UNIVERSITY COMMITTEE
ON
ACADEMIC COMPUTING AND COMMUNICATIONS

ANNUAL REPORT 2016-2017

TO THE ASSEMBLY OF THE ACADEMIC SENATE:
The University Committee on Academic Computing and Communications (UCACC) is charged in Senate Bylaw 155 to represent the Senate in all matters involving the uses and impact of computing and communications technology and advise the President concerning the acquisition, usage and support of computing and communications technology and related policy issues. UCACC held three in-person meetings during the 2016-2017 academic year. Highlights of the committee's actions are outlined below.

INFORMATION PRIVACY, SECURITY AND GOVERNANCE
Throughout the UCACC's second academic year as a newly reconstituted Academic Senate committee, it successfully engaged the systemwide leadership of both the Senate and the administration in its discussions. The UCACC Chair and Vice Chair meet regularly with the Chair and Vice Chair of the Senate, and with UC CIO Tom Andriola. UCACC now has two seats on the Cyber Risk Governance Committee (UCACC Chair and Vice Chair), plus the Senate has a third standing seat on CRGC. Other Senate members are on the Advisory Board to the CRGC and attend alternate meetings of that body. Given that cyber risk issues have been particular points of tension, UCACC is pleased that the communication channels to address these concerns are now much improved. UCACC also engages regularly with Senate and administration bodies concerned with uses of technology for teaching and learning, which is another area that requires focused attention.

While continuing to address cyber risk, teaching and learning, privacy, and other on-going technology issues, UCACC is also turning its attention to IT governance at the campus level. In regular reports from UCACC members, it is apparent that faculty engagement with campus IT governance varies widely. The committee is gathering information about models at each campus in an effort to promote broader Senate engagement at all UC campuses.

IT GOVERNANCE
In support of its efforts to address IT governance in a more mission-driven rather than reactive manner, UCACC held its February meeting at UCLA to learn about that campus's information technology strategic planning and to engage UC-wide and campus leadership in the discussions. The differential involvement of Senate faculty in cyber risk discussions on the campuses was an indication of the varying IT governance processes across the system. The committee learned that UCLA has had strong support for joint governance of IT matters from several generations of chancellors and provosts. Senate groups from other campuses were encouraged to reach out to IT administrators and campus leadership to increase partnerships in IT governance. IT leaders are often isolated from faculty activities, and lack easy mechanisms to teach out to faculty. Joint governance is a two-way street, where multiple stakeholders should be encouraged to reach out to each other in search of common ground.

UCACC has prepared recommendations for the Academic Senate on IT Governance at the campus level that will be finalized and formally transmitted to Senate leadership in the fall.

DATA GOVERNANCE

Given the critical issues around information technology at the university, UCACC was reconstituted at an opportune time. The area of data governance is one example of a topic that is beginning to garner more attention at UC and elsewhere. The final report of UCLA's Data Governance Task Force, a joint Academic Senate-Administration committee co-chaired by UCACC Vice Chair Christine Borgman and UCLA Chief Privacy Officer Kent Wada, was released in 2016. The report covers faculty and student records data such as the information stored on ID cards and collecting in course evaluations. It was intended to be used as a template that could be adopted systemwide at UC as well at other universities. Data used and generated for scholarly research is also a concern of the university, but lies outside the scope of the Task Force. Other universities are using their students' data for automated decision-making and tracking, but UC has long held a strong privacy stance against such uses of data.

The primary concern about faculty records is how they will be used. UCACC's concerns include what roles the academic senate should play in data governance, how to build on existing campus governance structures, and how the data governance issues intersect with related initiatives such as privacy of learning data. The committee discussed the need to educate faculty about why they should be interested in privacy, and expects to continue to play a role in helping to determine workable governance processes

- *Ad Hoc Task Force on Health Data Governance*

The committee was briefed on a new Task Force on Health Data Governance convened by President Napolitano that is charged with developing recommendations for how UC should manage and use the large amount of health data that is generated throughout the system. The Task Force resulted from the interest of outside vendors and organizations in using UC's patient data for predictive models to improve health care outcomes. Agreements are already underway at various levels of the university, from the system to individual researchers, and UC is interested in treating these agreements in a uniform way systemwide to avoid conflicts and overlapping agreements. UCACC wrote to the chairs of the Task Force's Working Group and Steering Committee to inform them about the work previously done in the area of data governance at UC. At the UCACC meeting in May, three committee members who are returning next year agreed to be part of an informal subgroup that could be convened and updated about the progress of the Task Force.

SYSTEMWIDE INFORMATION TECHNOLOGY SERVICES

The UCACC Chair and Vice Chair consulted with UC CIO Tom Andriola regarding issues related to systemwide IT services and developing the agenda items for each meeting.

- *Cybersecurity*

UCACC received regular updates on cybersecurity issues from UC CIO Tom Andriola and Chief Information Security Officer David Rusting. UCACC Chair David Kay and/or Vice Chair Christine Borgman attended the quarterly meetings of the Cyber-Risk Governance Committee in 2016-2017. Vice Chair Borgman gave a presentation on faculty involvement in IT issues at the March CRGC meeting, and Borgman and Kay jointly presented on risk and personally identifiable information (PII) at the June meeting.

Cyber risk generally, and FireEye in particular, are of immediate concern to faculty due to concerns about tradeoffs between privacy, surveillance, and security. Although campus leadership is supposed to share information about cybersecurity, some faculty have expressed concerns about a lack of communication from their administration. UCACC continues to discuss FireEye technology and share information among members about various approaches and processes. However, the committee recognizes that campuses are implementing FireEye in very different ways and encourages faculty to work directly with their campus administrations and to pursue more joint governance.

- *Electronic Information Security Policy (IS-3)*

UCACC reviewed the revised Electronic Information Security Policy (IS-3) at the beginning of the year and provided suggestions for changes to the policy prior to the systemwide review.

- *UCSF IT Outsourcing*

In February, UCACC learned about UCSF outsourcing 17 percent of its total IT workforce. The action is a response to dramatic cost increases and is expected to save $30 million over a five-year period. In addition to the layoffs, concerns have been raised about sensitive data going offshore. UCACC learned that the vendor contract includes assurances about privacy and security. Some UCACC members suggested that UCOP state definitively that the university will not require or pressure other campuses to adopt UCSF's strategy or to participate in an outsourcing contract.

- *Web Accessibility*

CIO Tom Andriola updated the committee on IT accessibility as the accessibility of higher education websites and online courses has come under increasing scrutiny by the U.S. Department of Justice, Department of Education, and disability rights organizations. A case brought by the DOJ against UC Berkeley is still pending. In 2017, Risk Services agreed to provide some funding for IT departments to assist with federal accessibility compliance systemwide.

ETLC REPORT ON LEARNING DATA PRIVACY PRINCIPLES AND RECOMMENDED PRACTICES
UCACC reviewed and discussed the Learning Data Privacy Principles and Practices document drafted by the Educational Technology Leadership Committee (ETLC). The document is meant to provide guidance for uses of data generated by learning management and student information systems. ETLC, a systemwide group of UC's academic technology leaders, based the document on current discussions within the higher education community such as the Leiden Manifesto for research metrics and the Asilomar Convention for Learning Research in Higher Education. The focus of the ETLC document is the problem of third party vendors that use the student data that they collect for commercial purposes or other ways that are not approved by the university.

While the ETLC Principles were viewed favorably by UCACC, the committee determined that it would be inappropriate to formally adopt or endorse the document, as it did not originate from the Senate and is subject to change by ETLC. UCACC encourages the ETLC to continue to work with Senate committees on learning, instruction, and technology at the campus and systemwide levels.

ADDITIONAL BUSINESS
UCACC Statement of Principles: UCACC ratified a "Statement of Principles" that is now posted on its website. The Principles include recommendations for design, development, and

deployment of information technology systems at UC. The document clarifies the central role of faculty as stakeholders in nearly all IT systems at UC and provides a framework for faculty involvement in academic computing and communication issues as they arise.

Link to Principles: http://senate.universityofcalifornia.edu/committees/ucacc/reports.html

FAIR Principles: In May, UCACC members were introduced to the FAIR Principles, which were developed to meet the need for new and improved infrastructure, conventions, and evaluation systems in the changing scholarly communication landscape. San Diego UCACC representative Maryann Martone is a founding member of Force11, which is a group of scholars, librarians, publishers, and research funders who work to facilitate knowledge creation and sharing in a changing scholarly communications landscape. UCACC members agreed to endorse the FAIR Principles, and will send the committee's endorsement to Academic Council.

Online course evaluations: Academic Council Chair Jim Chalfant asked UCACC to advise on some confidentiality and anonymity issues that arise from online course evaluations. In small classes there is a possibility of inferring students' names from evaluation responses, although existing evaluation systems often take measures to make that identification more difficult, such as by not supplying a list of respondents if there are too few of them.

The committee discussed the distinction between anonymity, meaning the respondent's identity is not associated with his or her individual responses, and confidentiality, which allows the possibility of making the association in extraordinary circumstances (e.g., a threat of violence). UCACC members did not express a strong opinion in favor of one approach or the other and suggested that the issue be passed along for comment to other stakeholders such as UCEP, UCPT, and the Offices of Instructional Development.

Proposed policy on drones: Committee members agreed that a UC policy for drone operation was a good idea in terms of ensuring safety and avoiding legal liability. The final policy should, to the extent possible, accommodate the faculty's need for flexibility in instruction and research, and should be reevaluated periodically.

Strategic Sourcing: Acting Associate Director of IT Strategic Sourcing Tom Trappler joined UCACC in February to introduce his work and establish a communication channel with faculty. IT Strategic Sourcing at UCOP creates UC-wide agreements for IT-related services and products based on input from campuses about what products are needed. A new IT Sourcing Committee with CIO-designated representatives from each campus evaluates suggestions and establishes priorities. UCACC members suggested that a document describing the principles and criteria used for IT sourcing would be helpful for faculty, and made recommendations for a holistic approach for decision-making that incorporates interoperability and scholarly workflow.

Systemwide and campus updates: UCACC devoted part of each regular meeting to discussing systemwide issues as reported by Academic Senate leadership and reports from campus representatives on individual campus activities and concerns.

PRESENTATIONS AND CORRESPONDENCE REPORT
- Presentation: "Academic Senate Engagement in Governance of IT and Cyber Risk" (Christine Borgman, UC Cyber Risk Governance Committee, March 23, 2017)
- Presentation: "Faculty Engagement to Reduce PII Risk" (Christine Borgman and David Kay, UC Cyber Risk Governance Committee, June 26, 2017)
- Letter to chairs of Ad Hoc Task Force on Health Data Governance regarding prior UC work on data governance (Sent via Academic Council Chair Jim Chalfant, May 31, 2016)

REPRESENTATION
The UCACC Chair, David Kay, served as a faculty representative to the Information Technology Leadership Council and as an *ex officio* member of the University Committee on Library and Scholarly Communications. Chair Kay and Vice Chair Christine Borgman also served as Senate representatives on the Cyber-Risk Governance Committee (CRGC).

ACKNOWLEDGEMENTS
UCACC is grateful for the contributions made by the consultants and guests who attended meetings in 2016-17:
- Tom Andriola, CIO (Consultant to UCACC)
- Amy Blum, Managing Campus Counsel, UCLA
- Jim Davis, Vice Provost - Information Technology & Chief Academic Technology Officer, UCLA
- Mary-Ellen Kreher, Director of Course Design and Development, ILTI (Consultant to UCACC)
- Roslyn Martorano, Systemwide Privacy Manager
- David Rusting, Chief Information Security Officer, UCOP
- Jenn Stringer, ETLC member and Associate CIO, Academic Engagement, Educational Technology Services, UC Berkeley
- Tom Trappler, Acting Associate Director, IT Strategic Sourcing, UCOP
- Kent Wada, Director, Strategic IT Policy & Chief Privacy Officer, UCLA
- Jim Williamson, ETLC member and Director, Campus Educational Technology Systems & Administration, UCLA

Respectfully submitted,
UCACC 2016-17:
> David G. Kay, Chair (I)
> Christine Borgman, Vice Chair (LA)
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> Matt Bishop (D)
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> Florin Rusu (M)
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> Maryann Martone (SD)
> Miguel Pampaloni (SF)
> Todd Oakley (SB)
> Brant Robertson (SC)
> James A. Chalfant, Chair, Academic Senate *(Ex Officio)*

Shane White, Vice Chair, Academic Senate *(Ex Officio)*
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