

# SOC 3 Report for Ithaca Harbors Inc.

An Independent Service Auditor's Report  
on Controls Relevant to Security

November 16, 2024 to November 15, 2025

AUDIT AND ATTESTATION BY



**PRESCIENT**  
ASSURANCE

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# SECTION 1

Management's Assertion

 ITHAKA

Restricted Use & Distribution

## Management's Assertion

We are responsible for designing, implementing, operating, and maintaining effective controls within Ithaca Harbors Inc.'s JSTOR, Artstor, ITHAKA S+R, Portico, and Digital Stewardship Services systems (the system) throughout the period November 16, 2024, to November 15, 2025, to provide reasonable assurance that Ithaca Harbors Inc.'s service commitments and system requirements relevant to Security were achieved. Our description of the boundaries of the system is presented in Attachment A and identifies the aspects of the system covered by our assertion.

We have performed an evaluation of the effectiveness of controls within the system throughout the period November 16, 2024, to November 15, 2025, to provide reasonable assurance that Ithaca Harbors Inc.'s service commitments and system requirements were achieved based on the trust services criteria relevant to [Security(applicable trust services criteria) set forth in TSP Section 100, 2017 Trust Services Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy (AICPA, Trust Services Criteria). Ithaca Harbors Inc.'s objectives for the system in applying the applicable trust services criteria are embodied in its service commitments and system requirements relevant to the applicable trust services criteria. The principal service commitments and system requirements related to the applicable trust services criteria are presented in Attachment A.

Ithaca Harbors Inc. uses a subservice organization for cloud hosting services. The description indicates that complementary subservice organization controls that are suitably designed and operating effectively are necessary, along with controls at Ithaca Harbors Inc., to achieve Ithaca Harbors Inc.'s service commitments and system requirements based on the applicable trust services criteria. The description presents Ithaca Harbors Inc.'s controls, the applicable trust services criteria, and the types of complementary subservice organization controls assumed in the design of Ithaca Harbors Inc.'s controls. The description does not disclose the actual controls at the subservice organization.

The description indicates that complementary user entity controls that are suitably designed and operating effectively are necessary, along with controls at Ithaca Harbors Inc., to achieve Ithaca Harbors Inc.'s service commitments and system requirements based on the applicable trust services criteria. The description presents Ithaca Harbors Inc.'s controls, the applicable trust services criteria, and the complementary user entity controls assumed in the design of Ithaca Harbors Inc.'s controls.

There are inherent limitations in any system of internal control, including the possibility of human error and the circumvention of controls. Because of these inherent limitations, a service organization may achieve reasonable, but not absolute, assurance that its service commitments and system requirements are achieved.

We assert that the controls within the system were effective throughout the period November 16, 2024, to November 15, 2025, to provide reasonable assurance that Ithaca Harbors Inc.'s service commitments and system requirements were achieved based on the applicable trust services criteria.

Signed by:

*Alison Enright*

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Alison Enright  
VP, Product Engineering  
Ithaca Harbors Inc.

# SECTION 2

Independent Service Auditor's Report



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## Independent Service Auditor's Report

To: Management of Ithaka Harbors Inc.

### Scope

We have examined Ithaka Harbors Inc.'s (Ithaka Harbors Inc.) accompanying assertion in Section I, titled "Management's Assertion" (the assertion) that the controls within Ithaka Harbors Inc.'s JSTOR, Artstor, ITHAKA S+R, Portico, and Digital Stewardship Services systems (the system) were effective throughout the period November 16, 2024, to November 15, 2025, to provide reasonable assurance that Ithaka Harbors Inc.'s service commitments and system requirements were achieved based on the trust services criteria relevant to Security (applicable trust services criteria) set forth in TSP Section 100, *2017 Trust Services Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy* (AICPA, *Trust Services Criteria*).

Ithaka Harbors Inc. uses a subservice organization for cloud hosting services. The description indicates that complementary subservice organization controls that are suitably designed and operating effectively are necessary, along with controls at Ithaka Harbors Inc., to achieve its service commitments and system requirements based on the applicable trust services criteria. The description presents Ithaka Harbors Inc.'s controls, the applicable trust services criteria, and the types of complementary subservice organization controls assumed in the design of Ithaka Harbors Inc.'s controls. The description does not disclose the actual controls at the subservice organization. Our examination did not include such complementary user entity controls and we have not evaluated the suitability of the design or operating effectiveness of such complementary user entity controls.

The description indicates that certain complementary user entity controls that are suitably designed and operating effectively are necessary, along with controls at Ithaka Harbors Inc., to achieve Ithaka Harbors Inc.'s service commitments and system requirements based on the applicable trust services criteria. The description presents Ithaka Harbors Inc.'s controls, the applicable trust services criteria, and the complementary user entity controls assumed in the design of Ithaka Harbors Inc.'s controls. Our examination did not include such complementary user entity controls and we have not evaluated the suitability of the design or operating effectiveness of such complementary user entity controls.

### Service Organization's Responsibilities

Ithaka Harbors Inc. is responsible for its service commitments and system requirements and for designing, implementing and operating effective controls within the system to provide reasonable assurance that Ithaka Harbors Inc.'s service commitments and system requirements were achieved. In Section I, Ithaka Harbors Inc. has provided the accompanying assertion about the effectiveness of the controls within the system. When preparing its assertion, Ithaka Harbors Inc. is responsible for selecting, and identifying in its assertion, the applicable trust services criteria and for having a reasonable basis for its assertion by performing an assessment of the effectiveness of the controls within the system.

## Service Auditor's Responsibilities

Our responsibility is to express an opinion, based on our examination, on whether management's assertion that controls within the system were effective throughout the period to provide reasonable assurance that the service organization's service commitments and system requirements were achieved based on the applicable trust services criteria. Our examination was conducted in accordance with attestation standards established by the AICPA. Those standards require that we plan and perform our examination to obtain reasonable assurance about whether management's assertion is fairly stated, in all material respects. We believe that the evidence we obtained is sufficient and appropriate to provide a reasonable basis for our opinion.

Our examination included the following:

- Obtaining an understanding of the system and the service organization's service commitments and system requirements
- Assessing the risks that the controls are not effective to achieve Ithaca Harbors Inc.'s service commitments and system requirements based on the applicable trust services criteria
- Performing procedures to obtain evidence about whether controls within the system were effective to achieve Ithaca Harbors Inc.'s service commitments and system requirements based on the applicable trust services criteria

Our examination also included performing such other procedures as we considered necessary in the circumstances.

We are required to be independent and to meet our other ethical responsibilities in accordance with relevant ethical requirements relating to the engagement.

## Inherent Limitations

There are inherent limitations in the effectiveness of any system of internal control, including the possibility of human error and the circumvention of controls.

Because of their nature, controls may not always operate effectively to provide reasonable assurance that the service organization's service commitments and system requirements were achieved based on the applicable trust services criteria. Also, the projection to the future of any conclusions about the effectiveness of controls is subject to the risks that controls may become inadequate because of changes in conditions or that the degree of compliance with the policies or procedures may deteriorate.

## Opinion

In our opinion, management's assertion that the controls within Ithaca Harbors Inc.'s JSTOR, Artstor, ITHAKA S+R, Portico, and Digital Stewardship Services system were effective throughout the period November 16, 2024, to November 15, 2025, to provide reasonable assurance that Ithaca Harbors Inc.'s service commitments and system requirements were achieved based on the applicable trust services criteria is fairly stated, in all material respects.

This report is not intended to be, and should not be, used by anyone other than these specified parties.

Prescient Assurance LLC

Signed by:  
*Abhil Das*  
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Prescient Assurance  
April 22, 2026



# SECTION 3

Attachment A

 ITHAKA

Restricted Use & Distribution

## Company Overview and Types of Products and Services Provided

### Company Background

Ithaka Harbors, Inc. (Ithaka) is a nonprofit organization with a mission to improve access to knowledge and education for people around the world. Education is key to the well-being of individuals and society, and Ithaka works to make it more effective and affordable.

Ithaka helps make higher education and access to knowledge more affordable, improves outcomes for students and researchers, and preserves knowledge for future generations.

### Description of services overview or services provided

JSTOR provides access to more than 12 million journal articles, books, images, and primary sources in 75 disciplines. JSTOR helps you explore a wide range of scholarly content through a powerful research and teaching platform. We collaborate with the academic community to help libraries connect students and faculty to vital content while lowering costs and increasing shelf space, provide independent researchers with free and low-cost access to scholarship, and help publishers reach new audiences and preserve their content for future generations.

Artstor is the most extensive image resource for educational and scholarly use. We bring together more than 2 million images from top museums, archives, scholars, and artists – all rights-cleared for education and research – and provide tools for teaching and learning with visual materials.

Ithaka S+R helps academic and cultural communities serve the public good and navigate economic, technological, and demographic change. Our work aims to broaden access to quality postsecondary education, improve student outcomes, and advance research and knowledge.

Ithaka S+R's strategic advice and support services help institutions improve their performance and further their missions. We generate action-oriented research for institutional decision-making and act as a hub to promote and guide collaboration across the communities we serve. With our partners, we design and evaluate projects that make higher education, scholarly communication, and cultural collections more accessible to diverse populations.

Ithaka's mission is to improve access to knowledge and education for people around the world. We believe education is key to the well-being of individuals and society. Through our work, we make higher education and access to knowledge more affordable, improve outcomes for students and researchers, and preserve knowledge for future generations. Our services include: JSTOR, Artstor, ITHAKA S+R, Portico, and Digital Stewardship Services.

JSTOR provides a platform for discovering and connecting research, images, and primary sources. We partner with libraries, museums, and publishers to reduce costs, extend access, and preserve scholarship for the future. JSTOR includes content from over 2,000 organizations and serves 11,000+ universities, schools, and institutions in 176 nations.

Ithaka S+R provides collaborative strategies and research for higher education and the arts. We partner with foundations, consortia, and individual institutions to seek solutions and inform policies in a rapidly

changing environment. We generate action-oriented research for institutional decision-making and act as a hub to promote and guide collaboration across the communities we serve. With our partners, we design and evaluate projects that make higher education, scholarly communication, and cultural collections more accessible to diverse populations. Our extensive, freely accessible library includes 200+ research reports and issue briefs, and 500+ blog posts.

The Artstor Digital Library (“ADL”) is the most extensive online image resource for educational and scholarly use. We bring together media from top museums, archives, scholars, and artists, with a specialized suite of tools for teaching and learning with visual materials – all rights-cleared for education and research. ADL includes 2.5+ million high-quality images from 280+ contributors and serves nearly 2,000 universities, schools, and museums in 56 countries.

Portico is a community-supported preservation archive that safeguards access to e-journals, e-books, and digital collections. Portico’s process ensures that the content will remain accessible and usable for researchers, scholars, and students in the future. Over 1,200 libraries support Portico to preserve content from over 1,000 publishers.

The JSTOR Access in Prison Initiative brings JSTOR's library of educational content to students at correctional facilities to improve their educational experience and outcomes. With access to our ever-growing database of academic resources, students inside can develop critical research and information literacy skills that set them up for success.

JSTOR Digital Stewardship Services provide integrated digital asset management, AI-powered collection processing support, long-term preservation, and paths for increased discovery of digitized collections.

Constellate was a service for teaching, learning, and performing text analysis with scholarly and primary source content from JSTOR, Portico, and partners. It allowed instructors to easily and confidently incorporate text analysis into their curricula. Constellate was closed July 1st, 2025, and is no longer a business at Ithaka.

## The Principal Service Commitments and System Requirements

Ithaka designs its processes and procedures related to the system to meet its objectives. Those objectives are based on the service commitments that Ithaka makes to user entities, the laws, and regulations that govern the provision of the services, and the financial, operational, and compliance requirements that Ithaka has established for the services. The system services are subject to the Security commitments established internally for its services.

Ithaka's commitments to users are communicated through the Terms and Conditions of Use, Service Level Agreements (SLAs) or Master Service Agreements (MSAs), online Privacy Policy, and in the description of the service offering provided online.

## Security commitments

Security commitments include, but are not limited to, the following:

- Maintaining a number of security policies that set the tone for our commitment to security
- System features and configuration settings designed to authorize user access while restricting unauthorized users from accessing information not needed for their role
- Use of intrusion detection systems to prevent and identify potential security attacks from users outside the boundaries of the system
- Regular vulnerability scans over the system and network, and penetration tests over the production environment and treatment of findings in accordance with our security policies
- Operational procedures for managing security incidents and breaches, including notification procedures
- Use of encryption technologies to protect customer data both at rest and in transit
- Use of data retention and data disposal
- Providing security training and orientation to staff
- Annual independent audit of the design and effectiveness of controls that are relevant to security

## The Components of the System Used to Provide the Services

### People

Ithaka has staff organized in the following areas:

The four important business lines have dedicated leadership, marketing, outreach, and business development staff. These business lines are Ithaka: JSTOR, Artstor, ITHAKA S+R, Portico, and Digital Stewardship Services system briefly described at the beginning of this System Description.

Two cross-cutting departments supporting the business lines:

The Product Department combines Product Management, User Experience, and Product Engineering teams for the evolution, development, and operations of the business lines and the systems that make the business lines possible.

The Enterprise Services Department includes services to the entire organization: Legal, Finance, the Work Life and Culture unit, Communications, Partner Services and Operations, and Ithaka's internal Information Technology function.

Management: Individuals who are responsible for enabling other employees to perform their jobs effectively and for maintaining security and compliance across the environment. This includes:

- President, and Interim Managing Director of JSTOR
- Managing Director of Portico
- Managing Director of Stewardship Services
- Managing Director of ITHAKA S+R
- General Counsel

- COO
- CFO & Treasurer
- SVP, Product
- VP, Product Engineering

## System Boundaries

The boundaries of the JSTOR, Artstor, ITHAKA S+R, Portico, and Digital Stewardship Services are the specific aspects of the Company's infrastructure, software, people, procedures and data necessary to provide its services and that directly support the services provided to customers. Any infrastructure, software, people, procedures, and data that indirectly support the services provided to customers are not included within the boundaries of the JSTOR, Artstor, ITHAKA S+R, Portico, and Digital Stewardship Services.

This report does not include the Cloud Hosting Services provided by AWS at multiple facilities.

## The Applicable Trust Services Criteria and the Related Controls Designed to Provide Reasonable Assurance That the Service Organization's Service Commitments and System Requirements Were Achieved

### Integrity and Ethical Values

The effectiveness of controls cannot rise above the integrity and ethical values of the people who create, administer, and monitor them. Integrity and ethical values are essential elements of Ithaka's control environment, affecting the design, administration, and monitoring of other components. Integrity and ethical behavior are the product of Ithaka's ethical and behavioral standards, how they are communicated, and how they are reinforced in practices. They include management's actions to remove or reduce incentives and temptations that might prompt personnel to engage in dishonest, illegal, or unethical acts. They also include the communication of entity values and behavioral standards to personnel through policy statements and codes of conduct, as well as by example.

Specific control activities that the service organization has implemented in this area are described below:

- The company requires employees to acknowledge a code of conduct at the time of hire. Employees who violate the code of conduct are subject to disciplinary actions in accordance with a disciplinary policy.
- The company requires contractor agreements to include a code of conduct or reference to the company code of conduct.
- The company requires employees to sign a confidentiality agreement during onboarding.
- The company requires contractors to sign a confidentiality agreement at the time of engagement.
- The company performs background checks on new employees.

## Commitment to Competence

Ithaka's management defines competence as the knowledge and skills necessary to accomplish tasks that define employees' roles and responsibilities. Management's commitment to competence includes management's consideration of the competence levels for jobs and how those levels translate into the requisite skills and knowledge.

Specific control activities that the service organization has implemented in this area are described below:

- The company requires employees to complete security awareness training within thirty days of hire and at least annually thereafter.
- Roles and responsibilities for the design, development, implementation, operation, maintenance, and monitoring of information security controls are formally assigned in job descriptions and/or the Roles and Responsibilities policy.
- The company managers are required to complete performance evaluations for direct reports at least annually.

## Management's Philosophy and Operating Style

The Ithaka management team must balance two competing interests: continuing to grow and develop in a cutting edge, rapidly changing technology space while remaining excellent and conservative stewards of the highly sensitive data and workflows our customers entrust to us.

The management team meets frequently to be briefed on technology changes that impact the way Ithaka can help customers build data workflows, as well as new security technologies that can help protect those workflows, and finally any regulatory changes that may require Ithaka to alter its software to maintain legal compliance. Major planned changes to the business are also reviewed by the management team to ensure they can be conducted in a way that is compatible with our core product offerings and duties to new and existing customers.

Specific control activities that the service organization has implemented in this area are described below:

- The company management has established defined roles and responsibilities to oversee the design and implementation of information security controls.
- The company's board members have sufficient expertise to oversee management's ability to design, implement and operate information security controls.
- The company's board of directors meets at least annually and maintains formal meeting minutes. The board includes directors that are independent of the company.

## Organizational Structure and Assignment of Authority and Responsibility

Ithaka's organizational structure provides the framework within which its activities for achieving entity-wide objectives are planned, executed, controlled, and monitored. Management believes establishing a relevant organizational structure includes considering key areas of authority and responsibility. An organizational structure has been developed to suit its needs. This organizational structure is based, in part, on its size and the nature of its activities.

Ithaka's assignment of authority and responsibility activities include factors such as how authority and responsibility for operating activities are assigned and how reporting relationships and authorization hierarchies are established. It also includes policies relating to appropriate business practices, knowledge, and experience of key personnel, and resources provided for carrying out duties. In addition, it includes policies and communications directed at ensuring personnel understand the entity's objectives, know how their individual actions interrelate and contribute to those objectives, and recognize how and for what they will be held accountable.

Specific control activities that the service organization has implemented in this area are described below:

- The company maintains an organizational chart that describes the organizational structure and reporting lines.
- The company's information security policies and procedures are documented and reviewed at least annually.

## Human Resource Policies and Practices

Ithaka's success is founded on sound business ethics, reinforced with a high level of efficiency, integrity, and ethical standards. The result of this success is evidenced by its proven track record for hiring and retaining top quality personnel who ensures the service organization is operating at maximum efficiency. Ithaka's human resources policies and practices relate to employee hiring, orientation, training, evaluation, counseling, promotion, compensation, and disciplinary activities.

Specific control activities that the service organization has implemented in this area are described below:

- The company requires employees to sign a confidentiality agreement during onboarding.
- The company requires contractors to sign a confidentiality agreement at the time of engagement.
- The company requires employees to complete security awareness training within thirty days of hire and at least annually thereafter.
- The company completes termination checklists to ensure that access is revoked for terminated employees within SLAs.

## Physical Security and Environmental Controls

Ithaka's cloud environment production servers are maintained by AWS. The physical and environmental security protections are the responsibility of AWS. Ithaka reviews the attestation reports and performs a risk analysis of AWS on at least an annual basis.

Ithaka has one on-premises data-center within a data-center of Princeton University, in New Jersey. Physical access is managed and controlled by Princeton University. Ithaka has procedures for staff or visitors accessing assets in this data-center.

Ithaka has two physical offices in New York City, New York, and in Ann Arbor, Michigan. Access to Ithaka's suite in the building of the NYC office requires first signing in with building security with state-issued picture identification, an expected-visitor/staff list, and then using an Ithaka-issued electronic access card to enter the suite. Access to Ithaka's suite in the building of the Ann Arbor suite requires using an Ithaka-issued electronic access card to enter.

## Change Management

Ithaka maintains documented Systems Development Life Cycle (SDLC) policies and procedures to guide personnel in documenting and implementing application and infrastructure changes. Change control procedures include change request and initiation processes, documentation requirements, development practices, quality assurance testing requirements, and required approval procedures.

A ticketing system is utilized to document the change control procedures for changes in the application and implementation of new changes. Quality assurance testing and User Acceptance Testing (UAT) results are documented and maintained with the associated change request. Development and testing are performed in an environment that is logically separated from the production environment. Product and team leaders approve and/or manage approval systems or practices to ensure approvals are tracked and recorded.

Version control software is utilized to maintain source code versions and migrate source code through the development process to the production environment. The version control software maintains a history of code changes to support rollback capabilities and tracks changes to developers.

## Incident Management

Ithaka maintains an incident response plan to guide employees on reporting and responding to any information security or data privacy events or incidents. Procedures are in place for identifying, reporting and acting upon breaches or other incidents.

## System Account Management

Ithaka provides employees and contractors access to infrastructure via a role-based access control system, to ensure uniform, least privilege access to identified users and to maintain simple and repeatable user provisioning and deprovisioning processes.

Access to these systems are split into admin roles, user roles, no access roles, and Engineer roles. User access and roles are reviewed on an annual basis to ensure least privilege access.

IT Services is responsible for provision access to the system based on the employee's role and performing a background check. The employee is responsible for reviewing Ithaka's policies, completing security training. These steps must be completed within 30 days of hire.

When an employee is terminated, IT Services is responsible for deprovisioning access to all in scope systems within 24 business hours for that employee's termination.

## Information and Communications Systems

Information and communication are an integral component of Ithaka's internal control system. It is the process of identifying, capturing, and exchanging information in the form and time frame necessary to conduct, manage, and control the entity's operations.

Ithaka uses several information and communication channels internally to share information with management, employees, contractors, and customers. Ithaka uses chat systems and email as the primary internal and external communications channels.

Structured data is communicated internally via SaaS applications and project management tools. Finally, Ithaka uses in-person and video "all hands" meetings to communicate company priorities and goals from management to all employees.

## Complementary Subservice Organization Controls (CSOCs)

The description does not extend to the services provided by AWS (the subservice organization). Section 4 of this report and the description of the system only cover the relevant trust services criteria and related controls in support of the achievement of Ithaka Harbors Inc.'s service commitments and system requirements and exclude the related controls of the subservice organization.

Although the subservice organization has been carved out for the purposes of this report, Ithaka Harbors Inc.'s management has assumed, in the design of the system, that certain complementary subservice organization controls (CSOCs) would be implemented by the subservice organization. Such controls are necessary, in combination with controls at Ithaka Harbors Inc., to provide reasonable assurance that Ithaka Harbors Inc.'s service commitments and system requirements were achieved. Because the related service commitments and system requirements can only be achieved if the CSOCs are suitably designed and operating effectively during the period November 16, 2024, to November 16th 2025, each user entity must evaluate Ithaka Harbors Inc.'s controls, related tests of controls, and results of tests described in section 4 of this report, considering the types of related CSOCs expected to be implemented at the subservice organization as shown below.

Subservice Organization	Services Provided	Criteria	Expected CSOCs
AWS	Infrastructure Hosting	CC6.4	Physical access to data centers is approved by an authorized individual.
		CC6.4	Physical access rights are revoked in a timely manner when no longer required.
		CC6.4	Physical access to data centers is reviewed periodically by appropriate personnel.
		CC6.4	Data center facilities are monitored using physical security monitoring controls, including video surveillance.
		CC6.4	Access to server locations is managed by electronic access control devices.
		CC7.2	Electronic intrusion detection systems are installed within data server locations to monitor, detect, and automatically alert appropriate personnel of security incidents.
		CC7.5	Backup and recovery capabilities are maintained to support restoration of systems following security incidents or system failures.
		CC8.1	Changes are reviewed for business impact and approved by authorized personnel prior to migration to production.

Management of Ithaca Harbors Inc. receives and reviews independent third-party assessment reports of its subservice organization annually. In addition, Ithaca Harbors Inc. management monitors the services performed by the subservice organization to determine whether operations and controls expected to be implemented at the subservice organization are suitably designed and operating effectively. Management monitors the subservice organization status page to stay informed of any changes in the services performed and has a customer support portal to relay any issues or concerns to subservice organization management.

### Any Specific Criterion of the Applicable Trust Services Criteria that is Not Relevant to the System and the Reasons it is Not Relevant

There were no specific Security, Trust Services Criteria as set forth in TSP Section 100 that were not relevant to the JSTOR, Artstor, ITHAKA S+R, Portico, and Digital Stewardship Services system as presented in this report.

## Disclosure of Significant Changes in the Last 1 Year

### A. Significant Changes and Events during the Audit Period

- The Constellate at Ithaca business is closed on July 1st.
- The Forum business in early 2025, had significant improvements and product development, and is now officially called "JSTOR Digital Stewardship Services".
- JSTOR now provides a generative-ai powered research tool to all customer institutions if they want it.

### B. Significant Changes and Events subsequent to the Audit Period

Management is not aware of any changes that occurred subsequent to the period covered by Section 3 of this report through the date of the service auditor's report that would have a significant effect on management's assertion and description of its system.