

**UNIVERSITY COMMITTEE
ON
ACADEMIC COMPUTING AND COMMUNICATIONS
ANNUAL REPORT 2018-2019**

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 2018-2019 academic year. This report highlights the committee's activities.

RESEARCH INFORMATION MANAGEMENT SYSTEMS (RIMS)

Early in the year, UCACC learned about efforts underway to catalog Research Information Management Systems (RIMS) in use on UC campuses. RIMS, also called academic analytics, are systems that aggregate and utilize information about research and other data. The Academic Senate is concerned about the use of data analytics for faculty evaluations, priority-setting, and resource allocation, the quality and transparency of the data and algorithms, and the ceding of university business to third party organizations without proper agreements and safeguards for UC's data assets.

UCACC Chair Maryann Martone and UCOLASC Chair Richard Schneider, in consultation with members of the Office of Scholarly Communications' RIMS Working Group, co-authored a report¹ that conveys the Academic Senate's concerns and offers recommendations for the appropriate use of RIMS for faculty analytics. The Report was approved by the Academic Council on March 20th and forwarded to President Napolitano and Provost Brown with a request for follow-up. As a result of the report, a high-level group will be formed to gather information on the use of academic analytics at UC.

UCOP'S OFFICE OF ETHICS COMPLIANCE AND AUDIT REQUEST

In April, UCACC met with SVP for Ethics, Compliance, and Audit Services (ECAS) Alexander Bustamante joined UCACC's April meeting to talk about a request from his office to conduct a cybersecurity audit. UCACC members were concerned about the audit request's lack of scope, purpose, and timeframe, and wanted to make sure there would be protections for data security and privacy. SVP Bustamante said that all audits are done in compliance with federal and state law, and abide by all UC policies. UCACC followed up with a letter to Academic Council Chair Robert May summarizing the discussion with Bustamante and conveying the committee's support for a written audit scope. In July, Bustamante and Chair Martone joined the Academic Council meeting for a follow up discussion about the audit request and how to increase engagement with the Academic Senate. UCACC intends to invite Bustamante and his team to upcoming UCACC meetings to ensure ongoing communication about relevant issues.

¹ <https://senate.universityofcalifornia.edu/files/reports/rm-jn-mb-rims.pdf>

HEALTH DATA GOVERNANCE

CIO Tom Andriola updated UCACC members on the outcomes of the UC Health Data Task Force, which was appointed by the President to examine current practices and policies around UC's use and disclosure of its health data. The primary issue is how UC can balance its duty to safeguard patient health data with the emerging imperative to collect, analyze, and share data on a large scale. The Task Force came up with six principles around UC's mission and responsibility as a public institution and recommended that UC establish a system-level Health Data Office and a process for evaluating proposals that involve outside access to UC's health data. UCACC noted that it was important to be open, transparent, and engaged with patients whose data will be used, and recommended that any new structure include patient advocates.

UC DATA MANAGEMENT

In October and April, the committee heard updates on the "UC Data Network" (UCDN), a joint initiative of University Librarians, Chief Information Officers, and Vice Chancellors for Research that was developed to provide a platform for open data publication, preservation, sharing, and reuse of UC research data. The 18-month pilot ran on three campuses (UC Irvine, Riverside and San Francisco) and focused on data that does not have a logical domain repository and might otherwise be lost. The pilot led to a new partnership with Dryad, a data publishing service that was designed by research faculty to host the underlying data for peer reviewed articles. The DMPtool (<https://dmptool.org/>), which is used for creating data management plans, has boilerplate text and also campus-specific guidance. Committee members noted that communication with faculty will be important for increasing usage.

CONSULTATION WITH SYSTEMWIDE INFORMATION TECHNOLOGY SERVICES (ITS)

UCACC has worked closely with Systemwide IT Services since the inception of UCACC in 2015. The Chair and Vice Chair meet regularly with UC CIO Tom Andriola to set agendas and to coordinate communication between the Senate and UCOP on IT policy matters.

- ***Cybersecurity***

UCACC received regular updates on cybersecurity issues from UC CIO Tom Andriola and Chief Information Security Officer David Rusting. UCACC Chair Maryann Martone and/or Vice Chair Anthony Joseph attended the quarterly meetings of the Cyber-Risk Governance Committee throughout the year and gave presentations at each meeting. As faculty continue to be concerned about tradeoffs between privacy, surveillance, and security, UCACC spent time at each meeting to share information about various campus approaches and processes.

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

The revised Systemwide Electronic Information Security Policy (IS-3) was issued on Sept. 7, 2018, and the Academic Senate is designated in the policy as part of the governance structure. In the past year, UCACC provided input on the information security standards that function as the administrative, technical, and procedural controls for the policy.

- ***Faculty IT and Infrastructure Needs***

Throughout the year, members discussed ways to inventory and communicate systemwide and campus resources for IT support services for faculty, including services around multifactor authentication and data management for sensitive or protected data. The diverse IT needs of UC faculty make IT support a challenge. Faculty IT committees, whether led by the Academic

Senate or the administration should be consulted for all IT initiatives. At the May 8th ITLC meeting, UCACC Vice Chair Anthony Joseph recommended that ITLC work with UCACC to develop faculty profiles to help IT administrators understand the differing needs, skills, and resources of different types of faculty.

- ***IT Support for Researchers***

UCACC learned about the latest work of the Research Information Technology Committee (RITC), a subcommittee of the Information Technology Leadership Council (ITLC - the systemwide CIO group), which was created to focus on supporting the IT needs of the research community. The new group will share information and catalog campus services to then be conveyed to campus researchers so that they can potentially take advantage of services systemwide. The challenge will be the communication to a disparate faculty. UCACC members suggested that each campus RITC member consult with the campus academic Senate to find out which faculty committees might be engaged, and that divisional Senate IT and Research committees invite the local RITC member to their next committee meeting.

ADDITIONAL BUSINESS

Multifactor Authentication (MFA) updates: UCACC continued to receive updates on the rollout of multifactor authentication software throughout the UC system. Each location was responsible for its own implementation for faculty and staff.

Learning Data Privacy Principles: UCACC first reviewed the Learning Data Privacy Principles in February, 2016. Educational institutions nationwide are now looking at the “UC Learning Data Principles” as examples for their own. The result of an iterative process involving input from faculty, students, privacy experts, and administrators, the lengthy early draft of the Principles was distilled down to two pages. One of the key ideas is an individual’s right to know how much of their data is being collected.

General Data Protection Regulation: The GDPR European legislation went into effect in May, and UCOP has prepared training and documentation for all UC locations that is shared systemwide. Campuses are looking at inventories of materials subject to GDPR. UCACC learned that the university has already received inquiries from students, applicants, and employees about their rights. UC’s Office of General Counsel has been working with Vice Chancellors for Research regarding additional guidance.

Information Technology Leadership Council (ITLC) update: The current Chair of the ITLC, UCSB CIO Matthew Hall, joined UCACC in February to talk about ITLC’s interest in greater faculty involvement and faculty IT committees on all campuses. Issues of security can overwhelm the time of information technology administrators, so ITLC has been revising its charter and narrowing its focus.

IS-12, UC Policy on Continuity Planning and Disaster Recovery: UCACC will advise on the revision of UC’s Continuity Planning and Disaster Recovery Policy, which was last updated in 2007.

Foreign Influence Concerns: Last year, President Napolitano convened two “tiger teams” at UC to discuss concerns about international agreements and international students. Recommendations

were forwarded in two letters from President Napolitano to the university community in February. There will likely be more cybersecurity requirements and additional prohibitions on certain technologies. Campuses will have to make informed decisions about accepting funding. UCACC is concerned about foreign students, especially, but UC continues to uphold its policy of not accepting funding that requires citizenship restrictions.

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.

CORRESPONDENCE AND REPORTS

- “Concerns Regarding the Use of Research Information Management Systems at the University of California,” Report prepared by Maryann E. Martone, Richard A. Schneider, Allegra Swift, Catherine Mitchell (March, 2019)
- UCACC Endorsement of UCOLASC’s Declaration of Rights and Principles to Transform Scholarly Communication, letter from Chair Martone to Richard Schneider, UCOLASC Chair (April, 2019)
- ECAS Cybersecurity Audit, letter from Chair Martone to Academic Council Chair Robert May (May, 2019)

PRESENTATIONS

- “Concerns Regarding the Use of Research Information Management Systems at the University of California,” Presentation to Academic Council (March 20, 2019) and Academic Senate Committee on Research Policy (April 8, 2019)
- “Update from Academic Senate Committee on Computing and Communications,” Presentations to CRGC (Nov. 27, 2018, March 11, 2019, and June 25, 2019) and ITLC (May 8, 2019)

REPRESENTATION

UCACC Chair Maryann Martone, served as a faculty representative to the Information Technology Leadership Council (ITLC) and as an *ex officio* member of the University Committee on Library and Scholarly Communications. Chair Martone and Vice Chair Anthony Joseph 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 2018-19, including:

- Tom Andriola, CIO (Consultant to UCACC)
- Alexander Bustamante, Senior Vice President and Chief Compliance and Audit Officer
- John Chodacki, Director, UC Curation Center (CDL)
- Lourdes DeMattos Associate Director, UCOP Research Policy Analysis and Coordination
- Matthew Hall UCSB Associate Vice Chancellor & Chief Information Officer
- Matthew Hicks, Systemwide Deputy Audit Officer
- Greg Loge, Systemwide Cybersecurity Audit Director
- Jim Phillips, Director of Learning Technologies, UC Santa Cruz
- Valerie Polichar, Director, Academic Technology Services, UCSD
- Monte Ratzlaff, Cyber Risk Program Manager

- David Rusting, Chief Information Security Officer, UCOP
- Robert Smith, IT Policy Director, UCOP
- Günter Waibel, Executive Director, California Digital Library
- James Williamson, Director of Educational Technology Systems and Administration, UCLA

RESPECTFULLY SUBMITTED,

Maryann Martone, Chair
Anthony Joseph, Vice Chair
Ethan Ligon (B)
Matt Bishop (D)
Russell Detwiler (I)
Sarah T. Roberts (LA)
Joseph Genereux (R)
Brett Stalbaum (SD)
David Robinowitz (SF)
Jianwen Su (SB)
Jose Renau (SC)
Robert May, Chair, Academic Senate (*Ex Officio*)
Kum-Kum Bhavnani, Vice Chair, Academic Senate (*Ex Officio*)
Anne Zanzucchi, UCEP Chair (*Ex Officio*)
Richard Schneider, UCOLASC Chair (*Ex Officio*)
Valeri Vasquez, Graduate Student Representative
Joanne Miller, Committee Analyst