

APTrust: How Deposits Work

Version 3.0

Background

For the purposes of the descriptions below, here are definitions of some key terms:

- **APTrust:** The Academic Preservation Trust consortium as defined and described in Article I of the [APTrust Governance Manual](#).
- **Depositor:** The entity depositing content to the APTrust preservation storage environments.
- **Deposit:** Each occurrence of the deposit of content made by the depositing entity to the APTrust preservation storage environment. The technical aspects of how APTrust handles each Deposit are described in the documentation of the specific environment that the Depositor has elected to use.
- **Deposited Content:** All of the content deposited by the Depositor to APTrust over time.

The design of the APTrust preservation storage repository assumes that the long-term deposit of content in the repository will increase the confidence of its Depositors in their ability to recover that content in its original digital form, as an important piece of the Depositors' own digital preservation plans. That increase in confidence is based on the features of APTrust's preservation storage environments, which include redundancy (multiple copies of digital content), multiple zones of availability, geographic and technical diversity, and detailed record-keeping that supports tracking of provenance of the digital content.

The Academic Preservation Trust is operated by assignment from its Governing Board to the University of Virginia as an activity of the University of Virginia Library in a spirit of collaboration, openness, and transparency. The underlying preservation-storage infrastructure of APTrust is provided by cloud-based vendors whose services are available to the APTrust through the University of Virginia's access to relevant Internet2 Net+ contracts. Over time, access to cloud services may be available to APTrust through other UVA purchasing avenues. APTrust's descriptions of specific services include identification of which contracts are involved with each (see [APTrust Services and Fees List](#)).

The [APTrust Collection Development Policy](#) describes content eligible for deposit to APTrust.

This description of how Deposits work is effective March 1, 2018.

Deposit Policies and Practices

- **Current specifications for Submission, Security, Access, Preservation and Storage, Reporting and Auditing, and Restoration**
 - Submission
 - see [APTrust Technical Documentation](#)
 - Security and Access
 - See the [APTrust Services and Fees List](#) to find information about relevant contracts and their provisions.
 - The APTrust will take all reasonable steps to protect the security of the components of the preservation storage environment that it directly manages. See [APTrust Security](#) for more detailed information.
 - The APTrust will notify a Depositor promptly of any security breach that could result in the unauthorized access or disclosure of Deposits.
 - The APTrust will notify a Depositor promptly of any failure of verification of the integrity of the Depositor's data.
 - Preservation and Storage
 - see [APTrust Technical Documentation: Preservation & Storage](#)
 - Reporting
 - see [APTrust Technical Documentation: Reporting](#)
 - Restoration
 - see [APTrust Technical Documentation: Restoration](#)
- **Costs, Storage Allocations and Termination of Service**
 - For a specific listing of current costs and services see [APTrust Services and Fees List](#).
 - If the Depositor fails to pay any invoice when due, the Depositor's account will be classified as "unpaid," and the APTrust staff will contact the Depositor using contact information previously submitted by the Depositor.
 - Unless payment is received or other arrangements are made, APTrust services to the Depositor will terminate 60 days after the account is designated "unpaid." The matter will then be referred to the Governing Board to determine what will happen to the Deposited Content. The Governing Board will consider the nature of the Deposited Content and, if no more appropriate option emerges, may order its deletion from the APTrust preservation storage environment.
 - A Depositor may terminate preservation storage services by notifying the APTrust in writing by four months in advance of the termination effective date. Service will continue to that date, and the Depositor will have until that date to retrieve its Deposited Content from the APTrust storage environment, unless both parties have previously agreed to other arrangements. If there is no such agreement, a Depositor's content will be

deleted from the APTrust's storage environment on the termination effective date.

- In the event of either a Depositor's failure to pay or a Depositor's election to terminate service as described above, the Depositor will have the option to establish a direct relationship with the third-party storage provider with whom the APTrust stored the Depositor's data. Details of how the Depositor can establish the direct relationship and take over technical management of the deposited data appear in the latest [*APTrust Succession Policy*](#).

- **Support**

- APTrust staff provide base-level, off-site support at no additional cost as follows:
 - APTrust staff establishes user accounts on appropriate systems, provides appropriate software to ingest and retrieve data, provides web interfaces for administration by the Depositor and for identifying the location of the Deposited Content (with limited metadata), and consults on issues related to these components.
 - APTrust staff provides a one-hour new-service training session.
 - APTrust provides ongoing technical support, including initial response to the Depositor, within four regular-business hours of a Depositor's report of an issue by e-mail to help@aptrust.org. Follow-up to support requests will take the form of e-mail, telephone or other convenient communication channel for consultation by APTrust staff.
- If requested by a Depositor, the APTrust will provide optional on-site, new-service/on-boarding support if personnel (drawn from APTrust staff and from APTrust-member volunteers) are available. Depositors are required to cover the expenses (travel, accommodations, meals, etc.) of personnel providing this on-site, new-service support.

- **Monitoring and Service Availability**

- The APTrust monitors its services on a continuous basis. The APTrust will make every reasonable effort to maintain high availability of the core services with a target goal of 99.5 percent and a data-durability target of 99.99 percent. Planned and unplanned maintenance operations on the APTrust preservation storage systems, applications and the networks providing access to them may impact system availability. The APTrust will provide the following notifications to a Depositor:
 - Advance notification of scheduled system downtimes:
 - For non-critical maintenance, the APTrust will provide advance notification via e-mail to the depositor. A Depositor must notify the APTrust promptly of any changes to contact information. It is the responsibility of a Depositor to inform its own user community of scheduled maintenance.

- Planned maintenance will be performed by the APTrust on the first and third Tuesdays of each month between 5:00 a.m. and 7:30 am Eastern Time.
 - Communications regarding unscheduled systems downtimes:
 - The APTrust uses monitoring software to detect downtime of relevant components.
 - When downtime is detected or when other problems are reported by Depositors, APTrust administrators will take all reasonable actions to diagnose and resolve such issues.
 - The APTrust's technical team will provide Depositors initial incident information within four regular-business hours of discovery of the issue. After the problem has been resolved, the APTrust's technical team will provide depositors a post-incident summary within one business day after issue resolution. The summary will include:
 - what went wrong
 - how it was resolved
 - recommended preventive measures and other lessons learned.
- **Depositor Responsibilities**
 - Each Depositor is responsible for:
 - Updating APTrust's records of Depositor contact information (for business and technical contacts) via e-mail to help@aptrust.org.
 - Ensuring that the data description provided with their Deposit(s) is consistent with the data stored in the APTrust.
 - Affirming that it has the right to place its Deposits in the APTrust preservation storage environment.
 - Protecting any relevant passwords or keys related to storage of the deposits in the APTrust preservation storage environment. If a Depositor believes a password or key has been compromised, that Depositor must immediately change that password or request a new key, keeping APTrust staff promptly informed.
- **Service Issues**
 - A Depositor will inform the APTrust Executive Director of any service or performance issues related to the work of APTrust staff that have not been previously resolved. If in the judgment of a Depositor such issues have not been resolved in a timely fashion, the Depositor may escalate such issues to any member of the Governing Board, who will bring the matter to the Board for review and appropriate action.
- **Succession Planning**
 - See the latest version of the [Policy Landing Page](#)

Version History

Previous versions were living documents and changes cumulative. With Version 3.0 this has become a versioned document with DOI.

Version	Status	Date	Notes
2.1	Done	August 2020	Communications and Policy Group Approve
2.7	Done	September 2020	Advisory Board Approve / updated title
3.0	Done	October 2021	Board Approval and DOI uploaded