

UNIVERSITY COMMITTEE ON ACADEMIC COMPUTING AND COMMUNICATIONS

Thursday, December 17, 2020

Meeting Minutes

I. Announcements, agenda review, approval of October 15 meeting minutes

David Robinowitz, UCACC Chair

UCACC meeting minutes from October 15, 2020, were approved.

II. Consultation with UCOP Office of Ethics, Compliance and Audit Services (ECAS)

Alexander Bustamante, Senior Vice President and Chief Compliance Officer

Shanda Hunt, Systemwide Research Compliance Officer

Matthew Hicks, Systemwide Deputy Audit Officer

Gregory Loge, Systemwide Cybersecurity Audit Director

UCOP's Office of Ethics, Compliance and Audit Services (ECAS) provided updates on topics discussed previously at UCACC meetings, as well as the implications to UC of the recent widespread cyberattack.

• ***Threat Detection Audit***

UC's internal audit program is risk-based. An annual assessment is provided to the Board of Regents. Last year, at the request of the Regents, ECAS conducted an internal audit of UC's Threat Detection and Identification (TDI) system. The audit followed the standard process of an investigation, followed by findings, and concluding with recommendations. The recommendations resulted in some corrective actions and improvements at the campuses, and updates will continue. The audit's recommendations also included some changes to the advisory and governance structure around cyber-risk and cybersecurity. The use of FireEye as UC's systemwide threat detection service has improved UC's ability to detect attacks and to respond quickly so that any effects are minimized.

It is the responsibility of each campus' Chief Information Security Office (CISO) to address incidents or perceived network or system breaches. The role of an audit is to surface potential risks and issues, question investments in security services, and assess whether UC could be better positioned to deal with security incidents. Through FireEye and various associations, UC is in communication with other institutions and with the federal government around security threats and issues.

UCACC members asked about privacy considerations. UC has had no recent changes to its privacy policies. In general, the university takes privacy seriously.

• ***Foreign Influence***

SVP Bustamante said that issues of what is known as "foreign influence" are not going away with the change in administration. Funding agencies continue to focus on conflict of interest and conflict of commitment. Systemwide, UC's offices of Research and Contracts & Grants are trying to increase awareness about the importance of proper disclosure, and to improve processes. UC has professional conduct policies in place, and is well positioned to demonstrate to the federal government that UC is responsible with its resources and doesn't need additional scrutiny. UCOP offices are working together – ECAS, Research Policy, UC Legal, the Academic Senate – to minimize intervention and allow UC researchers to continue to do their work unimpeded.

Bustamante invited UCORP members to join a symposium on January 26th that will include representatives from funding agencies, OSTP, and researchers.

III. Consultation with UCOP's Information Technology Services

Mark Cianca, Interim Vice President, UC Chief Information Officer

David Rusting, Chief Information Security Officer

Robert Smith, Systemwide IT Policy Director

1. Information Security update

The ITS group first addressed the recent nationwide cyberattack. Last week, FireEye announced that it had been the victim of a cyberattack and that its tools were stolen. The company offered some mitigating strategies and told customers how to recognize if the tools were used on their networks and how move forward. Shortly afterwards, the software company SolarWinds informed its customers that an update had been compromised. UC is among the 18,000 customers whose networks may have been affected. Currently, the federal government is relaying information about how to identify the malware and whether it impacted a system. The key response is to isolate any problem, and then use forensic techniques on that computer/network. All intelligence is then shared with FireEye which compiles the information and shares with customers.

Since the recent attack, FireEye has revamped its heuristics and customers are reviewing past alerts that might not have seemed suspicious at the time. Not all campuses have the FireEye "endpoint" software, but all have some type of monitoring system that can look for problems. Campuses use a "Security Incident Response Isolation and Notification" to inform departments or units if they are part of an investigation. The notification process usually includes UC Legal, audit, and privacy components, as well as IT. A systemwide UC Security Incident Response Coordination (UCSIRC) framework guides the process. Network monitoring is at the level of metadata and alert notices, not message content or other personally identified data, which is not retained or stored by FireEye. The recent attack is an evolving situation and more will likely be known in the next couple of weeks. Meanwhile, Microsoft and others are actively working to shut down the infrastructure that allowed the attack to happen.

2. Cyber-Risk Working Group

At the recommendation of the Cyber Risk Governance Committee (CRGC), and in response to the ransomware incident in June 2020 at UCSF, President Napolitano convened a Cyber Risk Working Group (CRWG) in July 2020. The group was charged with making recommendations for better managing the security of digital research data and for protecting UC's research enterprise. The group completed its work and submitted a report and recommendations to President Drake and the Council of Chancellors.

The Report establishes five guiding principles:

1. Digital research data is essential to UC
2. Data protection is a shared responsibility
3. Losses can be significant
4. UC should set data protection goals
5. UC will be a leader

The high-level recommendations of the report are:

1. Establish location-based research data protection workgroups
2. Develop awareness initiatives to enable workplace environment change
3. Provide scalable backup service for all UC researchers

President Drake accepted the recommendations and requested the development of an implementation strategy.

The following feedback from the Council of Chancellors will be incorporated into the implementation:

- Shared responsibility for data protection that emphasizes the role of the researcher.
- Key role of the Academic Senate in serving as a champion for the recommendations.
- Cost of back-up service and ensuring that campuses are given flexibility in implementation.
- Use of a direct cost model (not indirect cost)

UCACC members noted that implementation of the recommendations will likely be costly, and the university has to be willing to pay. If not, individual researchers will find individual solutions.

3. IS-12 – IT Recovery Policy

The revised IT Recovery Policy (IS-12) is currently undergoing a formal systemwide review, with comments due on February 17, 2021.

IV. Member/campus issues – Round Robin

Members provided updates on relevant academic computing and communication topics from their local committee and/or campus.

UC Davis: The primary topic is FireEye. UC Davis uses the software on administrative networks but not academic networks. Other topics are IT recovery plans and issues around remote learning.

UC Irvine: Primary discussion is around remote learning, including ironing out problems with the use of Canvas with Zoom, and dealing with students overseas and network issues. Faculty have been told to make allowances due to the pandemic and offer flexibility.

UCLA: Remote learning issues are exacerbated for some faculty who are caught in the middle of the general campus and UCLA Health, which has a separate IT structure. A new AVC for information technology services is planning a restructure of the current distributed support network. The distributed format allowed some units to innovate, but it appears that new model will be a centralized, top-down structure.

UC Riverside: Riverside is facing maintenance issues around its learning management system (LMS), which is a customized implementation of Blackboard called iLearn. The campus is planning transition to Canvas soon. Other issues include remote testing and the wide variety of approaches.

UC San Diego: In addition to facing similar remote-learning issues as the other campuses, UC San Diego has also just migrated to UCPATH and to an Oracle database for financial systems. There have been problems. The faculty are trying to initiate a survey along with the administration that is targeted toward MSOs and other relevant administrators to find out where help is needed and ask for suggestions.

UC San Francisco: As a medical school, it's Covid-19 all the time. UCSF is involved in the rollout of vaccines, including to its own staff. Tracking who gets the vaccine is a big deal.

UC Santa Barbara: Covid-19 and remote learning are the primary topics.

UC Santa Cruz: Santa Cruz is facing an issue with Piazza, the communication platform that works with Canvas, which will no longer be offered for free. The campus must decide whether to end the service, to pay, or to have advertisements. The Academic Senate is discussing, including who should pay, who provides support, and whether there are replacement options.

Committee members also discussed remote testing and proctoring. There were a variety of opinions. UCSB had such a bad experience in the spring that only a few faculty are using remote proctoring now. At UCI, some instructors were impressed with how well it worked. Faculty at UCR have found that the online grading platform Gradescope makes it easy to see whether a student has cheated or collaborated. In terms of assessment for remote learning, those disciplines and courses that rely on long-form assessment, like papers and essays are coping well, while those that rely on specific answers and calculations are having a harder time. Many faculty have restructured their evaluation methods and are giving more weight to homework, participation, and projects rather than on tests and a final exam. Putting more emphasis on writing benefits native English speakers.

V. Systemwide Items Under Review

- Proposed Revisions to Presidential Policy, Business and Finance Bulletin, IS-12: IT Recovery
- Innovative Learning Technology Initiative (ILTI) Review with Update
- Academic Planning Council Faculty Salary Scales Task Force Report and Recommendations

Comments on the items under review are due February 17, 2021. Committee members will review the policies and reports and determine via email whether to submit feedback.

VI. Remote Education Issues with UCOP's Innovative Learning Technology Initiative (ILTI) and UC Procurement Services

Mary-Ellen Kreher, ILTI Director of Course Design and Technical Development

Thomas Trappler Associate Director, IT Strategic Sourcing, UC Procurement Services

Director Mary-Ellen Kreher from the Innovative Learning Technology Initiative (ILTI) joined the meeting to follow-up on her presentation at the last meeting on online proctoring and the subsequent privacy concerns that arose in discussion. Committee members wanted to know more about student personally identifiable information (PII) and third-party vendors. Background for the meeting included the UC Learning Data Privacy Principles and the UC Systemwide License Appendix DS (Data Security). Kreher went through the background for the Principles, which were designed by the Educational Technology Leadership Committee (ETLC)¹ with input from stakeholders including UCACC. The Principles are shared with all vendors providing education technology products and services.

IT Strategic Sourcing Associate Director Tom Trappler joined the meeting to provide an update on systemwide strategic sourcing and the data security appendix (Appendix DS) that is used when UC licenses software and services. Appendix DS was revised last year in a process that included representatives from UC's IT security, legal, and procurement offices. Even when students directly share information with a supplier, for example, if they are required by an instructor to use a certain product, a UC agreement with that supplier will provide protections for any data shared.

Although the Principles and Data Security protections are in place, there will still be bad actors. Currently, several campuses are trying to determine what to do about Piazza. The academic discussion board software company announced last month that it will start charging or will deliver advertisements and collect data about users.

VII. UC Data Management Update from UC's California Digital Library

John Chodacki, Director University of California Curation Services (UC3), California Digital Library

Director John Chodacki from the CDL provided a year in review presentation of CDL's partnership with the Dryad Data Repository. CDL's data publishing project started several years ago with a project at UCSF. The development of the DASH open access digital repository in 2012 scaled the UCSF system to a systemwide level, and eventually to other institutions. In 2018, an evaluation showed that DASH did not have the name recognition, adoption, or integration into research workflows that was anticipated. At that point, the CDL found that Dryad, a researcher-led, open source initiative, was doing the same work and decided to form a partnership. The goal was to offer a service that will have widespread adoption, be integrated into workflows, connect UC to the global research community, and support researcher needs. All at no cost.

After one year, the CDL feels that the partnership is exceeding its goals. UC researchers are using Dryad, and the repository is connecting UC researchers to open access curated datasets worldwide.

UCACC members asked about how the repository works and what type of datasets are involved. The repository is geared toward data that is ready to be published, generally along with a scholarly paper. There are space limitations, and it is not intended as an active data space or meant for fields that already have discipline-based repositories. Dryad is now integrated into the publishing process of over 200 journals; CDL is working to grow that number by working with journal platforms such as Aeries (owned by Elsevier), Zenodo, and others to enable uploading of data upon article submission. The NIH and NSF use Dryad as an example for their grantees. All datasets are curated, with discussions with researchers happening upon submission, and evolving practices for

¹ The ETLC is a subcommittee of the IT Leadership Council, the systemwide group of Chief Information Officers.

metadata to meet researcher needs. There is currently no charge to submit data to Dryad through UC. In addition to providing data storage, Dryad makes the data available for re-use, thereby providing opportunities for future collaboration on a global scale.

UCACC members can help get the word out about Dryad by talking to colleagues, bringing the information to departmental meetings, and discipline-based discussions.

VIII. Consultation with the Senate Leadership

Robert Horwitz, Academic Council Vice Chair

Academic Council Vice Chair Robert Horwitz provided an update on some of the current issues of concern in the Academic Senate:

- **Curtailment:** In November, the Regents approved the 2020-21 budget, which protects the retirement plan from any changes due to curtailment. Curtailment has raised issues about equity between campuses, as some campuses are able to absorb budget cuts without impacting faculty salaries. Upon hearing that the curtailment plan might impact the “highest average plan compensation” (HAPC), which affects pensions, President Drake took steps to make sure there would be no adverse effects on pensions.
- **UCOP Systemwide Human Resources** is engaging in a reorganization of the unit and has hired Mercer consulting to do an evaluation. Both Academic Council Chair Mary Gauvain and Vice Chair Robert Horwitz were interviewed as part of the assessment process. This unit of UCOP is important to faculty because it controls benefits and retirement. A committee is looking into the changes to be made.
- **UCFW and UCAADE** sent a letter to the Academic Council on how faculty have been impacted during pandemic – especially their research, but also much work in the humanities. It is already well known that those with dependents, especially women, are bearing the brunt. Chair Gauvain has suggested that faculty be provided an extra sabbatical credit.
- **UCOP’s Office of Ethics, Compliance and Audit Services (ECAS)** is working to get out in front of conflict of interest/commitment obligations of PIs.
- **UC Campus Safety symposium:** There will be a UC-sponsored policing symposium on February 2 with reports from campus task forces and working groups. A follow-up meeting will be held in March.
- **Feasibility Working Group:** The group was convened to determine whether it is feasible to replace the SAT/ACT with another test. It has completed its work and a report will be released soon.
- **Online Undergraduate Degree Task Force:** While the environment has changed since the report was written, it is still an opportunity for faculty throughout the system to weigh in on whether to approve fully online bachelor degrees.

UCACC briefly discussed how Academic Senate committees could be used as a vehicle for information sharing to reach the broader faculty. For example, around issues of data security. In addition to IT committees, Committees on Research could also play a role. Members acknowledged that lack of resources hampers good intentions. If support was more readily available, for example with a staffed phone line, then faculty would be more likely to take action.

Meeting adjourned: 3:00pm

Meeting minutes drafted by: Joanne Miller, UCACC Analyst

Attest: David Robinowitz, UCACC Chair

Meeting participants:

Members: David Robinowitz (Chair, UCSF), Susan Cochran, (Vice Chair *and* UCLA), Avidah Zakhor (Berkeley), Matt Bishop (Davis), Nader Bagherzadeh (Irvine), Manu Sridharan (Riverside), Avi Yagil (UCSD), Jenson Wong (UCSF),

James Frew (UCSB), Brent Haddad (UCSC), Andrea Kasko (CCGA representative), Daniel Potter (UCEP representative), Robert Horwitz (Academic Council Vice Chair)

Consultants, Guests, Staff: Mark Cianca (Interim Vice President, UC Chief Information Officer), David Rusting (Chief Information Security Officer), Robert Smith (Systemwide IT Policy Officer), Alexander Bustamante (Senior Vice President and Chief Compliance Officer, ECAS), (Shanda Hunt, Systemwide Research Compliance Officer, ECAS), Matthew Hicks (Systemwide Deputy Audit Officer, ECAS), Gregory Loge (Systemwide Cybersecurity Audit Director, ECAS), Ellen Osmundson (ILT Program Director), Mary-Ellen Kreher (ILTI Director of Course Design and Technical Development), Thomas Trappler (Associate Director, IT Strategic Sourcing), John Chodacki (Director, UC Curation Services, California Digital Library), Joanne Miller (Committee Analyst)