

Academic Preservation Trust Policy Management

Version 1.0

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 is intended to address topics that apply broadly across the 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 the definition, creation, approval, management and maintenance of digital policies and guidelines for the APTrust.

Document Conventions

- The capitalized key words "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. The APTrust will develop the *policies* it need to systematically, reliably and strategically administer digital preservation services to its members.
2. The APTrust is committed to a transparent policy-making process.
3. While policy development will be responsive to the evolving needs and interests of the APTrust membership, it will also be thoughtful and deliberate.
4. The APTrust is committed to timely enactment and enforcement of policies after they have been approved.

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 prior to 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 the APTrust.

Implementation

5. Policies **MUST** be implementable.

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

Conformance

8. All APTrust policies MUST comply with minimum requirements established by applicable laws and rules and regulations, including existing APTrust by-laws and membership agreements.
9. Any *procedures* or practices developed by committees or other subgroups MUST NOT conflict with APTrust policies.

Compliance and Enforcement

10. Compliance with policies MUST be auditable and enforceable.
11. Compliance with policies MUST be audited at the time of policy implementation and regularly thereafter.
12. All policies SHOULD be enforced in a way that is transparent, predictable, and fair.
13. Exemptions to policies SHOULD be rare, MUST be approved by the agent 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.

Definitions

Term	Definition
Policy	<ul style="list-style-type: none"> • A high-level document that articulates the APTrust's values, principles, strategies and positions on a topic, independent of specific technologies and procedures. • Policies establish a consistent understanding and approach to practices throughout the 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	<ul style="list-style-type: none"> • A document that provides instructions for implementation or best practices relative to a policy. • Guidelines provide interpretation or guidance for 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 standards policies.

Procedure	<ul style="list-style-type: none"> • Detailed step-by-step instructions for implementing policies or guidelines. • Procedures are generally out-of-scope for the policy development process.
Stakeholders	<ul style="list-style-type: none"> • All individuals and groups who will be: <ul style="list-style-type: none"> ○ 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 the development of a policy.

Roles and Responsibilities

Role	Responsibilities
All APTrust Members	<ul style="list-style-type: none"> • Monitor operations to ensure policy compliance • Enforce existing policies • Request the development of new policies • Fulfillment of financial commitments
APTrust Advisory Committee	<ul style="list-style-type: none"> • Oversees and advises on the development and revision of policies, guidelines and related documents • Reviews new policies and revisions that have been edited by a policy group after comment by the general APTrust community • Refers final draft of a policy to the APTrust Governing Board for adoption • Monitors policy status and initiates review at the appropriate time
APTrust Governing Board	<ul style="list-style-type: none"> • Approves final policy drafts • Requests new policy development from the Advisory Committee
Communications and Policy Group	<ul style="list-style-type: none"> • An ongoing working group charged with the development or revision of a policy

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 24 months

Next review date:

Version History

Version	Status	Date	Notes
0.1	Done	August 2020	Communications and Policy Group Approve
.75	Done	September 2020	Advisory Board Approve / updated title
1.0	Done	October 2021	Board Approval and DOI uploaded