Academic Preservation Trust
Policy Management Policy

Scope

This Policy on Policies (henceforth 'This Policy') applies to all policy areas related to digital content, digital services, and digital activities within the Academic Preservation Trust (henceforth 'APTrust').

This Policy addresses topics that apply broadly across APTrust membership; narrowly defined or applied policies, such as internal organizational procedures, are outside its scope.

Objectives

This Policy lays out a vision and high-level structure for defining, creating, approving, managing, and maintaining digital policies and guidelines for APTrust.

Document Conventions

- The capitalized keywords "MUST," "MUST NOT," "REQUIRED," "SHOULD," "SHOULD NOT," "RECOMMENDED," "MAY," and "OPTIONAL" are to be interpreted as described in RFC 2119.
- Terms in *italics* are defined in the **Definitions** section below.

Principles

1. APTrust will develop *policies* to systematically, reliably, and strategically administer digital preservation services to its members.
2. APTrust is committed to a transparent policy-making process.
3. Policy development will be responsive to the evolving needs and interests of APTrust membership, but it will also be thoughtful and deliberate.
4. APTrust is committed to timely enactment and enforcement of policies after approval.

Policy Statement

Policy Development

1. The process of policy development MUST be priority-driven and transparent.
2. *Stakeholders* for each policy MUST be identified and consulted before the policy's final approval.
3. For stability and endurance, policies SHOULD identify and refer to stakeholders by their roles rather than by personal name or position title when possible.
4. Policies SHOULD apply broadly across APTrust.

Implementation

5. Policies MUST be implementable.

6. Policies SHOULD be accompanied by other appropriate documentation (appendices, guidelines, etc.) to provide instruction or detail about implementation.
7. All policies MUST be accessible and publicly discoverable on APTrust's website. A summary of all policies under development SHOULD also be accessible and discoverable by all APTrust members.

Conformance

8. All APTrust policies MUST comply with minimum requirements established by applicable laws, rules, and regulations, including APTrust's Governance Manual.
9. Any *procedures* or practices developed by committees or other groups MUST NOT conflict with APTrust policies.

Compliance and Enforcement

10. Policy compliance MUST be auditable and enforceable.
11. Policy compliance MUST be audited during policy implementation and regularly after that.
12. All policies SHOULD be enforced in a transparent, predictable, and fair way.
13. Exemptions to policies SHOULD be rare, MUST be approved by the relevant roles identified in each policy, and MUST be documented.

Maintenance

14. Policies SHOULD be reviewed regularly and revised as appropriate.
15. All policies MUST include a recommended review frequency.
16. The APTrust Executive Director SHOULD make editorial, non-substantive policy updates between reviews to keep them accurate.

Definitions

Term	Definition
Policy	- A high-level document that articulates APTrust's values, principles, strategies, and positions on a topic, independent of specific technologies and procedures. - Policies establish a consistent understanding and approach to operations throughout APTrust. - Compliance with policies by APTrust members, staff, and stakeholders is mandatory. - Policies should focus on results, not means of implementation. - Policies should be relatively stable and require infrequent revision.
Guideline	- A document that provides instructions for implementation or good practices relative to a policy. - Guidelines provide interpretation or guidance for the implementation of an accompanying policy. - Guidelines may depend on specific technologies. - Guidelines may offer alternative approaches; compliance with

	guidelines may not be mandatory. ● Guidelines can change more frequently than policies.
Procedure	● Detailed step-by-step instructions for implementing policies or guidelines. ● Procedures for the policy development process are generally out of scope.

Stakeholders	● All individuals and groups who will be:
	  ○ directly or indirectly impacted by a policy,
	  ○ charged with implementing or enforcing all or part of a policy or
	  ○ who have significant topical expertise that should be consulted in developing a policy.

Roles and Responsibilities

Role	Responsibilities
All APTrust Members	● Monitor operations to ensure policy compliance ● Enforce existing policies ● Request the development of new policies ● Fulfillment of financial commitments
APTrust Advisory Committee	● Manages policies, guidelines, and related documents and their development and revision. ● Refers final drafts of policies to the APTrust Governing Board for adoption ● Monitors policy status and initiates review at the appropriate time
APTrust Governing Board	● Approves final policy drafts ● Requests new policy development from the Advisory Committee
Executive Director	● Facilitates policy review process ● Makes editorial, non-substantive changes to keep policies accurate between review periods.

Related Documents

Language and ideas were borrowed from the following sources, which were consulted during the drafting of this policy:

● Sheridan Libraries (Johns Hopkins University) Policy on Policies (not available online)
● [IT Policy Development and Administration Framework](#), Office of the CIO, University of Michigan
● [University of Michigan Standard Practice Guidelines](#) (SPG)
● [Policies, Standards, Guidelines, Procedures/Processes](#), Information Technology Services, St. Louis University

Review

Review frequency: Every 4 years
Next review date: April 2028

Version History

Version	Status	Date	Notes
0.1	Done	August 2020	Communications and Policy Group Approve
.75	Done	September 2020	Advisory Committee Approve / updated title
1.0	Done	October 2021	Board Approval and DOI uploaded
1.1	Draft	March 2024	Executive Director updated of accuracy, granted Executive Director ability to make non-substantive updates for accuracy.
1.2	Draft	June 2024	Advisory Committee Approval
1.3	Draft	July 2024	Board Approval and DOI Uploaded.