

Academic Preservation Trust

Service Management Policy, Version 4.0

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Background

The design of the APTrust preservation repository assumes that long-term content deposits will build Depositors' confidence. This confidence is crucial for recovering content in its original digital form, a key element of their digital preservation plans. That increase in confidence is based on the features of APTrust's preservation repository, which includes optional redundancy, multiple zones of availability, geographic and technical diversity, and detailed record-keeping that supports tracking the 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 technical infrastructure of APTrust is provided by cloud-based vendors whose services are available to APTrust through the University of Virginia's access to relevant Internet2 Net+ contracts. Over time, APTrust may be able to access cloud services through other UVA purchasing avenues.

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

Service Policies and Practices

Submission, Security, Access, Preservation and Storage, Reporting and Auditing, and Restoration

- Submission
 - See APTrust User Guide: [Ingest](#) and [APTrust User Guide: Bagging](#).
- Security and Access
 - APTrust will take all reasonable steps to protect the security of the components of the preservation storage environment it manages directly. For more detailed information, see [APTrust Security](#).
 - APTrust will promptly notify a Depositor of any security breach that could result in the unauthorized access or disclosure of Deposits.
 - APTrust will promptly notify a Depositor of any failure to verify the integrity of the Depositor's data.
- Preservation and Storage
 - See [APTrust Technical Documentation: System Infrastructure](#).
- Reporting and Auditing
 - Registry includes two reports showing deposit statistics: Deposits by Institution and Deposits Over Time. [See Reports - APTrust User Guide](#).
 - APTrust records object- and file-level PREMIS events for an auditable trail of preservation events. See [PREMIS Events - APTrust User Guide](#).
 - Members may retrieve object- and work item-level administrative metadata and PREMIS events through the [Registry member API](#).
 - Work items (ingest, restoration, deletion) may be viewed in Registry or through its [member API](#). Details of work item records, including action, stages, and status, can be found in [Work Items - APTrust User Guide](#).
- Restoration
 - See [APTrust User Guide: Restoration](#).

Costs, Storage Allocations, and Termination of Service

- For a specific listing of current services and fees, 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 repository.

- A Depositor may terminate preservation storage services by notifying APTrust in writing four months before the termination effective date. Service will continue to that date, and the Depositor will have until then to retrieve its Deposited Content from the APTrust preservation repository unless both parties have previously agreed to other arrangements. Without such agreement, a Depositor's content will be deleted from the APTrust's preservation repository 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 third-party storage providers with whom the APTrust stored the Depositor's data. Details of how the Depositor can establish a direct relationship and take over the technical management of the deposited data appear in the [APTrust Succession Policy](#).

Support

- APTrust staff provides basic, 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 interfaces for the Depositor to administer and identify the location of the Deposited Content (with limited descriptive 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 an initial response to the Depositor, within a business day of the Depositor contacting help@aptrust.org. Follow-up to support requests will be via e-mail, telephone, or another convenient communication channel for consultation by APTrust staff.
- If a Depositor requests, APTrust will provide on-site new-service/onboarding support if personnel (drawn from APTrust staff and APTrust-member volunteers) are available. Depositors must cover personnel's expenses (travel, accommodations, meals, etc.) to support this on-site service.

Monitoring and Service Availability

- APTrust monitors its services continuously. APTrust will make every reasonable effort to maintain the 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 repository, applications, and the networks that provide access may impact system availability. APTrust will provide the following notifications to a Depositor:
 - Advance notification of scheduled system downtimes:

- For non-critical maintenance, APTrust will provide advance notification via e-mail to the Depositor. A Depositor must notify APTrust promptly of any changes to contact information. A Depositor is responsible for informing its user community of scheduled maintenance.
- APTrust maintains a modern, high-availability architecture with rolling updates. Depositors are notified at least 48 hours before circumstances require scheduled downtime.
- Communications regarding unscheduled system downtimes:
 - APTrust uses a combination of tools to monitor and detect outages or unplanned changes requiring downtime on relevant components.
 - When downtime is detected, or Depositors report other problems, APTrust staff will take all reasonable actions to diagnose and resolve such issues.
 - APTrust's technical team will provide the Depositors with initial incident information upon discovering and verifying the issue. Updated incident information will be provided to Depositors until a resolution based on the impact is reached. Post resolution, APTrust's technical team will complete a post-mortem, which Depositors may request to review. It will include:
 - an executive summary,
 - what went wrong,
 - how it was resolved, and
 - recommended preventive measures and other lessons learned.

Depositor Responsibilities

- Each Depositor is responsible for:
 - Updating APTrust with changes in Depositor staff contacts.
 - 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 for storing the Deposits in APTrust's preservation repository. 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 yet to be resolved. If such matters have not been resolved promptly in the judgment of a Depositor, the Depositor may escalate topics to any member of the Governing Board, who will bring the matter to the Board for review and appropriate action.

Succession Planning

- See [APTrust Succession Policy](#).

Definitions

Term	Definition
APTrust	The Academic Preservation Trust consortium is defined and described in Article I of the APTrust Governance Manual .
Depositor	The member organization depositing content to the APTrust preservation repository.
Deposit	Each occurrence of the deposit of content made by the Depositor to the APTrust preservation repository.
Deposited Content	All the content deposited by a Depositor to APTrust over time.

Related Documents

- [APTrust Deposit Guidelines](#)

Review

Review frequency: Every 3 years.

Next review date: January 2028

Version History

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

Version	Status	Date	Notes
2.1	Done	August 2020	Communications and Policy Group Approval
2.7	Done	September 2020	Advisory Board Approval / updated title
3.0	Done	October 2021	Board Approval and DOI uploaded
3.1	Done	June-July 2024	The executive director revised the formatting and links, and the APTrust staff reviewed and updated the text for accuracy. Changed title from How Deposits Work.
3.75	Done	11/14/24	Approved by Advisory Committee.
4.0	Done	January 2025	Board review for approval and DOI obtained.