Lab Guide

Improving Assurance through Audit Automation

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Default Login / Password: Knowledge17

admin / Knowledge17

itil / Knowledge17

employee / Knowledge17

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Lab Goal

PREWORK
Audit Management

The **Audit management application** allows customers to leverage existing system data, such as Risk and Controls, along with Indicators to better prepare for and execute an audit.

This lab explains the basic items necessary to build a standard audit in the application using various platform application's data.

Log on to Your Training Instance

Begin working as soon as possible to complete the pre-lab setup instructions on the first few pages. **These steps take 5-10 minutes**.

1. Using the lab instance name provided to you, open a browser and go to that instance URL.
2. Log on as the **admin** user using the password **Knowledge17**.

Validate Prerequisite Plugins were installed

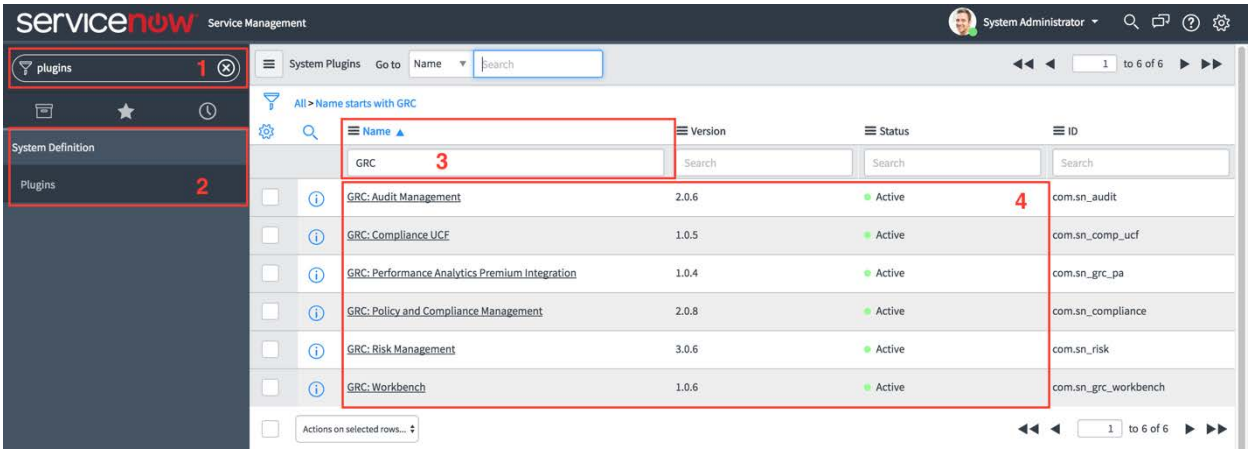
Audit Management can leverage data from many other ServiceNow applications. To demonstrate the full functionality, you will need to install a few applications that are not installed by default in a new customer instance. This is done via plugins. Each of these plugins may in turn install other prerequisite plugins.

Prerequisite Plugins

- GRC: Audit Management
- GRC: Policy and Compliance Management
- GRC: Risk Management

Additional plugins may also be installed.

- GRC: Workbench
- GRC: Performance Analytics Premium Integration
- GRC: Compliance UCF



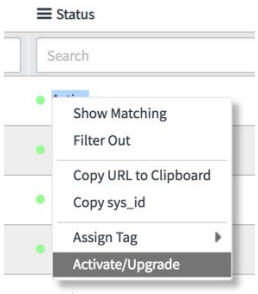
1. Look for the filter search box on the left side of the browser window (**Navigation Pane**)(**1**). Type **Plugins**. This filters the application list and modules to display the item(s) you want.

2. In the filtered list below, select the **Plugins (2)** module, which lists the available plugins. Some are installed by default. These are listed as **Active** in the Status Column.

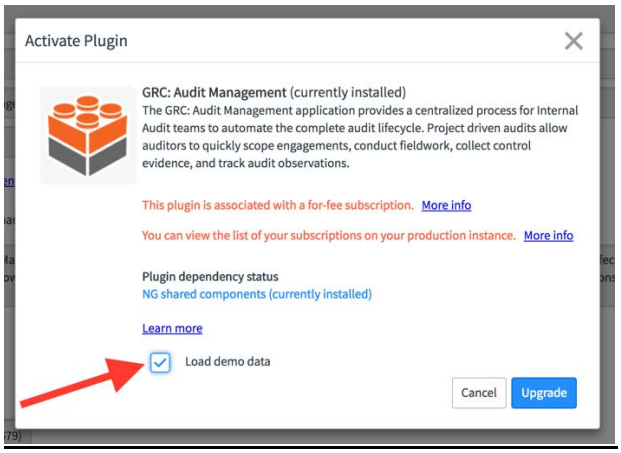
3. Using the list search (by clicking the magnifying glass) at the top-left of the screen, search for **GRC (3)** in the list of plugins.

4. Once the list appears, verify the listed **Plugins** are listed as **Active (4)**.

5. If there are any of the listed Plugins that are not active, right click on the item and select **Activate/Upgrade** the plugin.



6. A dialog box appears that describes the plugin and provides the option to have demo data installed as well. Select the option to **Load Demo Data**.



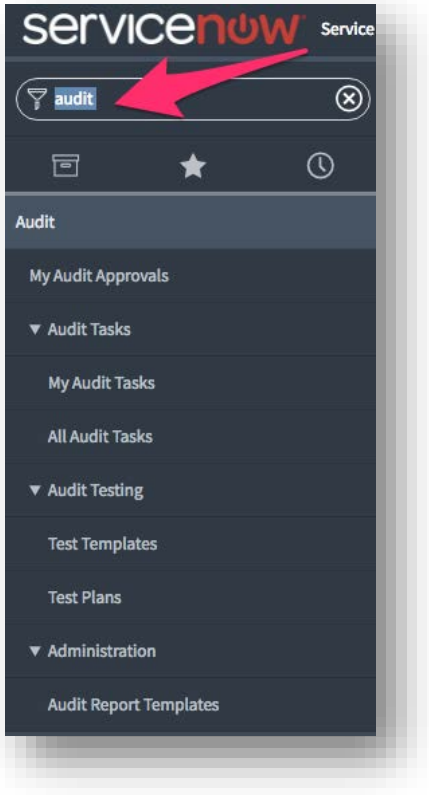
7. Click **Activate** to begin the plugin installation process. This process can take from a few minutes to as much as 10 minutes, depending on the plugin. Be patient!

Lab Goal

This lab explains how to create Profile Types and Profiles to be used during the audit. Once the Profiles are created, Risks and Controls will be assigned to the Profiles. Profiles can be created from any table in ServiceNow. This is essentially the entity or asset that you want to measure a Risk or monitor a Control against.

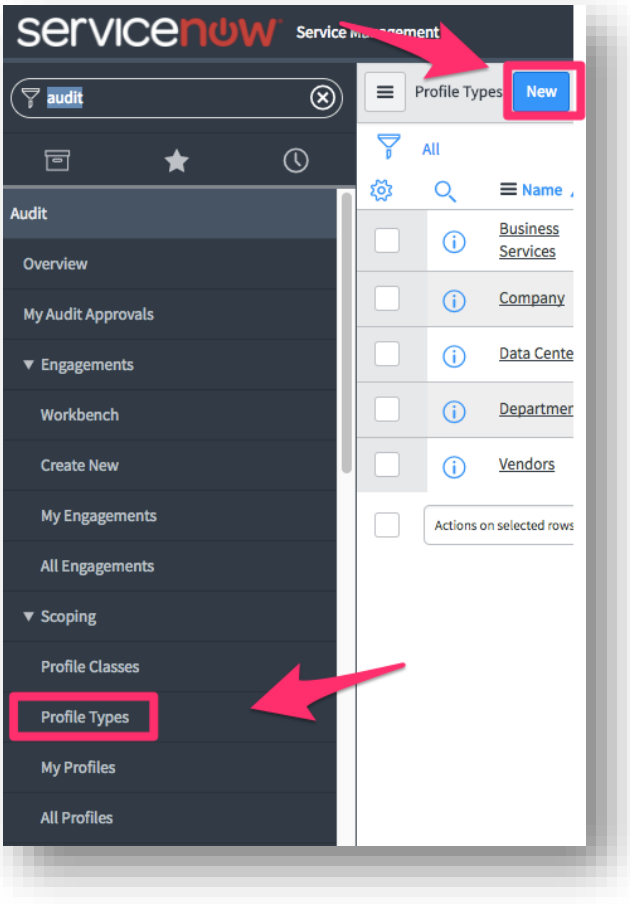
Lab 1.1 Creating Profile Types and Profiles

1. Navigate to the **Audit** application by scrolling through the application Navigator Pane on the left or by typing **Audit** in the Application Filter.



2. Expand the **Audit** section and navigate to the **Scoping** section, and click on **Profile Types**.

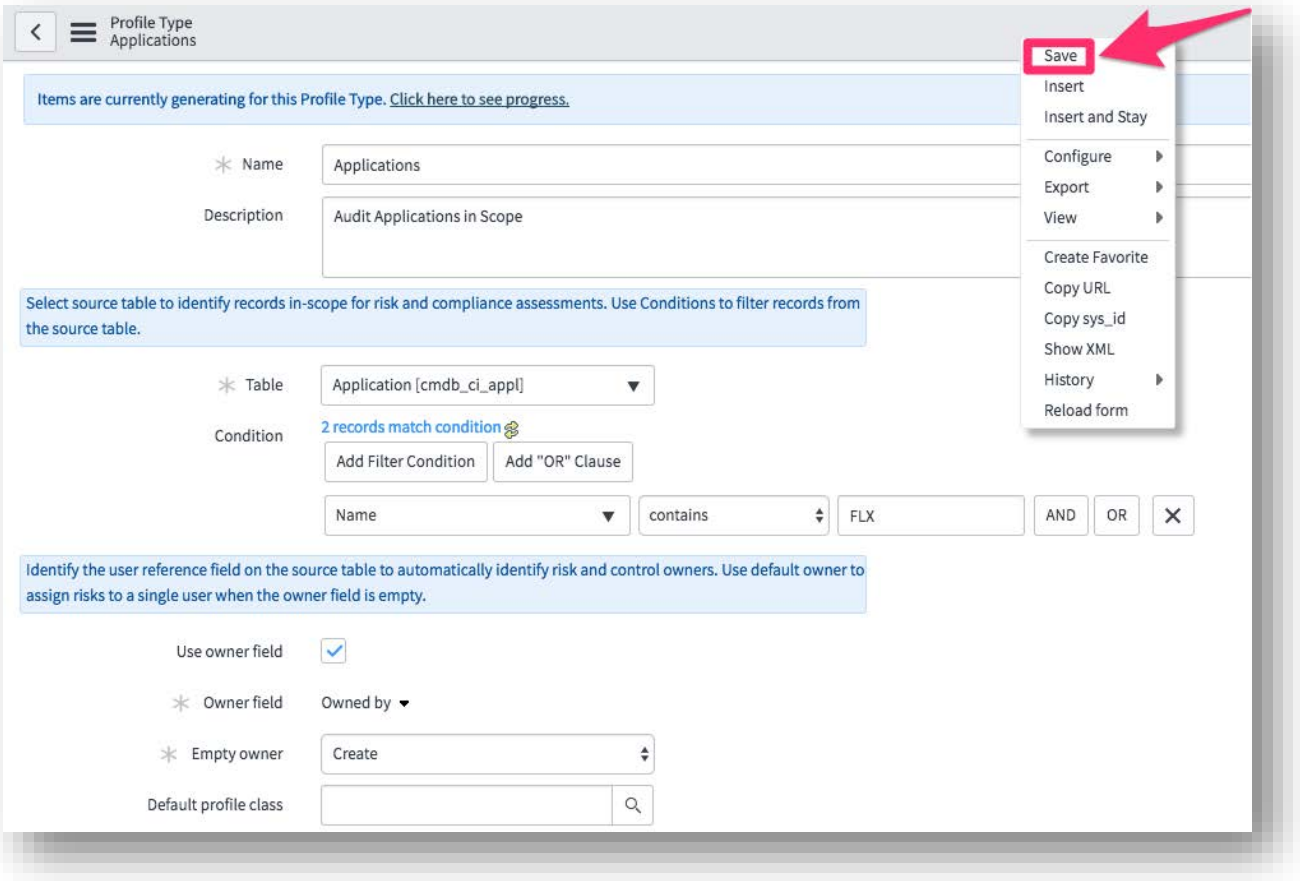
3. Click the **New** button at the top of the screen.



4. On the Record, Complete the following Fields:

   a. Name: **Applications**
   b. Description: **Audit Applications in Scope**
   c. Table: **Application [cmdb_ci_appl]**
   d. Condition: Select: *Name – contains* – **"FLX"**
   e. Owner Field: select "**Owned by**"

5. On the header bar, right-click and click "**Save**."



**You can click submit, but will need to navigate back to this item for the next lab section. Right-clicking and selecting save will save the record and keep this record open.

Lab Goal

This lab explains how to add and assign Risk Statements and Policy Statements and to the defined Profile Types. Once these items are assigned, individual controls and risks will be created. You will provide some basic data in the risk forms to build out your lab.

Lab 1.2 Adding Risks and Controls

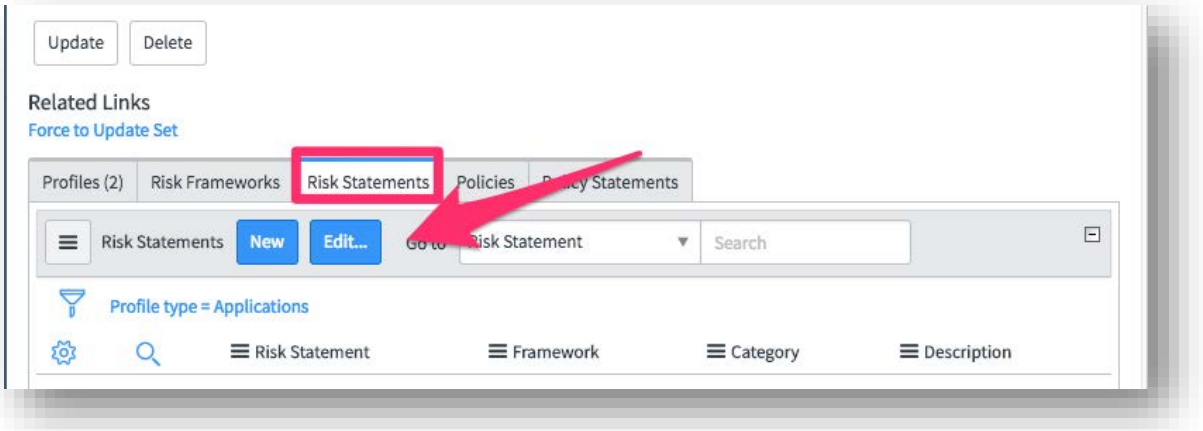
1. Navigate to the **Audit** application by scrolling through the application Navigator Pane on the left or by typing **Audit** in the Application Filter.

2. Expand the **Audit** section and navigate to the **Scoping** section, and click on **Profile Types**.

3. Click on the "**Applications**" profile type.

Risk Statements

4. Select the "**Risk Statements**" tab in the related lists at the bottom of the Profile Type record, and click "**Edit**."

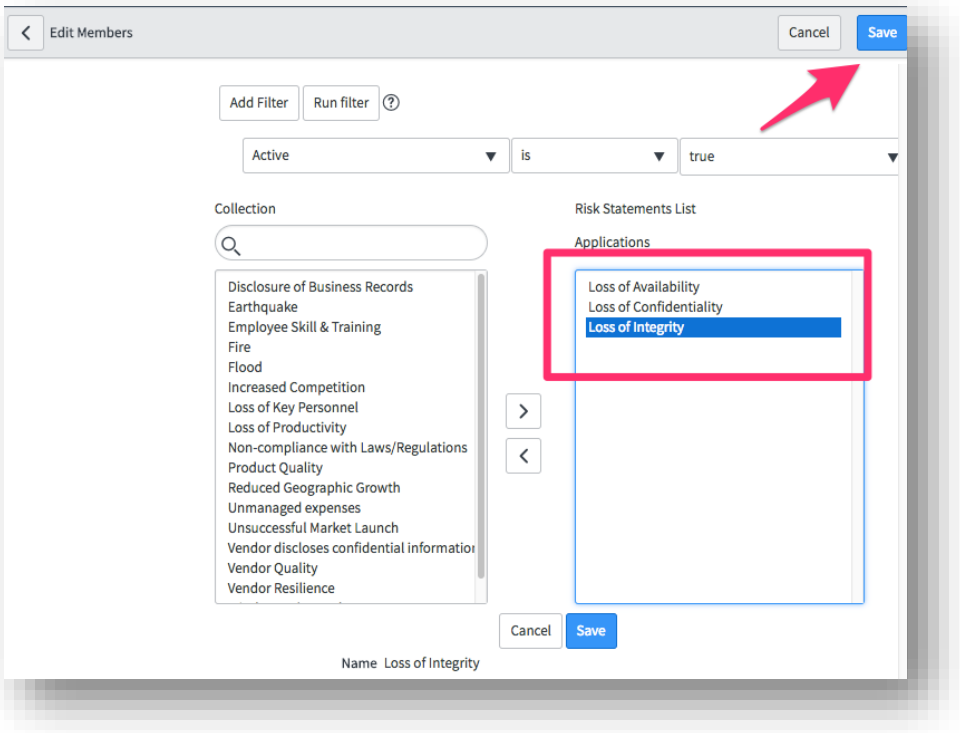


5. Select from the list the following risks:

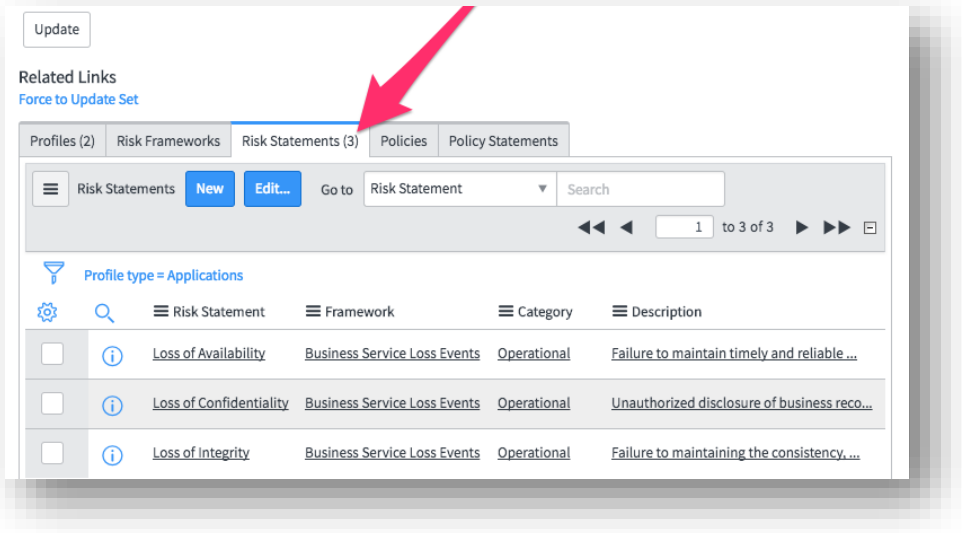
    a. Loss of Availability
    b. Loss of Confidentiality
    c. Loss of Integrity

6. Double-click these items to move them to the right pane, or select them all and click the right-facing arrow.

    a. Click "**Save**."

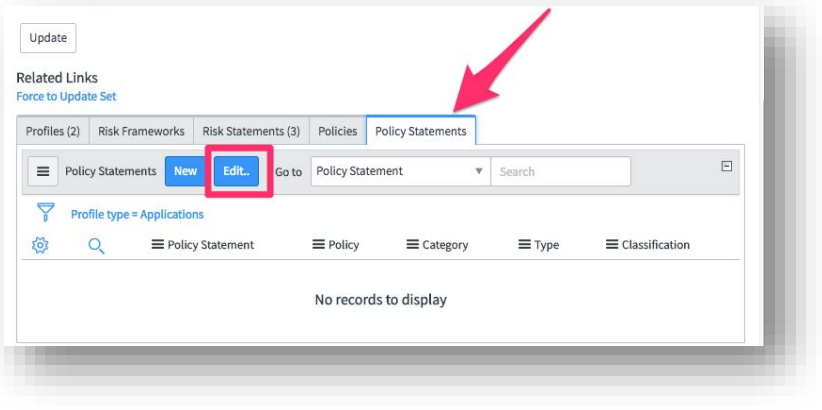


7. You will now see the three Risk Statements added to your Profile Type.



Policy Statements

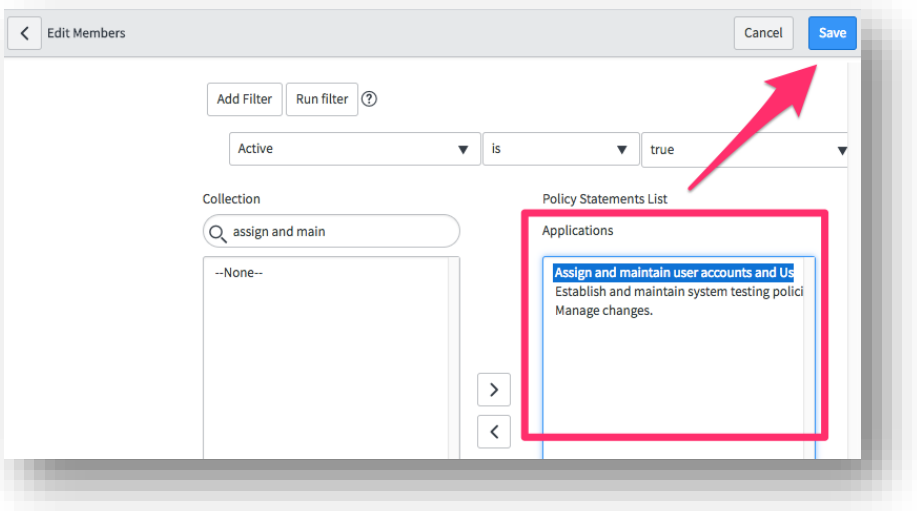
8. Select the "**Policy Statements**" tab in the related lists at the bottom of the Profile Type record, and click "**Edit**."



9. Select from the list the following Policy Statements:

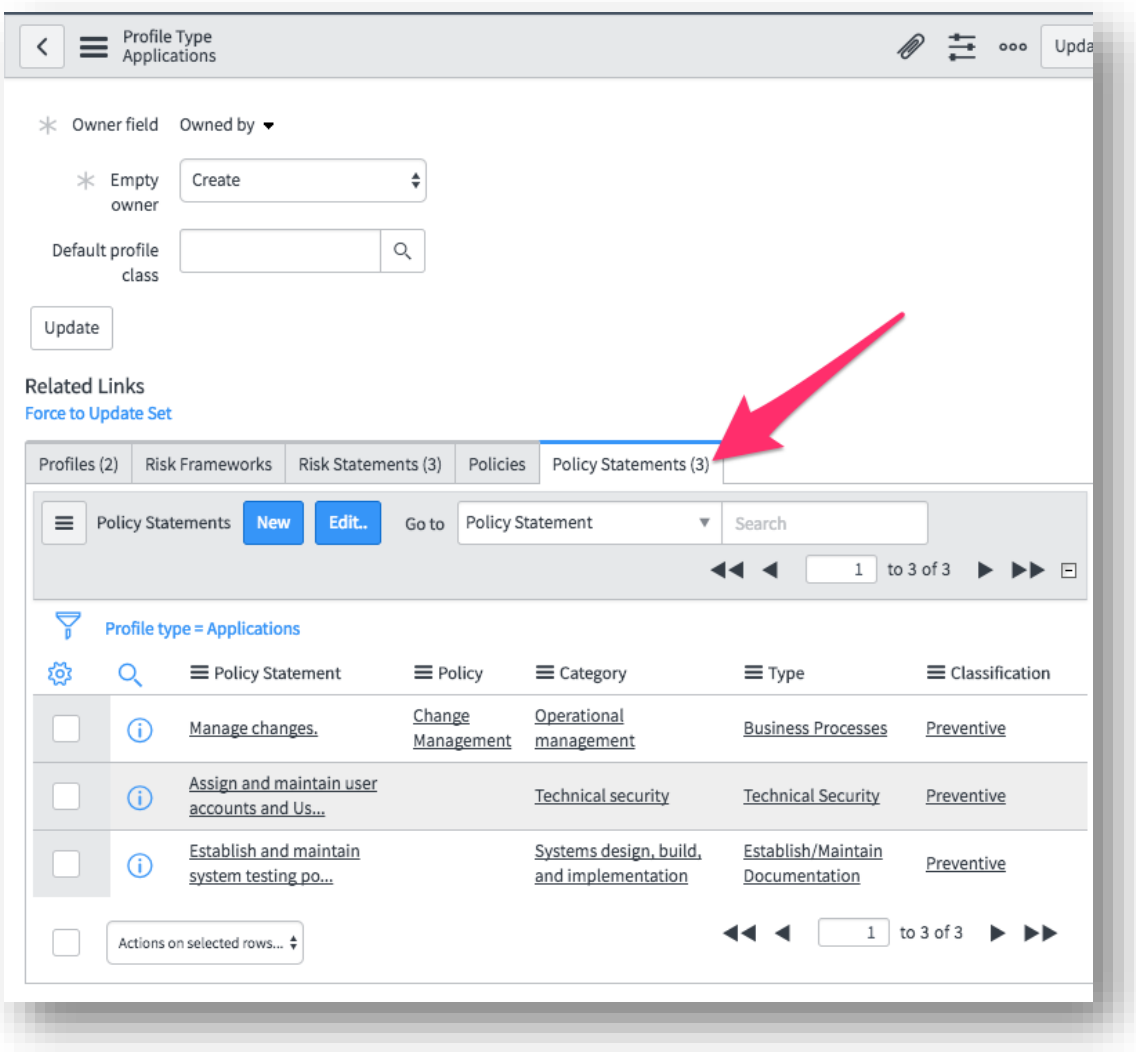
   a. Manage Changes
   b. Establish and maintain system testing policies
   c. Assign and maintain user accounts and User Access Management for all systems

10. Double-click these items to move them to the right pane, or select them all and click the right-facing arrow.



11. Click "**Save**."

12. You will now see the three Policy Statements added to your Profile Type.



13. Remain on this screen for the next lab.

Lab Goal

This lab explains how to create Test Templates and Test plans associated directly to Policy Statements and Controls, respectively. These are the plans that can be used by Management and Audit to validate control efficacy.

Lab 1.3
Creating Test Templates and Test Plans

14. Navigate to the **Audit** application by scrolling through the application Navigator Pane on the left or by typing **Audit** in the Application Filter.

15. Expand the **Audit** section and navigate to the **Scoping** section, and click on **Profile Types**.

16. Click on the "**Applications**" profile type.

17. Select the "**Policy Statements**" tab in the related lists at the bottom of the Profile Type record.

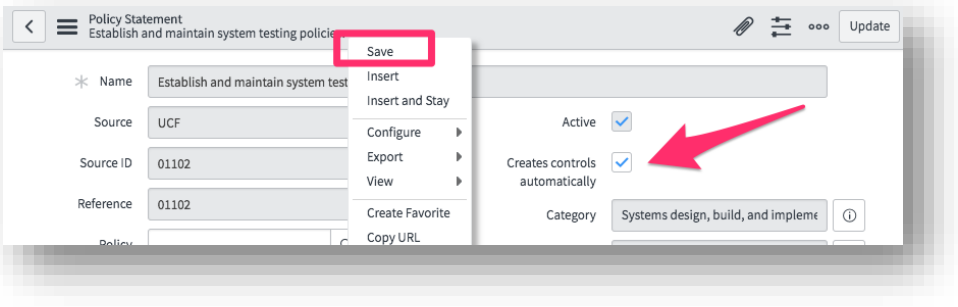
You will be creating a Test Template for 2 of the 3 selected Policy Statements in the following steps. The "Manage changes" policy statement template already exists.

Open Policy Statement:
Establish and maintain system testing policies

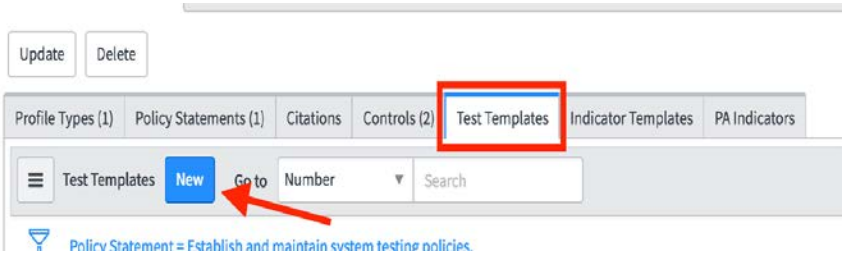
18. Click on the Policy Statement in the list.

19. Click the box for "**Create Controls Automatically**"

20. On the header bar, right-click and click "**Save**."



21. Select the "**Test Templates**" tab in the related list on the Policy Statement record.

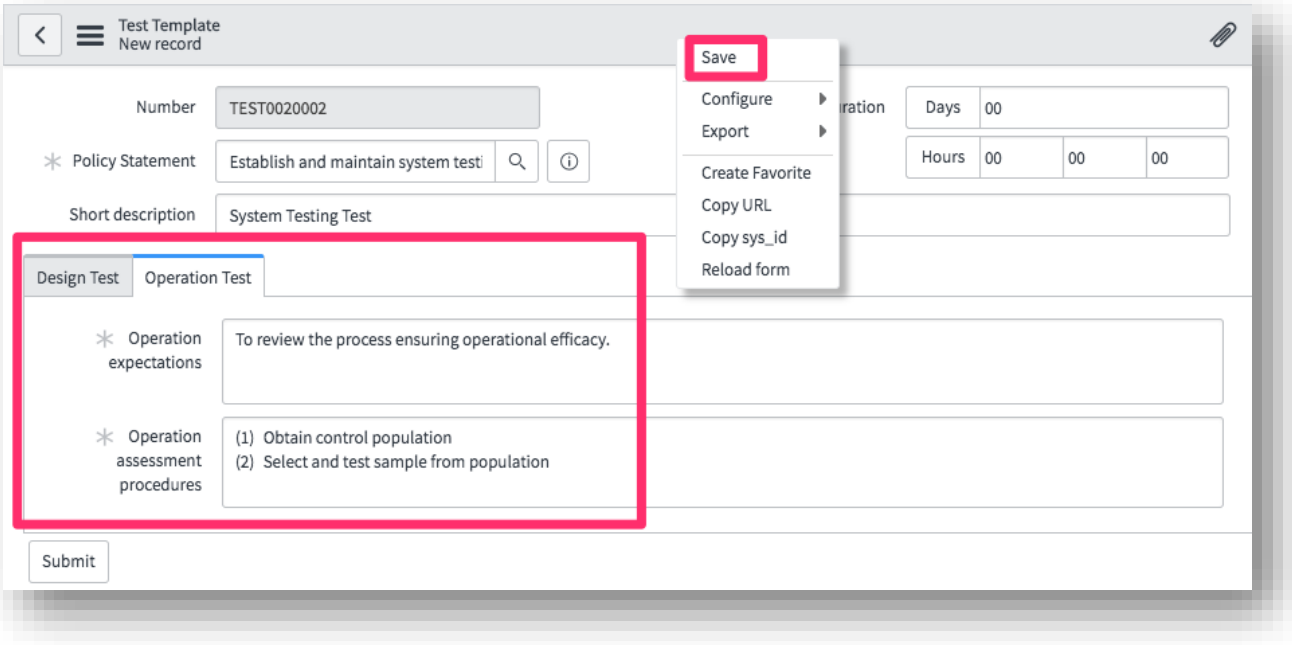


22. Click "**New**."

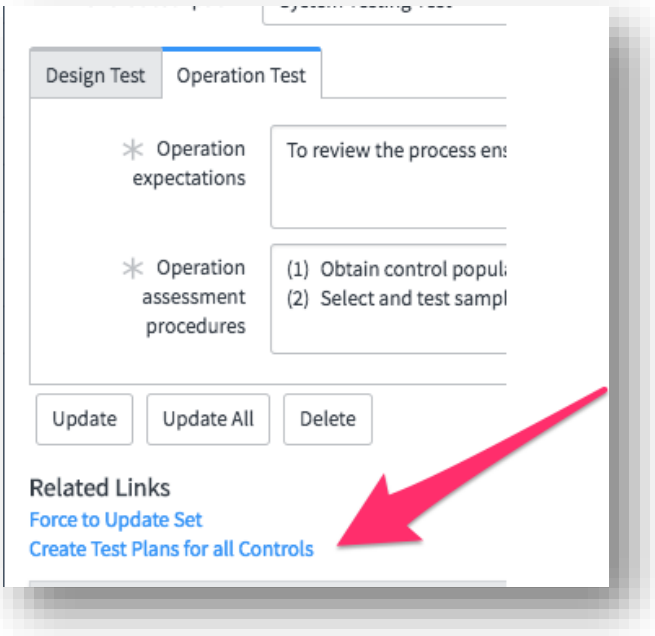
23. On the Record, Complete the following Fields:

    a. Short Description: **System Testing Test**
    b. <u>On the "**Design Test**" tab</u>
        i. Design expectations: **To review the process ensuring design efficacy.**
        ii. Design assessment procedures: (copy below)
            (1) Obtain design docs
            (2) Review design docs.
    c. <u>On the "**Operation Test**" tab</u>
        i. Operational expectations: **To review the process ensuring operational efficacy.**
        ii. Operational assessment procedures: (copy below)
            (1) Obtain control population
            (2) Select and test sample from population

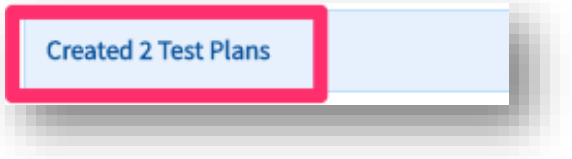
24. On the header bar, right-click and click "**Save**."



25. Click under Related Links: "**Create Test Plans for all Controls**."



a. You should see a banner at the top of the screen stating "**Created 2 Test Plans**"



26. Navigate back to the Profile Type record. (Click the back arrow twice – the record back button, not the browser back button).

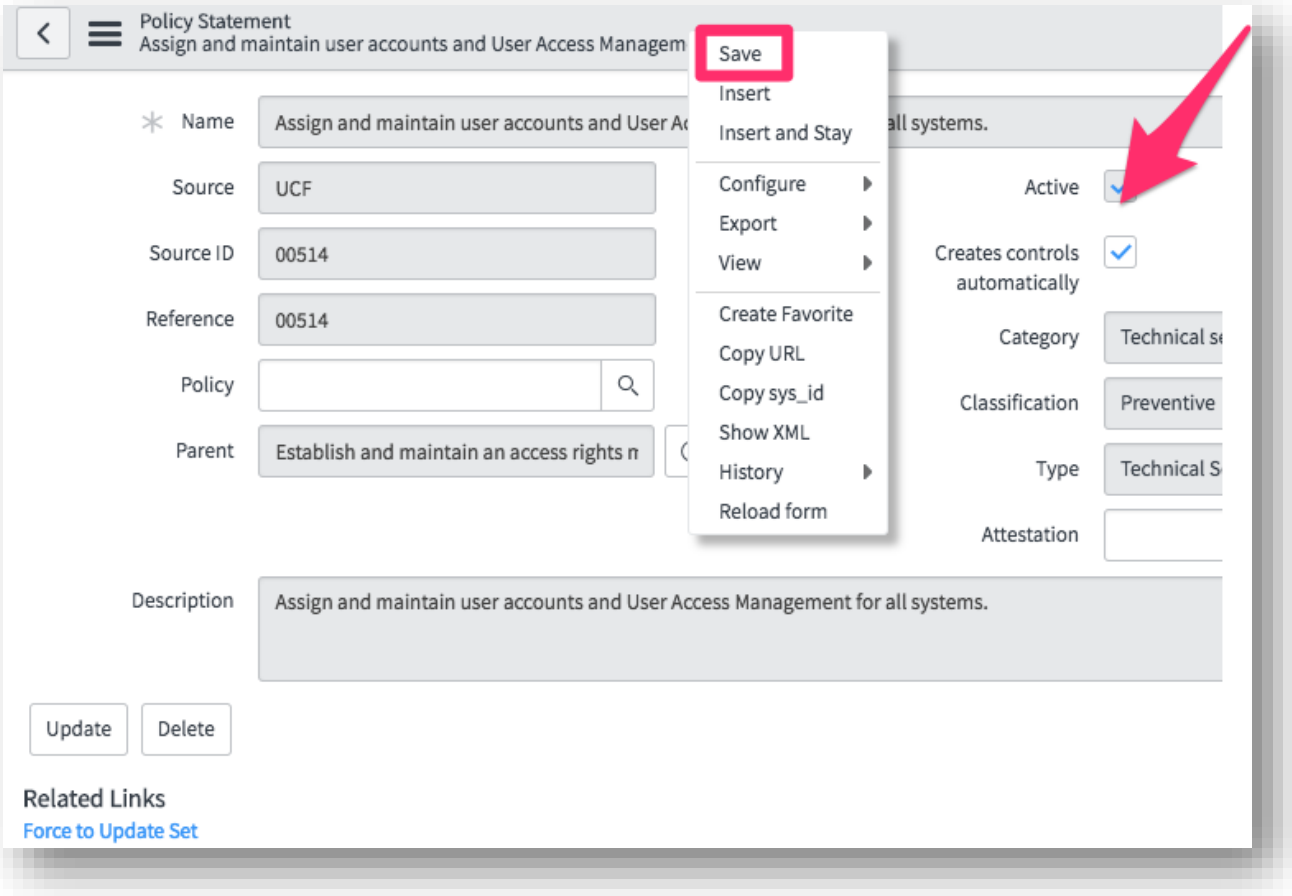


<u>Open Policy Statement:</u>
Assign and maintain user accounts and User Access Management for all systems

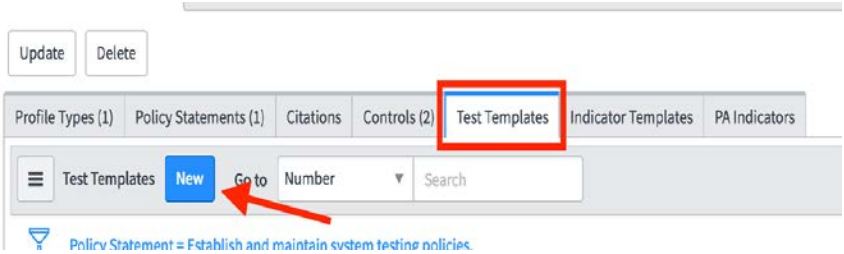
27. Click on the Policy Statement in the list.

28. Click the box for "**Create Controls Automatically**"

29. On the header bar, right-click and click "**Save**."



30. Select the "**Test Templates**" tab in the related list on the Policy Statement record.

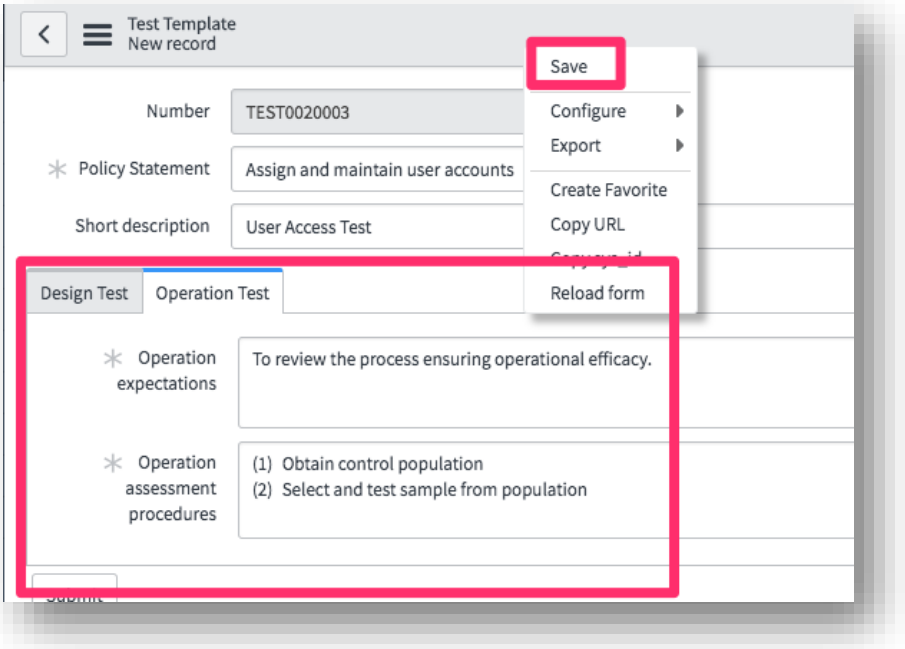


31. Click "**New**."

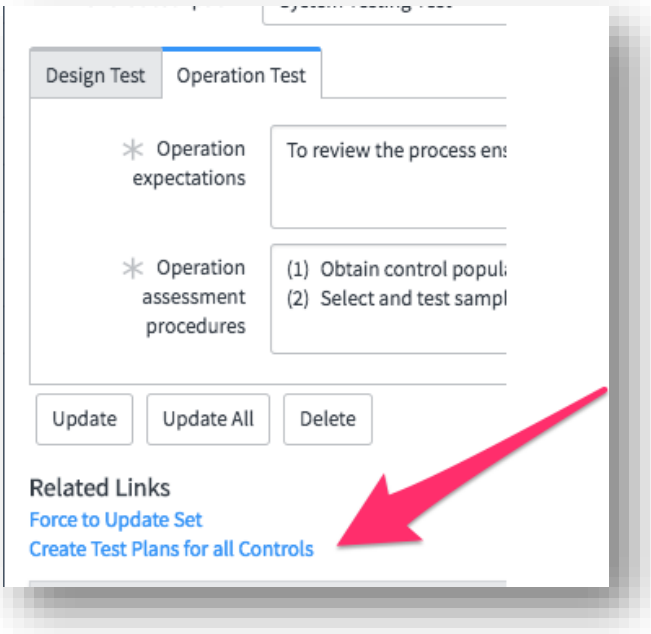
32. On the Record, Complete the following Fields:

    a. Short Description: **User Access Test**
    b. <u>On the "**Design Test**" tab</u>
        i. Design expectations: **To review the process ensuring design efficacy.**
        ii. Design assessment procedures: (copy below)
            (1) Obtain design docs
            (2) Review design docs.
    c. <u>On the "**Operational Test**" tab</u>
        i. Operational expectations: **To review the process ensuring operational efficacy.**
        ii. Operational assessment procedures: (copy below)
            (1) Obtain control population
            (2) Select and test sample from population

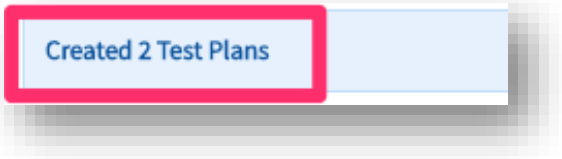
33. On the header bar, right-click and click "**Save**."



34. Click under Related Links: "**Create Test Plans for all Controls**."



a. You should see a banner at the top of the screen stating "**Created 2 Test Plans**"



35. Navigate back to the Profile Type record. (Click the back arrow twice – the record back button, not the browser back button).



Lab Goal

This lab explains how to create Indicator Templates and Indicators associated to Risk Statements and Policy Statements, and Risks and Controls, respectively. These are the automated tasks that are generated to evaluate system data or create tasks to validate Risk scores or Control compliance. They collect data to monitor controls and risks and collect audit evidence.

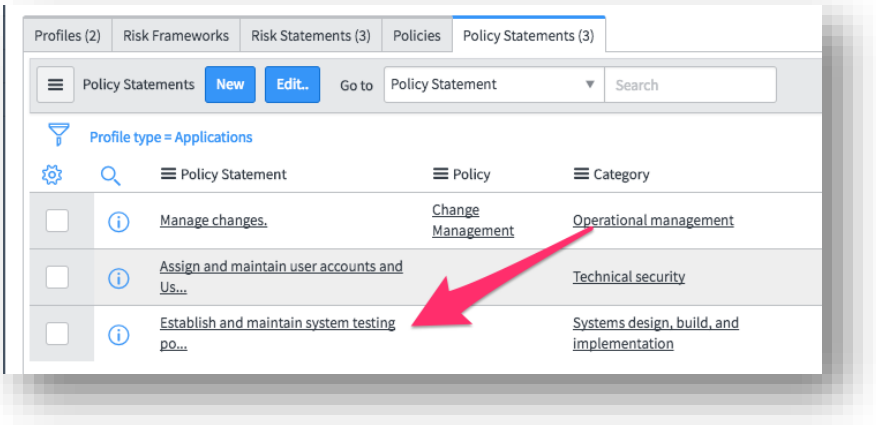
Lab 1.4 Creating Indicator Templates and Indicators

1. Navigate to the **Audit** application by scrolling through the application Navigator Pane on the left or by typing **Audit** in the Application Filter.
2. Expand the **Audit** section and navigate to the **Scoping** section, and click on **Profile Types**.
3. Click on the "**Applications**" profile type.
4. Select the "**Policy Statements**" tab in the related lists at the bottom of the Profile Type record.

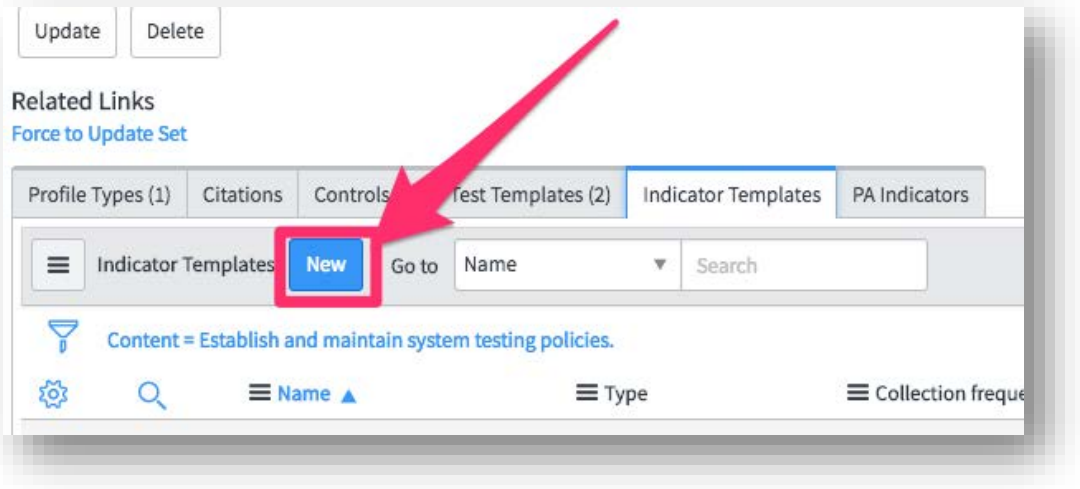
   You will be creating an Indicator Template for 2 of the 3 selected Policy Statements in the following steps. The "Manage changes" policy statement template already exists.

   Open Policy Statement:
   Establish and maintain system testing policies

5. Click on the Policy Statement in the list.



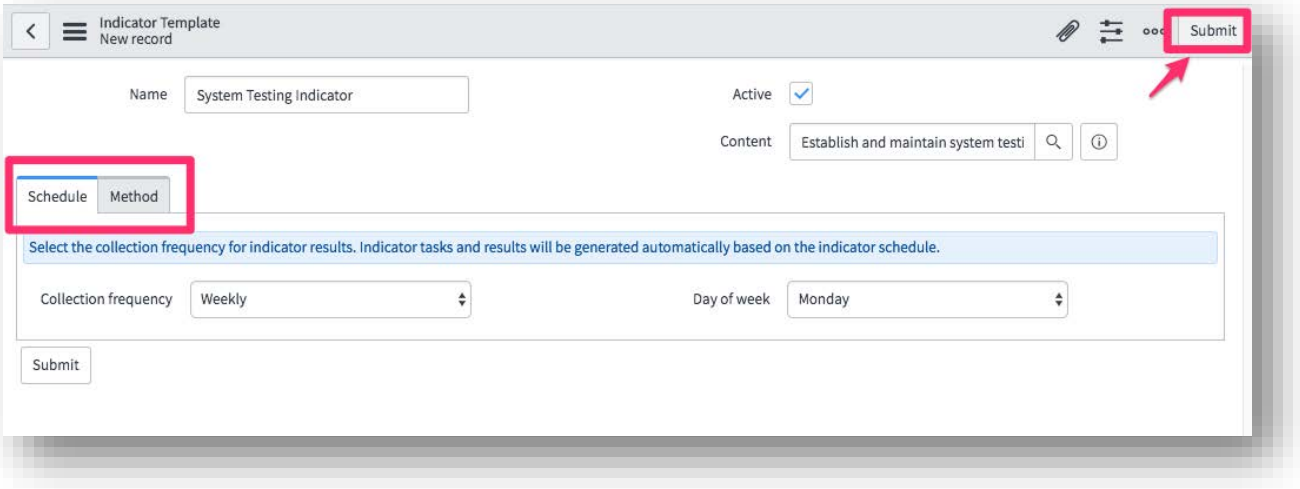
6. Select the "**Indicator Templates**" tab in the related list on the Policy Statement record.



7. Click "**New**."
8. On the Record, Complete the following fields:

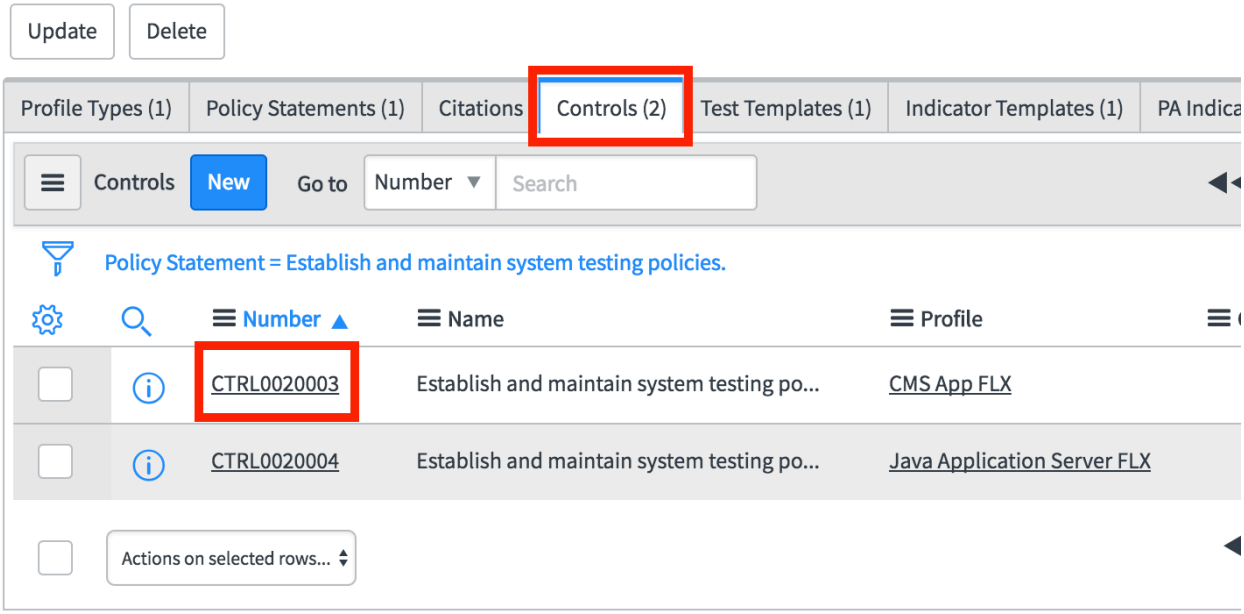
   a. Name: **System Testing Indicator**
   b. On the *Schedule Tab – Collection Frequency*: select "**Weekly**"; *Day of Week* "**Monday**"
   c. On the *Method Tab*
      i. Type: **Manual**
      ii. Short Description: **System Testing Indicator**
      iii. Instructions: **Attach Evidence**

9. On the header bar, click "**Submit**."



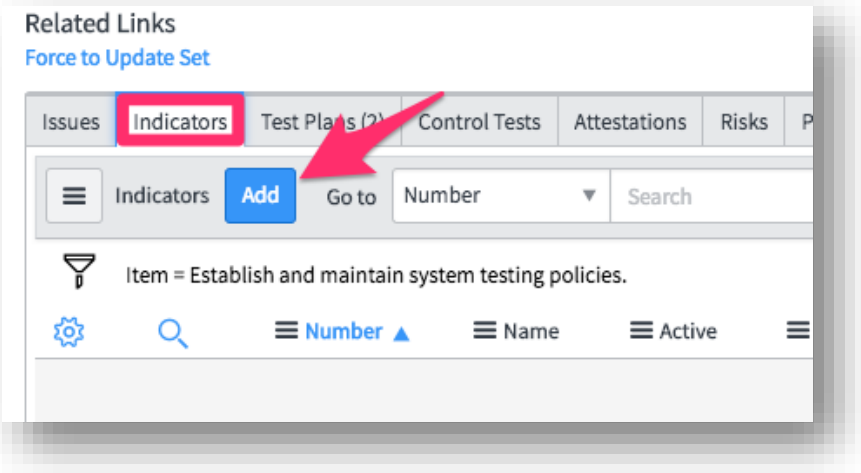
10. Select the "**Controls**" tab in the related list on the Policy Statement record.

11. Click on the first control number (**CTR00xxxxx**) to open the Control record.

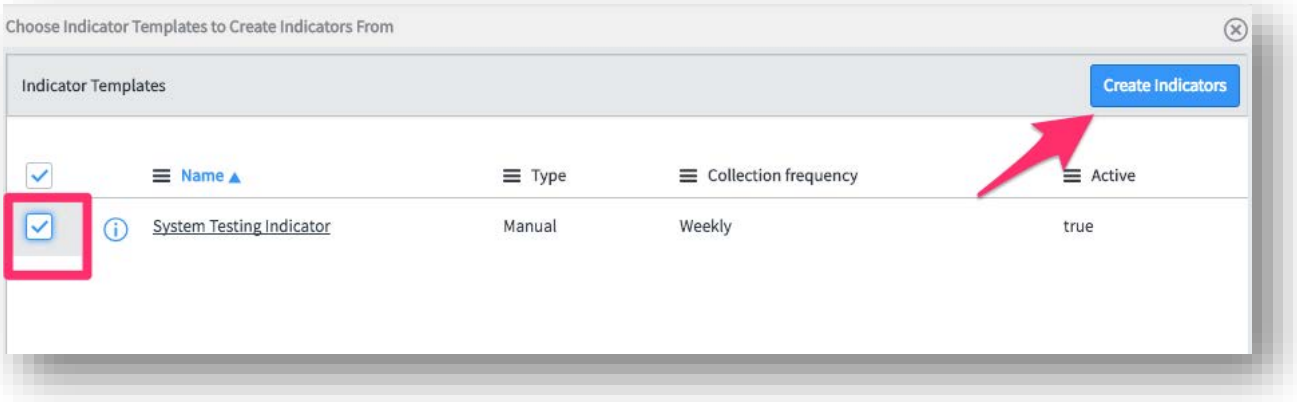


12. Select the "**Indicators**" tab in the related list on the Control record.

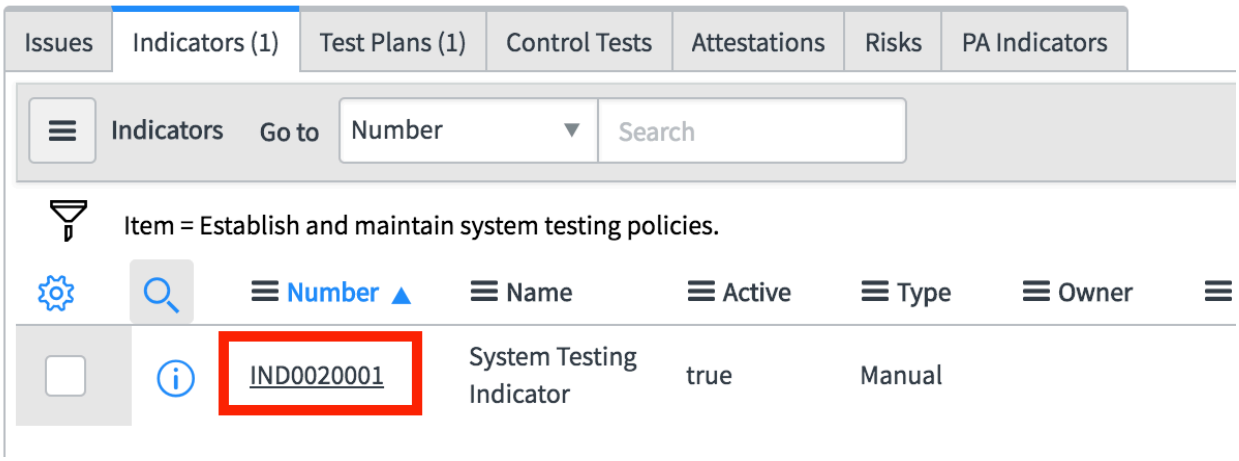
13. Click "**Add**."



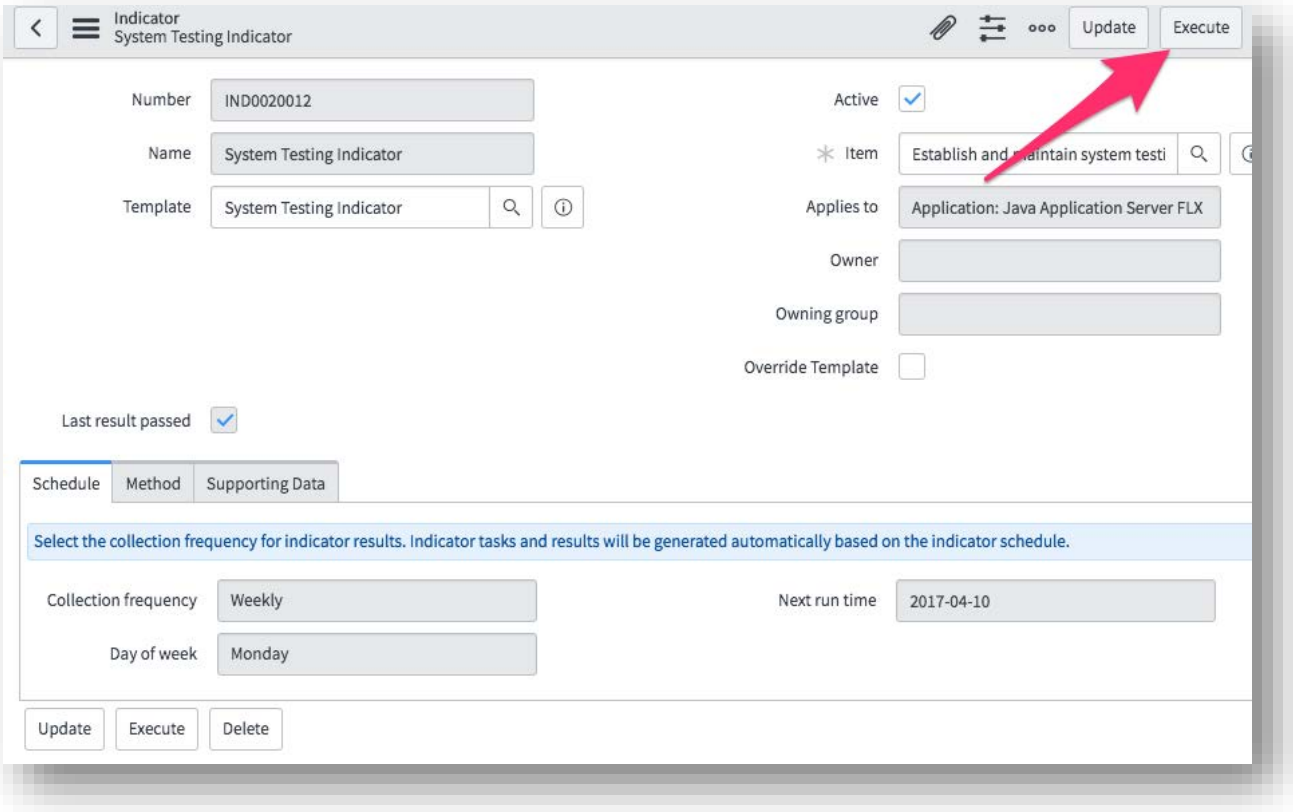
14. Select the indicator by clicking the box next to it and then clicking the "**Create Indicators**" button. You should now see your indicator for that control.



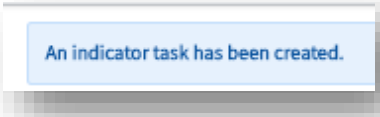
15. Click on the Indicator number (**IND00xxxxx**). This opens the indicator record.



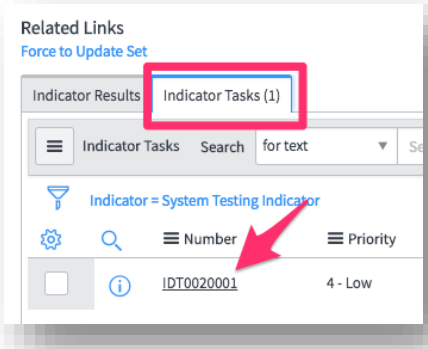
16. Click on the Execute button.



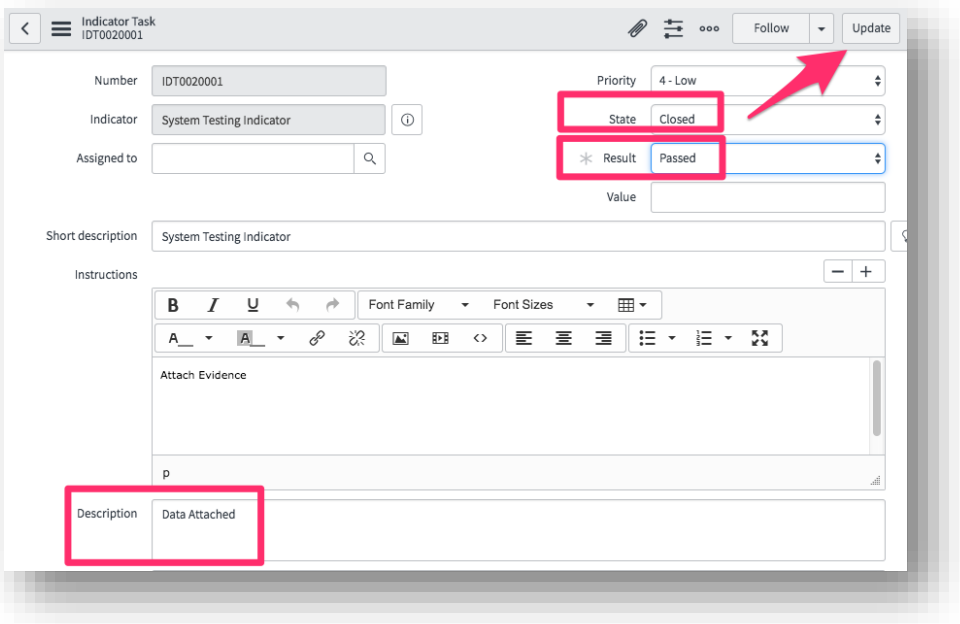
17. Select the “Indicator Tasks” tab in the related lists.



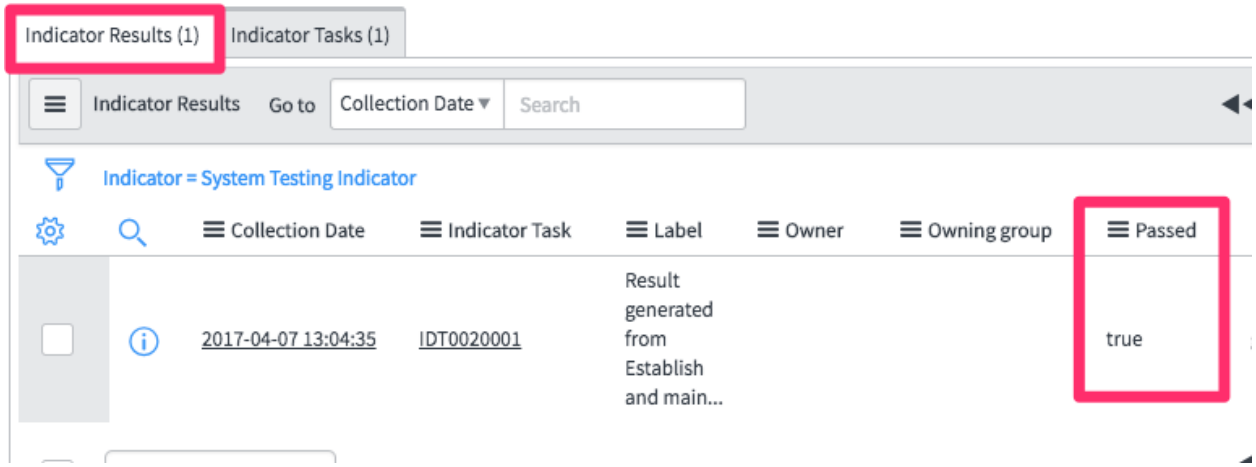
18. Click the indicator task number (**IDT00xxxxx**). This opens the indicator task.



19. Complete the task (Note that the Result is required when the State changes to closed):
    a. Description: **Data Attached**
    b. State: **Closed**
    c. Result: **Passed**



20. Click the "**Update**" button. (This will create an indicator result)



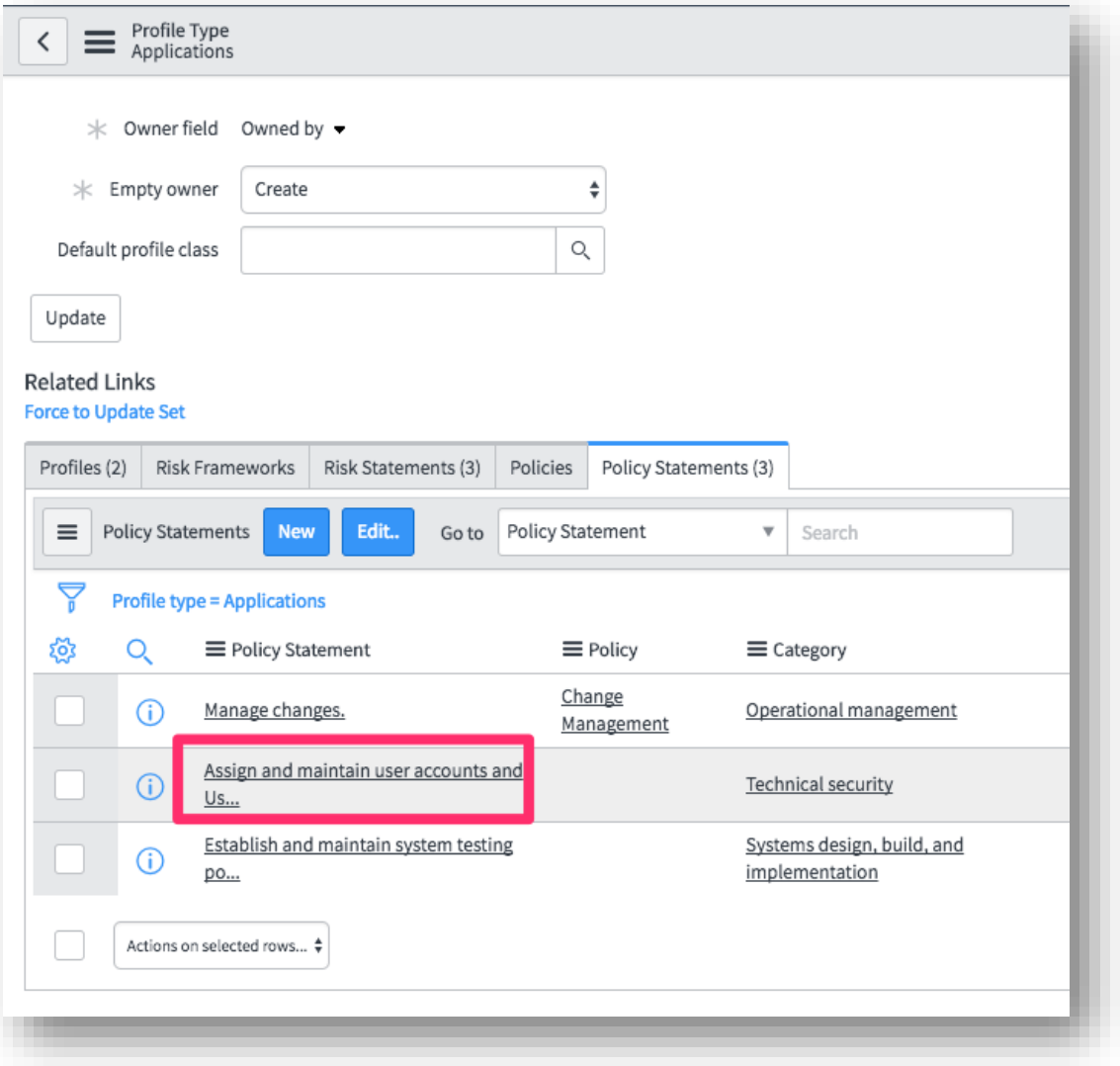
21. Navigate back to Profile Type. (Click the back arrow twice.)



Open Policy Statement:

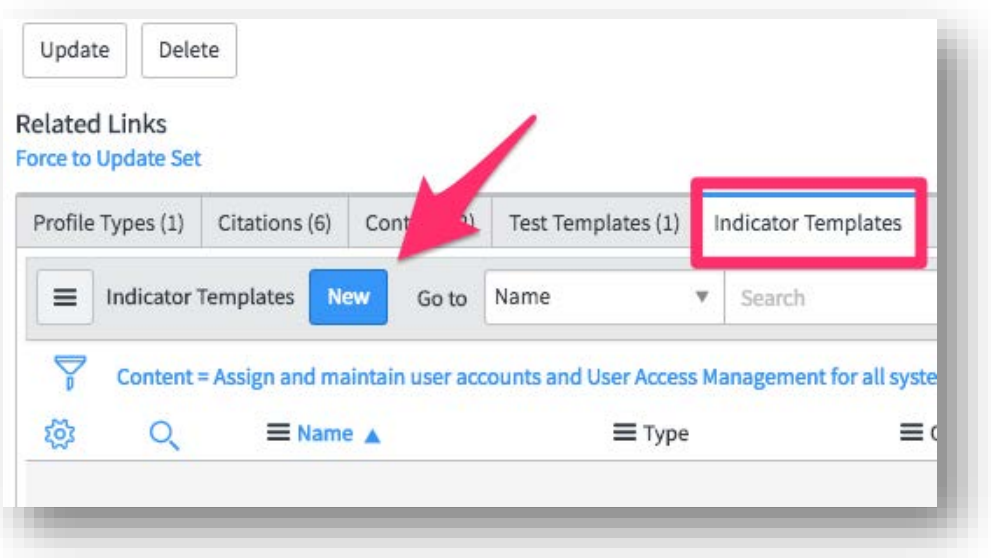
Assign and maintain user accounts and User Access Management for all systems

22. Click on the Policy Statement in the list.



23. Select the "**Indicator Templates**" tab in the related list on the Policy Statement record.

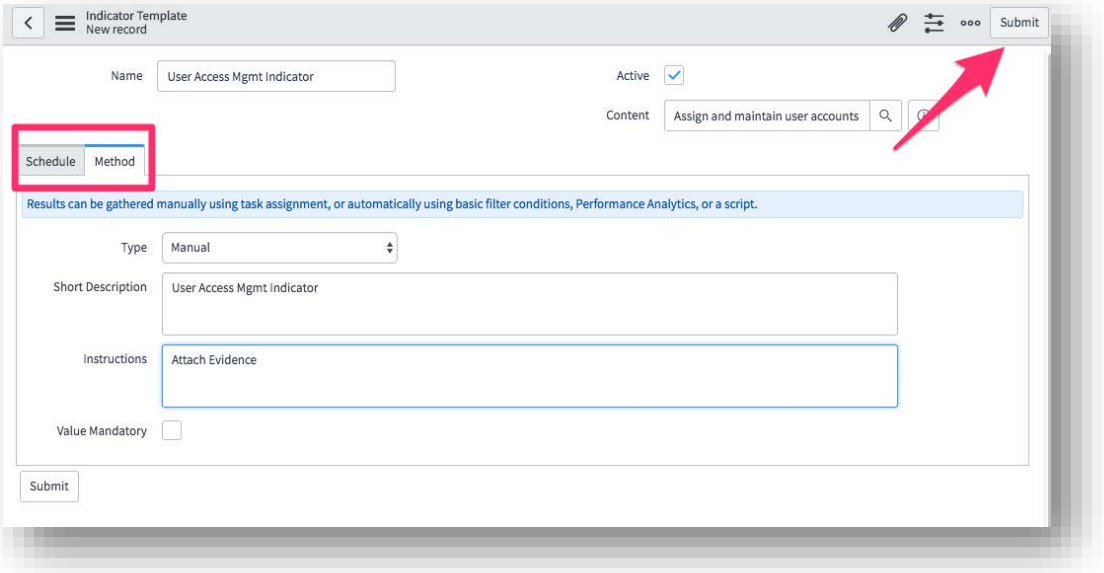
24. Click "**New**."



25. On the Record, Complete the following Fields:

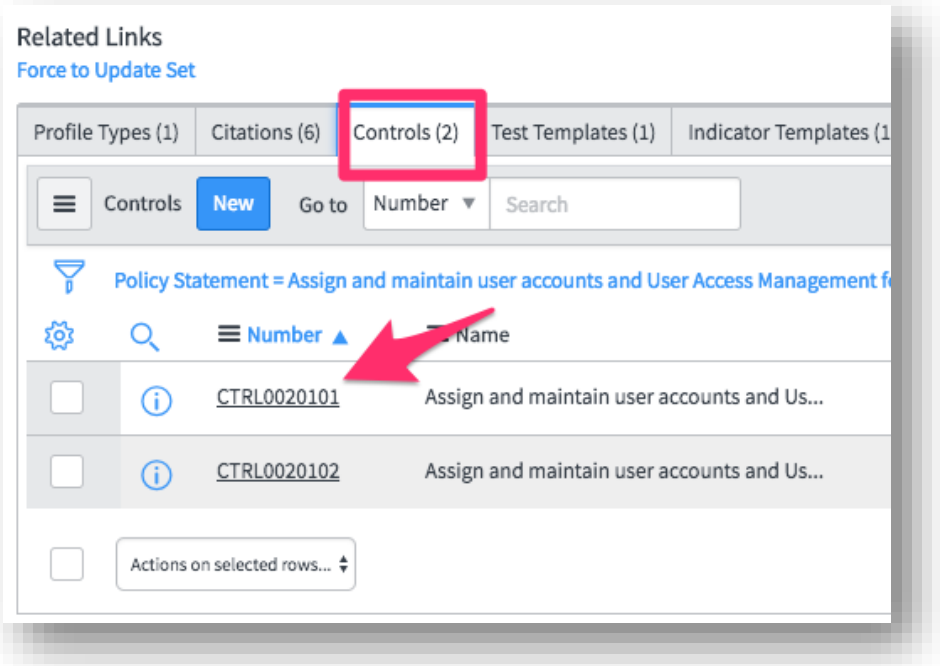
    a. Name: **User Access Mgmt Indicator**
    b. On the *Schedule Tab – Collection Frequency*: select "**Quarterly**"
    c. On the *Method Tab*
        i. Type: **Manual**
        ii. Short Description: **User Access Mgmt Indicator**
        iii. Instructions: **Attach Evidence**

26. On the header bar, right-click and click "**Submit**."



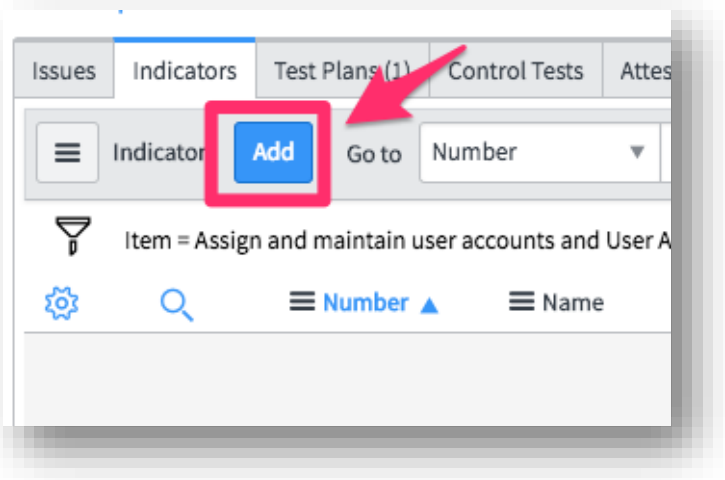
27. Select the "**Controls**" tab in the related list on the Policy Statement record.

28. Click on the first control number (**CTR00xxxxx**) to open the Control record.

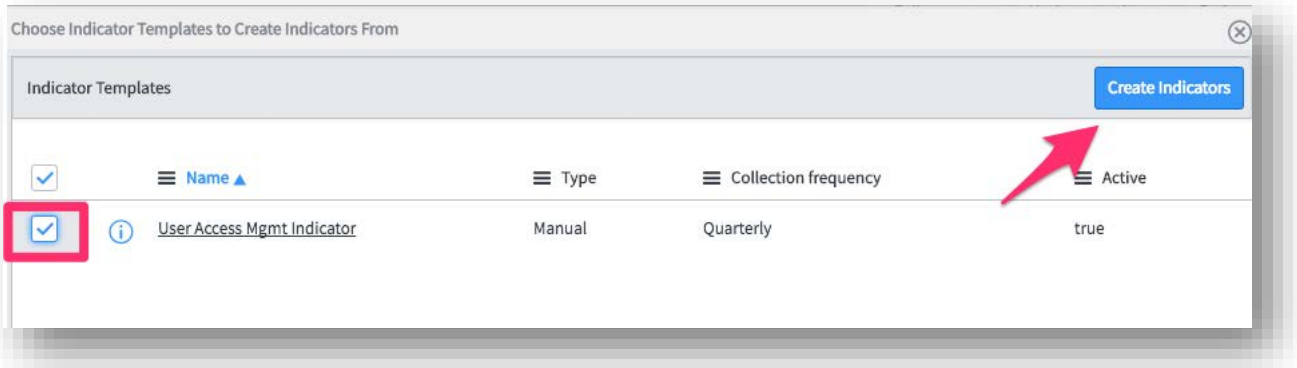


29. Select the "**Indicators**" tab in the related list on the Control record.

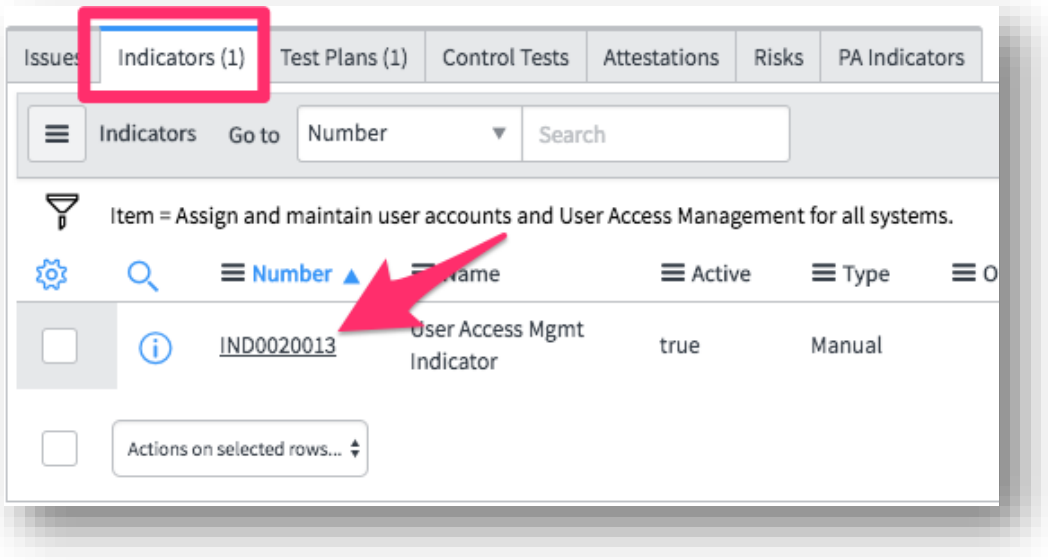
30. Click "**Add**."



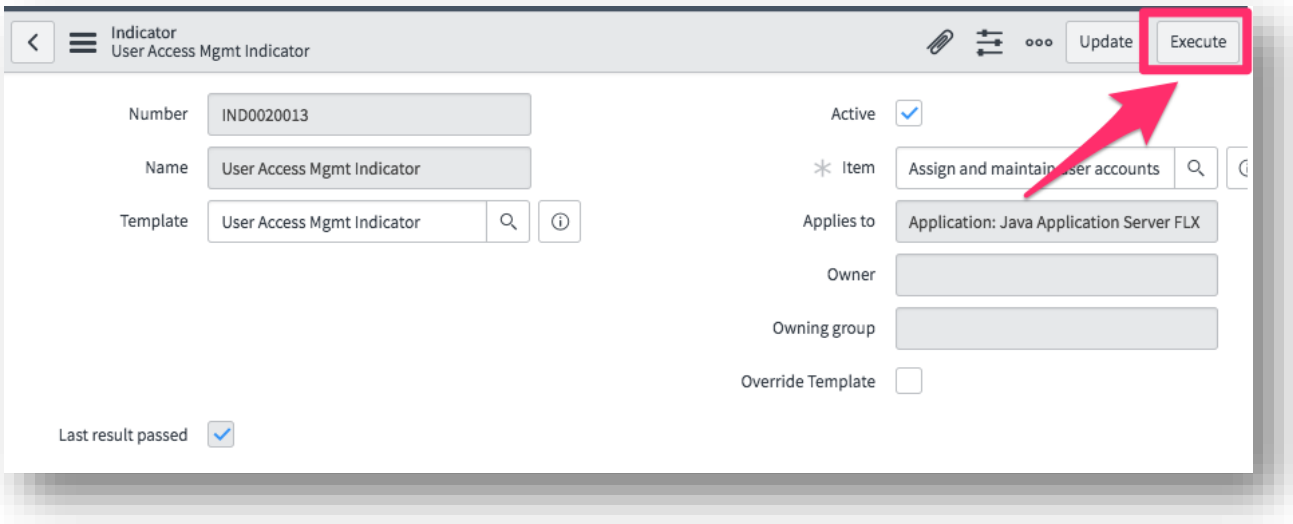
31. Select the indicator by clicking the box next to it and then clicking the "**Create Indicators**" button. You should now see your indicator for that control.



32. Click on the Indicator number (**IND00xxxxx**). This opens the indicator record.

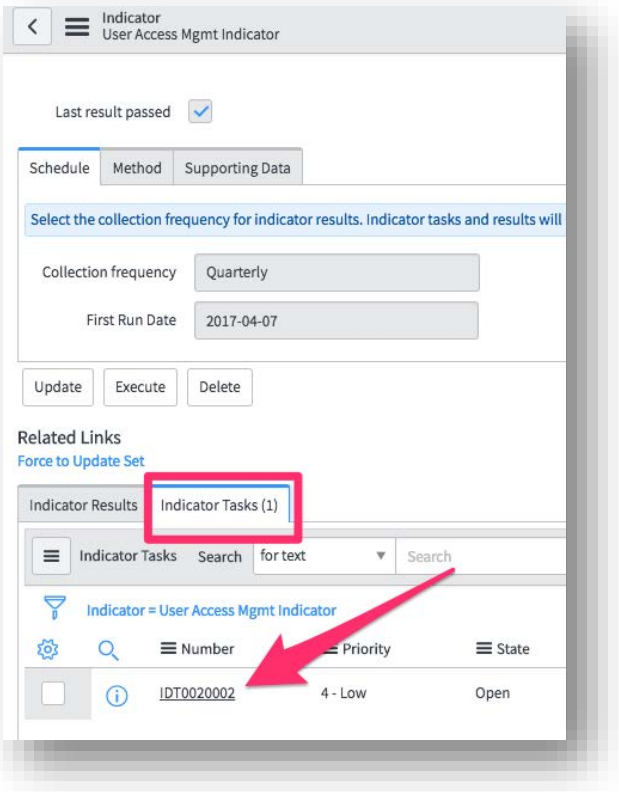


33. Click on the Execute button.



34. Select the "Indicator Tasks" tab in the related lists.

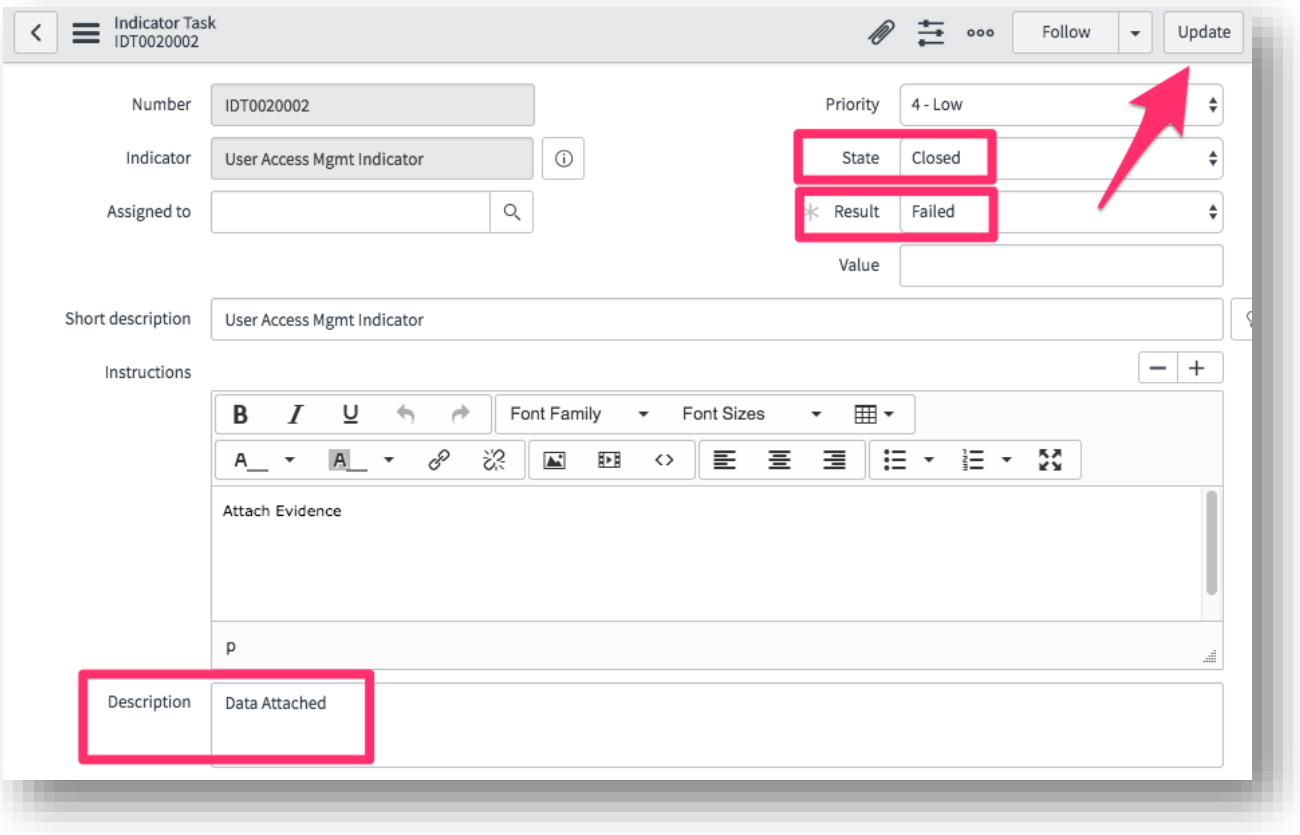
35. Click the indicator task number (**IDT00xxxxx**). This opens the indicator task.



36. Complete the task:

a. Description: **Data Attached**
b. State: **Closed**
c. Result: **Failed**

37. Click the "**Update**" button. (This will create an indicator result)



38. Navigate back to the Profile Type record. (Click the back arrow twice.)



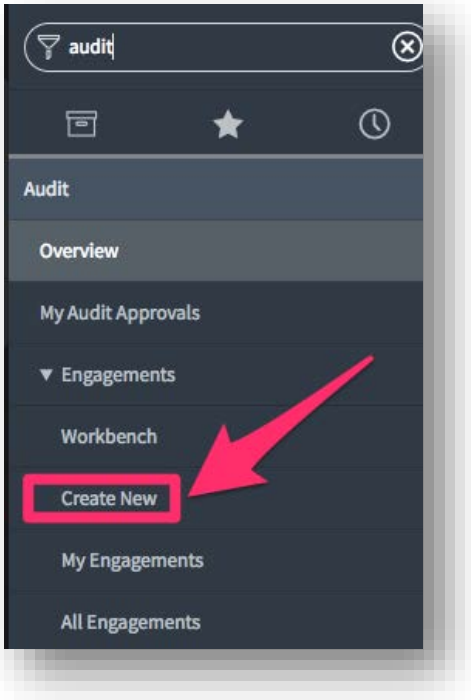
Lab Goal

This lab explains how to create an Audit Engagement. This will step you through the process of selecting your profiles for the audit as well as moving the audit from the "Scope" phase, which brings in the related Risks, Controls, and Indicators for the selected profiles, to the "Fieldwork" phase, where testing can begin.

Lab 2
Creating an Audit Engagement

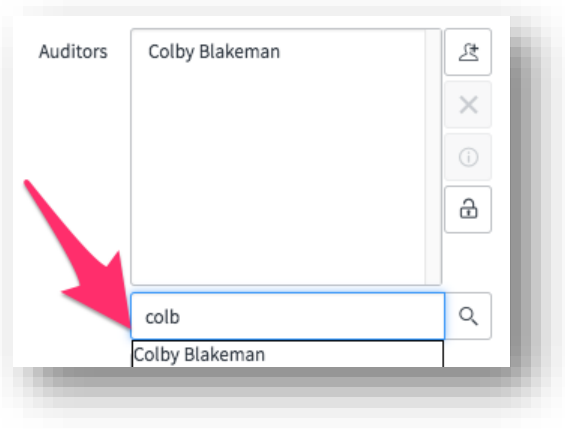
1. Navigate to the **Audit** application by scrolling through the application Navigator Pane on the left <u>or</u> by typing **Audit** in the Application Filter.

2. Expand the **Audit** section and navigate to the **Engagements** section, and click on **Create New**.



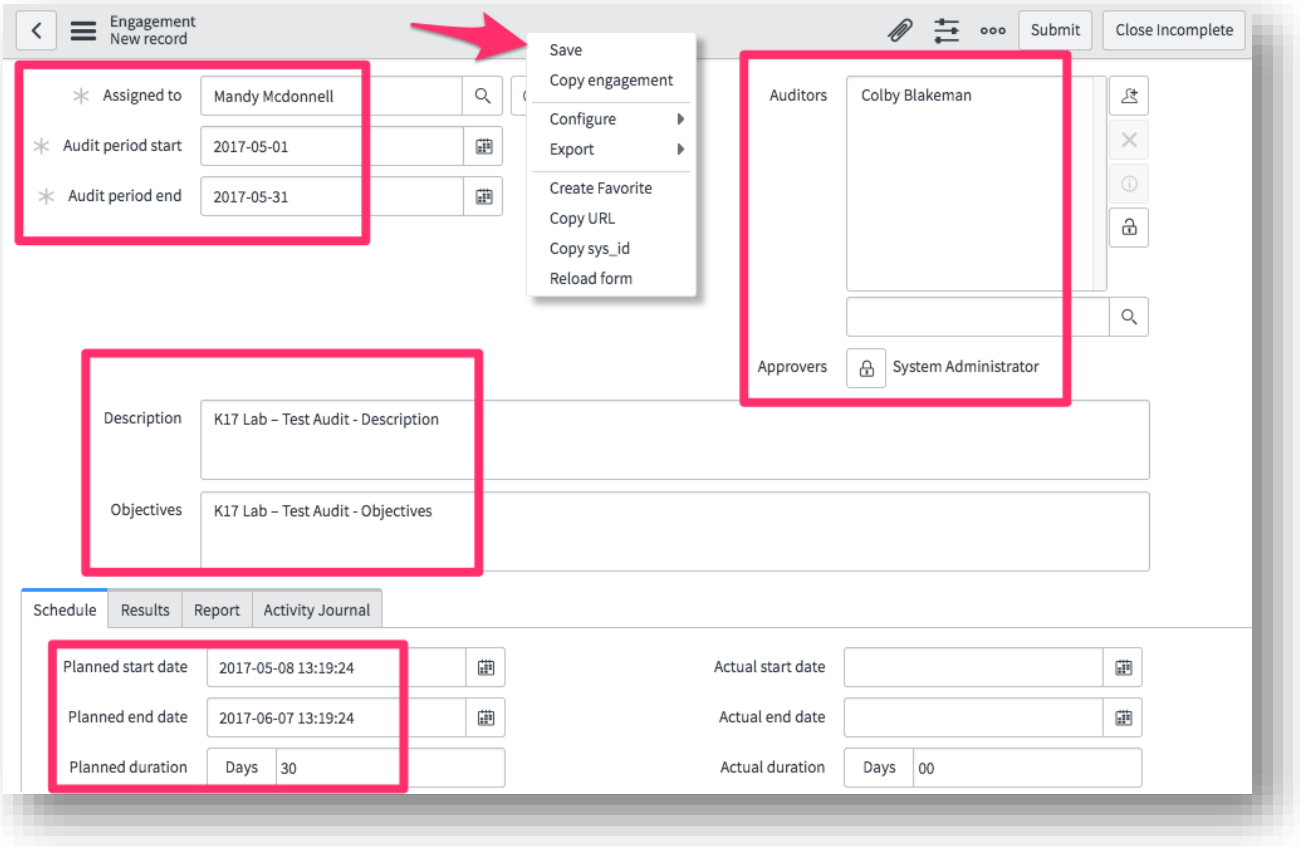
3. Complete the form as follows:

   a. Name: **K17 Lab – Test Audit**
   b. Assigned to: **Mandy Mcdonnell**
   c. Audit period start: **2017-05-01**
   d. Audit period end: **2017-05-31**
   e. Description: **K17 Lab – Test Audit - Description**
   f. Objectives: **K17 Lab – Test Audit - Objectives**
   g. Auditors: **Colby Blakeman**
      i. Click the  button
      ii. Click in the  and enter Colby and select Colby.



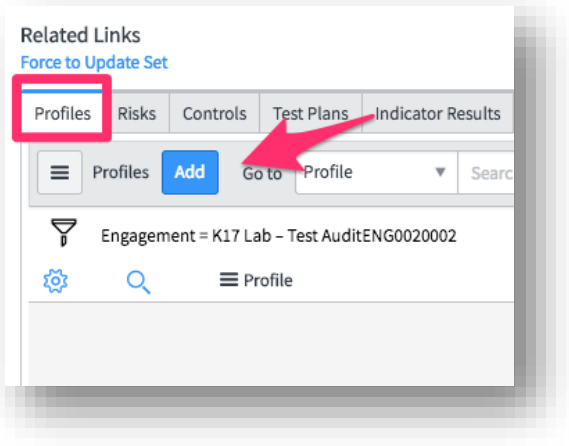
   h. Approvers: Click the  button (This adds your ID here, currently System Admin)
   i. Planned start date: **2017-05-08**
   j. Planned duration – Days: **30**

4. On the header bar, right click and click "**Save**."



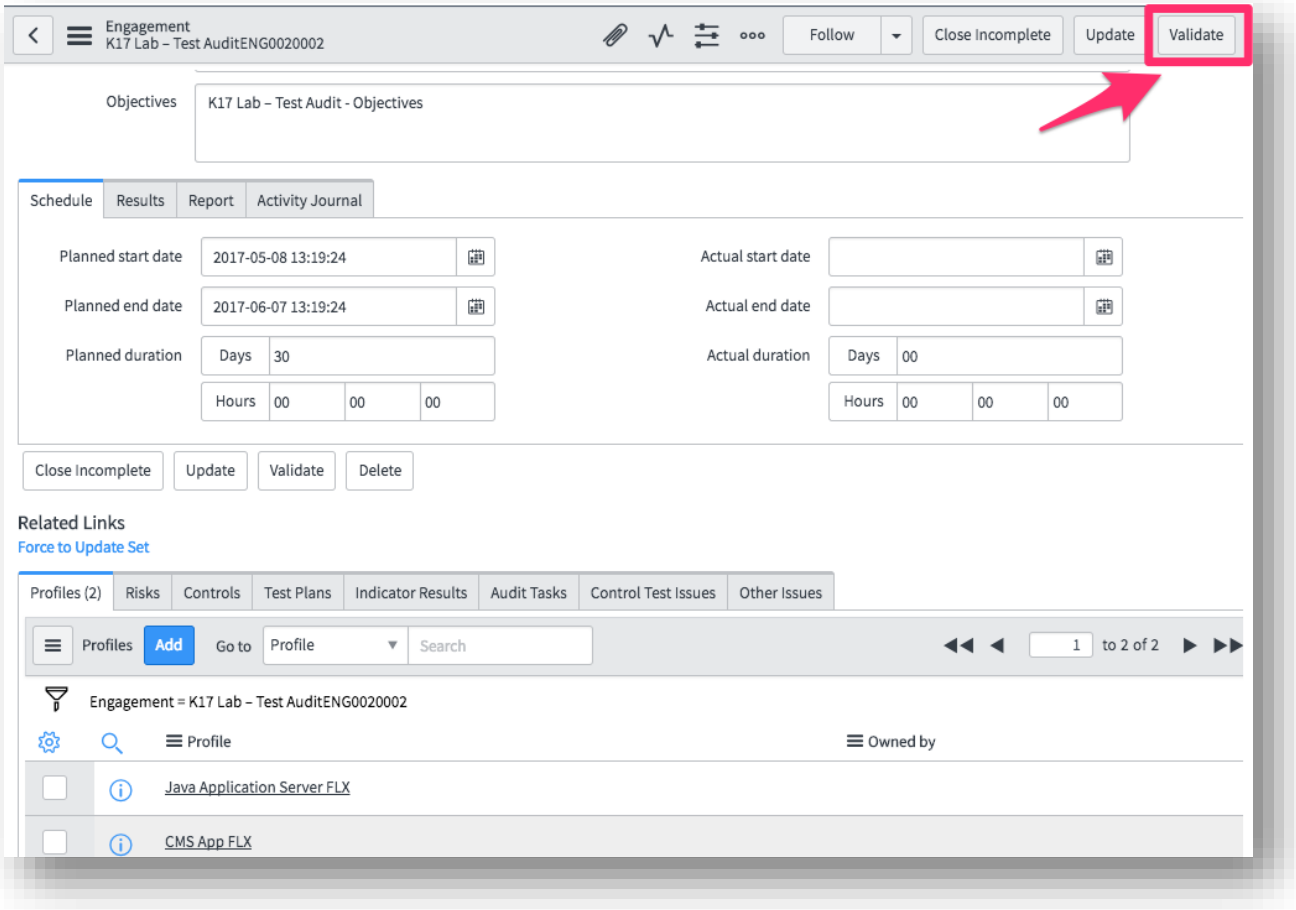
5. Scroll to the bottom of the Audit form. Select the "**Profiles**" tab in the related list on the Audit Engagement record.

6. Click "**Add**."

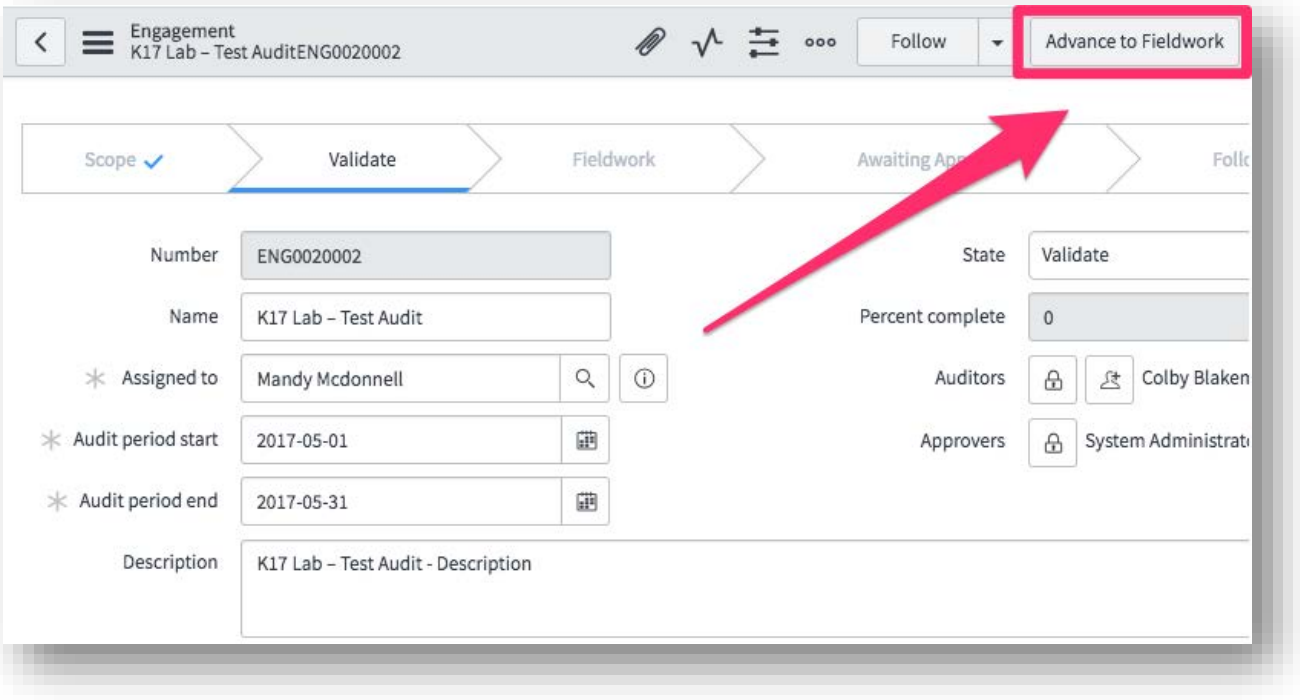


7. Filter the profiles by selecting the icon. And enter "***FLX**" under the Name field. Select the necessary profiles by clicking the box next to it and then clicking the "**Add**" button. You should now see your profiles for that audit engagement.

8. Click the Validate button to advance the audit to the Validate state and bring in all the Risks, Controls, and Indicators for the profiles.



9. Click the Advance to Fieldwork button to advance the audit to the Fieldwork state.



10. Remain on this screen for the next lab. This allows you to skip steps 1 & 2 in the next lab.

Lab Goal

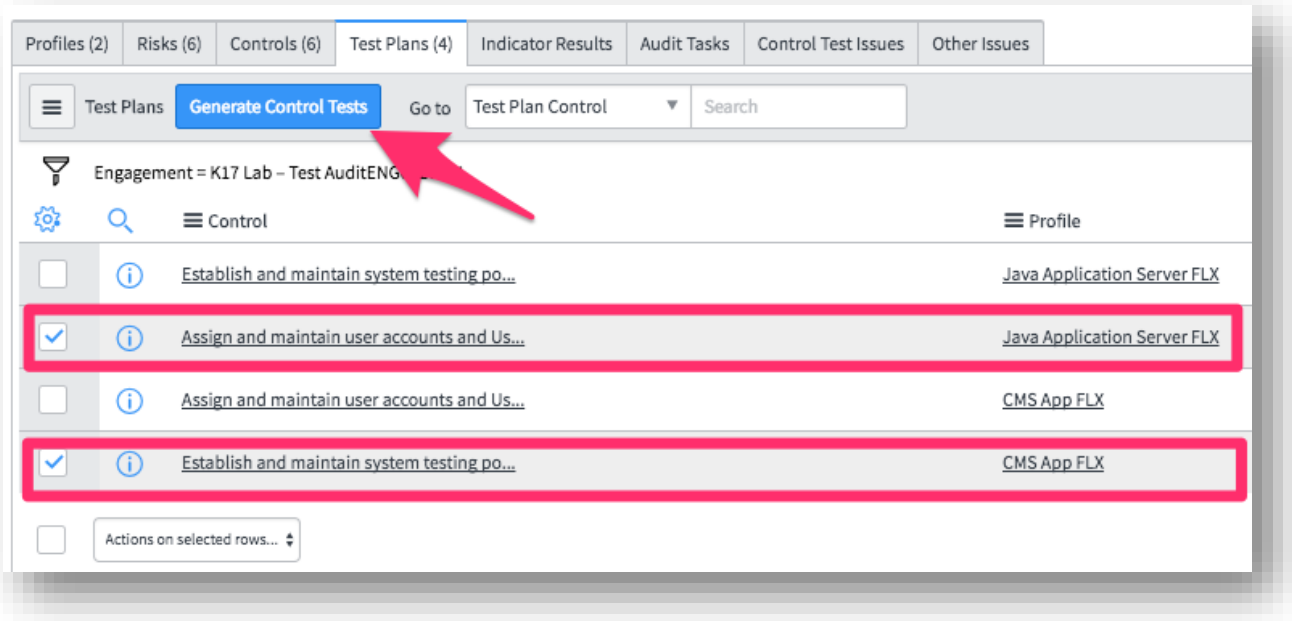
This lab explains how to execute an Audit Engagement. This will step you through the process of selecting and completing Control Tests based on your previously defined "Test Plans." You will also create additional "Audit Activities," such as an Interview. You will have one "Effective" and one "Ineffective" control test at the end of this lab, which will lead to the creation of an "Issue." Issues can be aligned to a Control Test or a general audit Issue.

Lab 3 Executing an Audit Engagement

1. Navigate to the **Audit Management** application by scrolling through the application Navigator Pane on the left or by typing **Audit Management** in the Application Filter.
2. Select "**All Engagements**." Then select *K17 Lab – Test Audit*.
3. Select the "**Test Plans**" tab in the related list on the Audit Engagement record.
4. Put a checkmark in the box next to the following two items:

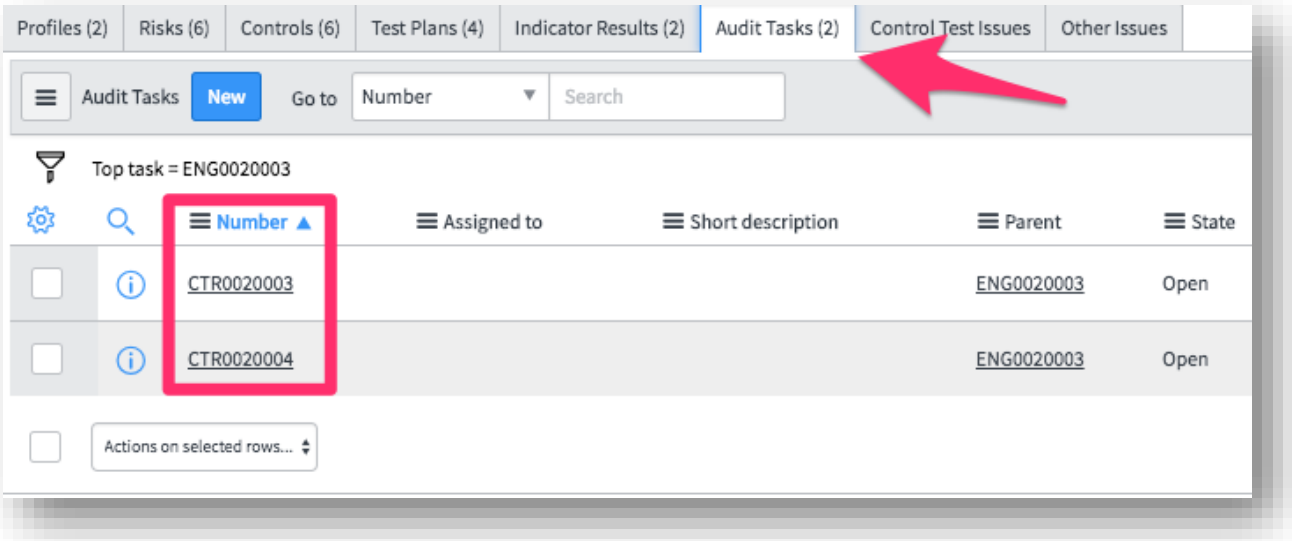
Test Plan	Control	Profile
User Access Test	Assign and maintain user accounts and Us...	Java Application Server FLX
System Testing Test	Establish and maintain system testing po...	CMS App FLX

5. Click the Generate Control Tests button to advance the audit to the Fieldwork state. This will generate two "Control Tests."

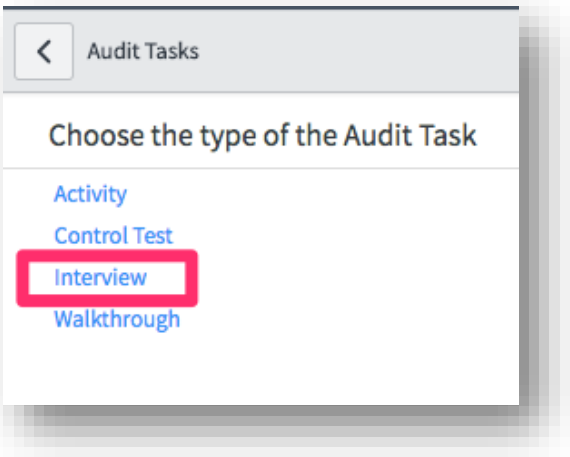


6. Select the "**Audit Tasks**" tab in the related list on the Audit Engagement record.

   a. You should see the 2 control tests there.



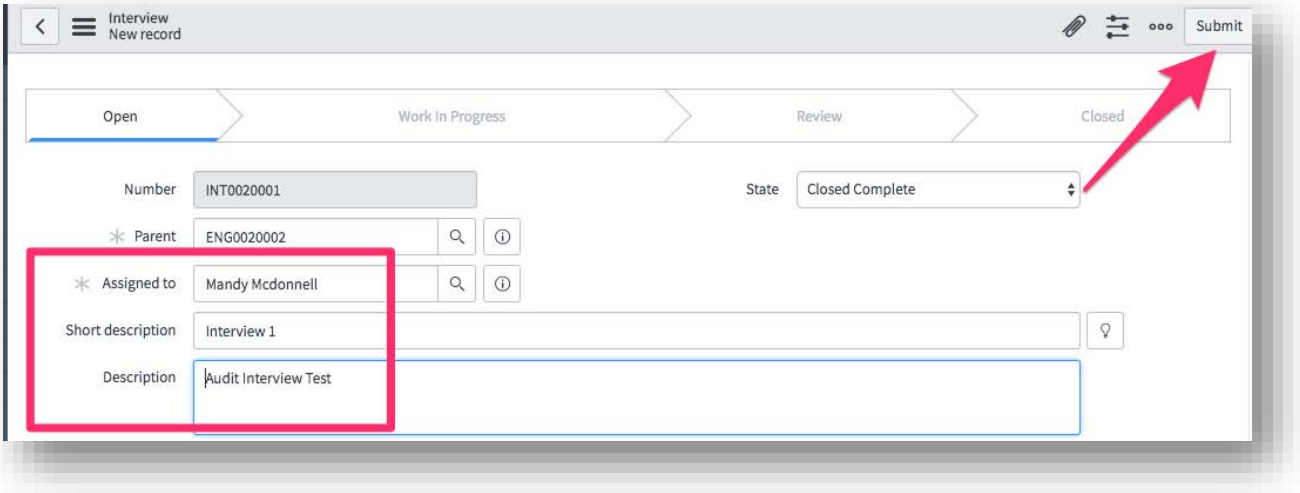
7. Click "**New**" and then select "*Interview*."



8. Complete the form as follows:

   a. Assigned to: **Mandy Mcdonnell**
   b. Short Description: **Interview 1**
   c. Description: **Audit Interview Test**
   d. State: **Closed Complete**

9. Click "**Submit**."



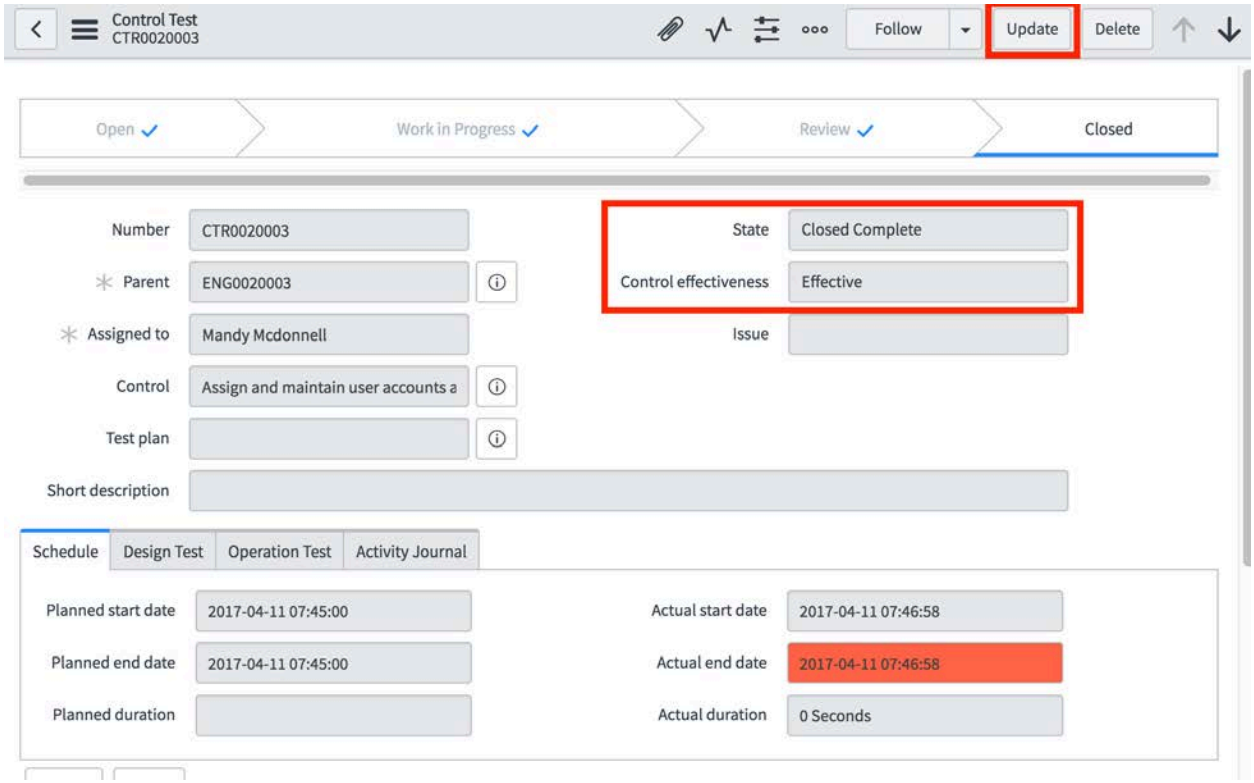
Complete your 2 Control Tests.

10. Click your first Control Test number (**CTR00xxxxx**)

11. Complete as follows:

    a. Assigned to: **Mandy Mcdonnell**
    b. State: **Closed Complete**
    c. Select the "**Design Test**" tab in the on the Control Test form.
    d. Design effectiveness: **Effective**
    e. Design results: "**Passed**"
    f. Select the "**Operational Test**" tab in the on the Control Test form.
    g. Operational effectiveness: **Effective**
    h. Operational results: "**Passed**"

12. Click "**Update**."

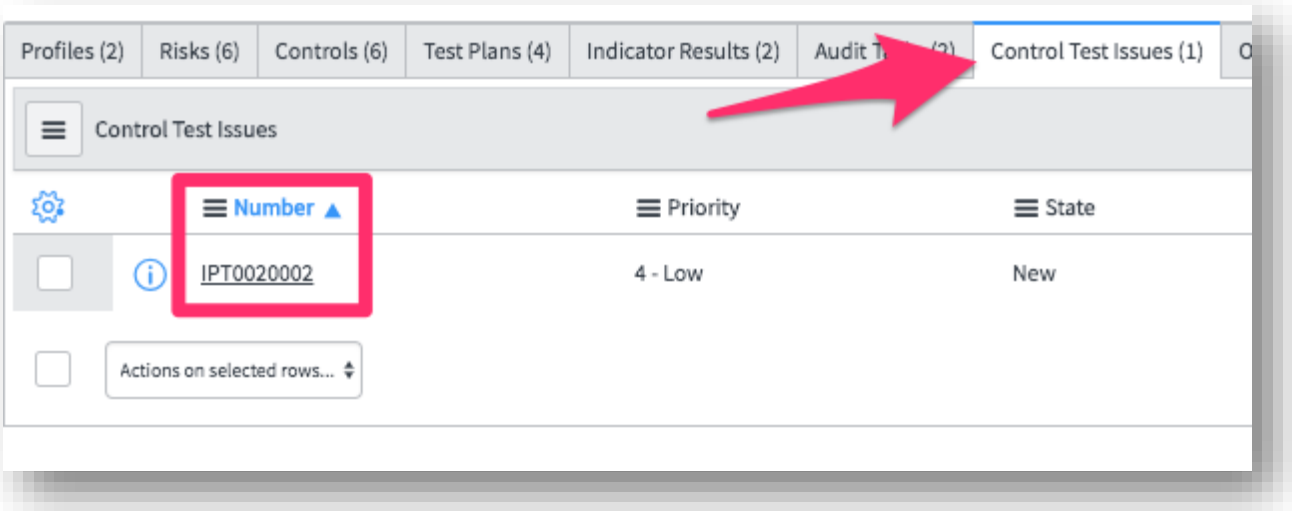


13. Click your second Control Test number (**CTR00xxxxx**)

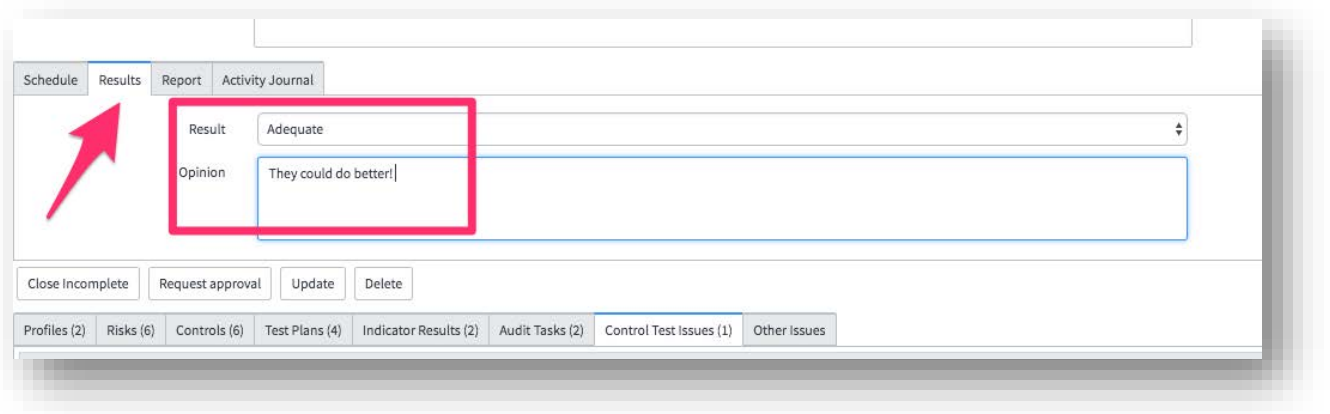
14. Complete as follows:

    a. Assigned to: **Colby Blakeman**
    b. State: **Closed Complete**
    c. Select the "**Design Test**" tab in the on the Control Test form.
    d. Design effectiveness: **Effective**
    e. Design results: "**Passed**"
    f. Select the "**Operational Test**" tab in the on the Control Test form.
    g. Operational effectiveness: **Ineffective**
    h. Operational results: "**Failed**"

15. Click "**Update**."
    a. Note that an "Issue" record was created. This is visible on the "**Control Test Issues**" tab in the related list on the Audit Engagement record.



16. Select the "**Results**" tab in the related list on the Audit Engagement record.



17. Complete as follows:

    a. Result: **Adequate**
    b. Opinion: "**They could do better!**"

18. Remain on this screen for the next lab. This allows you to skip steps 1 & 2 in the next lab.

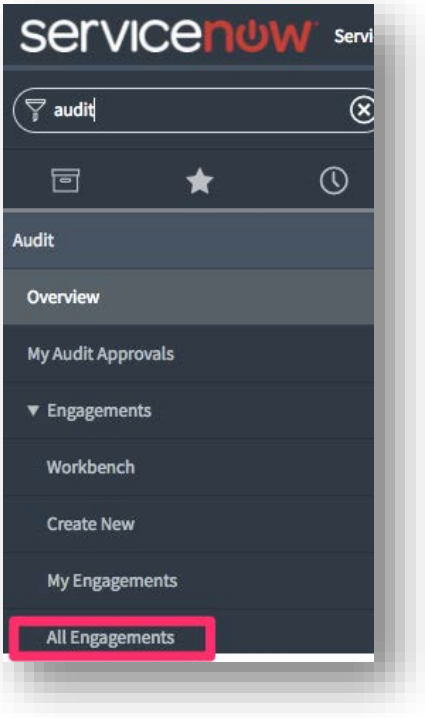
Lab Goal

This lab explains how the system can be used to generate "Audit reports" once an Audit Engagement has been completed. This will ensure a common report template is used and reports are properly distributed.

Lab 4
Audit Reporting

1. Navigate to the **Audit** application by scrolling through the application Navigator Pane on the left or by typing **Audit** in the Application Filter.

2. Select "**All Engagements**." Then select *K17 Lab – Test Audit*.



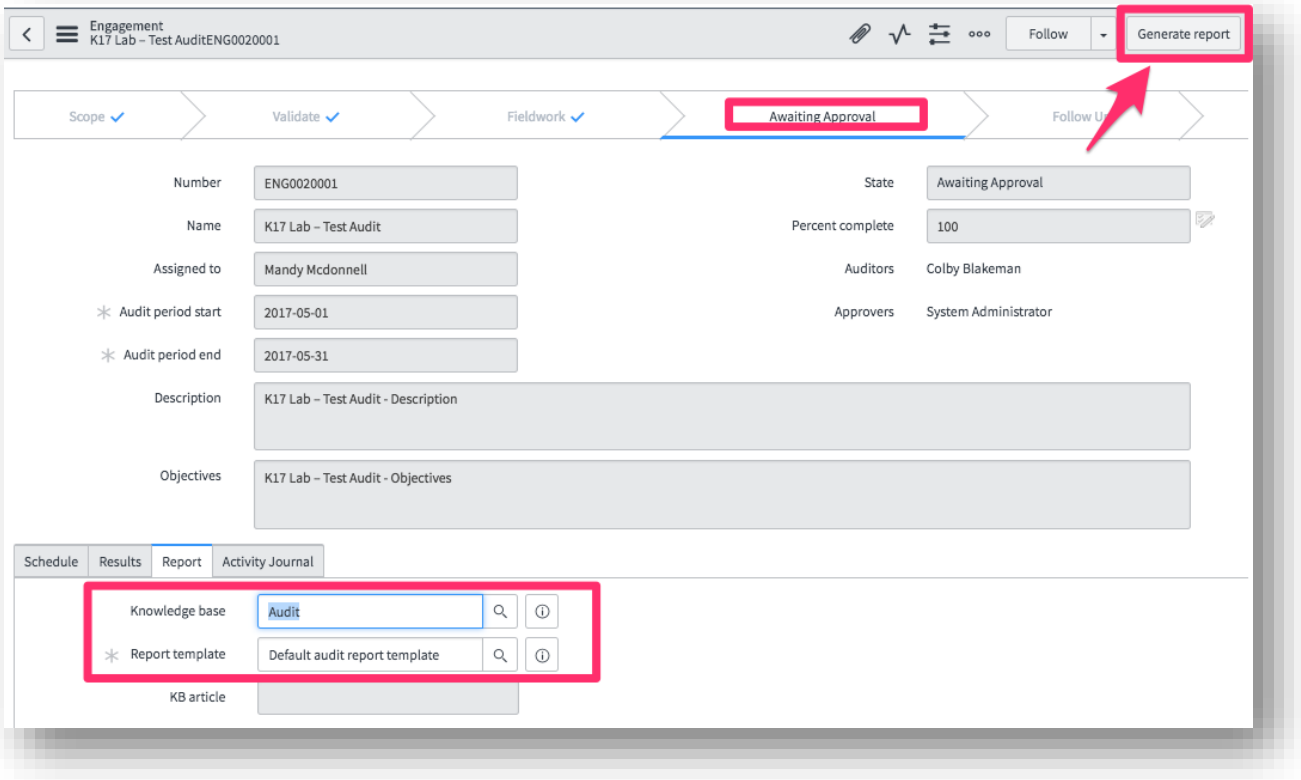
3. Select the "**Report**" tab in the related list on the Audit Engagement record.

4. Complete as follows:

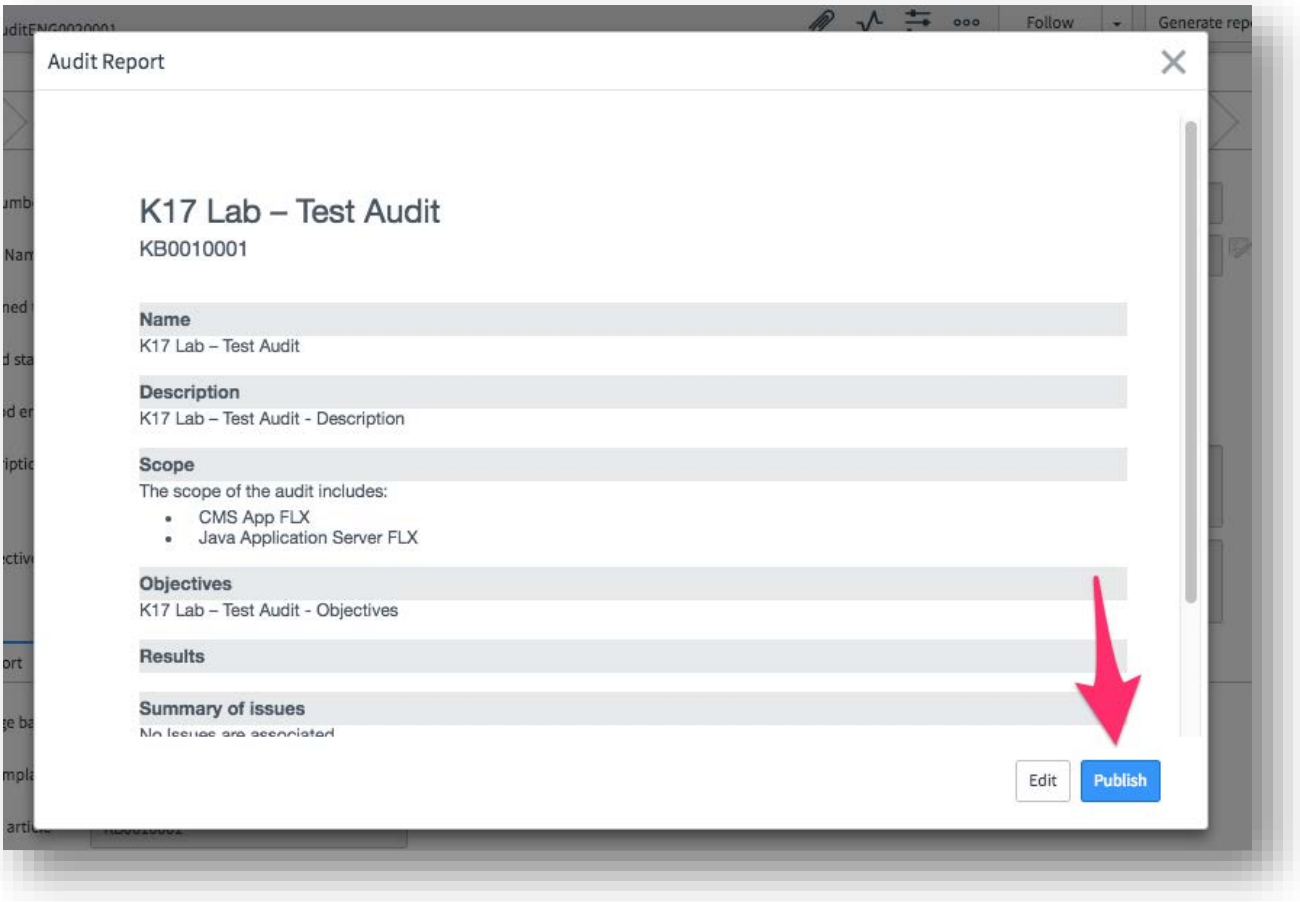
   a. Knowledge base: **Audit**
   b. Report template: **Default audit report template**

5. Click "**Request Approval**."

6. Then click the Generate report button to create the audit report.



8. This will bring up the audit report for review. Click the Publish button.



Lab Goal

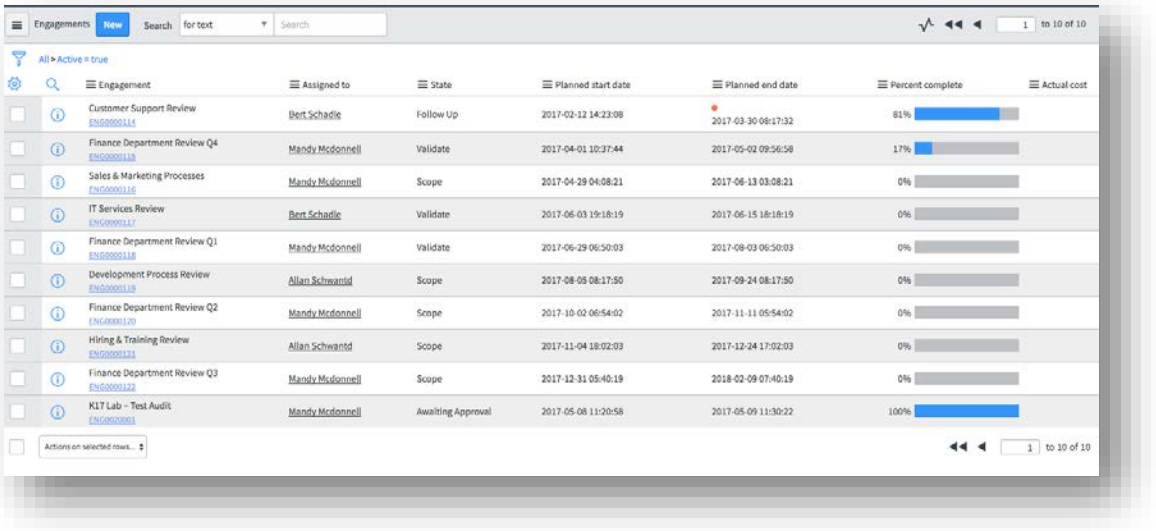
This lab will illustrate the out of box dashboards and the "Audit Workbench" that can be leveraged as part of the audit processes.

Lab 5
Audit Management Overview

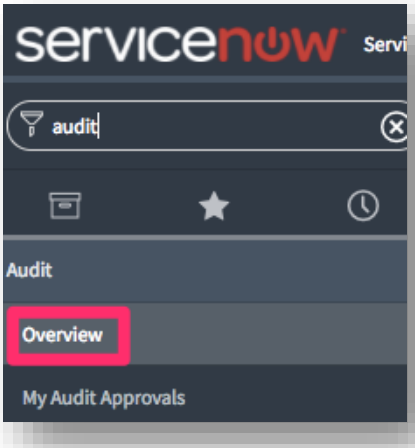
1. Navigate to the **Audit** application by scrolling through the application Navigator Pane on the left or by typing **Audit** in the Application Filter.

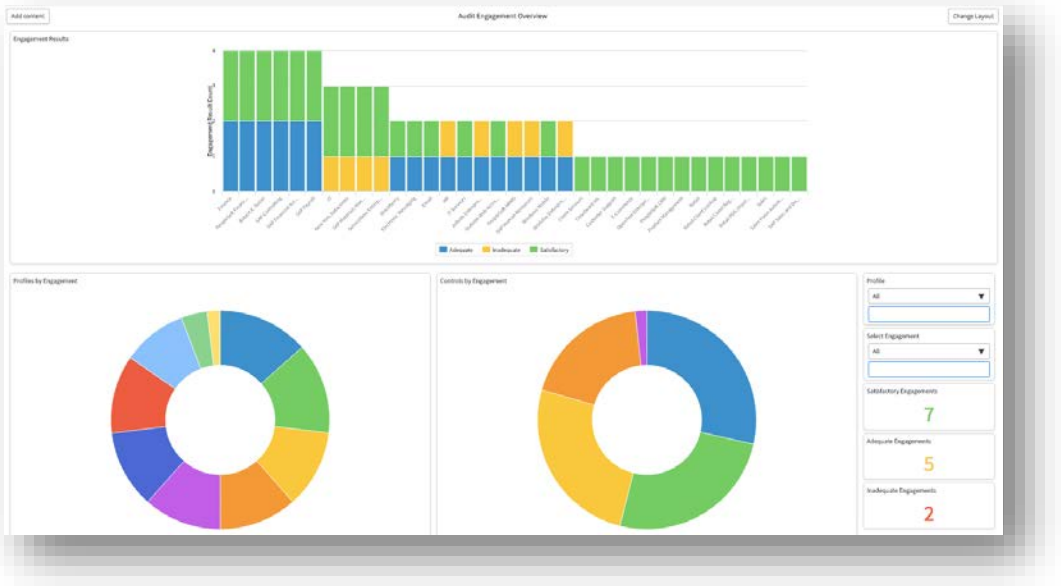
2. Select "**All Engagements**."





3. Select "**Overview**."




Add content
Audit Engagement Overview
Change Layout
Engagement Results
Profiles by Engagement
Controls by Engagement
Profile
All
Select Engagement
All
Satisfactory Engagements
7
Adequate Engagements
5
Inadequate Engagements
2

4. Select "**Workbench**."

