well as an architecture and infrastructure to effectively and efficiently share and manage data and information products produced by NCCWSC or CSC funded projects. Policies and guidance were developed by a working group with representatives from NCCWSC, the CSCs, LCCs, and other data management experts.	Provides policy and guidance framework for USGS funded research projects and closely mimics policies and guidance being implemented by the LCCs.
Link: <a href="https://nccwsc.usgs.gov/?q=content/data-policies-and-guidance">https://nccwsc.usgs.gov/?q=content/data-policies-and-guidance</a>			
Survey Manual Section 502.1	U.S. Geological Survey Manual Section 502.1 – Fundamental Science Practices.	USGS Fundamental Science Practices govern how scientific investigations, research, and activities are planned and conducted and how information products are reviewed and approved for release and dissemination.	There are minimum data and information management requirements to which all USGS organizational units must adhere.
Link: <a href="http://www.usgs.gov/usgs-manual/500/502-1.html">http://www.usgs.gov/usgs-manual/500/502-1.html</a>			

Identifier	Title	Brief Description	Data Management Relevance
Data Management Plans: Pacific Region Data Management Policy	Data Management Plans: USFWS Pacific Region Data Management Policy	Provides the authorities for and definitions of terms used to establish data management plans. Describes responsibilities for implementing the policy and procedures of the USFWS Pacific Region’s DMPs. This policy promotes best practices for acquiring and collecting, describing, archiving and sharing scientific information to improve regional mission and business performance.	
	Link: <a href="https://groups.google.com/a/piccc.net/forum/?hl=en#!topic/piccc-fws-data-management-documents/sDZfeodXWnc">https://groups.google.com/a/piccc.net/forum/?hl=en#!topic/piccc-fws-data-management-documents/sDZfeodXWnc</a>		
Supplemental Material and Guidance: Data Management Plans	Supplemental Material and Guidance: Data Management Plans	This USFWS regional policy articulates the requirement of a data management plan (DMP) for any significant development or procurement of biological or physical data.	
	Link: <a href="https://groups.google.com/a/piccc.net/forum/?hl=en#!topic/piccc-fws-data-management-documents/sDZfeodXWnc">https://groups.google.com/a/piccc.net/forum/?hl=en#!topic/piccc-fws-data-management-documents/sDZfeodXWnc</a>		

## ATTACHMENT B: DATA CITATION

Data citation is a critical practice in science publishing. As data is shared with more frequency, data citation provides numerous advantages including reproducibility through direct reference to the data used in a research study; providing credit to data creators and authors, research provenance, and ability for researchers to track the use of their datasets in other studies.

Data must be cited and referenced in publications and other media using a bibliographic reference similar to that used for journal articles. Individual researchers or data set owners may define data citation requirements for their data and research; however, the expectation of the PICCC is that certain specific elements are included. These elements are:

- Author/Principal Investigator/Data Creator
- Release Date/Year of Publication – year of release, for a completed dataset
- Title of Data Source – formal title of the dataset
- Version/Edition Number – the version of the dataset used in the study
- Format of the Data – physical format of the data
- 3<sup>rd</sup> Party Data Producer – refers to data accessed from a 3<sup>rd</sup> party repository
- Archive and/or Distributor – the location that holds the dataset
- Locator or Identifier – includes Digital Object Identifiers (DOI), Handles, Archival Resource Key (ARK), etc.
- Access Date and Time – when data is accessed online
- Subset of Data Used – description based on organization of the larger dataset
- Editor or Contributor – reference to a person who compiled data, or performed value-added functions
- Publication Place – city, state and country of the distributor of the data
- Data within a Larger Work – refers to the use of data in a compilation or a data supplement (such as published in a peer-reviewed paper)

These guidelines are based on the work of Earth Science Information Partners (ESIP). More information, examples, and guidance can be found at the Earth Science Information Partners (ESIP) website: [http://wiki.esipfed.org/index.php/Interagency\\_Data\\_Stewardship/Citations/provider\\_guidelines](http://wiki.esipfed.org/index.php/Interagency_Data_Stewardship/Citations/provider_guidelines).

## ATTACHMENT C: INFORMATION ON METADATA STANDARDS

More information on various metadata standards can be found below.

### **ISO 19115/19139:**

The 19115 standard, developed by the International Organization for Standardization (ISO) is an internationally accepted standard for documenting scientific datasets. ISO 19115 defines the schema required for describing geographic information and services. It provides information about the extent, the quality, the spatial and temporal schema, spatial reference, and distribution of digital geographic data.

ISO 19115 adds functionality not found in the FGDC standard, for example, in areas such as multi-lingual data sharing, topic categories for high-level metadata classification, unique identifiers for metadata records, roles and responsibilities for a dataset, and descriptions of geospatial service metadata.

ISO 19139 defines the XML schema implementation derived from 19115.

### **More information:**

[http://www.iso.org/iso/iso\\_catalogue/catalogue\\_tc/catalogue\\_detail.htm?csnumber=26020](http://www.iso.org/iso/iso_catalogue/catalogue_tc/catalogue_detail.htm?csnumber=26020)).

### **ISO 19115-2**

This ISO standard includes extensions for imagery and gridded data elements.

**More information:** <http://www.fgdc.gov/metadata/geospatial-metadata-standards> or [www.iso.org](http://www.iso.org) and from NOAA: [https://geo-ide.noaa.gov/wiki/index.php?title=Main\\_Page](https://geo-ide.noaa.gov/wiki/index.php?title=Main_Page)

**FGDC Content Standard for Digital Geospatial Metadata** (with accompanying profiles and/or extensions to include the Biological Data Profile, Shoreline Data Profile, and the Remote Sensing Extension.)

The CSDGM was developed by the FGDC in 1994 and revised in 1999. The standard has a primary focus on geospatial data, but can also be used for tabular data. The CSDGM can be used with accompanying profiles and/or extensions. A profile/extension contains additional elements that are incorporated into the core metadata standard to fill the need of a particular community. The Biological Data Profile, Shoreline Data Profile, and the Remote Sensing Extension are three examples of extended elements developed to suit a particular scientific domain.

**More Information:** To download guidance about the standard, profiles and extensions, visit [www.fgdc.gov/metadata](http://www.fgdc.gov/metadata).

### **Ecological Metadata Language (EML):**

This community-driven standard focuses primarily on documenting projects in ecology. The standard was built using modules to create an extensible functionality, such that users of the standard can determine which modules are most pertinent to describing their data, literature, and software

resources. These modules can then be linked through a crosswalk to other established standards. Ecological Metadata Language (EML) was developed by a collaboration of individuals at National Center for Ecological Analysis and Synthesis (NCEAS), the Long Term Ecological Research Program, and the Joseph W. Jones Ecological Research Center.

**More information:** <http://knb.ecoinformatics.org/software/eml/>

## ATTACHMENT D: APPROVED FORMATS FOR DATA SUBMISSION

The PICCC has approved the following formats for transmitting research data to the PICCC Data Steward at project close. Search the left most column of the table below to locate the data type for the collection you need to transmit and read the row to find supported data and metadata formats.

The LCC enterprise is in early stages of development. If a format is missing that a researcher needs, please contact the PICCC Data Steward to suggest additions.

Type of data	Acceptable formats for transmission to the PICCC	Acceptable metadata formats
Quantitative tabular data with extensive metadata <i>a dataset with attribute labels, code labels, defined missing values, and attribute definitions in addition to the data matrix</i>	Structured data from a database such as MySQL, PostGres, and MS Access [.mdb   .accdb]	ISO 19115-2:2009
Quantitative tabular data with minimal metadata <i>a dataset with or without attribute labels but no other metadata in addition to the data matrix</i>	ASCII comma separated values (CSV) [.csv]  ASCII tab delimited file [.tab]	ISO 19115-2:2009
Geospatial data <i>vector and raster data</i>	.shp, .tif/GeoTIFF, Keyhole Mark-up Language (KML) [.kml]	ISO 19115-2:2009
Qualitative data <i>textual</i>	ASCII Rich Text Format [.rtf]  ASCII plain text data [.txt]	
Gridded data	Network Common Data Form (NetCDF) [.nc   .cdf]	ISO 19115-2:2009

Type of data	Acceptable formats for transmission to the PICCC	Acceptable metadata formats
Digital image data	Joint Photographic Experts Group (JPEG) [.jpg   .jpeg]  Adobe Portable Document Format (PDF) [.pdf]  TIFF version 6 uncompressed [.tif]	ISO 19115-2:2009
Digital audio data	MPEG-1 Audio Layer 3 [.mp3]  Waveform Audio Format (WAV) [.wav]	
Digital video data	Moving Picture Experts Group  Standard definition: MPEG-4 [.mp4   AVC/H.264]  High Definition: [AVCHD/H.264]	
Documentation, publications, and scripts	ASCII Rich Text Format [.rtf]  Adobe Portable Document Format (PDF) [.pdf]	

Note: Exceptions to this list must be approved by the PICCCC Data Steward.

---

## DATA ENCODING STANDARDS AND FORMATS

The PICCC will promote data sharing and integration through the use of data standards such as NetCDF-CF, [OGC](#) Standards, and commonly used formats, like shapefile and GeoTIFF. Unifying software packages that support numerous file formats matching a common data model such as GDAL, for geospatial gridded data; OGR, for geospatial vector data; and NetCDF-Java, for file-encoded time series data will be relied on to make connections to the numerous file formats used in scientific practice.

### Network Common Data Format with Climate and Forecasting (NetCDF-CF) metadata conventions:

NetCDF is “a set of interfaces for array-oriented data access and a freely-distributed collection of data access libraries for C, Fortran, C++, Java, and other languages. The NetCDF libraries support a machine-independent format for representing scientific data. Together, the interfaces, libraries, and format support the creation, access, and sharing of scientific data.” (Unidata <http://www.unidata.ucar.edu/> Accessed June 13, 2010) NetCDF functionality has been developed primarily for the atmospheric science community. The Climate and Forecasting (CF) metadata conventions have been developed by the atmospheric science community to describe NetCDF compatible datasets. Combined, the NetCDF and CF data standards provide a fully described common data model accessible by programmatic tools that support data discovery, access, and integration.

Open Geospatial Consortium (OGC) Standards: OGC standards are internationally developed interchange methods, information models, and xml application schemas. Primarily, OGC has focused on data that could be conveyed on a map or analyzed in a GIS setting. Increasingly, OGC domain working groups are defining information models and xml application schemas for domain specific observational data. These domain specific information models will offer internationally recognized standardization for information such as hydrologic model output or groundwater monitoring network observations. Using a combination of OGC standards, a wide range of NCCWSC related data formats and use cases can be accessed and satisfied, respectively.

De-facto Community Standards: Depending on the community developing the dataset, products may fall outside the previous mentioned data encoding standards and file formats. The PICCC strongly encourages the use of open data encoding standards but acknowledges that some scientific communities commonly work with proprietary formats. In these situations, community norms should dictate allowed formats. If a project works with a proprietary format (e.g., MS Excel), the project needs to consider alternative file formats for product presentation. At the outside, the data should be submitted in a non-proprietary format as well as the proprietary format (e.g., production of a comma delimited text file in addition to representation in a MS Excel spreadsheet). In all cases, any non-standard or proprietary file format produced must be identified and justified in the DMP.



Web Services provide a standard way for software applications to interoperate using the Hypertext Transfer Protocol (HTTP). Building on HTTP with infrastructure, architecture, and core technologies under the auspices of the World Wide Web Consortium (W3C), web service standards have been defined that enable systems to be created by chaining networked services together. Since the network may be the entire Internet, web service technology can expedite the creation of entirely new applications by assembling discrete, possibly geographically distributed services.

The Catalog Service for the Web (CSW) standard is an OGC metadata and other catalog resource web service protocol specification that allows catalogs of metadata to be searchable and accessed by any client software (e.g., ScienceBase, Geo Data Portal) that has implemented the standard. LCC data stewards and partners are actively involved in efforts to standardize the usage of metadata and catalog service for the web implementations across the geographic and atmospheric science communities.

The Web Map Service (WMS) standard is a widely implemented OGC specification for exchange of map images rendered to a requested size and resolution. It provides a mechanism to request previews of data resources that can be rendered and delivered for immediate display. The WMS standard is especially useful for data discovery and evaluation as it provides efficient visualization of potentially massive data sources. Data servers implemented by the geospatial and atmospheric data communities support the protocol.

The Web Feature Service (WFS) standard provides functionality to query and retrieve geospatial features and associated attributes. Geospatial servers implement the WFS standard as a mechanism to make shapefiles and simple geodatabase content available. Use of WFS for visualization is somewhat limited in that service-consuming software can become overwhelmed by the volume of data delivered in response to a naïve request. For this reason, WFS are commonly coupled with WMS to provide rich functionality and rapid display.

The Web Coverage Service (WCS) standard allows requests for gridded data with server-based handling of geospatial coordinate systems. A data consuming application can request data for an area of interest using common latitude longitude geospatial coordinates. Depending on geospatial server capabilities, the WCS specification provides methods to request data in one of any available geospatial coordinate system, data format, and resolution. As the web coverage service standard and software implementing it evolve, handling for time series and specialized server-performed transformations will improve (or decrease handling time).

The Open Source Project for a Network Data Access Protocol (OPeNDAP) standard provides extremely generalized access to structured data. Coupled with appropriate metadata standards, virtually any type of data can be represented. The highly generalized nature of the standard puts much of the data integration burden on data consuming software; however, the standard is very useful as data can be self-describing and is easily accessed by project-specific user-written software.

## Pacific Islands Climate Change Cooperative Information Management, Delivery, and Sharing Standards

Version 3.0, December 2014

### INTRODUCTION

This document defines the standard for data and information delivery for the Pacific Islands Climate Change Cooperative (PICCC) science providers. It defines project-level data management practices, data documentation standards, and product delivery processes. The standards are designed to ensure and facilitate full and open access to scientific data<sup>1</sup> and data products funded by the PICCC. A well-developed data management plan has mutual benefits for the PICCC and the Principal Investigators (PI) of funded projects. Specifically, the PICCC gains confidence that products will be delivered in a timely manner in a format most useful to partners, resource managers, and the public. PIs will have *a priori* understanding of expected product quality, documentation, and delivery format and process. The practices described herein are consistent with requirements of the National LCC Network, National Climate Change & Wildlife Science Center, Climate Science Centers, and the National Science Foundation. The complete PICCC data management manual is available and should be consulted if any further clarification is needed.

Investigators that are considering applying for funding from the PICCC are encouraged to review these standards. These standards are a binding condition for all PICCC-supported projects. Any variation from these standards must be requested in writing by the PI and agreed to by the LCC Coordinators and Science Coordinators, working on behalf of the Steering Committee, prior to the initiation of the funded project.

The process on how the PICCC acquires science information is:

- A. The PICCC Steering Committee identifies science needs
- B. Request is made to science community; this document is attached to request
- C. Proposals are submitted
- D. Steering Committee vets and/or prioritizes proposals; decides on funding allocations
- E. PIs are notified and requested to submit a Data Management Plan

---

<sup>1</sup>Data may include “textual information, numeric information, instrumental readouts, equations, statistics, images (whether fixed or moving), diagrams, and audio recordings. It includes raw data, processed data, derived data, published data, physical samples, and archived data. It includes the data generated by experiments, by models and simulations, and by observations of natural phenomena at specific times and locations. It includes data gathered specifically for research as well as information gathered for other purposes that is then used in research. This definition of data also includes any custom code or applications that were developed to aid in data analysis or transformation and are necessary to understand the data. Code and applications must include adequate documentation and/or within code comments to understand the function.”

- F. Science Coordinator reviews and approves Data Management Plan
- G. Funds allocated
- H. Science conducted; products generated and documented
- I. Products delivered to the PICCC via submission to the PICCC Data Steward

## DATA MANAGEMENT PLAN

When a proposal is identified for funding by the PICCC, the Principal Investigator will be requested to produce a written Data Management Plan (DMP) that must be approved by the Science Coordinator and PICCC Data Steward before funds are provided for the project. A key tool to foster quality data development and documentation, the DMP helps researchers and data managers:

- Think holistically about their project and data design, data needs, methodology, computational and analytical needs, documentation, data storage/archiving, and product delivery.
- Develop realistic budgets regarding project's data management activities.
- Implement standard data documentation practices at the outset of the project.

For the PICCC, a Data Management Plan:

- Assists with reproducibility and review of research projects because data and methods are well documented.
- Helps ensure data and data products can be discovered and are accessible and available for the long term.
- Is consistent with the best practices from many science funding programs such as the National Climate Change and Wildlife Science Center (NCCWSC) and National Science Foundation (NSF).

Project proposals funded by the PICCC shall deliver a written DMP within three (3) months of proposal acceptance. Approval of the DMP occurs before funds are provided to the PI. The DMP will:

- Address all aspects of the data life cycle<sup>2</sup>: plan, collect, assure, describe, preserve, discover, integrate, analyze;
- Describe data inputs acquired from existing sources (provenance, documentation, and use restrictions);
- Anticipate the full array of data products generated using PICCC funds including primary (i.e., field-collected) and secondary (i.e., derived from analysis or modeling) data;
- Describe how new data will be collected or existing data will be leveraged or reused including analytical tools and software;
- Articulate quality assurance/quality control procedures;
- Define the metadata standard for all datasets;
- Identify anticipated data formats;
- Describe plan for long-term storage of samples and physical collections (if appropriate);
- Specify how and when the data will be transferred to PICCC custody; and
- If applicable, describe archiving, data delivery, and long-term maintenance measures.

---

<sup>2</sup> Data lifecycle example: <http://www.dataone.org/best-practices>

The DMP can be satisfied by using the Research Data Management Plan template provided within the National Climate Change and Wildlife Science Center’s Data Management Plan Guidance document. This document can either be provided electronically by the PICCC or found online here:

[https://nccwsc.usgs.gov/sites/default/files/images/DMPGuidance\\_v3\\_0.pdf](https://nccwsc.usgs.gov/sites/default/files/images/DMPGuidance_v3_0.pdf).

## DATA DEVELOPMENT, DOCUMENTATION, AND DELIVERY

Principal Investigators are expected to submit or make available to the PICCC a copy of the raw data, derived data products, and other supporting materials created or gathered in the course of work under PICCC-supported research. Release of data products into the public domain at the conclusion of the project is the *de facto* policy of the PICCC. PI(s) are required to preserve and transfer their data and data products to the PICCC in commonly accepted formats needed for long-term science research. These recommendations do not supersede the legal requirements imposed upon organizations to restrict public access to data. However, such legal requirements restricting information and data access must be clearly stated in the project proposal, scope of work, and DMP.

## ROLES & RESPONSIBILITIES

- a. PIs shall be responsible for the quality, completeness, and description of the data, metadata and associated products prior to final submission to the PICCC.
- b. PIs are responsible for delivering a copy of all data, appropriate metadata, and other supporting information to the PICCC for archiving.
- c. Upon transfer of data from investigators to the PICCC, the PICCC becomes responsible for providing the long-term maintenance and public access to this data. In cases where the PICCC cannot provide long-term maintenance and public access to PICCC funded science data, the PI and Science Coordinator will arrange for data to be made available through a public web site, an institutional archive that is standard to a particular discipline or organization, or other approved repository. Intention to use this alternative approach to making data public and discoverable must be articulated in the DMP.

## DATA DELIVERY

- d. All data and derived data products shall be submitted to the PICCC no later than 90 days after the conclusion of the project.
- e. Conclusion of the project is defined as the end date of the funding agreement’s period of performance. Where necessary, final payment may be withheld until all data and proper documentation have been turned over to the PICCC.

## SPECIAL CASES

- f. Projects that are inherently tied to a matriculating graduate student may be granted initial periods of exclusive data use. All exclusive data use agreements must be approved in writing at project startup.
  - i. The period of exclusive use may be extended to three (3) years total for projects supporting work of a PI or Co-PI who is a matriculated student in a master’s degree program or up to five (5) years total for projects supporting work of a PI or Co-PI who is a matriculated student in a doctoral degree program.
  - ii. The period of exclusive use does not extend past the student’s graduation date.

- g. For projects producing observation sets greater than 5 years in duration and for long-term (>5 years duration) projects:
  - i. Written arrangements should be made to make data publically available at intervals throughout the project life span starting in the second year of the project.
  - ii. The following data sharing schedule should be followed: data collected from January 1 to September 30 of a given year will be made publicly available by March 31 of the following year. Data collected from October 1 to December 31 of a given year will be made publicly available by June 30 of the following year.

## PHYSICAL SPECIMENS

Principal Investigators are responsible for depositing any samples, genetic material, and/or physical collections associated with their research in a recognized and approved repository or collection within their discipline. Where applicable, a sample or physical collection preservation plan should be defined in the project's DMP.

## PROPRIETARY DATA AND SOFTWARE

Principal Investigators that will use or create proprietary data such that the terms of information release or types of data use are affected should clearly state this in their proposal documents. The requirements of data restriction should be documented in the proposal and DMP, and must clearly state what information, data, and conclusions cannot be released to the public upon conclusion of the project.

All data deemed sensitive, privileged, or subject to restricted access should be identified and appropriately labeled by the PI upon submission to the PICCC. Policies for access to these data should be negotiated between the PIs and the PICCC Coordinators or Science Coordinators, and documented in writing, prior to project implementation. Legal requirements restricting information and data access must be clearly stated in the project proposal, DMP, and scope of work.

## METADATA

Metadata<sup>3</sup> is required for all data sets and project products. A complete metadata record is required for the project as a whole (Project Metadata) and for each data product (Dataset Metadata) delivered. Content and format must follow a standard and widely recognized metadata protocol. We recommend the use of either the Federal Geospatial Data Committee Content Standard for Digital Geospatial Metadata (FGDC CSDGM) or International Standards Office (ISO) 19115/19119 protocols, but other commonly used standards (i.e., Ecological Metadata Language [EML]) would be acceptable. If research reuses or leverages an existing data set, the metadata for research projects should cite the source data reference and link to the data. Some sources for metadata creation and support include:

FGDC Geospatial Metadata Tools: <http://www.fgdc.gov/metadata/geospatial-metadata-tools/>

---

<sup>3</sup> Simply defined, metadata is a set of data that describes and gives information about other data. In practice, a metadata record is a file of information, usually presented as an XML document, which captures the basic characteristics of a data or information resource. It defines and describes the who, what, when, where, why and how of the resource.

LC MAP Metadata Tool: <https://www.sciencebase.gov/catalog/?community=LC+MAP+-+Landscape+Conservation+Management+and+Analysis+Portal>  
USGS Online Metadata Editor: <http://mercury.ornl.gov/OME/>  
EPA Metadata Editor: <https://edg.epa.gov/EME/>  
mp Metadata Parser: <http://geology.usgs.gov/tools/metadata/tools/doc/mp.html>