

**INFO I400/INFO I590  
Information Governance**

**Department of Human-Centered Computing  
Indiana University School of Informatics and Computing, IUPUI  
Fall 2017**

*Section No:* 32436 and 26003 *Credit Hours:* 3

*Time:* Online, asynchronous

*Location:* N/A

*First Class:* August 21, 2017

*Website:* [FA17-IN-INFO-I400-32436](http://FA17-IN-INFO-I400-32436)



*Instructor:* Sara Anne Hook, M.B.A. (Finance), J.D.

- Professor of Informatics/Human-Centered Computing, School of Informatics and Computing, IUPUI
- Adjunct Professor, Center for Intellectual Property Law and Innovation, Robert H. McKinney School of Law, Indiana University
- Adjunct Professor of American Studies, School of Liberal Arts, IUPUI
- Admitted: Indiana (1994), Supreme Court of the United States (2012)

*Office Hours:* My office hours are **Wednesdays** from 2:00 p.m. - 4:00 p.m. (in person, by phone or using the Canvas real-time Chat Room feature) and by appointment.

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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. (NOTE: In the future, this course will have the permanent course number of I478 Information Governance.)



This is my virtual coach for the course. His name is "Tipster" and he will be helping you throughout the semester with tips, suggestions and encouragement.

### **Course Etiquette**

Please address me as Professor Hook or Prof. Hook. In terms of social media, please note that I do not accept LinkedIn invitations from current students.

### **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. As indicated on the AHIMA website:

Complementary to the traditional approach and practices of health information management (HIM), which is bottom up, information governance ensures that information is trustworthy and actionable through alignment with organizational strategy

and engagement of senior leaders and important stakeholders across the enterprise. In an increasingly connected world, this extends outside the proverbial four walls of an organization to make sure that information is available in the right place and the right time to support health and healthcare.

<http://www.ahima.org/topics/infogovernance/igbasics?tabid=overview>

Moreover, commentators recognize that there are not enough people with skills in information governance, resulting in potentially rewarding career opportunities for people who have expertise in IG.

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.

This course was first developed and taught in Fall 2015 by Lisa Berry-Tayman, who has nearly 20 years of experience in information governance. She continues to act as a consultant for the course. The course was also designed under the guidance of Lisa DesNoyers, Program Director, Health Information Management (HIM), so that it meets that program's requirements.

### **Textbook**

Smallwood, Robert F.: *Information Governance: Concepts, Strategies, and Best Practices*. Hoboken, New Jersey : Wiley, 2014. ISBN 978-1-118-21830-3. This textbook is available electronically through the IUPUI University Library:

<http://rx8kl6yf4x.search.serialssolutions.com/?V=1.0&L=RX8KL6YF4X&S=JCs&C=TC0001212113&T=marc>. There are two options for access: Books 24x7 and EBook Central.

Thus, students do not have to purchase a textbook for this course.

### **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.

**IUPUI Principles of Undergraduate Learning (PULs)** – <https://due.iupui.edu/undergraduate-curricula/general-education/principles-of-undergraduate-learning/>

Faculty members are required to designate a PUL of Major, Moderate and Some Emphasis for every course in the undergraduate curriculum. For this course,

- Major Emphasis: 3 Integration and Application of Knowledge
- Moderate Emphasis: 1C Information Resources Skills
- Some Emphasis: 6 Values and Ethics

**Revised (by Anderson) Bloom’s Taxonomy (RBT)**

1. Remembering
2. Understanding
3. Applying
4. Analyzing
5. Evaluating
6. Creating

We are also to indicate the Revised (by Anderson) Bloom’s Taxonomy for each learning outcome in the course.

**Program-level Learning Outcomes (PLO)**

Finally, we are required to indicate which of the B.S. in Informatics Program-level Learning Outcomes are addressed in the course:

<http://soic.iupui.edu/undergraduate/degrees/informatics/learning-outcomes/>

**Course Learning Outcomes**

<i>Upon completion of this course, students will be able to:</i>	<b>RBT</b>	<b>PUL</b>	<b>PLO</b>	<b>Assessment</b>
1. Explain Information Governance (IG) as a recognized methodology for dealing with all forms and formats of information in an organization.	2	3	2, 3	E, DF
2. Illustrate how IG works within the framework of an organization’s overall governance structure.	2	3	2, 3	E, DF, CS
3. Support the ethical issues related to information governance, particularly as a recognized profession.	5	6	3, 5	E, DF, CS, FP
4. Standardize the handling of various types of information to meet the needs of the organization.	6	3	3	E, DF, CS
5. Compare and contrast IG as it relates to electronic discovery as	5	3, 6	3, 5	E, DF

compared with overall information management.				
6. Advocate for changes in law and policy that will promote more effective information governance, including for better interoperability and to facilitate information exchange.	6	1C, 3, 6	2,3, 5	DF, CS, FP
7. Articulate the differences between IG, data governance and IT governance.	3	3	3	E, DF
8. Assess threats to the integrity, validity and security of information.	5	1C, 3	3	DF, CS, FP
9. Develop and implement policies and procedures to ensure information integrity from both inside and outside of the organization.	6	1C, 3	2, 3	CS, FP
10. Evaluate the implications of IG as it impacts key areas of privacy, security, ethics, law, information technology and information management.	5	3, 6	3, 5	DF, CS, FP
11. Select technology tools for information governance.	5	1C	3	CS, FP
12. Apply recognized quality management tools and recognized standards in information governance from a wide variety of industry groups (ARMA, AHIMA, ILTA) and accreditation bodies (NCQA, etc.).	3	1C, 3	3	CS, FP
13. Outline the facets of the Information Governance Reference Model (IRGM).	4	1C, 3	3	E, DF
14. Prioritize business considerations and key stakeholders for an IG program.	5	3	3	E, DF, CS
15. Perform an information governance risk analysis and assessment using recognized IG principles.	4	1C, 3, 6	3, 5	CS, FP
16. Justify information governance as a strategic and proactive activity for an organization.	5	3	2, 3	E, DF, CS, FP

17. Devise an IG policy and procedures based on the results of an IG risk assessment.	6	1C, 3, 6	3, 5	CS, FP
18. Demonstrate the organization's compliance with information governance policies, procedures, standards and best practices.	3	1C, 3	3	CS, FP
19. Predict the future of IG and what types of technology, training, policies and procedures will be needed.	5	1C, 3, 6	3, 5	DF

E=Exam

DF=Discussion Forum

CS=Case Study

FP=Final Project

### Software Used

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

### Expectations/Guidelines/Policies

Assignments are due by the stated deadline, although you can certainly submit them earlier if you wish. **If you need an extension, you must have prior approval via email and I reserve the right to deduct points for lateness. PLEASE NOTE: I no longer provide a one-week grace period. Assignments are due by the stated deadline unless you have received an extension.** Please use the Canvas email system to communicate with me – I log into Canvas on the weekends, but not regular IU/IUPUI email, so Canvas is the fastest way to contact me. The Final Project is due on Monday, December 11 at 5:00 p.m.

There is no final examination for this course. Also, there is no opportunity for extra credit in this course. There is no opportunity to revise and 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.

### 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. (See the information in the previous paragraph about requests for extensions and late assignments.) 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 Forums 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**

I am only allowed to assign an Incomplete (I) grade if at least 75% of the required coursework has been completed at passing quality and holding you to previously established time limits would result in unjust hardship to you. All unfinished work must be completed by the date set by me. Left unchanged, an Incomplete automatically becomes an F after one year.

<http://registrar.iupui.edu/incomp.html>.

### **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. Also, please state the answers to assignment questions (Discussion Forums, Case Studies, Final Project) in your own words rather than cutting and pasting text from Modules, websites, databases or other materials.

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 Fall 2017 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. These can be found at: [http://registrar.iupui.edu/course\\_policies.html](http://registrar.iupui.edu/course_policies.html). A Syllabus Supplement is provided on the course's Canvas site which includes important campus policies.

I reserve the option 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, although in many cases I will have the Module content posted by the preceding Friday. 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 at noon. Be sure to Reply to another student's response as indicated in the instructions for the Module.



For each Module, I will provide a "Fireside Chat" to remind you about deadlines, explain concepts or alert you to new issues. You will use Canvas to access the Fireside Chats.



Each week, I will also provide a mini-lecture or outline of the topic of the Module, designated by the microphone icon. The mini-lecture plus all of the instructions for that Module will be the first item you see in the list of the materials for each Module folder in Canvas.



For many of the Modules, there may also be a PowerPoint presentation, guest lecture or online demonstration, which will be indicated by a movie projector. You will use Canvas to access these materials.



Finally, if you have questions, please do not hesitate to email or call me.



Tipster says, "The most important advice for the course is to stay organized."

Tipster cannot stress enough the importance of keeping up with the reading assignments and participating in the Discussion Forums. He has noticed a direct correlation between responding regularly to the Discussion Forum questions and doing well in the course.

Also, if this is your first online course, please understand that the burden is on you to stay organized, to know what needs to be done each week and to pay attention to the deadlines for assignments. I will use the Announcements feature in Canvas to let you know when Modules are available and to remind you when assignments are due.

### **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. Since this is an online course, I communicate with you by email, so all students need to have a valid email address. **Please use the Canvas email system to communicate with me – I log into Canvas on the weekends, but not regular IU/IUPUI email, so Canvas is the fastest way to contact me.**

### **Assignments and Exams**

There are 200 points total in the course.

**Exam #1 (covers Modules 1-4):** Available from Friday, September 22 at 5:00 p.m. until Sunday, September 24 at 5:00 p.m. 20 points [Corresponds to PULs 1C, 3 and 6]

**Case Study #1:** Due Friday, October 6 at 5:00 p.m. 25 points [Corresponds to PULs 1C, 3 and 6]

**Exam #2 (covers Modules 5-7):** Available from Friday, October 13 at 5:00 p.m. until Sunday, October 15 at 5:00 p.m. 20 points [Corresponds to PULs 1C, 3 and 6]

**Case Study #2:** Due Friday, November 3 at 5:00 p.m. 25 points [Corresponds to PULs 1C, 3 and 6]

**Exam #3 (covers Modules 8-10):** Available from Friday, November 10 at 5:00 p.m. until Sunday, November 12 at 5:00 p.m. 20 points [Corresponds to PULs 1C, 3 and 6]

**Exam #4 (covers Modules 11-14):** Available from Friday, December 1 at 5:00 p.m. until Sunday, December 3 at 5:00 p.m. 20 points [Corresponds to PULs 1C, 3, and 6]

**Final Project:** Due Monday, December 11 at 5:00 p.m. 30 points [Corresponds to PULs 2, 3, and 6]

**Participation in Discussion Forums:** Multiple due dates (40 points, 5 points per Discussion Forum). Correspond to PULs 1C [Information Resources Skills], 3 [Integration and Application of Knowledge] and 6 [Values and Ethics] 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 200 points

Final course grades are calculated by adding up all of the points that you earned in the course and dividing by 200. 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)**

200 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-.

### **Course Schedule Detail**

#### *Module 1: Week of 8/21*

Topic: Information Governance in the 21<sup>st</sup> Century

Reading Assignment: Chapters 1 and 2 in Smallwood – please note the helpful Glossary at the end of the Smallwood textbook

**Discussion Forum #1:** Due Sunday, August 27 at noon (covers Module 1)

#### *Module 2: Week of 8/28*

Topic: Information Governance Principles

Reading Assignment: Chapter 3 in Smallwood

#### *Module 3: Week of 9/4*

Topic: Information Governance Risk Planning and Management

Reading Assignment: Chapter 4 in Smallwood

**Discussion Forum #2:** Due Sunday, September 10 at noon (covers Modules 2 and 3)

*Module 4: Week of 9/11*

Topic: Strategic Planning and Best Practices for Information Governance

Reading Assignment: Chapter 5 in Smallwood

*Module 5: Week of 9/18*

Topic: Information Governance Policy Development

Reading Assignment: Chapter 6 in Smallwood

**Exam #1 (covers Modules 1-4):** Available from Friday, September 22 at 5:00 p.m. until Sunday, September 24 at 5:00 p.m.

**Discussion Forum #3:** Due Sunday, September 24 at noon (covers Modules 4 and 5)

*Module 6: Week of 9/25*

Topic: Business Considerations for a Successful IG Program

Reading Assignment: Chapter 7 in Smallwood

*Module 7: Week of 10/2*

Topic: Information Governance and Legal Functions

Reading Assignment: Chapter 8 and Appendix A in Smallwood

**Discussion Forum #4:** Due Sunday, October 8 at noon (covers Modules 6 and 7)

**Case Study #1:** Due Friday, October 6 at 5:00 p.m.

*Module 8: Week of 10/9*

Topic: Information Governance and Records Management

Reading Assignment: Chapter 9 and Appendix B in Smallwood

**Exam #2 (covers Modules 5-7):** Available from Friday, October 13 at 5:00 p.m. until Sunday, October 15 at 5:00 p.m.

*Module 9: Week of 10/16*

Topic: Special Considerations for Governance of Health Information

Reading Assignment: Chapter 10 in Smallwood and to be distributed

**Discussion Forum #5:** Due Sunday, October 22 at noon (covers Modules 8 and 9)

*Module 10: Week of 10/23*

Topic: Information Governance and Privacy and Security Functions

Reading Assignment: Chapter 11 and Appendix C in Smallwood

*Module 11: Week of 10/30*

Topic: Information Governance for Ephemeral Communications

Reading Assignment: Chapters 12-13 in Smallwood

**Discussion Forum #6:** Due Sunday, November 5 at noon (covers Modules 10 and 11)

**Case Study #2:** Due Friday, November 3 at 5:00 p.m.

*Module 12: Week of 11/6*

Topic: Information Governance for Mobile Devices

Reading Assignment: Chapter 14 in Smallwood

**Exam #3 (covers Modules 8-10):** Available from Friday, November 10 at 5:00 p.m. until

Sunday, November 12 at 5:00 p.m.

*Module 13: Week of 11/13*

Topic: Information Governance for Cloud Computing

Reading Assignment: Chapters 15-16 in Smallwood

**Discussion Forum #7:** Due Sunday, November 19 at noon (covers Modules 12 and 13)

*Module 14: Week of 11/20*

Topic: Preservation for the Long Term

Reading Assignment: Chapter 17 in Smallwood

Enjoy your Thanksgiving break!

*Module 15: Week of 11/27*

Topic: Maintaining an Information Governance Program

Reading Assignment: Chapter 18 in Smallwood

**Exam #4 (covers Modules 11-14):** Available from Friday, December 1 at 5:00 p.m. until Sunday, December 3 at 5:00 p.m.

**Discussion Forum #8:** Due Sunday, December 3 at noon (covers Modules 14 and 15)

*Module 16: Week of 12/4*

Topic: Remaining Issues and New Trends

Reading Assignment: To be distributed

*Week of 12/11*

**Final Project due Monday, December 11 at 5:00 p.m.**



Tipster says, "Welcome to the course!"