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March 27, 2018

ACADEMIC SENATE DIVISION CHAIRS
SENATE DIVISION DIRECTORS

Re: UCACC Recommendations on IT Governance at the Campus Level

Dear Colleagues:

The Academic Council has approved for distribution to Senate divisions the attached set of best practices for faculty engagement in the joint governance of information technology (IT) strategy, planning, policy, and implementation. The recommendations were developed by the University Committee on Academic Computing and Communications (UCACC), following an investigation into campus IT governance structures to determine which governance models were most effective in fostering communication and shared governance in decision-making. UCACC found that although IT is broadly relevant to the faculty's teaching, research, and public service missions, the Senate's involvement in IT governance can be minimal. The recommendations encourage campuses to build strong partnerships between Senate faculty, administrators, and IT professionals at every level of the University on all IT planning and policy issues.

The Academic Council emphasizes that campuses should not consider these recommendations to be mandates. Both Council and UCAAC are aware that faculty engagement with campus IT governance varies widely across UC and that no single governance model is suitable for all campuses. Instead, Council encourages campuses to view UCACC's advice as part of a toolkit that may be helpful to campuses considering ways to strengthen their involvement in IT issues, rather than prescriptive recommendations that will be enforced by the systemwide Senate or UCOP. As such, we encourage you to circulate these recommendations to relevant committees and faculty bodies for consideration.

Please do not hesitate to contact me if you have questions.

Sincerely,

Shane N. White, Chair
Academic Council

Encl.

Cc: Academic Council
        Senate Director Baxter

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UNIVERSITY COMMITTEE ON ACADEMIC COMPUTING
AND COMMUNICATIONS (UCACC)
Christine L. Borgman, Chair
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University of California
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March 15, 2018

TO: Shane White, Academic Council Chair, and Robert May, Academic Council Vice Chair

FROM: Christine L. Borgman, UCACC Chair

RE: **UCACC Recommendations to Academic Senate on IT Governance at the Campus Level**

Overview

The University Committee on Academic Computing and Communications (UCACC) has a broad
remit to advise the Senate and the University administration on matters related to academic
computing and communications. The committee has successfully engaged systemwide leadership
of both the Senate and the administration in its discussions. The UCACC Chair and Vice Chair
meet regularly with the Chair and Vice Chair of the Senate, and with UC CIO Tom Andriola.
UCACC now has two seats on the Cyber Risk Governance Committee (UCACC Chair and Vice
Chair), plus the Senate has a third standing seat at CRGC. Other Senate members are on the
advisory board to the CRGC and attend alternate meetings of that body. Since UCACC was
inaugurated in 2015, we have made substantial progress in expanding communication between the
Senate and IT leadership at the systemwide level.

While continuing to address cyber risk, teaching and learning, privacy, data governance, and other
continuing technology issues, the committee has turned its attention to IT governance at the
campus level. In regular reports from UCACC members, it became apparent that faculty
engagement with campus IT governance varies widely. An appendix to this memo summarizes
the current IT governance models at each campus.

This memo summarizes our discussions over the course of 2016-17 and 2017-18 and makes
recommendations for Senate engagement in joint governance of information technology strategy,
planning, policy, and implementation at the campus level. We request that the Academic Council
disseminate these recommendations to Divisional Senates.

General Concerns for IT Governance

Frequent shifts in IT policy and practice, including the increase in cyber risk, pose many challenges for IT governance. Standing committees that meet a few times per year have the benefit of deliberative processes, informed decision making, consensus building, and institutional memory, but these processes can be slow and tend to favor generic over specific expertise. Specialized task forces, working groups, and advisory committees to address pressing issues such as cyber-attacks and online courses have proliferated in the last several years. While these committees may be effective individually, the overall structure risks duplicating effort, conflicting decisions, and lack of integration with larger IT planning and policy efforts. At least half a dozen systemwide and campus committees now focus on online teaching, instructional technology, educational technology, and IT accessibility, for example. The cumulative effect of small, seemingly isolated policy decisions decreases the overall productivity and negatively impacts the faculty.

The Senate and IT leadership must work together to balance rapid action in response to IT crises with thoughtful, deliberative decision-making on critical issues that affect the mission of the university. IT issues concern all stakeholders in the UC system, given the integration of technology into teaching, research, healthcare, and public service. UCACC seeks operational approaches to governance that address the missions of the university most effectively.

While some campuses have active Senate-led committees on IT management, policy, or strategy, other campuses have minimal Senate involvement in governing information technology. In other cases, academic computing issues get short shrift because concerns are scattered across multiple committees, none of which devote sufficient attention to take substantive action.

Cyber risk generally, and the FireEye software implementation in particular, are of immediate concern to faculty, given the complex interactions between privacy, surveillance, and security. Privacy and data governance are also areas in which UCACC has encountered a range of concerns by Senate faculty. The UCOP Privacy and Information Security Initiative (PISI) ("UCOP Privacy and Information Security Initiative," 2013) was successful at appointing Chief Privacy Officers at all campuses, for example, but their degree of involvement with Divisional Senates varies widely.

UCACC has encouraged its members to work directly with campus administrators to obtain more information, and to pursue more substantive joint governance of academic computing and communications.

Recommendations to UC Divisional Senates

As technology plays an increasingly influential role in the university, Senate and administrative relationships in governance are crucial, including Senate representation in IT governance at the campus and systemwide levels. Governance is a two-way street. Faculty must make their presence known to administrators and demonstrate commitment. Divisional Senates and standing

committees should reach out to campus IT leadership, including privacy or information security officers, to include them in discussions with faculty. Conversely, IT leadership should reach out to Senate leadership to identify appropriate models for joint governance at their campuses, and to maintain continuing relationships with individual faculty and governing bodies.

No single model for IT governance will be suitable for all UC campuses. Rather, we recommend that Divisional Senates focus on how to manage new challenges in IT infrastructure and technology using these criteria:

- Establish standing boards or committees for IT governance that balance representation by Senate faculty and university leaders with the goal of building robust communication channels and institutional memory. Appointing a chair from the Academic Senate is preferable. The faculty chair of the IT committee should have either a seat on the Executive Council or another direct line of communication with the Division Chair.

- When broad deliberation of urgent problems cannot be accomplished in a timely manner, consider appointing ad hoc committees or task forces with specialized expertise. To avoid duplicating effort and lack of communication, establish reporting lines to Senate and Administration bodies as part of their charge.

- Build partnerships between Senate faculty and IT staff at every level of the university to promote communication and trust that reflects the mutual concerns of stakeholders.

- Focus governance mechanisms on *how* to implement information technologies rather than on *what* technologies to implement, thus increasing stakeholder involvement.

- Focus governance of IT planning and implementation on continuous, mission-driven engagement rather than on reviews late in an implementation cycle.

References
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UCLA Data Governance Task Force. (2016). *UCLA Data Governance Task Force Final Report and Recommendations* (pp. 1–41).
UCLA Information Technology Planning Board. (2017). Retrieved October 30, 2017, from http://www.itpb.ucla.edu/
UCOP Privacy and Information Security Initiative. (2013). Retrieved November 18, 2016, from http://ucop.edu/privacy-initiative/

Campus IT Governance Structures – as of 2017-18

Campus	Academic Senate Committee	Other Campus IT Committees	UCACC Member	IT Governance Structure
Berkeley	Computing and Information Technology (website)	IT Strategy Committee (website) Information Risk Governance Committee (website) Overall list of IT governance committees: https://technology.berkeley.edu/governance	**Anthony D. Joseph** Computer Science	Associate Vice Chancellor for Information Technology and Chief Information Officer (AVC-IT & CIO) is Larry Conrad Administration org chart: https://technology.berkeley.edu/org-chart
Davis	The Committee on Information Technology (website)	CIO Strategic Advisory Council (last meeting May 2017) Deans Technology Council (meets monthly?) IT Services Committee (meets monthly?) IT Security Committee (meets monthly?)	**Michael Kleeman** Civil and Environmental Engineering	CIO is Viji Muralli The Committee on Information Technology has 5 voting faculty members, 1 voting academic federation member, and 2 student representatives. The CIO is ex-officio. The committee advises the CIO and the Davis Division on all policies and practices relating to the use of information technology and telecommunications, and represents the Davis Division in all such matters. The CIO Strategic Advisory Council (i) advises in the development of campus-wide IT strategy and principles; (ii) identifies the business needs of the UC Davis community that may be addressed through technology; (iii) assesses IT risks and advises regarding risk mitigation strategies, business continuity plans, and contingency plans; (iv) assesses the effectiveness and efficiency of currently available services and applications and make recommendations for improvements, additions, or retirement of outdated or duplicative services and applications;

				(v) champions Communication, Cooperation, and Collaboration among IT stakeholders at UC Davis; (vi) advocates to improve alignment of IT investments with University strategy and goals and the overall IT strategy and principles; (vii) assesses opportunities for emerging technologies and provides strategic direction regarding priorities for investment. The Deans' Technology Council (DTC) brings together IT leads from each college, division, school, and major administrative unit at UC Davis and is established in collaboration with the deans and vice chancellors as an advisory and advocacy group to coordinate IT strategy amongst participating units and advocate for campus-wide IT policies and practices that align with our shared strategic goals.
Irvine	Council on Research Computing and Libraries (CORCL) (website)	OIT Faculty Advisory Committee (https://www.oit.uci.edu/org/advisory/)	**Russell Detwiler** Civil and Environmental Engineering	CIO and Associate Vice Chancellor is Dana Roode The Council on Research Computing and Libraries has 18 voting faculty members and the CIO serves ex-officio. The responsibilities of CORCL include advising the Chancellor and representing the Division on matters relating to research policy and administration and academic resources, including information technology, The Office of Information Technology Faculty Advisory Committee includes one or more faculty representatives from CORCL and IT managers from each school. OIT FAC is chaired by the campus CIO. The role of the OIT FAC is to review current and future computing and telecommunication issues and directions.
UCLA	Committee on Instruction and Technology (website)	Information Technology Planning Board; Board on Privacy and	**Sarah T. Roberts** Information Studies	Vice-Provost for Information Technology & Chief Academic Technology Officer is Jim Davis; profile and portfolio described here: https://oit.ucla.edu/people/profiles/jim-davis

| | | Data Protection; Data Governance Task Force (link to final report) | | Other members of UCLA OIT leadership listed here: https://oit.ucla.edu/experts/leadership

The UCLA Faculty Senate Committee on Instruction and Technology has seven voting faculty members, with VP of IT serving ex-officio, voting members from Undergraduate and Graduate Council and several others (info at website).

From the Office of Information Technology, three primary committees make up UCLA's IT governance in both planning and decision-making capacities:
Information Technology Planning Board (Per CB, 2/26, this group has served as the *primary* governance body with Senate and staff appointees, but needs rechartering under recommendations going forward)
Common Systems Group
The Committee on IT Infrastructure

"Three governance committees work together to create an overall framework for decision-making, prioritizing, funding, and implementing UCLA's information technology projects and initiatives. They are the Information Technology Planning Board (ITPB), Common Systems Group (CSG), and Committee on Information Technology Infrastructure (CITI). For any given project or initiative, a committee of functional sponsors is formed to drive the project programmatically." More here: https://oit.ucla.edu/governance/governance-committees

IT Services is under the purview of acting Associate Vice Chancellor Michael Van Norman: https://www.it.ucla.edu/it-ucla/about-it-services/leadership

Graphical representation of UCLA's IT governance process available here: https://oit.ucla.edu/it-governance/governance- |
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				process
Merced	*Doesn't seem to have one. There's a faculty representative on an administrative committee.*		(Vacant)	
Riverside	Library, Information Technology & Scholarly Chttps://senate.ucsf.edu/committee/3omunication Committee ([website](#))		**Lisa Raphals** Chinese and Comparative Literature	
San Diego	Committee on Academic Information Technology ([website](#))	UCSD IT Executive Governance Committee: https://blink.ucsd.edu/sponsor/ITS/about/governance.html	**Terry Gaasterland** Computational Biology and Genomics (Alternate: Alex C. Snoeren)	UCSD CAIT "reviews and makes recommendations to the Division and to the Administration concerning policies governing online education and the development and management of information technology for instruction, research, and for the needs of the campus a whole." In AY17/18, CAIT is focusing on challenges to arts and sciences department to provide access to courses that introduce non-computer science majors to coding and computer systems, as well as hardware and tools particular to their major. IT staff/administration meet under an umbrella "IT Executive Governance Committee" over eight governance committees for + Instructional Technology, + Enterprise Information, + Research IT, + Collaboration & Messaging, + Data & Analytics, + Cybersecurity, + Integration Services, and + Infrastructure Services. Some of the eight governance committees (e.g., Research IT) have faculty representatives as appropriate from the schools and divisions at UCSD, including Scripps, Medical, Biology, Engineering, Physical

				Sciences, Social Sciences. UCSD's medical school recently created and filled a staff position dedicated to medical school instruction and leveraging video and online tools for medical education at UCSD.
San Francisco	Senate Committee for most IT issues: Committee on Academic Planning & Budget (APB Website)	Committee on IT Governance (with faculty representation)	**David Robinowitz** Department of Anesthesia & Perioperative Care	Committee on IT Governance (IT Gov Website) "UCSF IT Governance operates as a collective of eight thematic subcommittees and a steering committee populated with approximately 200 members to advise on and approve policies, procedures and priorities for IT at UCSF. Its goal is to support the university's strategic priorities and its community members to maximize their effectiveness in advancing health. IT Governance manages IT innovations funds (IT Roadmap) provided by the Budget and Investment Committee and advises the CIO and senior administration on IT initiatives and capital projects." - Committee on Business Technology (CBT) chaired by Associate Dean of Pharmacy, Michael Nordberg - Care Technology Governance Committee (CTG) co-chaired by Russ Cucina, Medical Director of Information Technology, and Dr. Tina Mammone, Vice President and Chief Nursing Officer - Committee on Education Technology (CET) chaired by Gail Persily, Director of Education and Technology Initiatives - Committee on Research Technology (CRT) chaired by Charles McCullough, Professor and Head of the Division of Biostatistics at UCSF and Vice Chair of the Department of Epidemiology and Biostatistics - Committee on Information Technology Security (CITS) chaired by Michael Blum, Associate Vice Chancellor for Informatics at UCSF - Committee on Technology and Architecture (CTA) chaired by IT Director, Karen O'Neill

				● [Committee on Website Governance](#) (CWG) chaired by Director of Digital Communications, Louise Chu UCSF CIO (Joe Bengfort) reports to Mark Laret (President & CEO UCSF Health) and Paul Jenny (Senior Vice Chancellor, Finance & Administration)
Santa Barbara	Council on Research and Instructional Resources (CRIR) ([committees website](#))	IT Board (ITB) and IT Council (ITC)	**Jianwen Su** Computer Science	Campus has no single senate committee for IT governance. CRIR has two committees: IT governance concerning library/archive and teaching belongs is in the scope of the Committee on Library, Information & Instructional Resources (CLIIR, CIO is a consultant), and IT concerning research is in the scope of Committee on Research Policy and Procedures (CRPP, VCR is a consultant). There is also a recently formed workgroup under the Faculty Welfare Council on information security issues. In addition to these senate committees (work group), there are also ITB and ITC with senate representatives; however, the representatives are not on any senate committees mentioned above to channel information between the senate and ITB/ITC.
Santa Cruz	Committee on Information Technology (CIT) ([website](#))		**Brant Robertson** Astronomy & Astrophysics	Following the principles of shared governance, the Santa Cruz campus has a faculty senate committee called the Committee on Information Technology (CIT) that advises the senate president and the campus Chancellor and Vice Chancellors on information technology policies. The campus Vice Chancellor for Information Technology (VCIT) is a standing visitor to the committee, which meets biweekly during the academic year. The VCIT informs the CIT about ongoing policy and budgetary decisions that affect teaching and research activities of the faculty, and the CIT works with the VCIT to advise and inform the senate faculty. The CIT members also populate other information technology-related committees on campus, including joint faculty/staff/student committees focused on electronic security and learning management systems.