UNIVERSITY COMMITTEE ON ACADEMIC COMPUTING AND COMMUNICATIONS
October 22, 2019

Meeting Minutes

I. Welcome and Introductions

Chair Anthony Joseph welcomed members and said that he anticipates many issues for the Committee on Academic Computing and Communications this year. He briefly mentioned some agenda items for the year:

- IS-3: A revised Electronic Information Security Policy was issued at the beginning of October and the rollout will be continuously monitored. Faculty may begin to have concerns as they realize that they may have additional responsibilities for information security.
- Cybersecurity audit: UCOP's Office of Ethics, Compliance, and Audit Services (ECAS) is conducting a cybersecurity audit at the request of the Board of Regents. The audit was a contentious topic when it was proposed last year, but with additional conversations between ECAS, the Information Technology Leadership Council, and UCACC, many concerns have been allayed.
- Foreign influence: Due to federal requirements, there has been an audit of Huawei and ZTE equipment on the campuses. Personal devices are no longer included in the scope. There may be lessons about implementation and effects on vulnerable populations from campus experiences. Foreign influence is a big issue nationwide and the cybersecurity aspect is relevant to UCACC's purview.
- Open access: UC is sticking to its open access demands in contract negotiations with the publisher Elsevier and is having a global impact.
- Research Information Management Systems: UCACC will continue to be involved with discussions on Research Information Management Systems (RIMS) – the licensed services that are used to collect and analyze data from universities for assessment purposes. RIMS have been used for program reviews, and some fear they are also being used inappropriately in promotion and tenure reviews.
- Systemwide IT services: UCACC will discuss the systemwide technology services available for research and instruction across campuses and look into contract terms. The committee will continue to share information about campus technology resources and communication best practices. For example, the rollout of two-factor at UCLA was seen as successful.
- Health data: UCOP recently formed the position of Chief Health Data Officer. The newly hired Cora Han will join UCACC for an update later in the year.
- UC CIO: Tom Andriola has left UCOP to become the Vice Chancellor of Information Technology and Data at UC Irvine (a new position). Associate Vice President for Operational Services Mark Cianca is serving as the interim UC CIO.

II. UC Data Management Update – Dryad Launch
John Chodacki, Director, California Curation Services ([UC3](#)), California Digital Library
Catherine Nancarrow, UC3 Associate Director

John Chodacki and Catherine Nancarrow from UC's California Digital Library (CDL) joined the meeting to update the committee on the university's partnership with Dryad, which UCACC

learned about last year. Dryad is a curated digital data repository that allows data to be discoverable, reusable, and citable. It is open source and non-profit, and was developed by researchers to be easily embedded in research workflows. Submissions are preserved for the foreseeable future with the backing of UC's Merritt digital preservation repository.

Information about the publishing and data management services offered by UC is available via campus library services (in person and online). UCACC members expressed interest in more extensive communication about the tools and services available at UC.

- More information about Dryad can be found on the Dryad website: datadryad.org.
- The API for the Dryad platform can be found on the API website: https://datadryad.org/api/v2/docs/
- DMPTool: https://dmptool.org/ (but you might be better off going through your campus library website; look up data curation or data management).

III. UCOP Office of Ethics, Compliance and Audit Service (ECAS)
Alexander Bustamante, Senior Vice President and Chief Compliance Officer
Shanda Hunt, Research Compliance Manager
Greg Loge, Systemwide Cybersecurity Audit Director

Alexander Bustamante, Shanda Hunt, and Greg Loge joined the meeting to talk about UC's cybersecurity audits and discuss how to get broader input into conversations about artificial intelligence and machine learning.

Cybersecurity audits

The current audits of UC's cybersecurity systems are intended to assess vulnerabilities and penetration in the systems. Last year, the audits focused on financial aid and health data systems. All UC health data is consolidated to be used for research and assessment opportunities to advance health outcomes. That data is highly desirable and must be protected. The scope of the cybersecurity systems audit will include how monitoring is done by campus IT administrators. The audit team is identifying high risk areas and setting up meetings with campus leadership, IT personnel, and other stakeholders. The idea behind implementing a single system (FireEye) deployed across the campuses was to combine and coordinate information. The service is a significant investment, and the university needs to be sure it's worthwhile. The Board of Regents' Audit Committee is interested in strengthening security to prevent future breaches.

The focus of the audit is whether UC's Threat Detection and Identification (TDI) systems are working, and does not include operational choices for which systems to implement. The audit will also investigate other monitoring tools that may be in place locally. Right now, the auditors have asked for access to the portal and will not see message content. Future conversations might include whether the right metrics are in place to measure the effectiveness of the TDI systems.

In discussion, committee members asked about sharing best practices and the challenges of decentralized IT operations on the campuses. There are already venues for sharing expertise and practices, but they may not be widely known. UCACC could help communicate to faculty IT committees, executive councils, and other colleagues about the work being done. The audit might provide some transparency into campus security operations, which could also facilitate discussions. SVP Bustamante will share the final results of the audit with the committee and will return to future meeting to talk about findings and solutions.

Machine learning and artificial intelligence

Together, machine learning and artificial intelligence is an emerging compliance area, and SVP Bustamante would like UC to take the lead instead of waiting for terms to be dictated by external forces. Issues include curation, bias, privacy, ethics, compliance, explainability, and informed consent. Bustamante asked for help in connecting with UC researchers who may have knowledge and expertise, including ethicists, data scientists, etc. ECAS has contacts at CITRIS and the national labs, but wants to expand the consultation as broadly as possible.

Other systemwide Academic Senate committees that would have interest in this area include Academic Freedom and Research policy. After a core group meets to lay out goals and potential outcomes, it may be possible to convene a wider forum for more people who are interested.

Action: UCACC members are asked to raise the issue of machine learning and AI with their local committees and if possible identify colleagues on the campus who may be appropriate to participate in a working group or in a consultative partnership between the Ethics and Compliance group and the faculty.

Other topics

UC's IT training for employees needs updating and ECAS will again be seeking input on modules and other communication.

UCACC members asked about de-identified data and the risks of outdated policies and standards.

IV. Consultation with the Senate Leadership
Kum-Kum Bhavnani, Academic Council Chair
Mary Gauvain, Academic Council Vice Chair

Leadership update

Academic Council Chair Kum-Kum Bhavnani reported that Vice Provost Susan Carlson will convene a Working Group to survey and assess the role of Research Information Systems (RIMS) across UC. UCACC, UCAP, and UCOLASC are asked to name representatives for the group. Chair Bhavnani will ask former UCACC Chair Maryann Martone to co-chair the Working Group.

The search for a new UC President is under way. More information can be found on the Regents' website. As part of the process, the Academic Council forms an Academic Advisory Committee that advises the Regents on the search criteria and applicant pool.

The Board of Regents is discussing pension contributions and will likely vote for an increase in employer contributions to the retirement program.

A Presidential Working Group on Comprehensive Access has been convened to develop recommendations to ensure that UC's values are upheld when its academic health systems collaborate with other health systems. The group is an outcome of a proposal for expanding UCSF's relationship with Dignity Health that became a public debate last year.

The State Auditor has announced an audit of the admissions processes at UC, starting with Berkeley, UCLA, and San Diego. Meanwhile, UCOP's Office of Ethics, Compliance, and Audit Services is conducting its own internal audit.

UC is continuing to negotiate with Elsevier about licensing terms. Faculty who need access to Elsevier publications should check with their campus library.

A new general obligation bond will provide $2 billion to UC to be used for capital projects.

There will be a new Online Degree Task Force (for undergraduate degrees) chaired by the current chair of UCEP.

Among other topics, the Academic Council continues to consider issues of foreign influence, fetal tissue research restrictions (mainly affecting health science campuses), and diversity.

Committee members raised two concerns with Chair Bhavnani:

- Dilution of the UC brand and other associated risks when UC contracts with commercial vendors for online courses
- Commercial websites such as Course Hero illegally posting classroom materials and whether UC's attorneys could send a global request for take-down of UC material? [Note: In a letter from the Academic Council last year, it was reported that "OGC is not authorized to contact companies hosting the material with a cease and desist request on behalf of faculty." See: https://senate.universityofcalifornia.edu/_files/reports/rm-sc-infringement-of-faculty-intellectual-property.pdf]

V. UCPath update
Mark Cianca, Interim Vice President, UC Chief Information Officer

Associate Vice President Mark Cianca joined the meeting to discuss issues with the UCPath system as it has been rolled out to the campuses. The purpose of UCPath is to combine the 11 different payroll and human resources systems into one centralized system. The home office is in Riverside (not on the campus) and it handles all human resources issues systemwide.

The unified system requires all campuses to use standard processes for hiring, managing, payroll, and benefits. The rollout began at the Office of the President, which has the most straightforward payroll. Currently, there are 130,000 employees on UCPath, with 80,000 more to go. The next locations to transition to UCPath will be UC Santa Cruz, UC Irvine, UC San Francisco, the Berkeley Lab, Hastings, and UC San Diego.

Faculty concerns with UCPath are mainly around vulnerable populations such as graduate students who may be living paycheck to paycheck. There are many varieties of employment, and it turned out that before UCPath, the university was out of compliance for certain categories of student employees. In making the transition to the new system, there were technological as well as policy issues that are still being worked out. To remedy student issues, campus and UCOP human resources administrators are working with offices for graduate affairs and student associations. Once a problem is known, the payroll system can act to provide compensation in 24-hours. Some locations provide emergency student loans, but students need to know where to go.

As interim CIO for the system, AVP Cianca will be involved with the Research Information Management Systems (RIMS) Workgroup and cybersecurity initiatives.

The search for a new UC Chief Information Officer has not yet started.

VI. Member/campus issues
Open discussion of campus and systemwide issues related to academic computing and communications.

UCSF now has walk-in IT clinics located at the Parnassus and Mission Bay campuses. These are run by the administration and seem very popular. UCSF also has a home page on its intranet that lists all of the information technology and research-related resources available to the community.

UC Berkeley also has free IT help clinics that are run by undergraduates. Berkeley has been dealing with increased complaints about IT services, particularly printing.

There are questions about systemwide procurement and provisions for security and privacy in contract agreements. UCACC will invite someone from systemwide procurement to a future meeting.

UCACC members discussed whether to try to conduct an IT satisfaction survey either systemwide or by campus (but with consistent questions).

VII. Consultation with UCOP's Information Technology Services
David Rusting, Chief Information Security Officer (via Zoom)
Robert Smith, Systemwide IT Policy Director (via Zoom)

Systemwide Electronic Information Security Policy (IS-3) Rollout

UCACC reviewed and completed its review of the nine standards for the new Electronic Information Security Policy (IS-3) in May, and some changes were made to the standards based on the feedback. The Information Technology Leadership Council – the CIOs from each location – approved the policy on Oct. 3, 2019. There has been a request for an update of one of the standards, and UCACC will be consulted on the update of the standard.

The intention of the policy is to give as much local control to the campuses as possible, and for CIOs and Chief Information Security Officers to consult widely. "Units" and "Unit Head" in the policy are defined locally, and can be assigned depending on what is reasonable to the situation. Campuses with medical centers have already dealt with security at a higher level. Committee members are concerned about liability, and the type of responsibility that falls to faculty. UC takes a risk-based approach and carries cyber insurance to cover larger incidents.

Committee members discussed how to inform faculty about all of the aspects of computer security that they need to know. Faculty should not have to know how to do everything. IT administrators and staff handle many aspects of security so that faculty don't have to through automated or pushed updates and other protections.

Follow up to IS-3 will be ongoing. There may be more input from faculty as they become more aware of the policy.

Continuity Planning and Disaster Recover Policy (IS-12) Update

The Continuity Planning and Disaster Recover Policy (IS-12) is being revised. UCACC Chair Anthony Joseph is one of the revision sponsors. As the revision gets farther along, UCACC will be asked to review the draft policy. The standards will be determined after the policy is drafted.

Cyber-Risk Governance Committee

Each of the campuses, the Lawrence Berkeley National Laboratory, and the Division of Agriculture and Natural Resources (ANR) has appointed a representative to the Cyber-Risk Governance Committee (CRGC), which coordinates and is responsible for efforts to strengthen cybersecurity at their respective location. For purposes of these responsibilities, the representative reports to the Chancellor, Director, or Vice President and are referred to as "Cyber-risk Responsible Executives" or CREs.

UC executive leadership and the CREs are joined on the Cyber-Risk Governance Committee by representatives from the faculty and three outside advisors. The group meets quarterly, with the outside advisors joining two of the four meetings each year.

VIII. Systemwide Review Items

UCACC will not submit comments on the Proposed Revised Presidential Policy on Copyright Ownership.

IX. Research Information Management Systems (RIMS)

On May 26, UC President Janet Napolitano responded to a report from the Chairs of UCACC and UCOLASC – and endorsed by the Academic Council – that requested additional investigation in to Research Information Management Systems (RIMS) in use at UC. President Napolitano said that UC Provost Michael Brown would convene a Working Group to oversee a systemwide collection of information about what products are in use, how much is being spent, the contractual terms, responsibility, and purpose. The Working Group will have representation from UCACC, UCOLASC, and UCORP.

Research information systems are used to assess and promote the research outputs of an institution. Some universities may use them for use in personnel reviews. UCACC will be involved with the Working Group via a liaison throughout the year.

Meeting adjourned: 3:30pm
Meeting minutes drafted by: Joanne Miller, UCACC Analyst
Attest: Anthony D. Joseph, UCACC Chair

Meeting participants:

Members: Anthony Joseph (Chair), David Robinowitz (Vice Chair), Ethan Ligon (Berkeley), Matt Bishop (Davis), Feng Liu (Irvine, via video), Susan Cochran (Los Angeles), Michael Spivey (Merced, via video), Weifeng Gu (Riverside, via video), Ian Galton (San Diego), Lisa Jevbratt (Santa Barbara), Hamid Sadjadpour (Santa Cruz), Amr ElAbbadi (CCGA Vice Chair, via video), Kum-Kum Bhavnani (Academic Council Chair), Mary Gauvain (Academic Council Vice Chair)

Consultants and guests: John Chodacki (California Digital Library), Catherine Nancarrow (California Digital Library), Alexander Bustamante (Chief Compliance Officer), Shanda Hunt (Research Compliance Manager), Greg Loge (Systemwide Cybersecurity Audit Director), David Rusting (Chief Information Security Officer, via video), Robert Smith (Systemwide IT Policy Director, via video), Joanne Miller (Committee Analyst)