NOAA NESDIS CENTER for SATELLITE APPLICATIONS and RESEARCH (STAR)

TASK GUIDELINE

TG-1
BASIC RESEARCH (STEP 1)
TASK GUIDELINES

Version 3.0

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TITLE: TG-1: BASIC RESEARCH (STEP 1) TASK GUIDELINE VERSION 3.0

AUTHORS:

Ken Jensen (Raytheon Information Solutions)

VERSION HISTORY SUMMARY

<table>
<thead>
<tr>
<th>Version</th>
<th>Description</th>
<th>Revised Sections</th>
<th>Date</th>
</tr>
</thead>
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<tr>
<td>1.0</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>2.0</td>
<td>No version 2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.0</td>
<td>New Task Guideline adapted from CMMI guidelines by Ken Jensen (Raytheon Information Solutions)</td>
<td>New Document</td>
<td>10/01/2009</td>
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### LIST OF ACRONYMS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Full Form</th>
</tr>
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<tbody>
<tr>
<td>ATBD</td>
<td>Algorithm Theoretical Basis Document</td>
</tr>
<tr>
<td>CI</td>
<td>Cooperative Institute</td>
</tr>
<tr>
<td>CICS</td>
<td>Cooperative Institute for Climate Studies</td>
</tr>
<tr>
<td>CIMSS</td>
<td>Cooperative Institute for Meteorological Satellite Studies</td>
</tr>
<tr>
<td>CIOSS</td>
<td>Cooperative Institute for Oceanographic Satellite Studies</td>
</tr>
<tr>
<td>CIRA</td>
<td>Cooperative Institute for Research in the Atmosphere</td>
</tr>
<tr>
<td>CL</td>
<td>Check List</td>
</tr>
<tr>
<td>CLI</td>
<td>Check List Item</td>
</tr>
<tr>
<td>CoRP</td>
<td>Cooperative Research Program</td>
</tr>
<tr>
<td>CM</td>
<td>Configuration Management</td>
</tr>
<tr>
<td>CMMI</td>
<td>Capability Maturity Model Integration</td>
</tr>
<tr>
<td>CREST</td>
<td>Cooperative Remote Sensing and Technology Center</td>
</tr>
<tr>
<td>DG</td>
<td>Document Guidelines</td>
</tr>
<tr>
<td>EPG</td>
<td>Enterprise Process Group</td>
</tr>
<tr>
<td>EPL</td>
<td>Enterprise Product Lifecycle</td>
</tr>
<tr>
<td>G1RR</td>
<td>Gate1 Review Report</td>
</tr>
<tr>
<td>NESDIS</td>
<td>National Environmental Satellite, Data, and Information Service</td>
</tr>
<tr>
<td>NOAA</td>
<td>National Oceanic and Atmospheric Administration</td>
</tr>
<tr>
<td>PAR</td>
<td>Process Asset Repository</td>
</tr>
<tr>
<td>PG</td>
<td>Process Guidelines</td>
</tr>
<tr>
<td>PRG</td>
<td>Peer Review Guidelines</td>
</tr>
<tr>
<td>R&amp;D</td>
<td>Research &amp; Development</td>
</tr>
<tr>
<td>SEI</td>
<td>Software Engineering Institute</td>
</tr>
<tr>
<td>SG</td>
<td>Stakeholder Guideline</td>
</tr>
<tr>
<td>STAR</td>
<td>Center for Satellite Applications and Research</td>
</tr>
<tr>
<td>SWA</td>
<td>Software Architecture Document</td>
</tr>
<tr>
<td>TD</td>
<td>Training Document</td>
</tr>
<tr>
<td>TG</td>
<td>Task Guideline</td>
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</tbody>
</table>
1. INTRODUCTION

The NOAA/NESDIS Center for Satellite Applications and Research (STAR) develops a diverse spectrum of complex, often interrelated, environmental algorithms and software systems. These systems are developed through extensive research programs, and transitioned from research to operations when a sufficient level of maturity and end-user acceptance is achieved. Progress is often iterative, with subsequent deliveries providing additional robustness and functionality. Development and deployment is distributed, involving STAR, the Cooperative Institutes (CICS1, CIMSS2, CIOSS3, CIRA4, CREST5) distributed throughout the US, multiple support contractors, and NESDIS Operations.

NESDIS/STAR is implementing an increased level of process maturity to support the development of these software systems from research to operations. This document is a Task Guideline (TG) for users of this process, which has been designated as the STAR Enterprise Product Lifecycle (EPL).

1.1. Objective

The STAR EPL is designed as a sequence of 11 process steps that take a product from initial conception through delivery to operations. These steps are:

- Step 1 - Basic Research (TG-1)
- Step 2 - Focused R & D (TG-2)
- Step 3 - Project Proposal (TG-3)
- Step 4 - Resource Identification (TG-4)
- Step 5 – Development Project Plan (TG-5)
- Step 6 - Project Requirements (TG-6)
- Step 7 - Preliminary Design (TG-7)
- Step 8 - Detailed Design (TG-8)

---

1 Cooperative Institute for Climate Studies
2 Cooperative Institute for Meteorological Satellite Studies
3 Cooperative Institute for Oceanographic Satellite Studies
4 Cooperative Institute for Research in the Atmosphere
5 Cooperative Remote Sensing and Technology Center
The objective of this Task Guideline (TG-1) is to describe how to perform the standard tasks of STAR EPL process step 1, “Basic Research”.

The intended users of this TG are all participants in the STAR EPL process who are involved in performing the standard tasks of step 1. Participants are referred to as STAR EPL stakeholders.

To determine whether or not they should be involved with this step, the readers of this TG should first determine what stakeholder roles apply to their participation in a STAR research-to-operations development project. Generic stakeholder roles are listed in Section 3 of this TG and discussed in Section 3.2 of the EPL Process Guideline (PG-1)\(^6\). PG-1 and this TG will direct stakeholders to Stakeholder Guidelines (SG) that are pertinent to their roles.

1.2. Version History

This is the first version of TG-1. It is identified as version 3.0 to align it with the release of the version 3.0 STAR EPL process assets.

1.3. Overview

This TG contains the following sections:

- Section 1.0 - Introduction
- Section 2.0 - References
- Section 3.0 - Stakeholders
- Section 4.0 - Gate 1 Review
- Section 5.0 - Project Artifacts
- Section 6.0 - Task Descriptions

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\(^6\) It is recommended that potential STAR EPL stakeholders either review PG-1 prior to using this TG or use it as a reference while using this TG.
2. REFERENCE DOCUMENTS

All of the reference documents for the STAR EPL process are STAR EPL process assets that are accessible in a Process Asset Repository (PAR) on the STAR website. http://www.star.nesdis.noaa.gov/star/EPL_index.php.

Process assets include:

- Process Guidelines
- Stakeholder Guidelines
- Task Guidelines
- Peer Review Guidelines
- Review Check Lists
- Document Guidelines
- Training Documents

2.1. Process Guidelines

Process Guideline (PG) documents describe STAR’s standard set of practices and guidelines for tailoring them to specific projects.

- STAR EPL Process Guidelines (PG-1)
- STAR EPL Process Guidelines Appendix (PG-1.A)

PG-1 and PG-1.A apply generally to each EPL step. Each stakeholder performing tasks during each step can benefit from a familiarity with these documents.

2.2. Stakeholder Guidelines

A Stakeholder Guideline (SG) is a description of how to perform all STAR EPL standard tasks assigned to a given type of stakeholder. It should itemize the actions to be taken. It should contain appropriate standards, conventions, and (where appropriate) examples. It should point to the appropriate references and the required artifacts.
Stakeholder roles are identified in Section 3 of this TG. For each type of stakeholder, the appropriate SG provides that stakeholder with a complete description of the standard tasks for that stakeholder role, along with references to all appropriate process assets and project artifacts (c.f. Section 5 of this TG). This functions as a complement to the TGs (c.f. Section 2.3 of this TG), which provide a completion description of all stakeholder tasks for a specific process step.

Table 2.2.1 lists the Stakeholder Guidelines that are relevant to this step.

<table>
<thead>
<tr>
<th>ID</th>
<th>Stakeholder</th>
</tr>
</thead>
<tbody>
<tr>
<td>SG-8</td>
<td>Research Leads</td>
</tr>
<tr>
<td>SG-9</td>
<td>Research Scientists</td>
</tr>
<tr>
<td>SG-10</td>
<td>Research Testers</td>
</tr>
<tr>
<td>SG-11</td>
<td>Research Programmers</td>
</tr>
<tr>
<td>SG-12</td>
<td>Research Managers</td>
</tr>
</tbody>
</table>

2.3. Task Guidelines

A Task Guideline (TG) is a description of how to perform the tasks of a STAR EPL process step. It should itemize the actions to be taken. It should contain appropriate standards, conventions, and (where appropriate) examples. It should point to the appropriate references and the required artifacts. There is one Task Guideline for each step in the STAR EPL. The relevant TG for this step is TG-1 (this document).

2.4. Peer Review Guidelines

For each review (c.f. Section 4), there is a Peer Review Guideline (PRG) that describes the objectives of the review, the required artifacts, standards for reviewers, requirements for approval, and options other than approval. For step 1, the relevant PRG is:

- Gate 1 Review Guidelines (PRG-1)
2.5. Review Check Lists

For each review (c.f. Section 4), there is a Review Check List (CL) that captures all the objectives for a review as a set of check list items. Each item in the check list should have a "Disposition" column that contains "Pass", "Conditional Pass", "Defer", "Waive", or "N/A" (Not Applicable). Each item will also have columns for Risk Assessment and for Actions generated. For step 1, the relevant CL is:

- Gate 1 Review Check List (CL-1)

2.6. Document Guidelines

There is a Document Guideline (DG) for each standard STAR EPL document. Each DG includes a description of the purpose for the document, a standard document outline (table of contents), a brief description of each subsection in the outline, and an Appendix containing an example document.

Table 2.6.1 lists the Document Guidelines that are relevant to this step.

<table>
<thead>
<tr>
<th>ID</th>
<th>Document</th>
</tr>
</thead>
<tbody>
<tr>
<td>DG-1.1</td>
<td>Algorithm Theoretical Basis Document (ATBD)</td>
</tr>
<tr>
<td>DG-1.2</td>
<td>Software Architecture Document (SWA)</td>
</tr>
<tr>
<td>DG-1.3</td>
<td>Gate 1 Review Report (G1RR)</td>
</tr>
</tbody>
</table>

2.7. Training Documents

Training Documents (TD) assist the stakeholders (c.f. Section 3) in performing the process tasks. By using the TDs, the stakeholders should be able to perform the tasks more effectively.

Table 2.7.1 lists the Training Documents that are relevant to this step.
<table>
<thead>
<tr>
<th>ID</th>
<th>Training Document</th>
</tr>
</thead>
<tbody>
<tr>
<td>TD-11.1</td>
<td>FORTRAN Coding Standards</td>
</tr>
<tr>
<td>TD-11.1.A</td>
<td>Transition from Fortran 77 to Fortran 90</td>
</tr>
<tr>
<td>TD-11.2</td>
<td>C Coding Standards</td>
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</table>
3. STAKEHOLDERS

The STAR Enterprise is comprised of a large number of organizations that participate and cooperate in the development and production of environmental satellite data products and services. Individual project teams are customarily composed of personnel from these organizations, supplemented by contractor personnel. These organizations and project teams are referred to as the STAR Enterprise stakeholders.

An overview of the stakeholder roles is provided in the STAR EPL Process Guidelines (PG-1, c.f. Section 2). A more detailed description can be found in the Stakeholder Guidelines (SGs, c.f. Section 2).

Stakeholders who have a role during step 1 include:

- Research Lead (SG-8)
- Research Scientist (SG-9)
- Research Tester (SG-10)
- Research Programmer (SG-11)
- Research Management (SG-12)

A **Research Lead** is any person located at a research organization who is leading a group of scientists, programmers, and testers that is working on preparing an algorithm for a STAR/SPSRB Project Proposal to develop a product for transition to operations. If the proposal is approved for development, the **Research Lead** will usually lead the development effort in the role of **Development Lead**.

A **Research Scientist** is a scientist located at a research organization who has been assigned by the **Research Lead** to one or more of the tasks of developing new or improved algorithms, reviewing algorithm development, and preparing STAR/SPSRB project proposals.

A **Research Tester** is any person located at a research organization who has been assigned by the **Research Lead** to one or more of the tasks of identifying test data appropriate to a research algorithm as it is being developed, acquiring and integrating the test data into the research product processing system, creating test plans, executing tests, and analyzing and reporting test results for review.
A *Research Programmer* is a programmer located at a research organization who has been assigned by the Research Lead to one or more of the tasks of designing research code, writing research code, and supporting *Research Testers* in testing research code.

A *Research Manager* provides project monitoring and control oversight of research projects, including participation in project management (Gate) reviews. Research projects produce R&D algorithms for consideration as potential development projects.

Stakeholder satisfaction is a critical component of the process. The intention is for the process to be more of a benefit than a burden to stakeholders. If stakeholders are not satisfied that this is the case, the process will require improvement.

Stakeholders are strongly encouraged to provide feedback to the EPG. Comments and suggestions for improvement of the process architecture, assets, artifacts and tools are always welcome. Stakeholders can provide feedback by contacting:

Ken.Jensen@noaa.gov
4. GATE 1 REVIEW

Gate 1 is an internal review of Basic Research by the research organization. Its purpose is to determine whether organization funds and resources should be expended on Focused R&D of a new/improved algorithm, leading to a Project Proposal to develop a product for transition to operations.

Standard Gate 1 Review objectives:

- Review the algorithm theoretical basis, software architecture, research code and research test results to determine whether the algorithm should be developed to support a STAR/SPSRB Project Proposal.

Standard Gate 1 Review entry criteria:

- Entry # 1 - An Algorithm Theoretical Basis Document (ATBD) has been written.
- Entry # 2 - A Software Architecture Document (SWA) has been written.
- Entry # 3 – Research code to implement the algorithm has been written.
- Entry # 4 – Test data for the basic research code has been produced.

Standard Gate 1 Review exit criteria:

- Exit # 1 – Algorithm and ATBD are satisfactory
- Exit # 2 – Software architecture and SWA are satisfactory.
- Exit # 3 – Basic research code is satisfactory.
- Exit # 4 – Research test results, documented in the ATBD, demonstrate that the algorithm has operational potential.
- Exit # 5 - Project is ready for the Exploratory phase

Refer to PRG-1 for a more detailed description of the Gate 1 Review. The standard Gate 1 Review Check List Items (CLI) are documented in the process asset CL-1 (c.f. Section 2).
Note that the standard Gate 1 Review objectives, entry criteria, and exit criteria are only recommendations. The research organization is completely free to determine objectives, entry criteria, and exit criteria unique to the organization and/or project. In fact, there is no requirement for the organization to even conduct a Gate 1 Review.
5. PROJECT ARTIFACTS

Project Artifacts are a set of items that must be produced by the appropriate stakeholders during the product life cycle to support the reviews. They are established and maintained under Configuration Management (CM) by an Enterprise Process Group (EPG) under the direction of a Steering Committee.

The project artifacts are maintained in a project artifact repository. This is a complete set of configuration-managed artifacts developed by each project in accordance with STAR standards. When a project artifact has been approved at a Technical Review or Gate Review, it is placed in the project artifact repository under CM.

Project artifacts that are recommended for development during step 1 are listed in Table 5.1.

<table>
<thead>
<tr>
<th>Artifact</th>
<th>Type</th>
<th>Review</th>
<th>Baseline Build</th>
</tr>
</thead>
<tbody>
<tr>
<td>Algorithm Theoretical Basis Document v1.0</td>
<td>Document</td>
<td>Gate 1</td>
<td>None</td>
</tr>
<tr>
<td>Software Architecture Document v1.0</td>
<td>Document</td>
<td>Gate 1</td>
<td>None</td>
</tr>
<tr>
<td>Basic Research Code</td>
<td>Code</td>
<td>Gate 1</td>
<td>None</td>
</tr>
<tr>
<td>Basic Research Test Data</td>
<td>Test Data</td>
<td>Gate 1</td>
<td>None</td>
</tr>
<tr>
<td>Gate 1 Review Report</td>
<td>Report</td>
<td>Gate 2</td>
<td>None</td>
</tr>
</tbody>
</table>

**Algorithm Theoretical Basis Document v1.0:** The Algorithm Theoretical Basis Document (ATBD) provides a theoretical description (scientific and mathematical) of the algorithm that is used to create a product that meets user requirements. For v1.0, the algorithm is at a “concept” stage and its operational potential has not been assessed. The purpose of ATBD v1.0 is to demonstrate that the algorithm has operational potential and should be further developed to demonstrate operational capability. Refer to DG-1.1 for detailed ATBD guidelines.

**Software Architecture Document v1.0:** The Software Architecture Document (SWA) complements the ATBD by providing the software architecture for the processing code that will implement the algorithm. Refer to DG-1.2 for detailed SWA guidelines.
**Basic Research Code**: Basic Research Code (RCOD v1) is research code that implements the algorithm. It should use input data and produce output data that is described in the ATBD and SWA. It should include the processing functionality described in the ATBD and SWA.

**Basic Research Test Data**: Basic Research Test Data (RTEST v1) are the data files used to test the Basic Research code, including the input data and output data identified in the ATBD and SWA.

**Gate 1 Review Report**: Gate 1 Review Report (G1RR) is the report of the Gate 1 Reviewers. The G1RR should consist of an assessment of the Gate 1 Review artifacts and a yes/no decision on proceeding to the next phase of the EPL. Refer to DG-1.3 for G1RR document guidelines.

Note that none of these artifacts is included in a STAR Baseline Build. Consequently, none of these are required artifacts. Development of these artifacts is entirely at the discretion of the Research organization, based on the organization’s internal objectives. In determining the step 1 artifacts to be developed, and consequently the step 1 activities to authorize and the Gate 1 Review objectives, Research Managers should consider how the step 1 activities and artifacts support their objectives for the next EPL Phase (Exploratory).
6. TASK DESCRIPTION

6.1 Basic Research Process Flow

Figure 6.1 shows the process flow for step 1.
6.2 Expected BEGIN State

- Research Scientists are prepared to perform basic research to develop an algorithm that may have operational potential.
- Research Management is aware of this effort, and has provided the resources needed for basic research coding and testing
- A Research Lead has been identified.
- If needed, Research Testers and Research Programmers have been identified
- Step 1 stakeholders understand and accept their tasks

6.2.1 Task Inputs

None

6.2.2 Corrective Actions

At this step of the project lifecycle, there are no requirements. Therefore, there is no basis for assigning corrective actions.

6.3 Desired END State

- An algorithm has been developed and documented in an ATBD.
- A software architecture has been developed and documented in a SWA.
- Research code has been written that implements the algorithm well enough to produce prototype data products.
- Research code has been run with research test data to produce data products.
- Research code test results, documented in the ATBD, demonstrate whether or not the algorithm has operational potential.
- A Gate 1 Review decision has been made and documented in a G1RR.
6.3.1 Task Outputs

- Algorithm Theoretical Basis Document v1.0
- Software Architecture Document v1.0
- Basic Research Code
- Basic Research Test Data
- Gate 1 Review Report

6.4 Basic Research Activities

The Basic Research algorithm may be developed in one of three venues:

- STAR. Research Managers include STAR Division Chiefs and Branch Chiefs. Research Lead is a STAR scientist. Research Scientists are STAR scientists. Research Testers are STAR scientists. Research Programmers may be STAR scientists, or Research Managers may designate contractor personnel for these tasks.

- A Cooperative Institute (CI). Research Managers are provided by the CI. Research Lead is a CI Scientist. Research Scientists are CI scientists. Research Testers are CI scientists. Research Programmers may be CI scientists, or Research Managers may designate contractor personnel for these tasks.

- A research organization other than STAR and the CIs (PUSH User). Compliance with STAR EPL standards is at the discretion of the research organization, but the organization should understand that Gate 2 approval shall depend on a demonstration that the algorithm can be developed according to STAR EPL standards.

In this step, the Research Lead and Research Scientists begin the development of new or improved algorithms that may have operational potential. The objective is to develop the algorithm theoretical basis to a maturity sufficient for reviewers at the algorithm developer’s organization to make an assessment that its operational potential warrants additional research and development.

The initiating event for this step will vary, depending on the internal practices of the research organization and external influences. Internal drivers are of the PUSH User type, determined primarily by the scientists’ awareness of new or improved algorithm technology.
or of new data sources. External influences are of the PULL User type, determined primarily by emerging operational needs of the user community. Communication between PULL Users and the Research Scientists is strongly encouraged.

The Research Scientists should notify Research Managers when the algorithm is ready to be presented at a Gate 1 Review. The Gate 1 Review guidelines (PRG-1) and checklist (CL-1) should be consulted to help decide what must be done to prepare the algorithm for the next phase. It is expected that a Research Scientist will be the Research Lead for this phase, but the research organization may want to select an alternative Lead who specializes in preparing a project for Gate 1 and Gate 2 reviews.

At a minimum, initial versions of an Algorithm Theoretical Basis Document (ATBD) and a Software Architecture Document (SWA) should be produced for the Gate 1 Review. The purpose is to demonstrate to the Gate 1 reviewers that the algorithm has operational potential and should be further developed. ATBD v1r0 should include results of limited testing of the algorithm, using prototype code and a TBD number of regional scenes. SWA v1r0 should document the algorithm inputs and outputs and at least one level of processing flow. Research Scientists should produce these documents, using DG-1.1 and DG-1.2 as assets.

Basic research code and test data may be developed to help demonstrate an operational potential. In that case, Research Programmers and Research Testers at the research organization may be assigned to the project by Research Managers and/or the Research Lead. The extent and maturity of this code and test data is at the discretion of the organization that is developing the Basic algorithm, as it is their decision whether to approve the project for the next phase at the Gate 1 Review.

The Research Testers should work with Research Scientists to develop test data that will enable the algorithm to produce prototype data products and to create a test environment and test results that demonstrate the algorithm’s potential to satisfy Gate 1 Review requirements (c.f. PRG-1).

Although there is no coding standard for the code at this early phase of the EPL, the Research Programmers should refer to the appropriate pre-operational coding standard and code training documents (TD-11.1 and TD-11.1.A for Fortran code and TD-11.2 for C code) if they intend for their Basic Research code to be used for subsequent code development. The reason for this recommendation is that compliance with the coding standards will be required to satisfy code review requirements and it is more efficient to incorporate these standards into the code at the beginning.
The **Research Scientists**, **Research Programmers**, and **Research Testers** should collaborate to run tests on the Basic Research algorithm. The tests shall meet Gate 1 requirements as given in PRG-1 and CL-1. Gate 1 requirements may be tailored to meet the research organization’s standards.

**Gate 1 Reviewers** are selected by the **Research Management**. It is expected that most reviewers will be from the research organization, but external reviewers may be selected at the discretion of the research organization. Reviewers should be familiar with the Gate 1 Review guidelines (PRG-1) and checklist (CL-1). **Gate 1 Reviewers** write a Gate 1 Review Report, following the standards in PRG-1, and notify the **Research Lead** of their decision. If they decide to approve the algorithm for further development, step 2 “Focused R&D” commences. If not, they should include in their report a recommendation that the project be terminated or improved for reconsideration.

**Each stakeholder** who performed activities during step 1 is encouraged to document an assessment of the experience in a personal record. This assessment should include: what was good, what was bad, what worked, what did not work, what can be improved, how it can be improved.

The **Development Lead** should remind the stakeholders to do this. At the conclusion of Development (step 11), the **Development Lead** will collect the final edited personal stakeholder records and incorporate them into a Development Project Report (DPR).

END OF DOCUMENT