

## UNIVERSITY COMMITTEE ON ACADEMIC COMPUTING AND COMMUNICATIONS

Monday, February 25, 2019

**Meeting Minutes****I. Chair's announcements, agenda review, approval of meeting minutes**

The meeting minutes from Oct. 22, 2018, were approved.

**II. Scholarly Publishing and Open Data**

- Research Information Management Systems for faculty assessment

UCACC Chair Maryann Martone described the concerns of UCOLASC Chair Rich Schneider and herself around commercial entities engaging in collecting academic data. These companies already have access to a great deal of faculty content via publications and other related systems. UCACC spent some time last year discussing how the university could go about taking greater control of its data. Martone, Schneider and others are working on a document for review by the Academic Council that outlines the issues and offers recommendations. The relevant Academic Senate committees will have an opportunity to express faculty concerns, including UCAP/CAPs.

UCOLASC Chair Schneider said that the use of analytics at the university is a shared governance issue because of the way it relates to faculty evaluations, research funding, and other types of funding. Companies are marketing their products directly to academic units and research vice provosts so there is no coordination within any campus, let alone systemwide. The UC libraries, which are familiar with these entities since they are generally publishing companies, have attempted to get a handle on the systems in use across the UC system, but there is a lack of knowledge. It will take a larger, probably higher-level survey, to find out what analytics systems are in place.

Existing activities such as the "Declaration on Research Assessment" (DORA - <https://sfdora.org/>) and the Leiden Manifesto for Research Metrics (<http://www.leidenmanifesto.org/>) provide principles and practices to follow. UCOLASC's Open Access Principles included some of the same ideas.

Members asked whether there are any companies or organizations that currently meet the proposed ideal criteria. UC's eScholarship and DuraSpace's Vivo are non-commercial examples. The eScholarship open access repository runs on a commercial framework called Symplectic.

**Action:** UCACC members are asked to read the circulated Google doc and send feedback to Chair Martone. Martone will finalize the document in early March to send to Academic Council Chair Robert May. After consultation and approval by the Academic Council, the document can be circulated to the Provost/President and the Divisions.

Outside of the science fields, faculty may not be thinking about analytics and research information systems. Committee members are also asked to bring up the topic with colleagues to find out how much is understood in general on campus.

**III. UC-Information Technology topics**

*Valerie Polichar, Director, Academic Technology Services, UCSD*

*Jim Phillips, Director of Learning Technologies, UC Santa Cruz*

*James Williamson, Director of Educational Technology Systems and Administration, UCLA*

*Matthew Hall UCSB Associate Vice Chancellor & Chief Information Officer (11:00-11:30)*

1. Education data privacy principles – update, [IT blog article](#); reactions from around the country (Phillips, Williamson)
2. Information Technology Leadership Council ([ITLC](#)) update from chair (Hall)
3. UC Research IT Committee overview (Polichar)

UC CIO Tom Andriola introduced the next three topics as illustrating UC's recent focus on aligning the information technology work with "mission-centric" areas (teaching, research) rather than administration. Privacy is a key area, and one in which UC seems to be leading in the field.

UCACC first discussed the Learning Data Privacy Principles in February, 2016, and they are even more relevant today. Educational institutions nationwide are looking at the "UC Learning Data Principles," the result of an iterative process involving input from faculty, students, privacy experts, and administrators. The lengthy early drafts were distilled down to two pages. Jim Williamson and Jim Philips presented the Principles at Educause in 2017 and 2018 and have received positive feedback from other universities. One of the key ideas is the right of individuals to know how much of their own data is being collected. Some campuses now use student success metrics for multi-year planning exercises.

The question of what to do about people who choose not to participate in online technology was part of Williams' and Philips' Educause talk, but it has not been answered. UCOLASC Chair Schneider noted that the learning data principles could also apply to research data, or even other types of university data that are not student-related or scholarly. Berkeley has addressed some of these non-academic concerns, such as imposing restrictions on access to card key data, for example. Members noted that there is often a gap between policies, principles and implementation. Increased communication is helpful, but people have to make decisions quickly and do not always have time to check all possible policies.

UCSB CIO Matthew Hall talked about the work of ITLC (Information Technology Leadership Council) and its interest in greater faculty involvement and faculty IT committees on all campuses. Issues of security can overwhelm the time of information technology administrators, so ITLC is revising its charter and narrowing its focus to two main topics: the cloud and the labor force. The charge has been simplified from 13 to 4 goals. Hall talked about infrastructure, platform, and software "as a service." UC purchases, licenses, and outsources a great deal of technology, which involves a great deal of complexity. Amazon – and AWS – currently dominates (including as backing for the licensed software packages), but more competition will be coming from Google and Microsoft.

Regarding cloud computing and storage for research data, members were interested in the requirements of NSF and NIH, which require data management plans. Conversations are being held between data management leaders and program directors to help enable a transition from hard storage to cloud storage.

Hall described wanting to provide not just storage, but also analytical tools and easier access for the broader research community. The goal is to provide "compute & storage" capabilities for social sciences and humanities faculty as well as those in the sciences. Members brought up issues of incentives and how costs for the various services are allocated.

Regarding ITLC's focus on the labor force, Hall said that there are approximately 9,000 IT professionals and related practitioners at UC and it attracting and retaining quality employees can be a challenge, especially with an older workforce facing retirements each year. UC is investing in training and professional development to attract more workers with a variety of expertise.

Valerie Polichar, the Director of Academic Technology Services at UCSD and founding chair of the UC Research IT Committee (a subcommittee of the ITLC) joined the meeting to discuss the new committee's charge. The intent of the RITC is to concentrate on the research community. It is a fairly high-level group, with almost all members at the director level or above. Their first activities have focused on teaching IT professionals about researchers and their particular needs. The staff is using "Software Carpentry" ("a volunteer project dedicated to teaching basic computing skills to researchers") and creating an inventory. A key element will be leveraging expertise systemwide – getting people to talk and share. Conveying knowledge from the IT support community to a disparate faculty is a challenge. UCACC members suggested that each campus RITC member consult with the campus academic Senate to find out which faculty committees might be engaged.

**Follow-up:** Local IT and Research committees should try to find out the RITC member on their campus and invite them to their next committee meeting.

#### IV. Member/campus issues

*UC Berkeley:* Berkeley is dealing with an ageing network infrastructure and outdated equipment that is causing outages and breakdowns. The administration is asking for one-time funding to replace the technology and equipment, but ongoing funding is needed too. This is at a time when Berkeley is facing huge campus-wide cuts and trying to save in any way possible. Other committee members asked whether Berkeley takes fees on grants. [As a side note, CIO Andriola said that Amherst College had no internet access for five days recently (the story was covered by [Inside Higher Ed](#)).] The university has to make the case that network infrastructure should be part of the funding allocated for deferred maintenance.

*UC Davis:* The Davis faculty continue to be focused on Duo implementation for multifactor authentication. One concern is that it supports Outlook, but not other email clients that faculty use more often. Faculty are hesitant to use their own phones, and are being charged for the fobs in some departments. [UC Berkeley's experience with Duo rollout was successful in part due to an extensive public relations and education campaign. Even students are using Duo. The campus ended up handing out only a couple dozen tokens.] Privacy related to FireEye is also still a large faculty concern, including packet monitoring, traffic analysis, and off campus storage. They do not feel properly informed. In addition, the campus CIO and CISO were informed that UCOP's Office of Ethics, Compliance, and Audit Services had requested persistent access to FireEye data.

*UC Irvine:* Irvine's Senate IT committee is combined with Research and Library, so there is not much time spent on IT issues. But an IT-focused subcommittee was recently formed and has met once. The CIO joins the committee when it meets. The campus recently rolled out Canvas as their course management system and will start using Slate for graduate admissions. Major software changes have been imposed by the administration without faculty input or engagement. The subcommittee hopes to provide a venue for consultation going forward.

*UCLA:* The UCLA Senate Committee on Instructional Technology was disbanded. There are places other than the Academic Senate where IT conversations are happening, even with faculty, but there is no longer a direct connection. This has happened on other campuses, such as Berkeley, which can provide advice on how to revive a (perhaps more relevant) IT committee in the Academic Senate.

*UC Riverside:* At UC Riverside, the student technology fee is used to support all infrastructure. The local Senate IT committee is combined with libraries and scholarly information.

*UCSF:* The local committee discussed IS-3 Security policy, and looked at their own minimum security standards and checklist, which seems to be in line with the proposed systemwide standards. UCSF's

biggest concern is electronic health records. Their system, used by thousands of people, was recently upgraded and more complexity was added. The question is how to communicate changes without overdoing it.

*UCSB:* UC Santa Barbara's committee currently has one member, Jianwen Su. The way the UCSB Senate is structured has been an issue, since IT doesn't quite fit in. Su was asked to work it out, so things seem to be moving in the right direction.

*UCSC:* The UC Santa Cruz committee is talking about multifactor authentication and the lack of oversight or regulation for software licensing. Faculty are on their own, which makes support difficult. The committee is investigating how software licensing might be done in more widespread, campus-wide basis. There were rumors about disbanding the CIT committee.

UCACC's graduate student had no student-related issues to report.

Committee members asked for a Slack channel to foster committee communication.

**Action:** Committee analyst Joanne Miller will set up a Slack channel for UCACC.

## **V. Cybersecurity Topics**

*Tom Andriola, UC Chief Information Officer*

*David Rusting, Chief Information Security Officer*

*Robert Smith, Systemwide IT Policy Director*

*Monte Ratzlaff, Cyber Risk Program Manager*

*Lourdes DeMattos UCOP, Research Policy Analysis and Coordination*

### **1. Multi-factor Authentication & UCPATH**

UCACC received an update on MFA readiness and UCPATH. There is much concern in the Academic Senate about security protections for UCPATH. The website now has extra security in place (security questions).

UC Davis reports that faculty still have a lot of concern about transitioning to a universal MFA client, as their primary mail clients do not work with Duo. While not being used for Canvas, Duo is being applied to all other systems. UC Berkeley's faculty concerns are around Duo's purchase by Cisco, and the potential changes to the university's pricing structure.

### **2. IS-3 update and [IS-12 Introduction](#)**

The UCOP IT consultants asked for UCACC members' advice on how to best engage with the faculty for input on the [IS-12 policy](#) revision. IS-12, the Continuity Planning and Disaster Recovery Policy, is the next IT policy that needs to be updated – it was last revised in 2007. UCACC was asked to name 2-4 faculty members with knowledge in the area of disaster recovery and continuity planning who could review the policy to determine scope, requirements, etc. (These could be faculty from UCACC or from campus groups.) A project plan and requirements draft will be developed this year, with a policy revision ready to circulate next year. UCACC discussed in Executive Session and names will be forwarded.

### **3. Draft standards "Approval Candidates"**

The IT consultants agreed to wait until April for the feedback on draft standards "Approval Candidates" (See <https://security.ucop.edu/policies/>). As noted, the standards allow for a lot of responsibility at the local level.

Meeting participants discussed how the UCACC Chair or Vice Chair might talk with ITLC about faculty IT support and fine-tuning the classification guide. CIO Andriola will follow up with Chair Martone and Vice Chair Joseph to get them on the ITLC agenda.

#### 4. Cyber Champions update

Cyber Champions is a program intended to spread the word around security awareness. These are not necessarily experts, but members of the UC community who have an interest in cybersecurity. The program is led by the UC Cyber-Risk Coordination Center (C3), which is “the programmatic arm for the University’s Cyber Risk Governance process.” C3 coordinates systemwide cybersecurity training, and with input from the Cyber Champions, will develop events, programs and tools to support activities on the campuses. The group will report on its work to CRGC, ITLC and ITPS (the “birds of a feather” group) and will share lessons learned.

#### 5. Health Information Security

CIO Andriola provided an update on UC Health locations and the concerns of the CIOs from UC locations that do health research. The CISOs from these campuses and medical centers meet once a week to share risks and perceived threats. The Cyber-Risk Coordination Center (C3) coordinates the Security Risk Assessments from all partnership agreements.

#### 6. Foreign Influence Concerns

Asked about anything that the committee should be aware of, the IT guests mentioned the federal government’s concerns about foreign influence. Last year, President Napolitano convened two “tiger teams” at UC to discuss concerns about international agreements and international students. Recommendations were forwarded in a letter from President Napolitano to the university community. The latest “Defense Authorization Act” prompted a second letter to specifically address restrictions and prohibitions against specific technologies. There is bi-partisan concern in Congress over intellectual property and talent theft that is mirrored by research funding agencies such as NSF and NIH. The expectation is that there will be more cybersecurity research requirements and additional prohibitions on certain technologies.

Campuses might have to make informed decisions about accepting funding, even gifts. Visual Compliance is a “restricted party screening software” that can be used to check up on any company to see if it’s on a restricted parties list. Although usually offered without strings attached, gifts are still a concern primarily due to reputational risks to the university for dealing with entities that have been flagged. The university will have to ensure that any such funding would include no access to potentially sensitive information. Right now the idea is to raise awareness, make sure UC’s researchers are following procedures that are already in place, and to plan for the future (preferably without increased government interference). UC is not creating controlled unclassified information, but could be receiving it. It’s a tricky landscape that could have unintended consequences and has raised alarms about xenophobia and racism.

Committee members asked whether the university would take a stance and how peer institutions were reacting. Members expressed concerns about foreign students being unable to do certain types of research. UCOP is consulting with organizations like COGR and AAU, as well as working with the UCDC Office, and emphasizing the need for proper disclosure for all contract and grant forms.

#### 7. New topic: Cyber security request from UCOP’s Office of Ethics, Compliance and Audit

Campuses received notice from UCOP’s Office of Ethics Compliance and Audit regarding cybersecurity records. The CISOs are aware and have also discussed the request, which seemed to have a broad

scope. When there is more information available it will be conveyed to the campuses. At some point the appropriate people from the Office of Ethics, Compliance and Audit might be invited to talk to UCACC about their cybersecurity needs.

## **VI. Consultation with the Senate Leadership**

*Robert May, Academic Council Chair and Kum-Kum Bhavnani, Academic Council Vice Chair*

*Standardized Testing Task Force of the Academic Council.* Convened by Robert May and chaired by former BOARS Chair Henry Sanchez, the task force is charged by President Napolitano to review the role of standardized testing in undergraduate admissions and make recommendations. The group is starting without pre-judgement or suppositions. The task force is composed of 17-18 members with varying knowledge of standardized tests; it will focus on undergraduate testing only, but is also trying to get a sense of graduate admissions. CCGA is meanwhile doing a small survey of the graduate student admissions process.

*Academic freedom for non-faculty academic appointees.* Along with Chancellor Blumenthal, Chair May is also sponsoring a task force to look at issues around academic freedom for librarians and other non-faculty academic appointees and come up with a policy that would offer the same protections. UC's Academic Freedom is defined by APM 010, based on statements from AAUP. Professor Robert Post, who wrote APM 010 and is now a professor at Yale, is a consultant to the committee. The task force hopes to have a policy ready for systemwide review in about a month.

*Governor's Budget:* The Governor's Budget provides for a 6.9% increase – an additional \$240million – for UC. Although this sounds good, it does not extend one-time funding that was provided in the past for tuition buyout. Enrollment growth continues for more than just a year. The UCOP folks are cautiously optimistic that more funding may be on the way from the legislature or in the revised May budget. There also seems to be strong support for a general obligation bond to be split between UC and CSU.

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### **Meeting participants:**

**UCACC Members:** Maryann Martone (Chair, UCSD), Anthony Joseph (Vice Chair, UCB), Matt Bishop (UCD), Russell Detwiler (UCI), Sarah Roberts (UCLA), Joseph Genereux (UCR), Brett Stalbaum (UCSD), David Robinowitz (UCSF), Jianwen Su (UCSB), Jose Renau (UCSC, via video), Robert May (Academic Council Chair), Kum-Kum Bhavnani (Academic Senate Vice Chair), Richard Schneider (UCOLASC Chair, via video), Anne Zanzucchi (UCEP Chair, via phone), Valeri Vasquez (graduate student representative, via video)

**Consultants, Guests and Staff:** Tom Andriola (UCOP), David Rusting (UCOP), Robert Smith (UCOP, via video), Monte Ratzlaff (UCOP), Lourdes DeMattos (UCOP), Valerie Polichar (UCSD, via video), Matt Hall (UCSB, via video), Jim Phillips (UCSC, via video), James Williamson (UCLA, via video), Joanne Miller (Committee Analyst)

Meeting adjourned: 4:05pm

Meeting minutes prepared by: Joanne Miller, Committee Analyst

Attest: Maryann Martone, UCACC Chair