

**INFO I478/INFO I590  
Information Governance**

**Department of Human-Centered Computing  
Indiana University School of Informatics and Computing, IUPUI**

*Section No:* 33409 *Credit Hours:* 3

*Time:* Online, asynchronous

*Location:* N/A

*First Class:* January 10, 2022



(Photo of Professor Biederman)

*Instructor:* Ray Biederman, J.D.

*Office Hours:* My office hours are by appointment (in person, by phone, Zoom, Teams, etc.).

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*Prerequisites:* None.

Elective for undergraduate and graduate informatics and new media degrees and for other programs. Required course for the HIM undergraduate program.

**COVID Talk**

I know that this is a challenging time for all of us, with a hopeful light at the end of the tunnel. We will all need to be flexible as there are a lot of unknowns about how the semester will shake out. If you have any COVID related items come up, let me know and we can come up with a plan to address them.

**Short Course Description**

This course covers the structures, policies, procedures, processes, technology tools and controls that encompass the emerging discipline of information governance (IG) which are implemented to manage information at an enterprise level to support an organization's immediate and future regulatory, legal, risk, environmental and operational requirements.

## Extended Course Description

Information governance (IG) encompasses the structures, policies, procedures, processes, technology tools and controls implemented to manage information at an enterprise level to support an organization's immediate and future regulatory, legal, risk, environmental and operational requirements. Information governance attempts to find the balance point between two potentially divergent organizational goals: extracting value from information and reducing the potential risk posed by information. An organization that can establish a consistent and logical framework for handling information properly through its governance policies and procedures has a strategic advantage in the marketplace. IG is an emerging multidisciplinary field which straddles four domains: information management, information security, information law and ethics and information economics.

IG is also the first step in an electronic discovery process; thus, it is intimately connected with law firms and is essential for any company, organization, hospital, etc. that is handling information in any format that might be potentially relevant evidence for litigation, compliance, auditing or internal investigation. However, proper information governance should be viewed as proactive rather than reactive. Much like the EDRM provides a model process for electronic discovery, Information Governance has now evolved to where it enjoys its own recognized model, the Information Governance Reference Model (IGRM). <http://www.edrm.net/frameworks-and-standards/information-governance-reference-model/> Yet most organizations are woefully deficient in their information governance policies, procedures and practices at the same time that there is recognition of information as a strategic asset that must be managed properly throughout its lifecycle with high level oversight in order to be able to effectively use it for organizational decision-making, performance improvement, cost management and risk mitigation.

There have been many requests for a course in information governance that would go beyond what is covered in my cybersecurity and electronic discovery courses, particularly with respect to how to set up an information governance program for a company, law firm, non-profit organization or health care institution and some of the specialized software that is available to support information governance activities. The beauty of delivering the course online through Canvas is that we have the flexibility to learn together and are not bound by what we can accomplish by meeting once a week for a set amount of time. Everything you need - each Module and homework assignment - is delivered via Canvas. I have designed the course to be as simple as possible from a technology standpoint. However, this course does require you to have regular and reliable access to Canvas and the Internet. I am always available to meet with students in person or by telephone. This course is designed to become part of the legal informatics area of specialization and the certificate in legal informatics.

## Textbook

Smallwood, Robert F.: *Information Governance: Concepts, Strategies, and Best Practices*. Second Edition. Hoboken, New Jersey: Wiley, 2020. Identifiers: LCCN 2019015574 (print) | LCCN 2019017654 (ebook) | ISBN 9781119491415 (Adobe PDF) | ISBN 9781119491408 (ePub) | ISBN 9781119491446 (hardback)

## Additional Materials

The course will feature readings from business, health, law and technology journals, PowerPoint presentations and websites as well as material from software vendors. This material will be uploaded as part of each Module in Canvas. Our textbook author is a recognized expert in information governance, particularly for health care, so I will be drawing from many of his publications.

### **Software Used**

Any software needed for the course will be provided by vendors at no cost to students.

**Expectations, Policies, etc.:** Assignments are due at the stated deadline and time. Of course, you can send them earlier if you wish. **If you need an extension, you must have prior approval for the extension via email or canvas message. Extensions will be freely given, but if you do not seek an extension, I reserve the right to deduct points for lateness.** Exams will open in Fridays at 5:00 pm and will be available until Sundays at midnight. Responses to discussion forum questions (including replies to others) are also due at midnight on the due date. The final discussion post will also be due at midnight.

There is no final exam in this course. Also, there is no opportunity for extra credit in this course or to re-submit assignments for a higher grade. Due to time constraints and wanting to be fair to all students, I do not review and provide feedback on assignments prior to submission. If technical difficulties with your submission mean that I cannot download or access your assignment, I will contact you and you will have to resubmit the assignment to me in a different format in a timely manner.

If you believe that I made an error in grading your assignment, you must contact me within seven (7) calendar days.

**Administrative Withdrawal:** A basic requirement of this course is that you will conscientiously participate in and complete all required course activities and/or assignments. Please notify me via email if you are unable to participate or complete an assignment on time. If you miss more than the first 25% of the course without contacting me, you may be administratively withdrawn from the course. Since the course is online and we do not meet, I use the discussion forum questions to monitor course participation. If you have not participated in this activity by the stated deadlines, you may be withdrawn. An administrative withdrawal may have academic, financial and financial aid implications. The administrative withdrawal will take place after the full refund period and if you are administratively withdrawn from the course, you will not be eligible for a tuition refund. If you have questions about the administrative withdrawal policy at any point in the semester, please contact me.

**Incomplete:** The grade of Incomplete used on the final grade reports indicates that the work is satisfactory as of the end of the semester, but has not been completed. The grade Incomplete may be given only when the completed portion of a student's work in the course is of passing quality. Instructors may award the grade of Incomplete upon a showing of such hardship to a student as would render it unjust to hold the student to the time limits previously fixed for the completion of his/her work. See <https://facultystaffcentral.iupui.edu/grades/submit->

[grades/incompletes.html](#) for more information.

**Other Policies:** Work must be your own and it must be identified as such. Work of others, such as quotes used in a paper, must be properly identified and cited. Studying together either in person or via the Internet and email is encouraged; however, sharing significant amounts of work or presenting the work of others as one's own is not allowed. Please let me know if you have questions about the proper way to use quotations and citations.

Please state the answers to assignment questions in your own words rather than cutting and pasting text from Modules, websites, databases or other materials. I am really interested to know what you have to say about the material we cover in the course and this helps me to tailor the course content as we move through the semester.

I typically upload graded assignments with my feedback to Canvas. According to campus policy, I am only required to keep your assignments for one month after they are graded and I reserve the option to dispose of them after that time.

Regulations, policies, guidelines, requirements and updates are to be followed, including those of Indiana University, IUPUI and the School of Informatics and Computing. This includes those that are printed in the IUPUI Spring 2022 Class Schedule, the current IUPUI Campus Bulletin, posted or referenced in the course's website on Canvas, posted in a classroom, laboratory, office or other campus building or those presented or noted by faculty and staff members. There are a number of campus-wide policies governing the conduct of courses at IUPUI- see the link on the left-hand side of the Canvas screen.

I reserve the right to revise the syllabus as needed during the semester.

### **Course Management and Helpful Hints**

There are no class meeting times per se for this course. Instead, online courses are conducted "asynchronously", which means that we will be sending and receiving email messages and sharing our thoughts in "virtual discussions" using Canvas. Please make an effort to participate fully in the course, including submitting your responses to the Discussion Forum questions - not only is this approximately 20% of your grade, but it will also be a much more rewarding course if we all share our thoughts and expertise. Points will be taken off if all questions in a Discussion Forum are not responded to and also if you do not Reply to another student's response as indicated in the instructions for a Module. Responses to Discussion Forum questions are due on Sundays by noon. This is a 3-credit hour course, so you can expect to be just as busy as you would be in a course that meets face-to-face every week.

The course will be divided into weekly Modules. Each Module will officially begin on Monday. Modules will officially end on Sundays, but once I have posted a Module, it will be available throughout the semester in case you want to review.

For each Module, there will be a reading assignment, designated by a book icon. Any reading assignments that are not from the Smallwood textbook will be uploaded to Canvas or a URL will be provided.

As part of eight of the Modules, there will also be a series of online discussion questions, indicated by a computer icon. We will use the Discussion Forums in Canvas to share the responses to these questions. Responses to the Discussion Forum questions are due by Sundays by noon (12:00 p.m.) Be sure to Reply to another student's response as indicated in the instructions for the Module.

### **Equipment Needed**

Because this is an online course delivered through Canvas, you will need weekly access to a computer and a sufficiently stable network to handle large files. You will need to be able to listen to podcasts, view PowerPoint presentations and short videos, download and print materials and search the Internet and library databases. You will also need to download and use software from various vendors.

### **Assignments and Exams**

There are 180 points total in the course.

**Exam #1 (covers Modules 1-4):** 20 points

**Close the Loop #1:** 10 points

**Case Study #1:** 20 points

**Exam #2 (covers Modules 5-7):** 20 points

**Close the Loop #2:** 10 points

**Exam #3 (covers Modules 8-10):** 20 points

**Exam #4 (covers Modules 11-14):** 20 points

**Close the Loop #3:** 10 points

**Self-Reflection on Information Governance:** 10 points

**Participation in Discussion Forums:** Multiple due dates (40 points, 5 points per Discussion Forum). It will be important to read the responses of other students to get the maximum benefit from the course. Points will be taken off if all questions in a Discussion Forum are not responded to, including providing a Reply to another student's responses as indicated in the instructions for the Module.

Total 180 points

Final course grades are calculated by adding up all of the points that you earned in the course and dividing by 180. This will give you a percentage. See the Grading Scale below for the minimum percentage that you need for each grade. I don't round up the grades, so if you want an A in the course, you need to achieve at least a 93%.

I use the gradebook in Canvas to post grades and I provide a considerable amount of feedback on your assignments, which I hope will be helpful for you.

**Grading Scale (percentages and/or points)**

180 points possible

Minimum percentages for each course grade:99% A+

93% A

90% A-

87% B+

83% B

80% B-

77% C+

73% C

70% C-

67% D+

63% D

60% D-

Below 60% F

Undergraduate Students: No credits towards major, minor or certificate requirements are granted for a course grade below a C. No credits towards general education or elective requirements are granted for a course grade below a C-.

Please note that earning an A means that a student must achieve true excellence in the course. We have a strict policy against grade inflation and our school's Associate Dean for Academic Affairs scrutinizes final course grades to be sure that a faculty member does not have a pattern of awarding too many A grades.

**Course Schedule Detail**

Week	Week of	Topic	Assignment	Items due
1	1/10/2022	Information Governance in the 21 <sup>st</sup> Century	Chapters 1 and 2 in Smallwood – please note the helpful Glossary at the end of the Smallwood textbook	Discussion Forum #1
2	1/17/2022	Information Governance Principles	Chapter 3 in Smallwood	none
3	1/24/2022	Information Governance Risk Planning and Management	Chapter 4 in Smallwood	Discussion Forum #2
4	1/31/2022	Strategic Planning and Best Practices for Information Governance	Chapter 5 in Smallwood	none
5	2/7/2022	Information Governance Policy Development	Chapter 6 in Smallwood	Discussion forum #1 <b>Exam #1</b>
6	2/14/2022	Business Considerations for a Successful IG Program	Chapter 7 in Smallwood	Closing the Loop #1

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7	2/21/2022	Information Governance and Legal Functions	Chapter 8 and Appendix A in Smallwood	Discussion Forum #4
8	2/28/2022	Information Governance and Records Management	Chapter 9 and Appendix B in Smallwood	Case Study #1 <b>Exam #2</b>
9	3/7/2022	Special Considerations for Governance of Health Information	Chapter 10 in Smallwood and to be distributed	Discussion Forum #5
n/a	3/14/2021	<b>Spring Break</b>		
10	3/21/2022	Information Governance and Privacy and Security Functions	Chapter 11 and Appendix C in Smallwood	Closing the Loop #2
11	3/28/2022	Information Governance for Ephemeral Communications	Chapters 12-13 in Smallwood	Discussion Forum #6
12	4/4/2022	Information Governance for Mobile Devices	Chapter 14 in Smallwood	<b>Exam #3</b>
13	4/11/2022	Information Governance for Cloud Computing	Chapters 15-16 in Smallwood	Discussion Forum #7 (Worth 10 Points!)
14	4/18/2022	Preservation for the Long Term	Chapter 17 in Smallwood	None
15	4/25/2022	Maintaining an Information Governance Program	Chapter 18 in Smallwood	<b>Exam #4</b> Closing the Loop #3 <b>Self-Reflection on Information Governance: Due Monday, May 2, 2022</b>

Welcome to the Course!