UNIVERSITY OF CALIFORNIA   **ACADEMIC SENATE**

UNIVERSITY COMMITTEE ON ACADEMIC COMPUTING AND COMMUNICATIONS (UCACC)

Meeting Minutes

1. Chair's announcements, agenda review, approval of meeting minutes

Meeting minutes from Feb. 25, 2019, were approved.

2. Scholarly Publishing update

- *Research Information Management Systems (RIMS) at UC*

UCACC Chair Maryann Martone talked about a new report from SPARC that provides a "landscape analysis" of the changing academic publishing industry.[1]

Martone updated the committee on the report on Research Information Management Systems (RIMS) at UC that she co-authored with UCOLASC Chair Richard Schneider and in consultation with members of the Office of Scholarly Communications' RIMS Working Group. The Report was discussed at the March 20th Academic Council meeting, where it was approved and forwarded to President Napolitano and Provost Brown with a request for follow-up.[2]

The Report highlighted three main concerns:
1. The use of data analytics for faculty evaluations, priority-setting, and resource allocation.
2. Issues of quality and transparency of the data and algorithms.
3. The ceding of university matters to third-party systems without defined use agreements or safeguards for data assets belonging to UC.

Based on the SPARC report and the work of the UC Libraries, the RIMS Report includes recommendations for moving forward that include the request for an investigation into data privacy at the university. CDL Executive Director Günter Waibel said that the Provost's Office is already at work on the recommendations in the report. A high-level group will be formed to seek the information on use of academic analytics services that the libraries were not able to glean from their survey. The Vice Provosts for Personnel are discussing the issue, and more information will be forthcoming. UCACC members said that any committee that is formed around this issue needs to report back to the Academic Senate, and specifically to UCACC.

Waibel noted that there can also be utility to these third-party systems, and, in fact, the CDL uses Symplectic's Elements as its open access infrastructure in order to fulfill the faculty's request for an easy process to deposit scholarly work.

- *Elsevier update*

Although contract negotiations between Elsevier and UC have ceased, access to Elsevier content remains available. UCOLASC Chair Richard Schneider reported that there has been an outpouring of support for UC's strong open access stance from universities and other entities around the world.

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[1] https://www.infodocket.com/2019/04/06/new-report-sparc-publishes-landscape-analysis-of-the-changing-academic-publishing-industry/

[2] https://senate.universityofcalifornia.edu/_files/reports/rm-jn-mb-rims.pdf

The primary source for Elsevier contract information is the UC Office of Scholarly Communication.[3]

3. Consultation with UCOP - Ethics, Compliance and Audit Services
Alexander Bustamante, Senior Vice President and Chief Compliance and Audit Officer
Matthew Hicks, Systemwide Deputy Audit Officer
Greg Loge, Systemwide Cybersecurity Audit Director

- ***Internal audit services and access to FireEye data***

SVP for Ethics, Compliance, and Audit Services Alexander Bustamante informed the committee that his role is outside of the university's shared governance structure. He reports directly to the Board of Regents and the President. The Office oversees audit programs throughout the system and produces compliance plans and reports. It conducts high-level investigations, generally in conjunction with campuses, and develops standards and compliance training. Its core function is conducting assessments for the Board of Regents' Compliance and Audit Committee.

Bustamante works with locally designated officials (LDOs) from the campuses, Vice Chancellors for Research, the Office of General Counsel, UCOP's Research Policy Analysis and Coordination (RPAC), and Senate leadership. He generally interacts with faculty via the chair and vice chair of the Academic Senate, but said that he would be willing to talk directly with Academic Senate committees. Bustamante mentioned the recent foreign influence concerns as a topic with much crossover concern.

Regarding cybersecurity audits, committee members want to make sure that provisions are in place for data security and privacy. Audits generally have a defined scope that includes purpose and timeframe. There are existing standards for cybersecurity audits, and providing parameters would be helpful in alleviating fears that an audit can trigger. Campuses are concerned about loss of local control and about data being moved to off-campus, unknown locations where it might be subject to a breach or attack. Bustamante's reasoning is that his auditors need unfettered access to data without intermediaries; he noted that there are other systems within UC to which his office has ongoing access.

Bustamante said that he could share prior audit reports, which would demonstrate the methodology and outputs from his office and presumably alleviate fears. All audits are done in compliance with federal and state law, and abide by all UC policies. He said that he looks forward to engaging more regularly with UCACC to foster mutual understanding and get faculty input.

Action: Chair Martone and Vice Chair Anthony Joseph will outline the committee' concerns for follow up with SVP Bustamante and the Academic Senate leadership.

4. Update from California Digital Library (CDL)
Günter Waibel, Associate Vice Provost & Executive Director, California Digital Library
John Chodacki, Director, University of California Curation Center (UC3), CDL

- ***Update on UC Digital Network (UCDN) and campus support for research data.***

The 18-month pilot preservation project for UCDN has concluded. The April 29th post[4] on the UC3 blog has more information. CDL is now looking at next steps, including developing its new partnership with the Dryad data publishing service that was developed by research faculty. Dryad is a non-profit membership organization designed to host the underlying data for peer-reviewed articles and the organization has relationships with hundreds of journals.

UC3 Director John Chodacki reminded the committee that the scope of the data under consideration is primarily research data that doesn't have other repository options. Like an article publication charge

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[3] https://osc.universityofcalifornia.edu/
[4] https://uc3.cdlib.org/2019/04/29/uc-data-network-lessons-learned/

("APC"), Dryad charges a data publication charge ("DPC") of $120 for data packages up to 20GB. As part of the CDL partnership, UC will provide storage for free to UC researchers.

Committee members suggested that the Dryad service be integrated into research grants requirements for data plans, and that local librarians help promote awareness and work with faculty on what makes a well-curated dataset. The DMPtool, which is used for creating data management plans, has boilerplate text and also campus-specific guidance. Committee members noted that the communication aspect will be important.

Data storage is generally classified in three timeframes: active storage (for current use), static preservation (generally for 10-15 years), and archival (for the very long term). Discussion turned to orphaned projects and how those are handled, and the need for "future friendly formats" so that the data may be accessed in the future.

UC generally owns the data produced by faculty, and given that fact, the university needs to be responsible for its management and retention. Relatedly, Martone mentioned that UC is long overdue for an update to its data policy.

5. UC IT and Cybersecurity Topics
Tom Andriola, UC Chief Information Officer
Robert Smith, Systemwide IT Policy Director
Monte Ratzlaff, Cyber Risk Program Manager

1. Security Summit debrief

The 7th biannual cybersecurity summit was held on April 17th at UCSF and featured talks by women working in the field.

2. Health Information update – UC Health Community Connect Affiliate

UC Health Chief Information Officers are working on security risk assessment coordination for community hospitals and physician practices that partner with UC. Workgroups are ongoing in topics such as cloud security, vulnerability, and medical device security. A clinical research security workgroup is getting started.

3. Phishing Tool available to all locations

UCOP Risk Services is subsidizing the annual cost of a systemwide phishing simulation tool that will soon be available to all UC locations.

4. CRGC: March debrief

CIO Andriola described the importance of the Cyber Risk Executives on the Cyber Risk Governance Committee (CRGC). All CREs either report to or are accountable to their Chancellor for cybersecurity issues. Andriola also noted that the Advisory Committee leverages UC faculty and external expertise.

5. Foreign Influence update

The expulsion of three scientists from the MD Anderson Cancer Center in Houston, TX, in April, was the first publicly visible action resulting from concerns about foreign influence and conflict of interest in US institutions.

A conference of the American Export Control Officers was held in March in San Diego and included presentations by federal agencies and universities offering various points of view. The FBI believes that universities need to do more.

For better or worse, UC continues to uphold its policy of not accepting funding with citizenship restrictions.

6. Final submission on Security Standards Approval Candidates

There are nine standards to be approved by the CIOs in consultation with UCACC (per policy). Director Smith appreciated UCACC's feedback and said that some of the suggestions will be incorporated. Smith will provide a disposition summary for every feedback point.

7. Input on IS-12 (Disaster Recovery – primarily business continuity)

Smith and UCACC Vice Chair Anthony Joseph met last week to come up with a plan for reviewing the IS-12 policy. The project will have three "executive sponsors:" Tom Andriola, Anthony Joseph, and a representative from Risk Services, and will use a formal project management structure. The review will involve local IT committees. The end goal is to have approval in spring or fall 2020.

6. Committee topics
   1. **What every faculty needs to know about IT**
   2. **Health sciences vs. general campus – various issues**
   3. **The importance of a faculty IT committee in each Divisional Senate**

The committee spent some time discussing faculty IT needs for computing resources, faculty responsibilities regarding computing resources, and the divergent IT needs of those working in clinical sciences versus general campus. There seem to be many levels of IT needs, interest, and support between fields and among faculty. A significant number of faculty who don't have a lot of computing resources end up operating mostly outside of campus IT. UC spends a great deal of money on IT, but it is not equally distributed.

Developing an information technology manual for faculty would be challenging due to the wide range of knowledge among the faculty. Committee members thought there might be some way to provide extra services for those who need the most help. At the local level, there would be information about when someone gets a new computer and a service person would reach out. One suggestion was to model "user profiles" for dealing with the various scenarios, needs, and levels of proficiency. Communication and maintenance of equipment are the big issues.

Chair Martone brought up a recent issue from UCSD that highlighted the different security needs between clinical and non-clinical health sciences faculty, and that inconvenienced many people. At UCSF, faculty members use different authentications depending on their roles. It adds complexity, but helps to align with individual needs.

Faculty IT committees are seen as important for allowing a conduit for the faculty to communicate with IT administrators, but committees that bring together faculty and administrators can also be effective. Academic Senate divisional offices often do not have the resources to host a standalone committee focused on computing. At UC Berkeley, the CIO's office provides administrative support to the reconstituted faculty committee. UCSF has large faculty participation in various IT subcommittees that are managed by a separate IT Governance[5] structure. UCLA also has several IT-related committees with faculty members. Regardless of structure, faculty need to be consulted from the beginning of any potential change in or development of IT policy. The information that is conveyed in meetings and recorded via minutes are important for the institutional record.

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[5] https://itgov.ucsf.edu/

7. Consultation with the Senate Leadership

Academic Council Chair Robert May is asking faculty whether they would like to comment on UCSF's proposed affiliation with Dignity Health, which is a faith-based (Catholic) health system.[6] The Board of Regents' Health Services Committee discussed the proposed affiliation at its meeting on April 9th.

Chair May said that there are many reasons for UCSF to expand its relationship with Dignity Health, but he and others are concerned about UC partnering with an organization with values and activities that may be in conflict with the values of the university. For example, the Catholic Church is actively working against reproductive rights.

Individual faculty members are invited to send their comments directly to Chair May, who will report back to the Board of Regents.

8. Executive session

No minutes were taken during Executive Session

Meeting adjourned: 4:10
Meeting minutes drafted by: Joanne Miller
Attest: Maryann Martone, UCACC Chair

Meeting participants:
Members: Maryann Martone (Chair, UCSD), Anthony Joseph (Vice Chair, UCB), Matt Bishop (UCD), Russell Detwiler (UCI), Joseph Genereux (UCR), Brett Stalbaum (UCSD, via video), David Robinowitz (UCSF), Jianwen Su (UCSB), Jose Renau (UCSC), Valeri Vasquez (Graduate Student representative, UCB), Richard Schneider (UCOLASC Chair, via video), Robert May (Academic Council Chair), Kum-Kum Bhavnani (Academic Council Vice Chair)

Guests and consultants: Tom Andriola, Alexander Bustamante, Matthew Hicks, Greg Loge, Robert Smith (via video), Monte Ratzlaff, Günter Waibel, John Chodacki

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[6] https://www.ucsfhealth.org/about/ucsf-affiliation-with-dignity-health/