

## UNIVERSITY COMMITTEE ON ACADEMIC COMPUTING AND COMMUNICATIONS

February 10, 2022

## Meeting Minutes

**I. Chair's Announcements, agenda review***Matt Bishop, UCACC Chair*

Chair Matt Bishop informed the committee that UCOP was forming a Standing Council on Artificial Intelligence, and that he would join as the Academic Senate's representative. UCACC members were curious about whether the scope of the Council would include ethical issues, and whether there were student representatives. Chair Bishop will report back to UCACC after the first meeting.

**Action taken:** Meeting minutes from December 16, 2021 were approved.

**II. Consultation with UCOP's Institutional Research and Academic Planning (IRAP)***Ola Popoola, Director, Data Infrastructure, Reporting and Analytics*

Ola Popoola, the Director for Data Infrastructure, Reporting and Analytics for UCOP's Institutional Research and Academic Planning (IRAP) unit joined the meeting to talk about IRAP's data environments and data use.

In addition to mandated federal and state reporting, IRAP provides data and "storytelling" for multiple audiences through the University of California Information Center<sup>1</sup> and the annual Accountability Report.<sup>2</sup> Content areas include enrollment, admissions, student support, outcomes (degrees), and contracts & grants. UCOP maintains a data warehouse as well as a special federated data commons that includes third party data.

UCACC members asked about security, privacy, and accuracy. The data used by UCOP – which is sent from campuses and outside entities – is not anonymous, although much is encrypted. Identifiers are needed to be able to make matches and analyze data. Student data is shared with CCC and CSU for analysis and reporting purposes. Any data from SHIP (the student health insurance plan) does not include HIPAA. For some purposes, fake IDs are created. Data from third parties is cross-checked for accuracy.

For increased security, there are protocols, data agreements, and divisions of access across the databases. IRAP is working on updating its data dictionary, reference materials, and governance agreements. The UC data breach last year did not affect the warehouse data, but IRAP has since switched to a different software for data transfer (GoAnywhere). If a file contains PPI, it is not transferred via network. IRAP consults regularly with UCOP's security administrators to make sure proper data protections are in place.

---

<sup>1</sup> <https://www.universityofcalifornia.edu/infocenter>

<sup>2</sup> <https://accountability.universityofcalifornia.edu/>

Data quality is handled by monitoring incoming data files via data profiling. Data is verified upon receipt for content and format. There is periodic auditing, and validation reports are generated before loading to a reporting environment.

The UCOP data hub<sup>3</sup> is used primarily as a communications vehicle for UCOP and the campuses regarding data releases, file specifications, subject areas, deadlines, and support & training. Because it was built using Cascade (a content management system), updating the site is labor intensive. UCACC members were interested to see that one of the current messages on the website is about the financial accounting systems transition that is happening on the campuses and the impacts of that on downstream systems that rely on financial data.

### **III. Consultation with UCOP's Information Technology Services**

*Van Williams, Vice President and Chief Information Officer*

*Robert Smith, IT Policy Director*

*Monte Ratzlaff, Cyber-Risk Program Manager*

#### **1. Cybersecurity updates**

UC is revising its major incident response processes. CIO Williams noted that campuses report incidents to systemwide (OP) in different ways, including multiple touchpoints. In an effort to streamline, there will be updates to the guidance for cybersecurity incident communication and protocols, with the goal of one coordinating group that disseminates information.

The CISOs group is working to develop set of shared cyber metrics. Financial investment is used as one indicator of how locations are measuring risk. Other factors are control, protection, and domain. UCACC will invite someone from the group to join an upcoming UCACC meeting.

UC is looking into reinventing its relationships with technology partners such as Oracle, Amazon, and others, to try to encourage a deeper collaboration. With Cisco, UC is discussing how to add commitments around hiring, internships, scholarships, and funding for equity and climate issues that are important to businesses as well as academic institutions. Faculty have not yet been involved in the conversation. A challenge will be preparing UC to be able to work with the companies.

The CIO's office is involved in the effort to update UC's patent tracking system, which was one of the high priority recommendations of the Regents Working Group on Innovation Transfer and Entrepreneurship.<sup>4</sup> Some chancellors with robust tech transfer operations want to see UC decentralize so that they can run their own systems.

#### **2. Research Data Backup plan**

CIO Williams felt that the recommendation from the Cyber-Risk Working Group<sup>5</sup> to create a scalable data backup service for all UC researchers was too broad and unfeasible, and funding would not be available to do it properly. He is working with systemwide Research & Innovation Vice President

---

<sup>3</sup> <https://data.ucop.edu>

<sup>4</sup> Regents Report: <https://regents.universityofcalifornia.edu/regmeet/may21/g1attach.pdf>

<sup>5</sup> CRWG Report: <https://ucop.box.com/s/tbtgrms8rrqjim56jn1e18pqp6nsn3rh>

Theresa Maldonado to scale down the project to one that is affordable, and with better defined parameters. One idea is prioritizing backup of data that is more susceptible to theft.

UCACC members pointed out that campuses are already starting to create their own data backup systems. Some members brought up the alternate perspective of individual responsibility, and whether there are realistic expectations for researcher versus university responsibility. UCACC has heard over the past few years about UC's partnership – through the California Digital Library – with Dryad, an open-access repository for research data.

### ***3. UCOP data management and protection***

UCACC will continue to try to find out more about the security protections that UC employs for data collected for systemwide needs such as UCPath.

### ***4. New DoD requirements for computers***

IT Policy Director Robert Smith provided an update on the Department of Defense's new CMMC security model. Version 2.0 was announced at the end of 2021, and has some positive changes from the previous version. The Capability Maturity Model Certification, which impacts PIs who receive funding from the DoD, is divided into security levels and a framework based on established cybersecurity standards. The CMMC applies to FCI (federal contract information) and CUI (controlled unclassified information), and will require external review for some research at UC. While most research taking place at UC will be at the lowest security level, which requires a less onerous annual self-assessment, it is possible that Scripps or some medical locations will have higher security level activity. Director Smith is working with contracts and grants officers on the campuses, as well as VCRs and CISOs. The CISOs group has formed a workgroup to share information.

Assistance available for universities includes POAMs (plan of action and milestones) and waivers, but these will be rare. UC has received \$2.3 billion from the DoD over the last 5 years. The federal agency is still fielding questions about the new standards and is providing responses and updates publicly. The timeline for implementation is between Sept. 2022 and January 2024.

Director Smith reported that UCSD is farthest along in preparing, and has assigned a program manager specifically to this issue. The San Diego Supercomputing Center will offer a compliant environment that will be able to meet most needs within UC. The campus CISO is the best point of contact, but Director Smith noted that he is happy to join any campus meetings to provide more information. He thinks it is likely that other federal funding agencies will adopt the standards in time.

### ***5. Other updates***

The IT Policy on "Identity and Access Management" (IS-11) is no longer used and will be retired. The Account and Authentication Management Standards (that accompany IS-3) will be updated. A draft of the requirements will be sent to UCACC for review when ready.

Program Manager Monte Ratzlaff said that representatives from a Vendor Risk Assessment working group will be invited to join a UCACC meeting to talk about information sharing. A public version of the Accellion Report provided to the Board of Regents is still pending.

#### **IV. Academic Senate Leadership update**

*Robert Horwitz, Academic Council Chair*

*Susan Cochran, Academic Council Vice Chair*

Academic Council Chair Robert Horwitz joined the meeting to provide an update on the issue facing the Senate. His notes were circulated after the meeting, and are summarized below. Chair Horwitz also asked whether there were any developments with the burdensome new financial accounting system deployed on the Merced and San Diego campuses.

*Governor's budget* – UC received the permanent funds increase that it requested, less one-time money to spend on deferred maintenance and retrofitting. The budget includes \$185 million for climate-oriented research. Overall, the key development was a multi-year compact that will provide UC with annual 5% base budget increases for the next five years as long as progress is made towards specified policy goals, primarily increased enrollment. The enrollment goal is 20,000 new students by 2030 (14,000 undergrads and 6,000 graduate students). The Governor's budget stipulates that enrollment growth must happen at all campuses, including Berkeley, LA, and San Diego, although some of the growth at those campuses will be the substitution of non-resident students for California undergraduates. The Governor's compact promises to pay those campuses to bring down their non-resident percentages to the 18% cap over the next five years. President Drake has convened an enrollment capacity working group to look at options for expansion, which include expanding summer sessions, opening satellite campuses, and increasing online offerings.

*Online degrees* – The Academic Council discussed online undergraduate degrees, with no conclusion regarding a stance to take. UCEP has been asked to put together a set of fundamental and operational guidelines to bring to the Academic Council for discussion. The push for increasing online options comes from legislators and Regents who see it as a way to increase access, especially from first generation and URM backgrounds.

*Graduate student researchers* – Now that the GSRs have unionized, there will be negotiations about who is included in the bargaining unit. President Drake has been clear about maintaining a distinction between student and employee, and that graduate students who get independent money to do their own work are students and not employees because they are not providing service for the University for financial remuneration. Some cases on the margins may need to be mediated. One potential result of the unionization is that due to increases in costs to PIs to pay for graduate students on their grants, fewer graduate students will be hired. This will not be good for the enrollment growth currently proposed by the university.

*Expanding Senate membership for clinical faculty* – UC Health has asked the Academic Senate to consider including additional clinician titles in Senate membership. A Senate ad-hoc working group has been formed to discuss the issue, which includes impact on morale of Health Science faculty. It may be an issue of misclassification of some clinicians.

*Cheating websites* – Faculty continued to be frustrated with the cheating and the theft of their intellectual property via sites like Chegg and Course Hero. The Academic Senate continues to push for more help from the administration. This will be a topic at the March Regents' meeting.

*Fraud protection* – The Academic Senate leaders learned that protection of online data for employees via Experian will be extended for another year. They have also that the coverage be part of the basic benefits coverage.

*Retirement system* – UCOP is working on fixing delays and customer service problems in its retirement system. Retirement counseling will be offered in a hybrid online and in-person campus onsite system.

*New housing loan program* – UC will offer a new housing loan program known as ZIP loans. These are loans designed to help faculty with down payments, and offer up to \$150,000, much of which is forgivable over time. The Senate would like to see these loans prioritized for entry-level and junior faculty.

*Student accommodations and teaching modalities* – Some campuses are experiencing student actions demanding that all courses be recorded and that hybrid instruction be the permanent norm. The Academic Senate holds that decisions on course modality are matters of shared governance, subject to negotiation among individual faculty, department chairs, divisional Senates, and campus administration.. The University Committee on Academic Freedom (UCAF) has been asked to consider the relevant issues raised by the pandemic and the students, and advise whether the Senate should make a statement.

*Remote work at UC* – UCOP Chief Operating Officer Rachael Nava joined the recent meeting of the Academic Council to talk about staffing issues and the deliberations regarding policies around allowing remote when appropriate. Chair Horwitz is concerned about reestablishing an intellectual university community in an online or hybrid environment. The Academic Senate would like to see leadership and involvement from UCOP on these matters.

*Transfer issues* – The Intersegmental Council of Academic Senates (ICAS) is charged by recent legislation known as AB 928 to create a singular general education transfer pathway. The differences between segments (community colleges, CSUs, and UC) make this very difficult, but a special committee of ICAS has been formed to get it done. If it is not done by ICAS, then the solution will be determined by administrators rather than faculty.

*Regent's Innovation Report* – A report last year from the Regents Committee on Innovation Transfer and Entrepreneurship had multiple recommendations for strengthening UC's innovation transfer enterprise. One recommendation was to modify the APM, but the response from two Academic Senate committees was that tech transfer and innovation are already sufficiently taken into account the APM.

*Mitigating the Impact of Covid on Faculty* – The joint workgroup is winding up its work will have a final report soon. The most important outcome from the group is the concept of Achievements Relative to Opportunity (ARO) in the merit/promotion process. ARO recognizes that for many faculty the pandemic constrained the research effort and required more attention to teaching. ARO would adjust the balance of research, teaching, and service in the merit and promotion review.

## **V. Discussion of UCACC Topics & Potential Actions**

### **• *Accellion response letter from UCACC***

UCACC members discussed the draft Accellion breach response letter. The recommendation to extend the credit monitoring provided by UCOP is already a topic of the Academic Council. UCACC members

would still like to recommend a dedicated oversight committee composed of faculty. Chair Bishop will modify UCACC's letter based on discussion and comments received from UCLA, and will set up a time to discuss the draft letter with Chair Horwitz. The revised draft will be distributed for committee review.

- ***Software procurement - What software is your campus licensing or purchasing in volume?***

Committee members talked about potential benefits of a central software inventory. Some campuses have this. Considerations for systemwide licensing might include number of users, campus support, and cost effectiveness. There is a perceived notion of benefit in systemwide or volume licensing that might not play out in reality.

The UC Davis representative said that the Davis division's committee is talking about how campus IT can better meet the needs of academic researchers, including both procurement and support. The local committee has invited the representative on the UC-wide IT procurement committee to join a meeting. Faculty are unclear about how information gets to the right people.

The committee will follow up with a memo to systemwide IT Strategic Sourcing's Tom Trappier.

- ***Support for IT staff working remotely***

It appears that most campuses already have relatively flexible remote work policies for IT staff. There is an understanding that IT workers have a lot of employment options and that remote options at UC may help to attract highly qualified workers.

UCACC will not take any actions at this time.

- ***Follow-up regarding engagement with UC's IT Strategic Sourcing***

IT Strategic Sourcing Director Tom Trappier sent a follow up message after the December meeting to ask about the best way to raise awareness among faculty of the systemwide IT agreements and getting faculty input into new project prioritization processes. UC Davis Professor Petr Janata volunteered to serve as liaison to the IT Sourcing Committee. In addition, the committee agreed that any announcements regarding systemwide IT agreements could be sent to the committee analyst and forwarded to UCACC members to further circulate on campuses.

## **VI. Campus Issues – Round Robin**

*UC Davis:* Focusing on data backup and communication with stakeholders.

*UC Irvine:* Also planning for research data back-up on the campus.

*UC Merced:* The Oracle financial system continues to be a huge problem. In addition, the CIO will be leaving. Thinking about research data backup, the local committee is worried about potential issues from centralization as well as institutional versus personal responsibility.

*UC Riverside:* A new CIO has been hired and will start in March. A network outage spurred concerns around IT communication. The IT staff is working on that as well as talking about broadening support hours beyond 9-5 M-F. UCR students are asking for more hybrid courses.

*UCSD:* UC San Diego is also still dealing with an onerous new financial accounting system that is impacting researcher productivity. Problems with the system affect all aspects of the research enterprise, from hiring through publication.

*UCSF:* UCSF faculty and staff received an anniversary/apology email from the administration in recognition of the 20-month anniversary of UCSF's transition to UCPATH for its HR systems. The UCSF "return to campus" date keeps getting pushed back for non-clinical staff, and is now March 1<sup>st</sup>.

*UCSB:* UC Santa Barbara is searching for a new CIO and CISO. The campus is transitioning to Canvas and dealing with a new FireEye security software rollout, but has pushed the Oracle financial transition to July 2024. Multi-factor authentication is required for almost all systems, which seems to be going well. Retaining administrative personnel is the biggest issue facing the campus right now.

*UCSC:* The local committee at UC Santa Cruz is concerned about the centralization of data storage. The search for a new VC-IT continues, with candidate interviews next week. The committee is discussing remote work and implications for the workplace. Most hardware is being moved to off-campus sites, but some specialized hardware may be retained locally.

## **VII. Meeting actions and outcomes:**

- Petr Janata (UC Davis) volunteered serve as the UCACC liaison to the IT Sourcing Committee.
- Emily Jane McTavish (M) and Avi Yagil (SD) will take the lead in investigating the ongoing issues with the financial accounting system for the purpose of drafting a memo to the Academic Council with UCACC's concerns.
- Chair Matt Bishop will revise UCACC's memo on UC's response to the Accellion breach.
- Chair Matt Bishop will draft a letter to Systemwide Procurement Manager Tom Trappler regarding software that all campuses are paying for.
- UCACC will wait and see what the next proposal is from CIO Williams before making recommendations or taking further action regarding the Research Data Backup plan.

-----  
Meeting minutes drafted by: Joanne Miller, UCACC committee analyst

Attest: Matt Bishop, UCACC Chair

## **Meeting Participants:**

**Members:** Matt Bishop (Chair), Petr Janata (Davis), Nader Bagherzadeh (Irvine), Alex Bui (UCLA), Emily Jane McTavish (Merced), Manu Sridharan (Riverside), Avi Yagil (UCSD), Jenson Wong (UCSF), James Frew (UCSB), Peter Alvaro (UCSC), Erith Jaffe-Berg (CCGA representative), John Hildebrand (UCOLASC representative), Robert Horwitz (Academic Council Chair)

**Consultants, Guests, Staff:** Van Williams (VUC Chief Information Officer), Robert Smith (Systemwide IT Policy Officer), Monte Ratzlaff (Cyber-Risk Program Manager). Ola Popoola (UCOP, Institutional Research and Academic Planning), Joanne Miller (Committee Analyst)