

UNIVERSITY COMMITTEE ON ACADEMIC COMPUTING AND COMMUNICATIONS

Thursday, April 20, 2023

Meeting Minutes

I. Consultation with UCOP's Information Technology Services*Van Williams, Vice President, UC Chief Information Officer**Jay Panchal, UC Chief Information Security Officer***1. Cyber-Risk Governance Committee ([CRGC](#)) – Changes**

UC ITS is using a “RACI” matrix model, which documents who is responsible, accountable, consulted, and informed, to create a new framework for cyber governance systemwide. Chancellors will be ultimately *accountable* for cybersecurity on their campuses. The new model assigns primary *responsibility* for cybersecurity to CIOs and CISOs. The new model will also cover responsibility for IT projects, policies, integration, training etc.

2. Bakertilly Information Security Program Review, April 2022

VP Williams reviewed the report from the bakertilly consulting firm, which conducted an information security program review last year. The report yielded four focus areas: strategy and governance, structure and roles, practices and technology, and talent and resources. Recommendations for each of these areas was provided, and UC is working on changes.

UCACC members asked about the current governance and roles. The President's Executive Budget Committee makes recommendations but doesn't make cybersecurity decisions. Some members questioned the widespread use of MFA, noting the inconvenience and suggesting that it would be helpful to know the rationale for its use, including the risks and benefits.

3. Draft UC Digital Risk Tolerance Statement

A recent audit noted that UC could benefit from a digital risk tolerance statement, with the intent of ensuring that risk management is a factor in all appropriate areas. While this does not seem to be commonplace at other universities, the suggestion generated interesting conversations about cybersecurity risk between the IT and compliance and audit personnel at UCOP. Administrators liked the idea of a broader *digital* risk tolerance rather than a focus solely on cybersecurity risk.

The statement delineates the risks, rewards, and tradeoffs, and makes clear that UC assumes reasonable risk. There are inherent risks in a university environment. The statement will be an overarching document with multiple iterations associated with it; campuses/units can create their own statements that meet the minimum requirements but are tailored to specific needs.

Regarding IT policy, UCACC members noted that some campuses are questioning the combining of operational security and research security needs into a single policy. UC will be revising IS-3, which will address some of those questions. The systemwide policy is meant to provide a minimum security standard that will address about 90 percent of attacks. It is understood that risk decisions are made operationally every day. IS-3 is informed by UC Legal and IT experts, as well as compliance requirements from the federal government.

UCACC members noted that the administration should refrain from using terms like “business need” and some don't even want to see the designation of “business unit” in policy – instead suggesting

“operational units” or academic units (possibly divided into research and teaching). Recognition of those elements of the university, and acknowledgment that the research mission of the university is different from the operations aspect, would go a long way in getting faculty on board with the policies.

Next steps for the Risk Tolerance Statement:

- Refine based on feedback by May 2023
- Presidential Decision memo: June 2023
- Revise IS-3 policy: winter 2024

4. Cybersecurity Metrics

Cybersecurity metrics were presented to the Board of Regents at its last meeting. The goal is not to protect everything against every possible problem at the same level because the cost would be prohibitive. UC is looking at the most critical areas and applying metrics to those. Like in other areas of IT, decisions have to be made with cyber insurance in mind. Metrics will be further developed and the data shared publicly and with the chancellors.

In developing a vision for UC IT, VP Williams noted that he had taken UCACC’s feedback around governance and information sharing into consideration. Data assets, data dictionaries, and more should be discussed regularly with local CITs and widely on the campuses. CISOs are usually called when something goes wrong. He noted that there are great achievements every day and that metrics is one way convey the successes.

II. Member/Campus Round Robin

UCACC members discussed IT topics from their divisional committees and campuses.

Berkeley: The local committee is discussing distinctions between operation and research when it comes to IT and cybersecurity. Berkeley is undergoing a network upgrade.

UC Davis: UCD’s local committee is discussing the anticipated new financial system and trying to talk with the administration regarding to find out if proactive fixes can be found. The committee has discussed the IS-3 concept of “Unit Head” and the interpretation at UCD that considers it to be personal liability. Researchers want assurance from the institution that they would not be held personally liable if they are complying with the policy. The issues of Canvas and ownership of course materials, as well as issues with Duo and vendor risk assessment, are ongoing.

UCLA: The local committee gets regular reports from the CIO (who came from Stanford). The CIO is planning upgrades to systems, at large cost. UCLA is starting its implementation of the Oracle “Ascend” financial software system.

UC Merced: The new CIO is setting up a shared governance structure to consult with IT. UC Merced still has a financial systems problem. The campus is implementing technology solutions, but it should be noted that the new system was rolled out by financial administrators without consultation with IT. UCM’s committee on faculty welfare created a Google doc for faculty to contribute to anonymously to express problems with the system. It ended up with 27 pages of anecdotes. The campus COR has asked for fixes to the system and the focus of responses from the administration have been around better staff training. Apparently there is no way to overlay technological fixes.

UC Riverside: The CIO has proposed revising the IT structure. The local committee is advocating for new software and looking at Google, Slack, and more. Faculty are interested and feel that it would be

helpful. The financial software implementation is expected to start on July 1st. The division chair and local committee are making sure that the Senate is involved in the roll out.

UC San Diego: UCSD reviewed the proposed new Patent policy. The campus is in the process of implementing a new student registration system. To avoid problems encountered with the new financial system, the reg system will be rolled out slowly, starting with course approvals. The CISO met with the local committee regarding OSTP Memo 33 on Research Security Programs Standards. The campus will take responsibility for meeting the requirements, but individuals will be expected to follow the standards. The next question will be how to roll out to campus to get the attention of those who need to know.

UC San Francisco: IT governance at UCSF is very distributed and the locus of UCACC connection is still being worked out. EPIC – the electronic healthcare system used at UC Health – and Microsoft have announced a partnership in generative AI.

UC Santa Barbara: UCSB is moving forward with the Oracle financial accounting software implementation. The transition to canvas seems to be going well. The campus is revising its instructor evaluation system so that is more centralized. Since going to an online system, the return rate has been lower.

UC Santa Cruz: The new VC-IT meets regularly with the local CIT twice per month. UCSC is preparing to move to co-locations for servers. The committee is evaluating post-mortem email access. The VC-IT will convene two advisory committees, one on teaching and the other on research. Shared governance has been followed in appointing faculty members.

III. Approval of minutes and Committee Discussion Topics

Matt Bishop, UCACC Chair

Action taken: Meeting minutes from February 9, 2023, were approved.

1. Principles of Acceptable Use of Data Collected by Cyber-Monitoring Programs (draft)

Members agreed that the “Principles of Acceptable Use of Data Collected by Cyber-Monitoring Programs” would this be useful to send to the Academic Council for approval and circulation. Chair Matt Bishop will add some context, note that it is a UCACC position statement, and will circulate for final review by the committee.

2. IT Governance at UC Comparison Chart

UCACC members reviewed the IT Governance at UC comparison chart and made some updates. UC Merced’s Senate IT committee was created in 2019. UCLA committee re-constituted their Senate IT committee as a three-year trial, and it is now up for renewal. The chair is asking for it to be made permanent and expanded. At UC Riverside, the ITS unit will convene a Strategic Council that includes Senate members. The chart will be updated each year as needed.

3. New Financial Accounting System implementations

UCACC members on campuses that are starting implementation of the Oracle financial system (primarily UCD, UCLA) asked about the current status at UC Merced and UC San Diego, and whether the situation had improved. At both UCM and UCSD the system is still perceived as a problem and both campuses are finding staff retention to be a big issue.

UC Davis is moving forward with the system and has formed an implementation committee with faculty representation.

UCACC members determined that it would be worthwhile for a letter describing the current status and ongoing issues to be circulated to campus CIT committees and others.

Action: Chair Bishop will work with the committee analyst on a draft memo to circulate.

4. Lecture-capture and Shifting Modes of Teaching

UCACC members discussed issues around recording of course lectures, which has become expected from students since the pandemic. Students are beginning to assume that recordings will be available from all classes. Although it is an issue of ADA accommodation for some, that is not widely the case. UC Berkeley is invoking student privacy in its refusal to record all courses. UCSD has lecture capture recording capability in every classroom. At UC Davis, faculty are finding that if they record a class then students do not come. UC Santa Cruz has a faculty union, and rules about remote teaching are included in the conditions of their employment. Members noted that it's not always in the student's best educational interest to attend classes remotely. It changes the interactive nature of teaching when students do not come in and without questions asked and answered in real time.

There is software that will record the only the instructor's voice and not pick up student voices. UCACC's CCGA liaison reported that CCGA (the systemwide Coordinating Committee on Graduate Affairs) is looking into remote teaching and online degrees for graduate students. Right now, the status of online courses is very different at each campus; eventually there will be policy and guidelines.

IV. Consultation with the Senate Leadership

Academic Council Chair Susan Cochran joined the meeting to discuss the current issues facing the Academic Senate.

- President Drake announced this week that, contingent on the current State budget allocation, salary scales will increase by 4.6% as of October 1st. Some faculty receive off-scale salaries, which are determined by campus.
- The current Board of Regents, which includes several new members, is very engaged and interested in being actively involved in university operations. The Committee on Innovation Transfer and Entrepreneurship has been focusing on UC's need to build up its infrastructure pipeline for inventions and patents. There will soon be an RFP for a new patent tracking system to be implemented systemwide.
- The Intersegmental Committee of Academic Senates is working on transfer alignment between the California Community Colleges, Cal State Universities, and UC. Chair Cochran noted that a recent presentation on the inclusion of AI approaches in managing academic integrity included some factual errors that the AI system did not catch.
- Two new joint faculty-administration workgroups will be convened by Provost Katherine Newman. One is a systemwide Senate-Administration working group on the Future of UC Doctoral Programs that will be co-chaired by UCSB Academic Senate Division Chair Susannah Scott and UCI Vice Provost for Graduate Education Gillian Hayes. The other will focus on the

implementation of “achievement relative to opportunity” (ARO) principles recommended in the final report of the joint Academic Senate-Administration working group on mitigating the impact of COVID-19 on faculty careers. The work group will be co-chaired by UCAP Chair Francis Dunn (UCSB) and Vice Provost for Academic Personnel and Programs Douglas Haynes.

- Some STEM faculty and administrators at UC are lobbying again to allow UC to accept funding with restrictions on publication or citizenship, or to allow restricted research to be conducted on campuses. Currently UC does not accept that funding. Some restricted research is conducted at off-campus locations via workarounds and exceptions.
- Chair Cochran noted that UCEP (the University Committee on Educational Policy) is taking on issues of remote teaching and online degrees. Online courses are considered “correspondence” courses for purposes of accreditation and UC needs to be careful because of restrictions on qualifications for financial aid. Parameters include lack of direct contact with an instructor and never physically being on a campus.

V. Items Under Systemwide Review

Action: UCACC will submit brief comments on the Proposed Presidential Policy on Inventions, Patents, and Innovation Transfer.

Meeting minutes drafted by: Joanne Miller, UCACC Committee Analyst
Attest: Matt Bishop, UCACC Chair

Members attending:

Matt Bishop (Chair), Avi Yagil (Vice Chair), John Kubiawicz (Berkeley), Kyaw Tha Paw U (Davis), Christine Borgman (UCLA), Emily Jane McTavish (Merced), Sheldon Tan (Riverside), George Porter (San Diego), Jenson Wong (San Francisco), Frank Brown (Santa Barbara), Zac Zimmer (Santa Cruz alternate), Susan Cochran (Ex Officio, Academic Council Chair), Dean Tantillo (CCGA Vice Chair), Joanne Miller (Committee Analyst)