

UNIVERSITY COMMITTEE ON ACADEMIC COMPUTING AND COMMUNICATIONS

Monday, Feb. 26, 2018

Meeting Participants: Christine Borgman (Chair, UCLA), Maryann Martone (Vice Chair, UCSD), Anthony Joseph (UCB), Michael Kleeman (UCD), Russell Detwiler (UCI), Sarah Roberts (UCLA), Lisa Raphals (UCR, via phone), Terry Gaasterland (UCSD), David Robinowitz (UCSF), Jianwen Su (UCSB), Brant Robertson (UCSC), Natasha Amlani (Graduate Student Representative, UCLA Law), Onyebuchi Arah (CCGA representative, via video), Tom Andriola (UCOP), David Rusting (UCOP), Robert Smith (UCOP), Jack Stobo (UC Health), Liz Engle (UC Health), Wendy Streitz (UCOP), Michael Troncoso (UCOP), Joanne Miller (Committee Analyst)

Meeting Minutes

I. Chair's welcome, announcements, approval of minutes

November meeting minutes were approved.

II. Campus IT Governance

Christine Borgman, UCACC Chair

UCACC members discussed the draft memo of recommendations to the Academic Senate on IT governance at the campus level and agreed that it was almost ready to send to Academic Council.

Committee members also discussed their own campus governance models, which ranged from significant interactions between faculty and IT administration to concerns about fragmentation and isolation. A few campuses have Senate committees dedicated to IT governance, but most do not. Variations include committees that focus on instructional technology, or combined IT/library/research committees.

UCSF's IT governance structure involves separate entities in the campus and medical center that ultimately report up to the Chancellor. Within the Academic Senate, IT concerns are with the committee on Academic Planning & Budget.

UC Davis, UCLA, and UC Santa Cruz Academic Senates have committees on information technology that invite the CIO as an *ex-officio* member or regular guest.

UCSD's Academic Senate Committee on Academic Information Technology (CAIT) is an active group, especially in the areas of teaching and instruction, but UCSD is considering merging the CAIT and the library committee, which is similar to Riverside and Irvine. UCSB Academic Senate has a multi-subject Council on Research and Instructional Resources. The administration supports an IT Board and IT Council, which have faculty representatives, but the faculty do not report back to the Academic Senate.

In addition to recommending strong faculty input into IT governance, committee members wondered if the recommendations should call for the chair of the Senate IT committee to be a member of the divisional Executive Council.

Action: Chair Borgman and Vice Chair Martone will strengthen some of the points of the memo, finalize, and transmit to Academic Council Chair Shane White.

III. Consultation with UCOP's Information Technology Services

Tom Andriola, UC Chief Information Officer

David Rusting, UC Chief Information Security Officer

Robert Smith, Systemwide IT Policy Director

- **Multifactor Authentication (MFA)**

Multifactor authentication has been rolled out at each UC location. CISO David Rusting presented results from a survey on deployment that included statistics on population (faculty, student, staff), software, and modes of authentication.

Committee members suggested that it would be helpful to inform the community about why MFA is being implemented. If people understand the reasons, they will be more willing to cooperate and less likely to resent the extra steps required. Educational campaigns are happening on a campus-by-campus basis.

- **Cybersecurity – FireEye update**

The FireEye technology detects malicious network traffic, which is then analyzed by a central infrastructure that can compare attacks on UC's systems to other security incidents worldwide. An attack at one location, institution or health center, will often mean an attack at another.

UC is being mindful of privacy protections in its implementation, including amendments to the FireEye contract that increase data privacy. With a few exceptions, all UC locations are using FireEye and incidents are being detected.

Committee members discussed the extent of involvement of the divisional Academic Senates in reviewing new technologies that collect data. Some campuses have guidelines and tools to help determine whether the technology is acceptable, based on factors such as reasonable collection and limited use. This type of review creates more bureaucracy, but can assist decision making and help justify decisions to faculty.

IV. General Data Protection Regulation (GDPR)

Christine Borgman, UCACC Chair

Robert Smith, Systemwide IT Policy Director

The General Data Protection Regulation harmonizes and strengthens already strong privacy protections across the European Economic Area. Its implications are still being assessed in Europe as well as the US, but it will likely require changes to local procedures. Impacts to UC will likely include processes for European students applying to UC and UC students studying in Europe. Although GDPR is a legal issue, it may have substantial implications for IT operations and will be kept on UCACC's radar.

V. Systemwide Electronic Information Security Policy (IS-3) Revision - update

Christine Borgman, UCACC Chair

Tom Andriola, UC Chief Information Officer

David Rusting, UC Chief Information Security Officer

Robert Smith, Systemwide IT Policy Director

The revised IS-3 policy was shared with UCACC for the committee's review and approval. Since the last UCACC meeting on November 6, 2017, Chair Borgman, Vice Chair Martone, and UC Berkeley representative Anthony Joseph consulted with the Academic Senate leadership and then worked with the drafters of the IS-3 policy (Smith, Rusting, Andriola) on changes to the policy that would be acceptable to the Academic Senate.

Committee members expressed additional concerns about the revised policy during the meeting, including:

- Clarification about personal devices. While all requirements for devices depend on protection level and risk, additional reassurance may be needed. Smith noted that breaches of UC data that occur on personal devices are still breaches.
- Concern about costs and liability. An example of a Unit Head was a researcher leading a project that involves faculty at other universities. Smith noted that it is not the intent to hold faculty financially liable, but rather assign responsibility for the design of a data plan, which would then be reviewed by the CISO. Campuses have autonomy in this area and are able to determine implementation. While it is helpful to have examples for the definitions, in this case the example may be too defining. Personal liability could be further clarified in Question 4 of the FAQ.
- Concern about the ability of campus IT staff to respond to the needs identified in the policy. Additional resources may be needed.
- Law student Natasha Amlani noted some potential legal issues in the policy around the definition of "authorized access," to avoid conflicts between policies.

Assurance about financial liability has to be weighed against the need to make sure that faculty take reasonable and responsible actions for data protection.

Overall, the IS-3 policy is flexible by design to enable campuses to make decisions about implementation. Policy Director Smith is willing to consider additional suggestions for minor changes if received very soon.

Action: Committee members are asked to send any specific additional edits within the week.

VI. Consultation with the Senate Leadership

Shane White, Academic Council Chair

Robert May, Academic Council Vice Chair

Requests to President: In the aftermath of the State's audit of UCOP, the Academic Council made three requests of President Napolitano: (1) the appoint of a senior advisor with deep campus operational experience in teaching, research, and policy, who is not otherwise involved in the administration or conduct of the university; (2) elevation of the role of the Provost to a level consistent with that office's historic level of responsibility, and inclusion of the Provost in all key discussions; and (3) ensuring early involvement of the Senate in any new initiatives or crisis response by including a Senate leader in the President's "cabinet" or major planning meetings. These were all done by most prior presidents, but were discontinued under Mark Yudof. The President recently appointed Dan Hare, former Chair of the Academic Senate, as the senior advisor. She added the Provost to her internal leadership group and Senate Chair and Vice Chair to her Presidential Advisory Group.

The President has also re-formed the Executive Budget Committee after years of dormancy. Members include the Academic Senate Chair and immediate past Senate Chair.

Budget News: In the State budget, UC received a net increase of 2.7 percent of base budget rather than the 4 percent negotiated previously. \$50 million is also still being withheld pending UC's fulfillment of specific requests from the State. The Board of Regents will discuss non-resident tuition in March, and the Governor's Budget in May. The Budget will likely include funding for student enrollment, deferred maintenance, "overcrowding," and graduate enrollment.

Huron Consulting Report: UCOP hired the Huron consulting firm after the State's audit to review the operations of the Office of the President. The Report contains suggestions for reorganizing, but also says that OP is already efficient compared to other university systems. The Academic Council will respond to the report with principles to consider if changes are to be made to the structure of OP based on the report.

Transfer Students: UC is required to maintain a 1:2 ratio of transfer students to freshman, but that can be difficult to do at all campuses. Committee members discussed the lack of preparation seen in some transfer students. Some need to take an extra semester, which further crowds some majors and increases costs.

Campus climate is another current concern. Students feel disenfranchised even though outreach and enrollment of students from underrepresented groups are at historic highs.

Retiree Healthcare and Faculty Salary Gap: A Working Group on retiree health care benefits is underway, with representatives from UCFW's Health Care Task Force. The Academic Senate is also working on closing the 6-8 percent salary gap between UC faculty and UC's comparator institutions (the "comp 8": Harvard, MIT, Stanford, SUNY-Buffalo, University of Illinois – Urbana-Champaign, University of Michigan – Ann Arbor, University of Virginia, Yale University). Academic Council will send a proposal to the President for a three-year plan to eliminate the salary gap.

VII. Health Data Governance update

John (Jack) Stobo, Executive Vice President, UC Health

Elizabeth (Liz) Engel, Chief Strategy Officer, UC Health

Wendy Streitz, Executive Director, Research Policy Analysis and Coordination

Michael Troncoso, Managing Counsel, UC Office of General Counsel

The committee learned about the outcomes of the Ad-Hoc Task Force on Health Data Governance, which was convened by President Napolitano, in April, 2017. UCACC discussed the charge of the Task Force, which included the formation of a Working Group and Steering Committee, in 2017. VP Stobo reported that the scope of the Health Data Governance initiative is limited to clinical data, to the extent that it can be kept separate from research data. UC has over 16 million patient records that may be valuable data points for healthcare innovation and improved outcomes. The Task Force charge was created after a health care campus was approached about using its data and questions arose about accessing similar data at the four other health care campuses. The initial Working Group, composed of UC medical center

administrators, faculty, patients, and external experts, was given 90-days to identify principles and a plan. Implementation will be done by a group to be convened after President Napolitano approves the report of the Working Group.

The Working Group tried to address the fundamental tension between UC's duty to safeguard individual data and the imperative to use it and share it for the public good. The group surveyed peer institutions and came up with some fundamental principles that will be shared with committee members. One outcome may be the creation of a small, system-level health data office to be led by a Health Data Officer. This office would work within approved processes to identify appropriate projects and opportunities to best use UC's data. Having a system-level office will conceivably help to streamline processes that currently have to be duplicated on a campus-by-campus basis. The office would include a privacy advocate.

Committee members had questions about campus evaluation of third party health data access requests, including whether all cases would be multi-campus, and the relationship of IRB and risk level. Many decisions will be left to campuses. Vice President Stobo and his team welcomed additional input from UCACC.

VIII. Reports from Interim Meetings

Christine Borgman, UCACC Chair

Maryann Martone, UCACC Vice Chair

1. ITLC (Feb. 7-8, 2018)

Chair Borgman and Vice Chair Martone attended the Information Technology Leadership Council at its in-person meeting in early February and reported that Chief Information Officers (the members of the ITLC) want engagement with the Senate. Some feel disconnected with the research enterprise, in particular, and so appreciate interacting with faculty. Most would like to be invited to Senate meetings on their campuses and to partner with faculty on IT issues.

The meeting included discussions about procurement and issues around research data.

2. UCOLASC (Feb. 23, 2018)

The Chair of UCACC serves in an *ex-officio* role on the University Committee on Libraries and Scholarly Communication. Chair Borgman attended the UCOLASC meeting on February 23, where the proposed policy for Open Access for Electronic Theses and Dissertations was discussed. Chair Borgman expressed concern about the level of uptake of UC's Presidential Policy on Open Access within UC. Faculty can deposit articles and papers in an open access repository, but few do. UCOLASC discussed UC's involvement in pilot programs for different models of open access, including arrangements with publishers to lower subscription costs if OA fees are paid.

3. CRGC (Nov. 28, 2017)

The Cyber-Risk Governance Committee was convened by President Napolitano after a security breach at UCLA in 2016 to facilitate information sharing and strategic planning around cybersecurity. The systemwide committee discusses all aspects of cybersecurity and potential issues and solutions. Chair Borgman and Vice Chair Martone gave a presentation on faculty involvement at the November 28 meeting.

4. Meeting with Provost (earlier this morning)

Chair Borgman and Vice Chair Martone met with Provost Michael Brown, who succeeded Aimée Dorr in the fall. The Provost is interested in the work of the committee and in having ongoing communication.

IX. Systemwide Review: [Proposed Presidential Policy on Open Access for Theses and Dissertations](#) (Comments due March 14, 2018)

Christine Borgman, UCACC Chair

Historically, theses and dissertations were printed and put on library shelves for anyone to read. Starting in 1950s, the paper copies were put on microfilm. In 1987, the Networked Digital Library of Theses and Dissertations (NDLTD) began discussion about processing, archiving, and providing public access to electronic theses and dissertations (ETDs). Currently, most of UC's theses and dissertations are deposited into the ProQuest database.

Discussion about the proposed Policy on Open Access for Theses and Dissertations focused on embargo periods and the differences in needs for different disciplines. Infrastructure is also seen as an issue, as workflow remains challenging and locally-based at each campus.

UCACC is in favor of open access, but would like to see a consistent workflow into eScholarship, UC's open access repository. The committee's response will include recommendations for data management, interoperable systems, machine discoverability and following of the FAIR Principles discussed at the fall meeting.

Action: UCACC will send comments to Academic Council Chair Shane White.

X. Member/campus issues

UC Berkeley: Berkeley has a new data science major. There is a popular intro class that may become a MOOC. All resources for the class are in the cloud. The campus is in the process of finding out how many students have computers or Chromebooks and internet connections.

UC Davis: In addition to FireEye and a potential MOU, the Senate committee is discussing disaster recovery plans.

UCI: Irvine is rolling out Canvas as the instructional infrastructure for all users. Although there were some hiccups at first, it seems to be going well now. Campus changed the software used for admissions, which caused some anxiety.

UCLA: UCLA's IT committee is concerned about vendors approaching departments for deals for instructional technology

UCR: UC Riverside uses Blackboard as its instructional technology for teaching, but some are unhappy with it and want to explore other options. Should instructional technology be discussed at the system level?

UCSD: UCSD has a fairly new CIO. There are eight governance committees, each with faculty members, but are not Academic Senate committees. There is a lot of attention to the research

infrastructure in the CIO's office, while the Academic Senate committee (CAIT) has focused on teaching and instruction. This year, CAIT is focusing on computational challenges across departments, including variability in coding expertise, and trying to come up with recommendations.

UCSF: UCSF's committee is making sure that IT dollars are being spent wisely and in pursuit of overall goals. The committee is constantly trying to get non-IT focused faculty members involved. MFA rollout has gone well; there is a well-managed IT infrastructure. There is a new Chief Nursing Information Officer.

UCSB: The UC Santa Barbara faculty are trying to start a Senate committee for IT governance. The wildfires a few months ago caused IT issues, which prompted the formation of a workgroup to explore emergency response situations. UCSB will be in the second wave of moving to UCPATH, which will entail the transition of 126 business processes.

UCSC: The Vice Chancellor for IT search is ongoing. UC Santa Cruz has a new EVC who is conducting a strategic planning exercise. Committees have been asked to identify any blocks to research or teaching. Ongoing issues for the local committee include enterprise applications and services moving to the cloud. This has meant a change in types of jobs needed in the IT division, but there is overall modernization and cost savings.

Graduate students: Graduate students would appreciate more information provided for students on MFA.

XI. Items for spring and beyond

The committee discussed future issues for investigation and discussion, including:

- Faculty Engagement in UC Data Network
- Long-term preservation of data.
- Open data policies on campuses (members to do homework beforehand)
- Data strategies
- Open infrastructure
- Accessible technology

Santa Barbara representative Jianwen Su volunteered to participate in the Cybersecurity Awareness Training RFP.

Meeting Adjourned: 4:05pm

Minutes prepared by Joanne Miller, UCACC committee analyst

Attest: Christine Borgman, UCACC Chair