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Lab Guide

Governance, Risk, and Compliance using UCF Authority Documents

Michael Reade & Scott Ferguson

Default Login / Password:

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employee / Knowledge15

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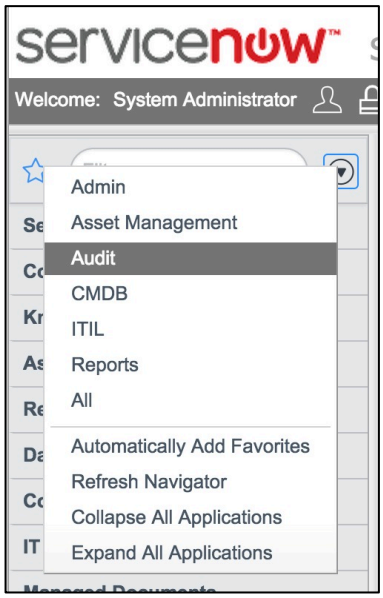
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Lab Overview

Automated Governance, Risk, and Compliance (GRC) helps bring order to an enterprise's crazy quilt of overlapping regulations, redundant audit efforts, manual compliance processes, lost email attestations, and file shares for testing evidence. In this lab, you learn how to automate this work by documenting policies and procedures, defining controls, automating control testing, and tracking remediation efforts. You also learn how the new Unified Compliance Framework (UCF) integration automatically provides up-to-date authority documents, citations, and guidance.

Getting Started – Log on to Your Training Instance

1. Navigate to the unique instance URL provided to you.
2. Log on with provided credentials.
3. From the menu list selector, chose the **Audit** menu list. You should see a subset list of applications that are specific to the Governance, Risk, and Compliance labs.



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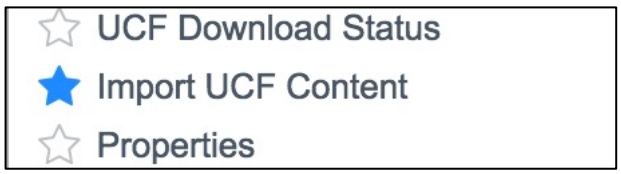
Lab Goal:

Lab 1.1 – Import Authority Documents from the Unified Compliance Framework (UCF)

To review the regulatory content provided within the ServiceNow GRC application and determine the pertinence of the regulation. Select, approve, and load the details of a regulatory document, with its corresponding guidance, into the GRC application.

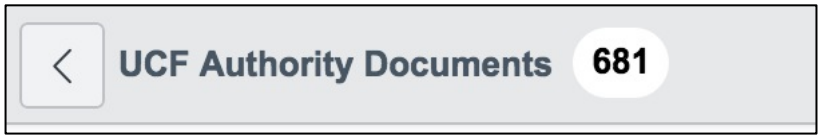
Lab 1.1 Import Authority Documents

1. Within the **IT GRC** application, select the **Import UCF Content** module.

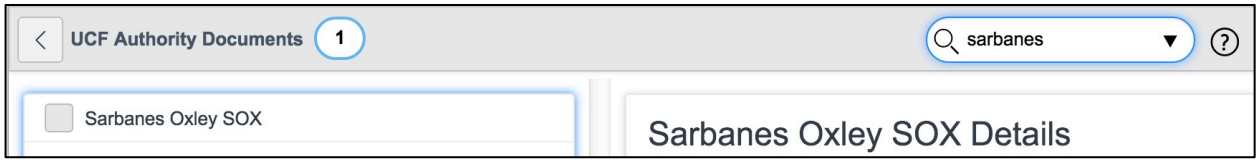


2. The **Welcome to UCF Import UI** screen may appear. **Note**: This is only displayed the first time you access the **Import UCF Content** module. If it appears, click the **X** in the upper-right corner of the splash page. Otherwise, continue to the next step.

3. In the header bar, notice the count of authority documents included with the UCF. UCF includes over 600 regulatory documents. A company must determine what is pertinent to its specific industry and organization.

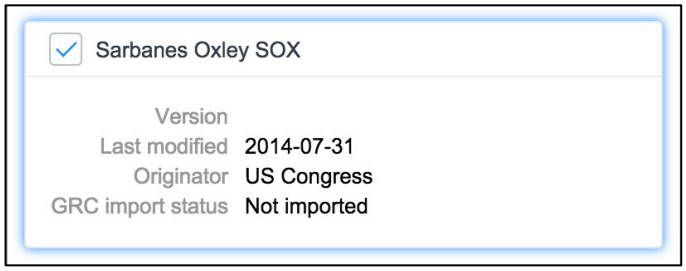


4. In the search field, search for Sarbanes Oxley, by typing **Sarbanes**. You should see the list of documents now only displays one authority document.

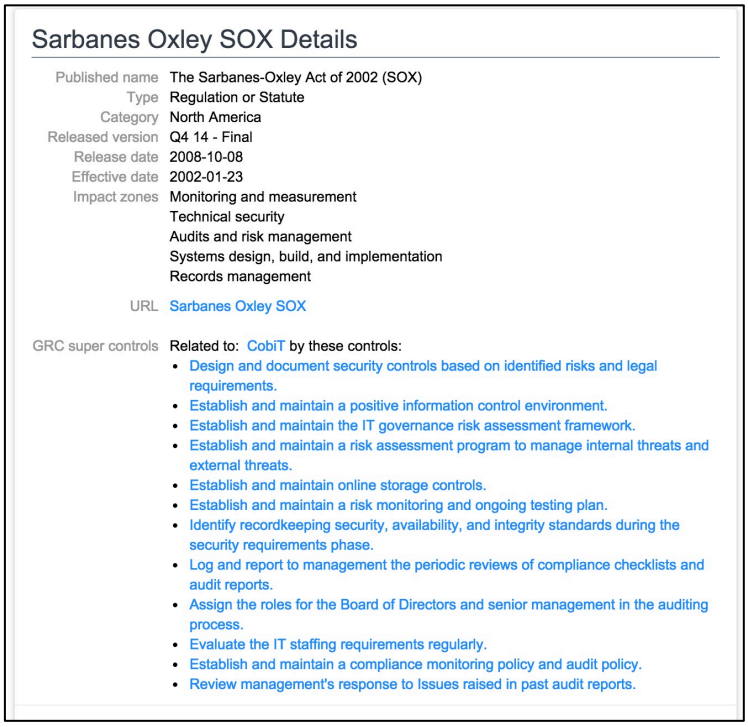


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5. Click on **Sarbanes Oxley** to see the details of the authority document.

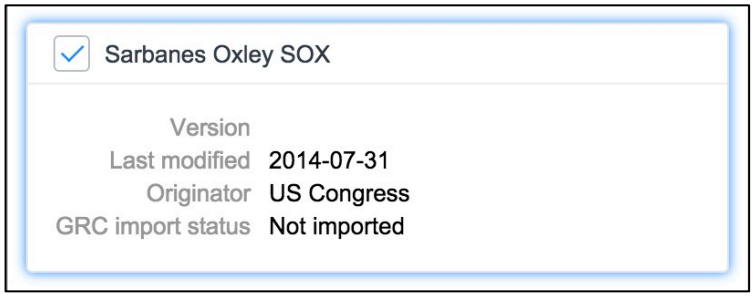


6. Review the **Super Controls**, **Citations**, and **Controls** included with the authority document. You may need to scroll down the page to see all the details.



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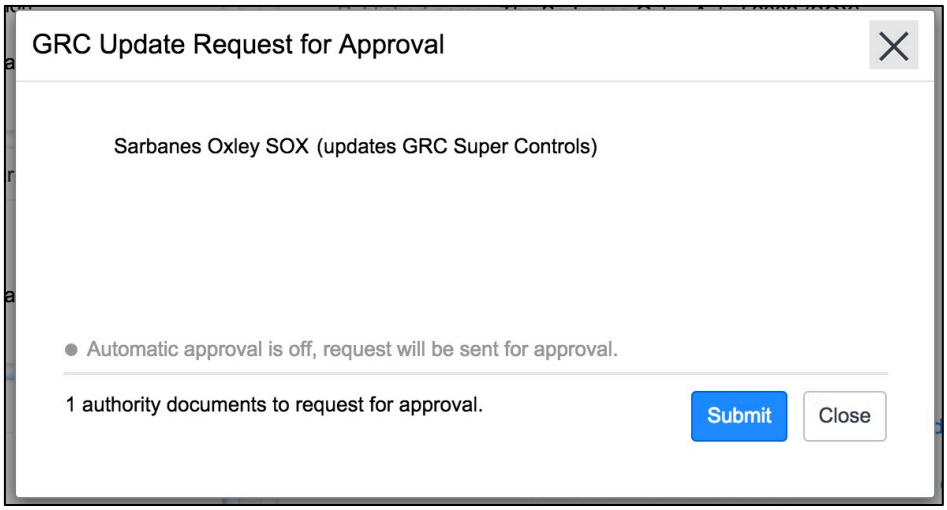
7. Click the **check box** in the upper-left corner of the authority document to select it for import.



8. Click the **Update GRC** button in the header to submit the request for approval to import the authority documents.



9. You should see a narrative screen informing you the request has been submitted.



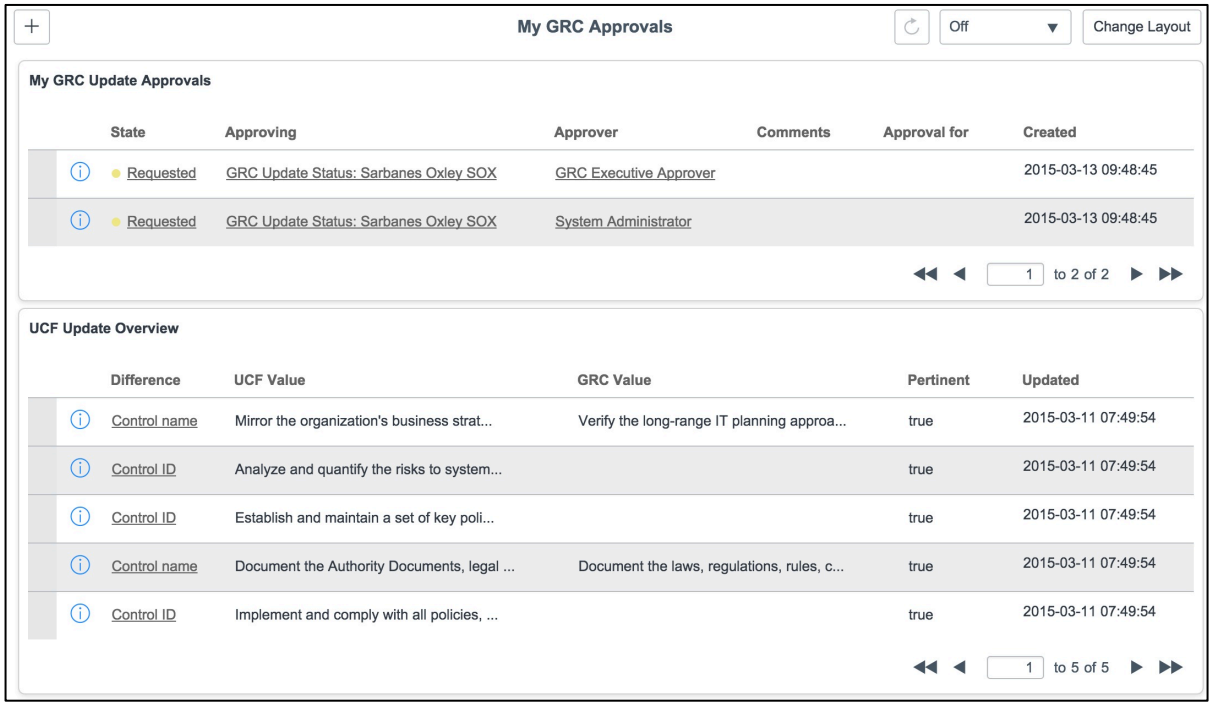
10. Press the **Submit** button to submit the request and the **Close** button to close the narrative once the request has been submitted.

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11. Within the **IT GRC** application, select the **My GRC Approvals** dashboard.



12. You should see the **My GRC Approvals** dashboard on the content frame.

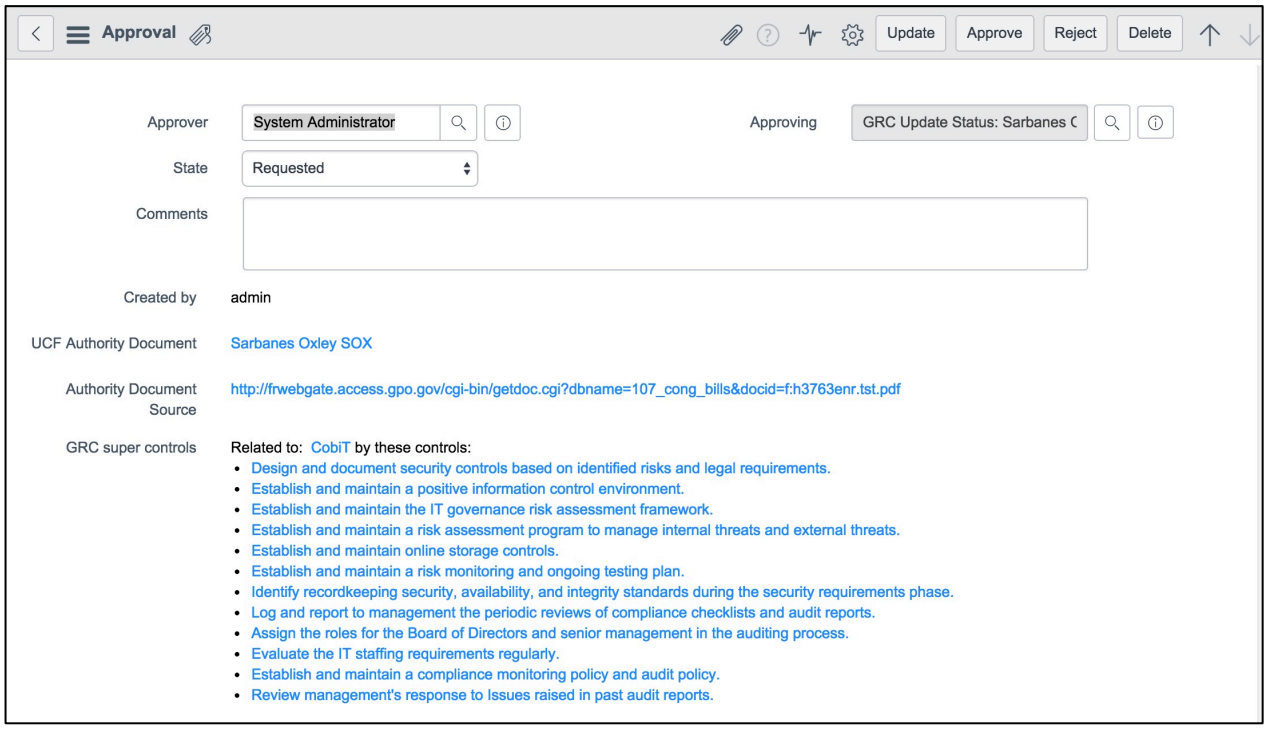


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13. The top gauge, **My GRC Update Approvals**, should display the request to import Sarbanes Oxley that is awaiting approval from the **System Administrator** and the **GRC Executive Approver**.

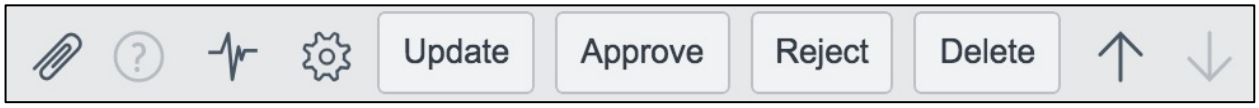


14. Click the **Requested** link to display the contents of the approval record. You should see the **Approval** record and be able to review the details of the request.

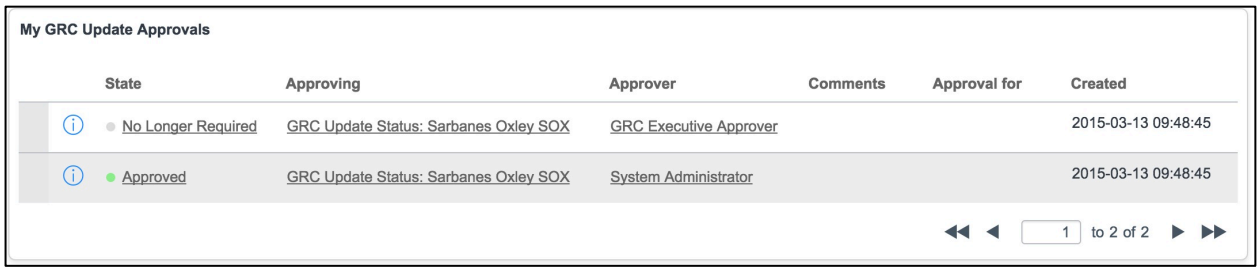


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15. Click the **Approve** button in the header of the **Approval** record.



Note: This action is loading all the content in the background; this may run for a couple minutes without an observable effect. Please wait for the process to complete. Once the load has completed, you are returned to the **My GRC Approvals** dashboard. Notice the **System Administrator** has changed to **Approved** and the others are **No Longer Required**.



16. Within the **IT GRC** application, select the **My GRC** dashboard.



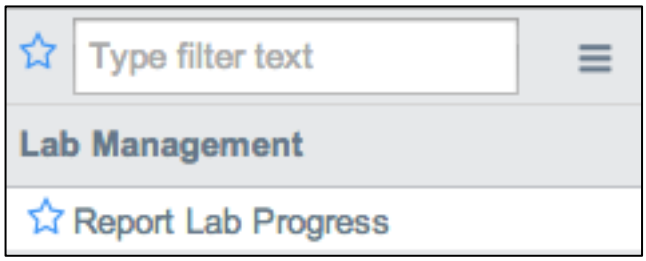
17. You should see the dashboard load in the content frame.

18. Review the dashboard. Take notice of **Super Controls**, **Controls Coverage**, and **Compliance by Authority Document** reports, they will start to change throughout the next few labs.
Note: you may need to scroll to see all the reports.

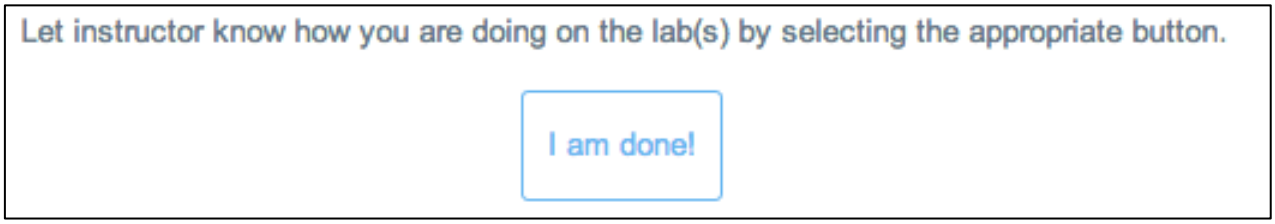
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Progress Report

1. Navigate to **Lab Management> Report Lab Progress**.



2. Click **I am done!**



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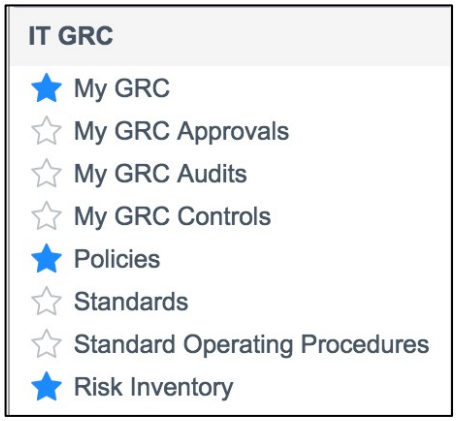
Lab Goal:

Lab 2.1 – Relate Policies to Regulations, Citations, and Controls

To ensure compliance, map an organization's policies to pertinent regulatory documents. Map an organization's polices to standard controls in preparation for compliance testing.

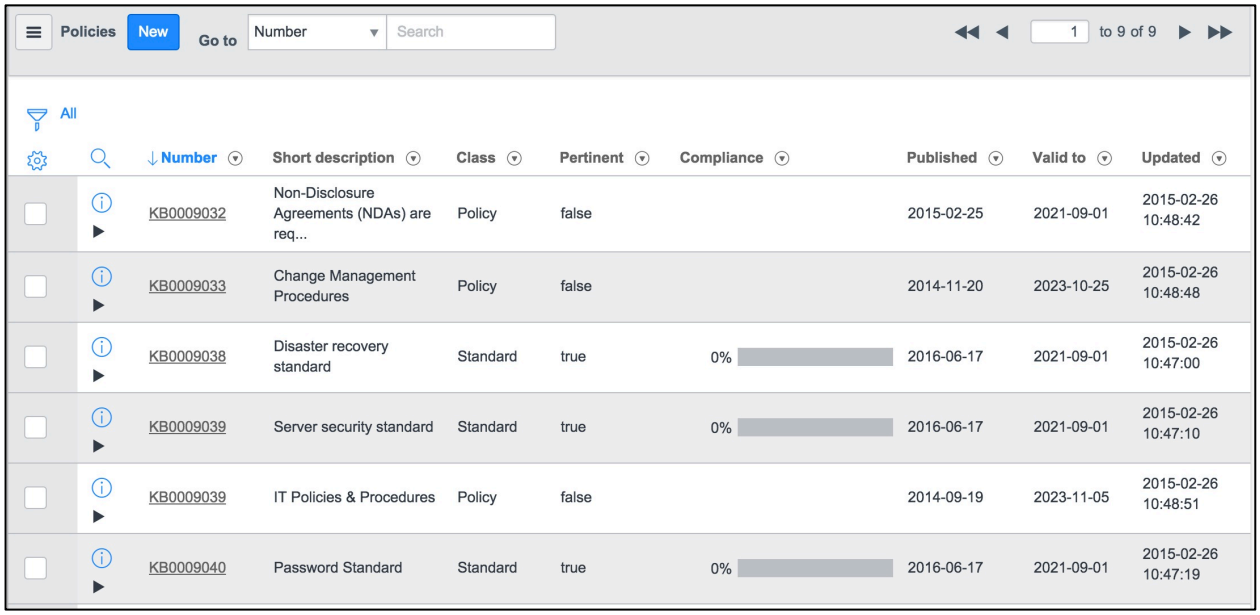
Lab 2.1 Relate Policies to Regulations

1. Within the **IT GRC** application, select the **Policies** module.



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2. You should see a list of the example policies.

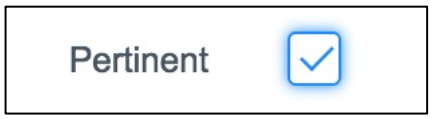


3. Select the **Change Management Procedures** policy by selecting the **Knowledgebase number**.

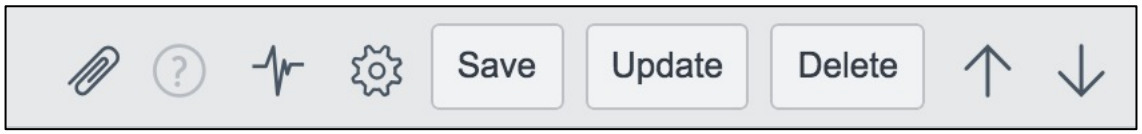


4. You should see the details of the Change Management Procedures.

5. Click the **Pertinent** check box to start tracking policy compliance. You should see a check mark in the box.

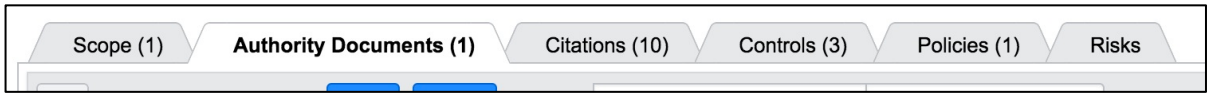


6. Click the **Save** button in the header bar.

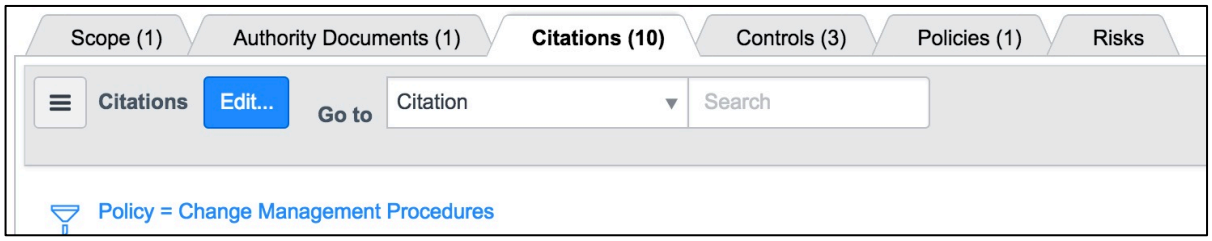


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7. Scroll to the related lists at the bottom of the form.



8. Select the **Citations** related list.



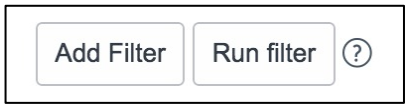
9. Click the **Edit** button.

10. On the **Edit Members** form, add the following conditions:

    Name starts with AI6.

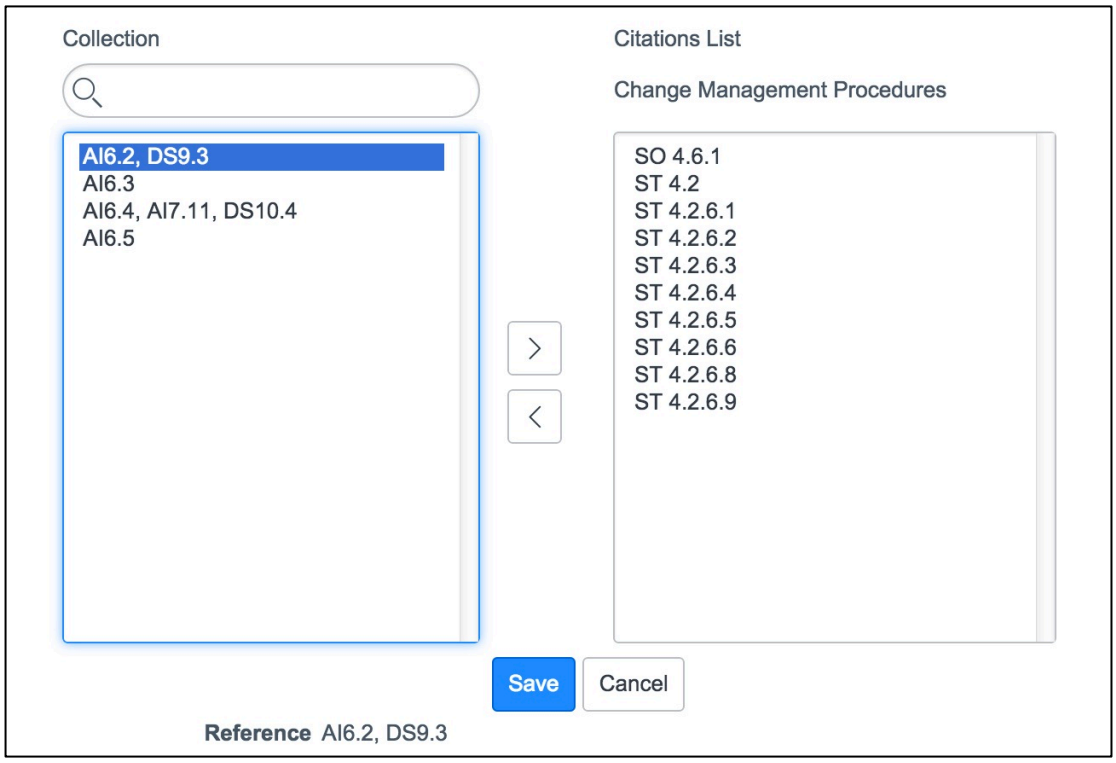


11. Click the **Run Filter** button.



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12. On the left side, select the record **AI6.2, DS9.3** and move to the right by clicking the **right arrow** in the center.



13. Click the **Save** button at the bottom of the form.

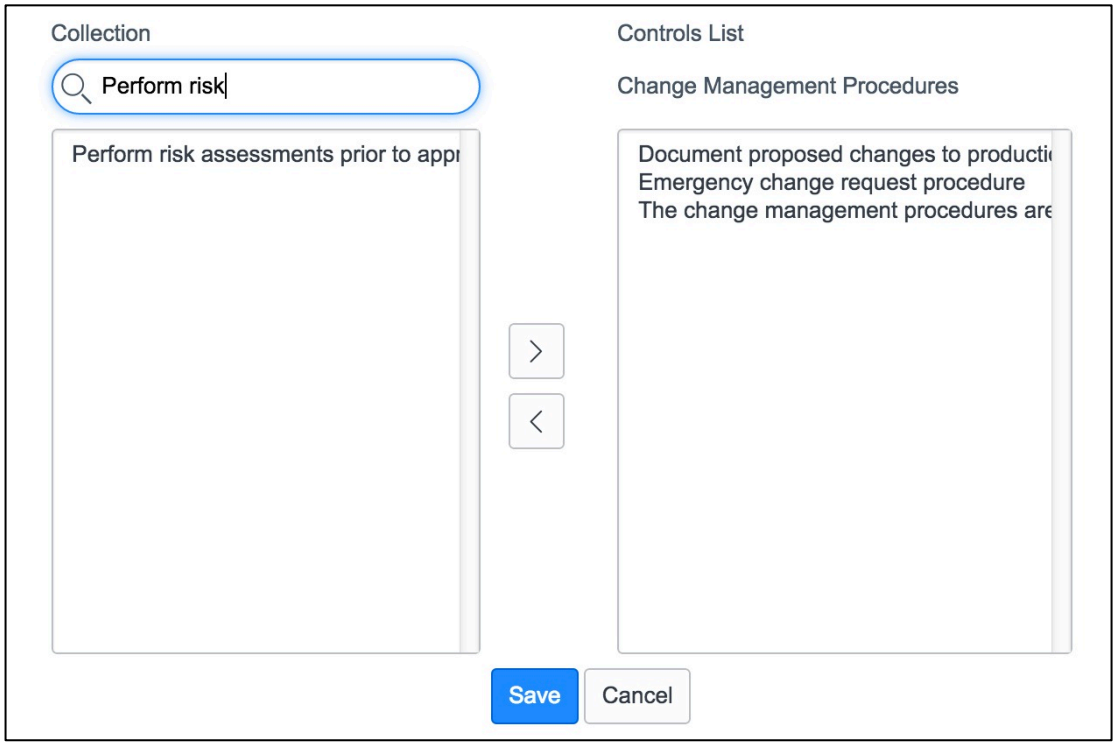
14. Scroll to the related lists at the bottom of the form and select the **Controls** related list.



15. Click the **Edit** button.

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16. On the **Edit Members** form, under **Collection** enter **Perform risk** in the search window.



17. On the left side, select the record that begins with **Perform risk** and move to the right by clicking the **right arrow** in the center.

18. Click the **Save** button at the bottom of the form.

19. Click the **Update** button to return to the policies list.

20. Repeat all the above steps (two through ten) for the two additional policies listed in the table below, adding both **Citations** and **Controls** relationships. These policies will be related to the controls tested in the next three labs.

Policy	Citation	Control
Change Management Procedures	Cobit **AI6.2, DS9.3**	Perform risk…
Server security standards	Cobit **AI2.7**	Develop systems…
IT Policies & Procedures	Cobit **DS10.3**	Verify the prob… (All 5)

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21. Within the **IT GRC** application, select the **My GRC** dashboard.



22. You should see the dashboard load in the content frame.

Progress Report

1. Navigate to **Lab Management> Report Lab Progress**.
2. Click **I am done!**

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Lab Goal:

Lab 3.1 – Control Test: Traditional Sampling of Records

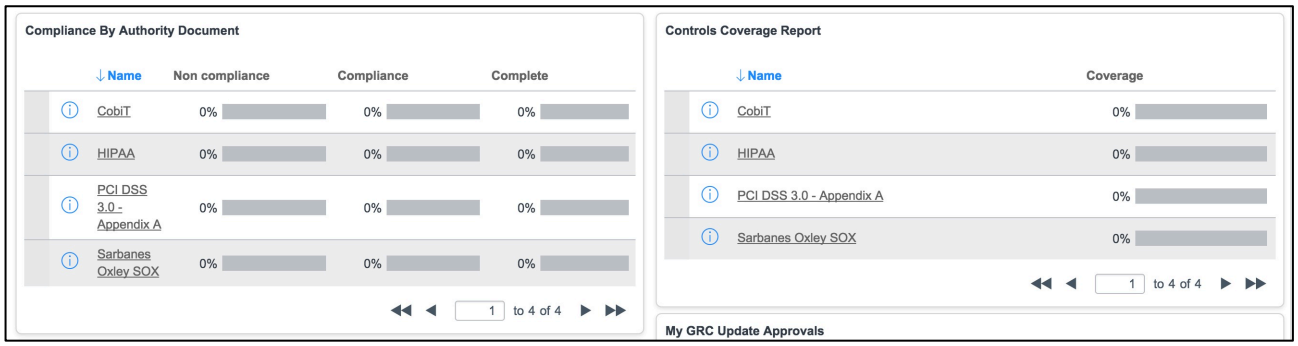
To create a traditional control test, related to the pertinent authority document, which automatically returns a sample of test records to be reviewed as testing evidence.

Lab 3.1 Traditional Sampling Control Test

1. Within the **IT GRC** application, select the **My GRC** module. You should see the dashboard load in the content frame.



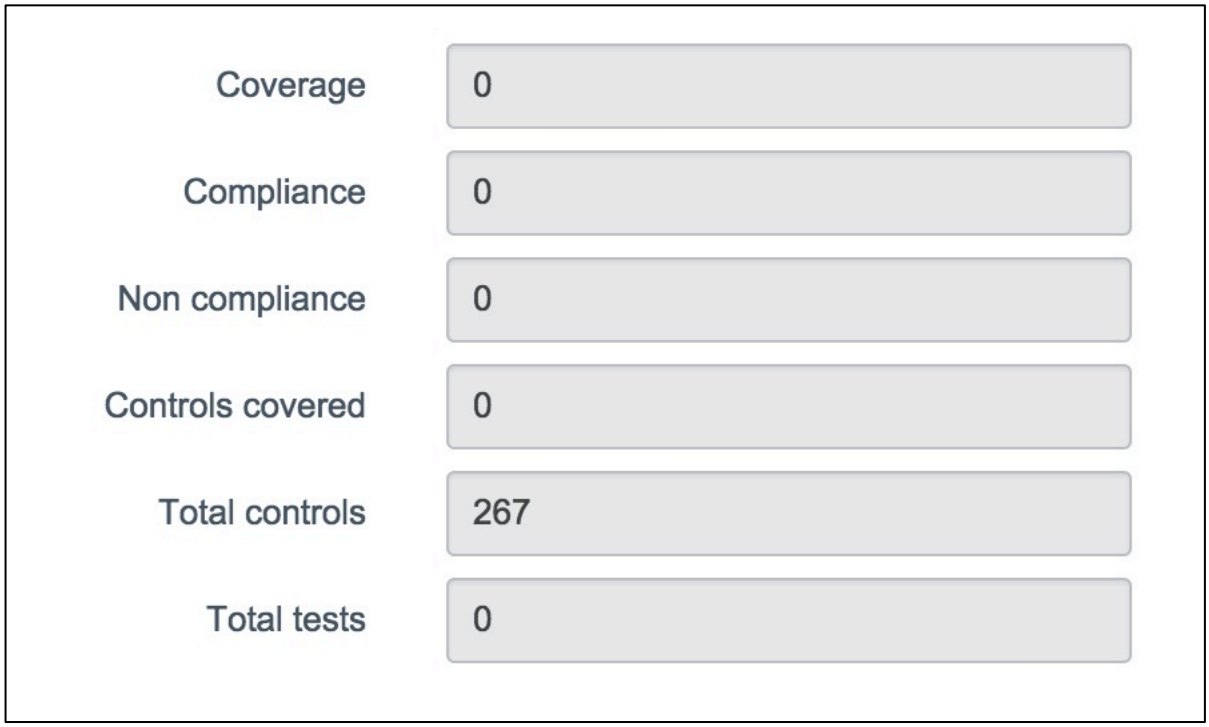
2. Scroll to the **Compliance by Authority Document** and **Control Coverage Reports**. For CobiT, you should see that there is 0% coverage of controls by controls tests and that testing is 0% complete.



3. On the **Compliance by Authority Document** gauge, click the **CobiT** framework.

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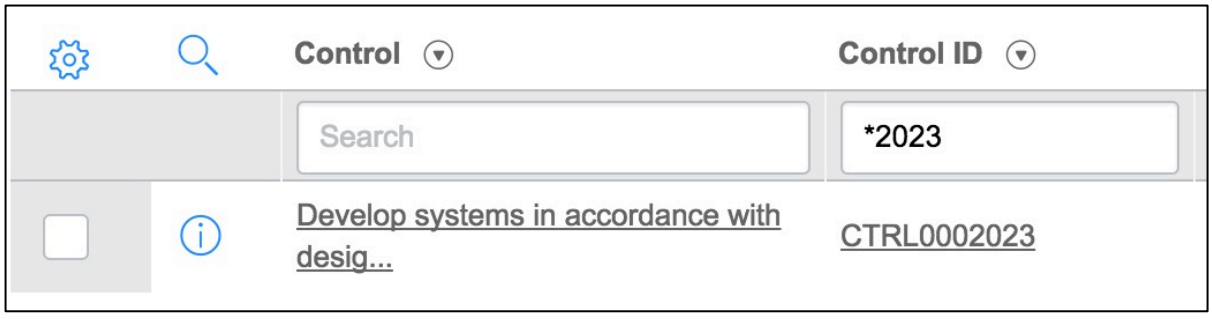
4. Review the details of the authority document, including the testing statistics.



5. Scroll to the related lists at the bottom of the form and select the **Controls** related list.



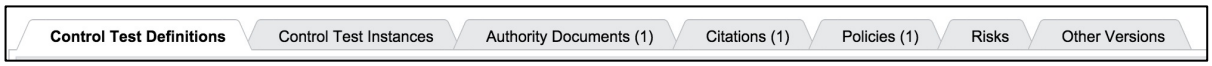
6. Click the **magnifying glass** icon and enter ***2073** in the **Control ID** column and press **Enter**.



7. Select the Control by clicking on the **Control name**.

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8. Scroll to the related lists at the bottom of the form and select the **Control Test Definitions** related list.

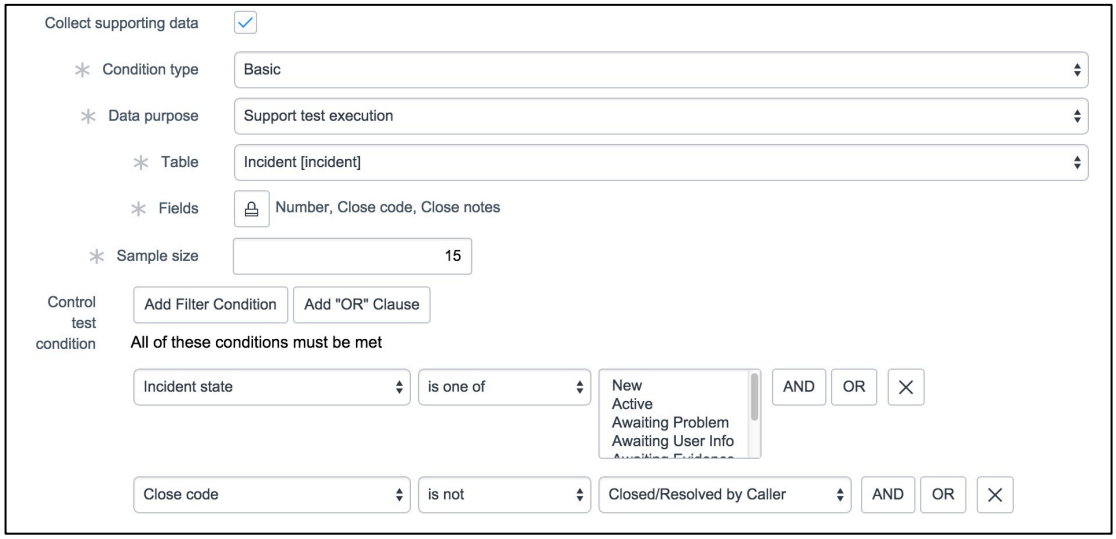


9. Click the **New** button.

10. Complete the following fields with the corresponding values:

- Name: **Ensure Incidents document the proper closure information**
- Group: **Assign to Group**
- Assign to Group: **Service Desk**
- State: **Active**
- Remediation Group: **ITSM Engineering**
- Execution Steps: **1) Check sample data table. 2) Validate proper closure notes.**
- Expected Results: **All resolution notes should support problem management analysis**
- Check the **Collect Supporting Data** check box.
- Condition Type: **Basic**
- Data Purpose: **Support Test Execution**
- Table: **Incident [Incident]**
- Fields (move from available list to selected list): **Number**, **Close code**, **Close notes**
- Sample size: **15**
- Click the **Add Filter Condition** button; **Incident state is one of Resolved Closed**

11. Click **AND** to add another condition; **Close code** is not **Closed/Resolved by Caller**.

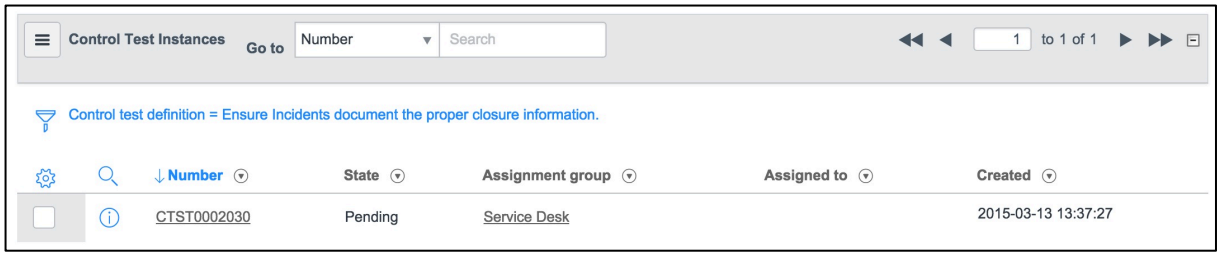


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12. Click the **Save** button.

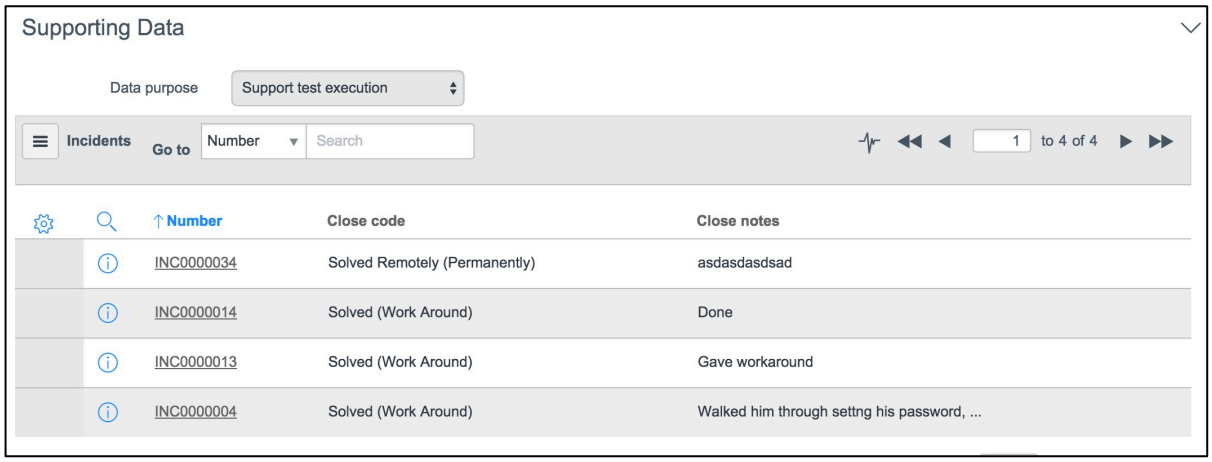
13. Click the **Execute Now** button. A control test instance runs as a job. Wait about 10 seconds.

14. Scroll to the related lists at the bottom and click the filter link to refresh the list. You should see a control test instance, assigned to the Service Desk, in a pending state.



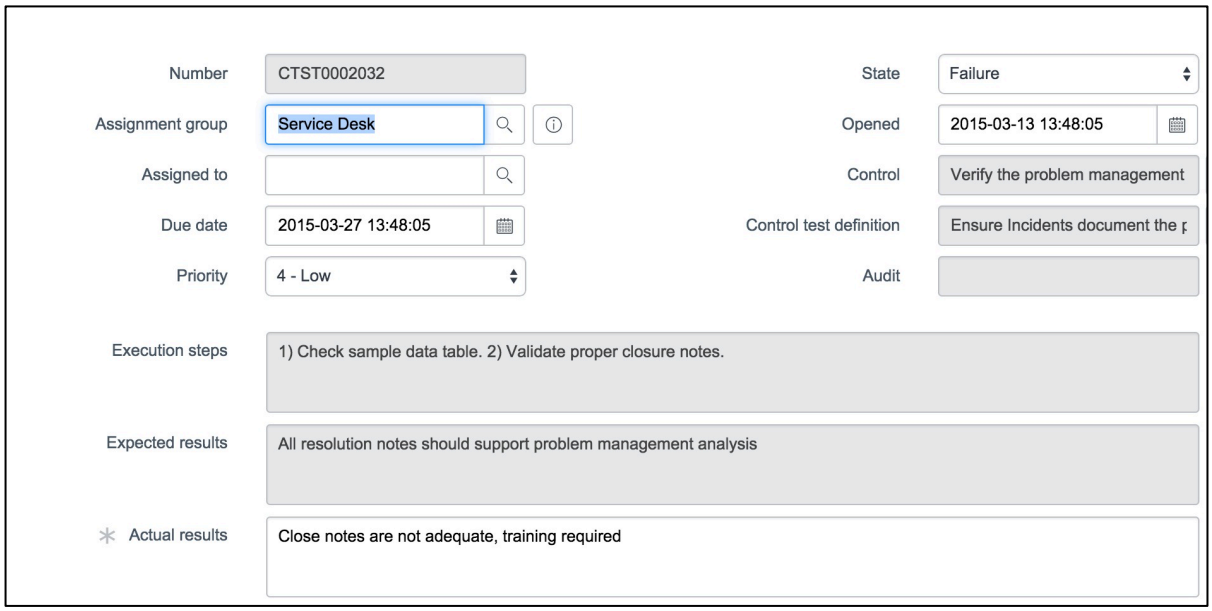
15. Click the **control test number** to view the record.

16. Review the details of the Control Test. Scroll to see the **Supporting Data** automatically sampled for audit purposes.

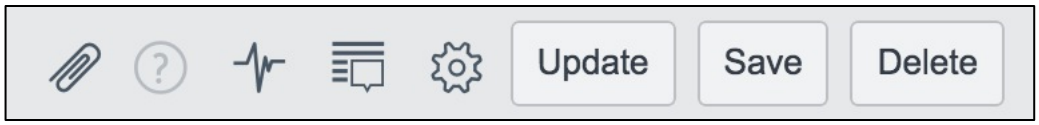


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17. Enter a result in the **Actual results** field: **Close notes are not adequate, training required**. Change the **State** field to **Failure**.



18. Click the **Update** button on the upper-right corner of the form.

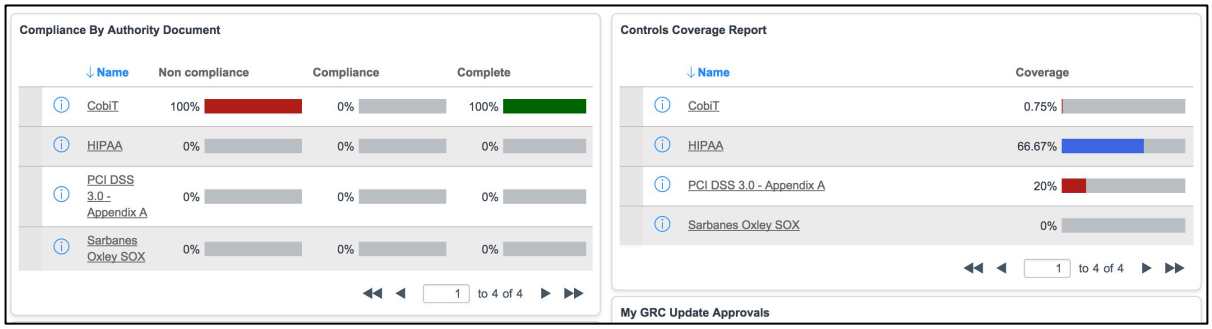


19. Within the **IT GRC** application, select the **My GRC** module. You should see the dashboard load in the content frame.



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20. Scroll to the **Compliance by Authority Document** and **Control Coverage Reports**. For CobiT, you should see that there is 0.37% coverage of controls by controls tests and that testing is 100% complete with 100% failure.



Progress Report

1. Navigate to **Lab Management> Report Lab Progress**.

2. Click **I am done!**

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Lab Goal:

Lab 3.2 – Control Test: Automated Testing for Noncompliance

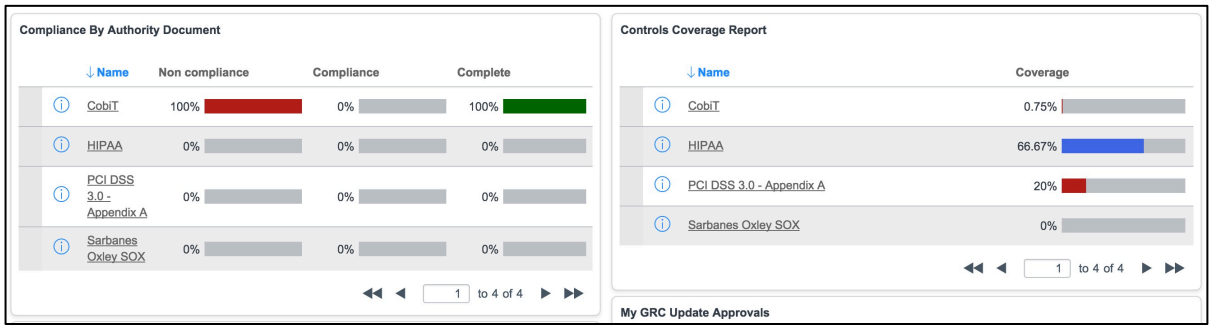
To define an automated control test that automatically validates the data as noncompliant, thus eliminating the need to evaluate individual sampled records. Once reviewed by an assignee, the failed control test updates the overall compliance rating for the organization.

Lab 3.2 Automated Control Test

1. Within the **IT GRC** application, select the **My GRC** module. You should see the dashboard load in the content frame.



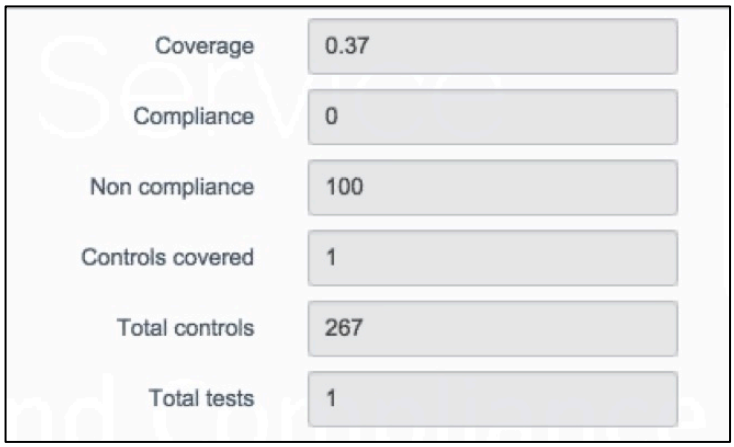
2. Scroll to the **Compliance by Authority Document** and **Control Coverage Reports**. For CobiT, you should see that there is 0.37% coverage of controls by controls tests and that testing is 100% complete with 100% failure.



3. On the **Compliance by Authority Document** gauge, click the **CobiT** framework.

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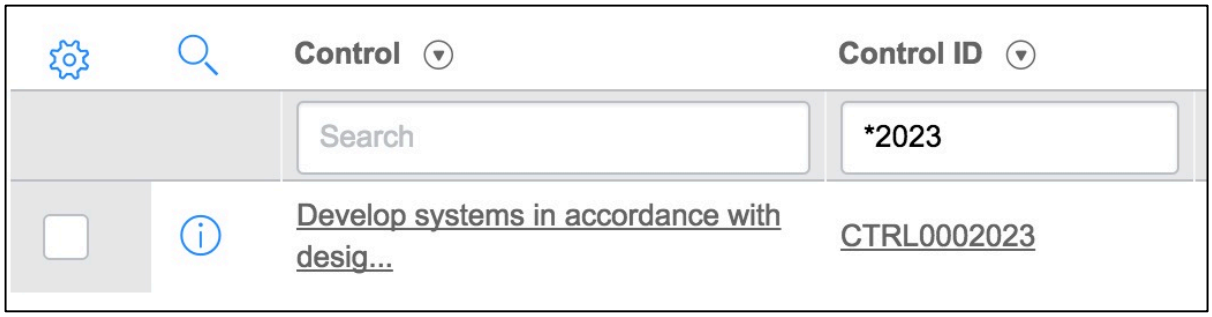
4. Review the details of the authority document, including the testing statistics. The numbers should update after completing the previous lab.



5. Scroll to the related lists at the bottom of the form and select the **Controls** related list.

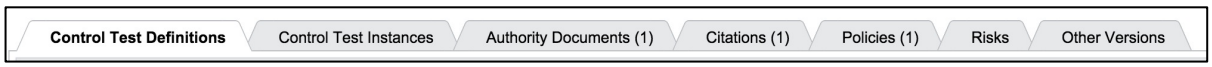


6. Click the **magnifying glass** icon and enter ***2023** in the **Control ID** column and press **Enter**.



7. Select the Control by clicking on the **Control name**.

8. Scroll to the related lists at the bottom of the form and select the **Control Test Definitions** related list.

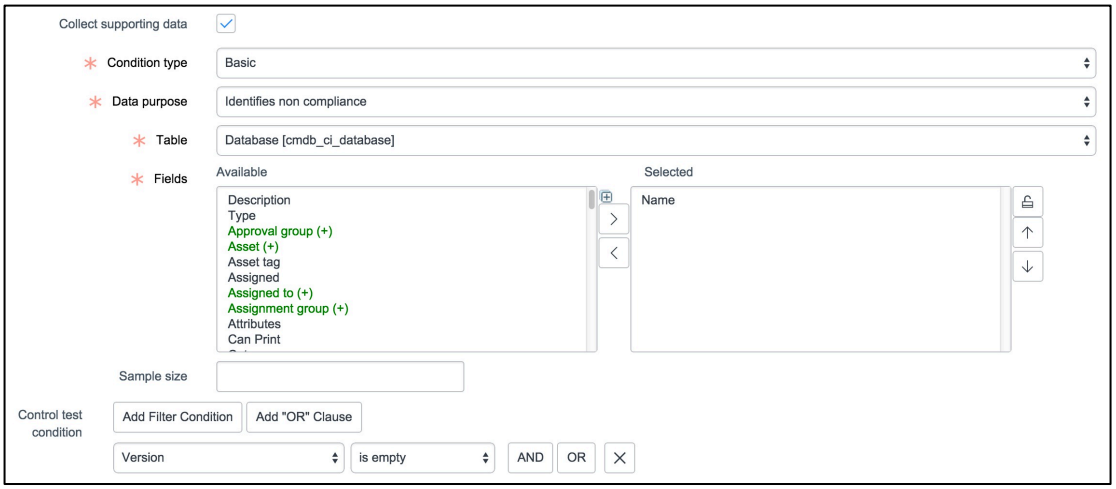


9. Click the **New** button.

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10. Complete the following fields with the corresponding values:

- Name: **Database must have version documented**
- Method: **Assign to Group**
- Assign to group: **CAB Approval**
- State: **Active**
- Remediation Group: **Database**
- Execution Steps: **Check sample data table**.
- Expected Results: **No records should exist.**
- Check the **Collect Supporting Data** check box.
- Condition Type: **Basic**
- Data Purpose: **Identifies Non Compliance**
- Table: **Database [cmdb_ci_database]**
- Fields (move from available list to selected list): **Name**, **Version**
- Click the **Add Filter Condition** button; **Version is empty**.



11. Click the **Save** button.

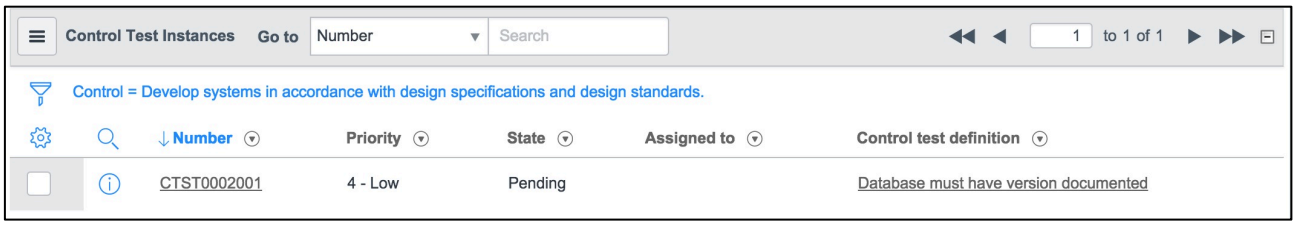
12. Click the **Execute Now** button. A control test instance runs as a job. Wait about 10 seconds.

13. Scroll to the related lists at the bottom, select the **Control Test Instances** related list.



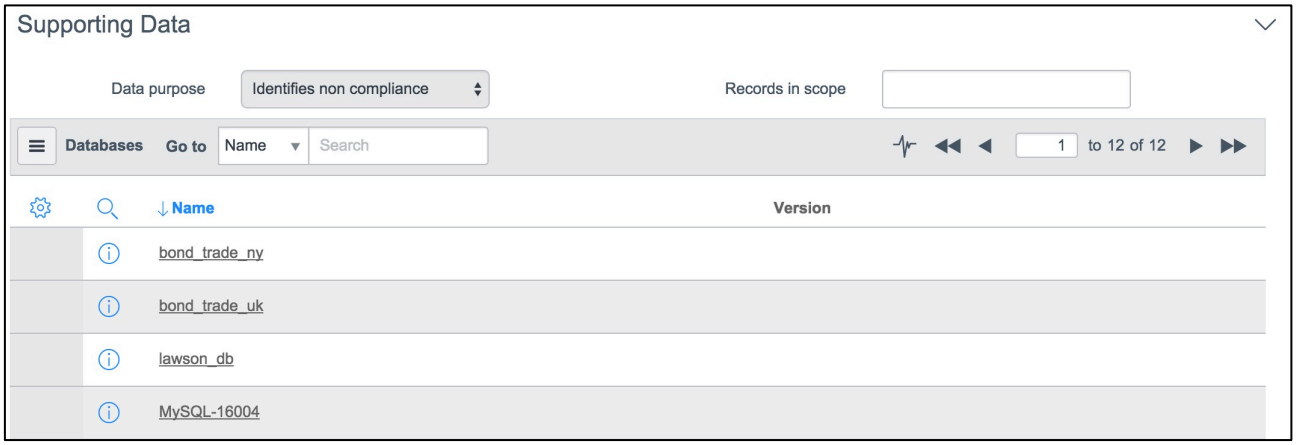
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14. Click the **filter** link to refresh the list. You should see a control test instance, in a pending state.



15. Click the **control test number** to view the record.

16. Review the details of the Control Test. Scroll to see the **Supporting Data** automatically sampled for audit purposes.



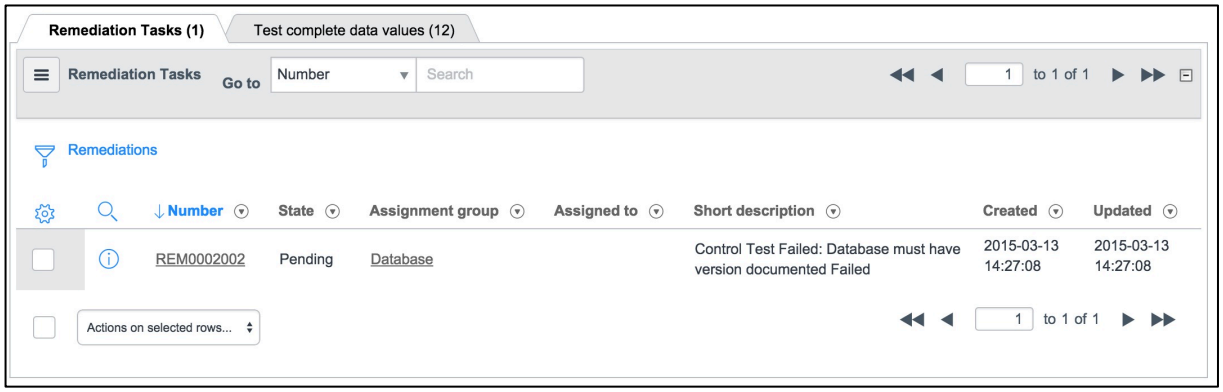
17. Enter a result in the Actual Results field: **Database versions needs updated**.

18. Change the state field to **Failure**.

19. Click the **Save** button.

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20. Scroll to the bottom of the failed control test, select the **Remediation Task** related list. A remediation task has been automatically created and assigned to the database team to take corrective action.

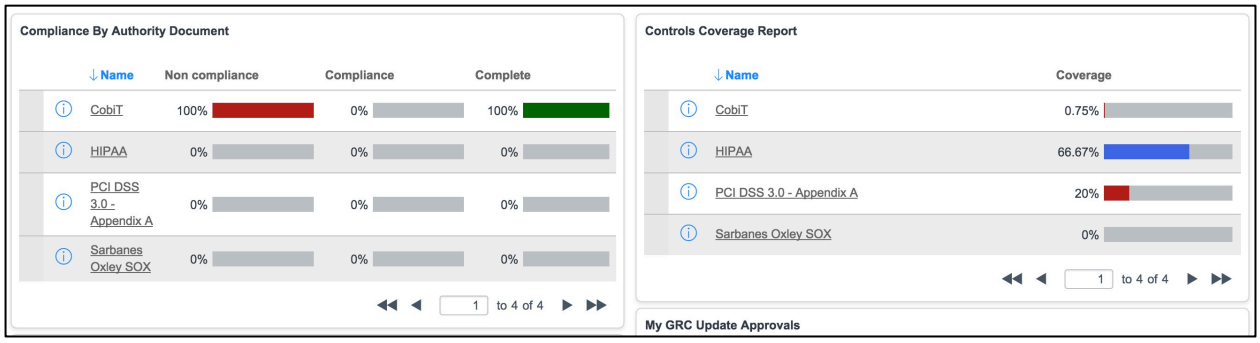


21. Click the **Remediation task number** to review the task. Scroll to the bottom to review the data that is noncompliant and needs corrective action.

22. Within the **IT GRC** application, select the **My GRC** dashboard. You should see the dashboard load in the content frame.



23. Scroll to the **Compliance by Authority Document** and **Control Coverage Reports**. For CobiT, you should see that there is 0.75% coverage of controls by controls tests and that testing is 100% complete with 100% failure.



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Progress Report

1. Navigate to **Lab Management> Report Lab Progress**.
2. Click **I am done!**

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Lab Goal:

Lab 3.3 – Control Test: Survey and Attestation

Continuing on the previous labs, this lab demonstrates a third control test type. In some situations, control testing requires surveying business contacts for additional information that cannot be collected from one data resource or automatically evaluated through discovery. This lab creates a survey related to a regulation, control, and policy. The survey asks a series of questions and eventually asks the recipient to attest to the integrity of the response. The result of the control test updates the overall compliance rating for the organization.

Lab 3.3 Survey Based Control Test

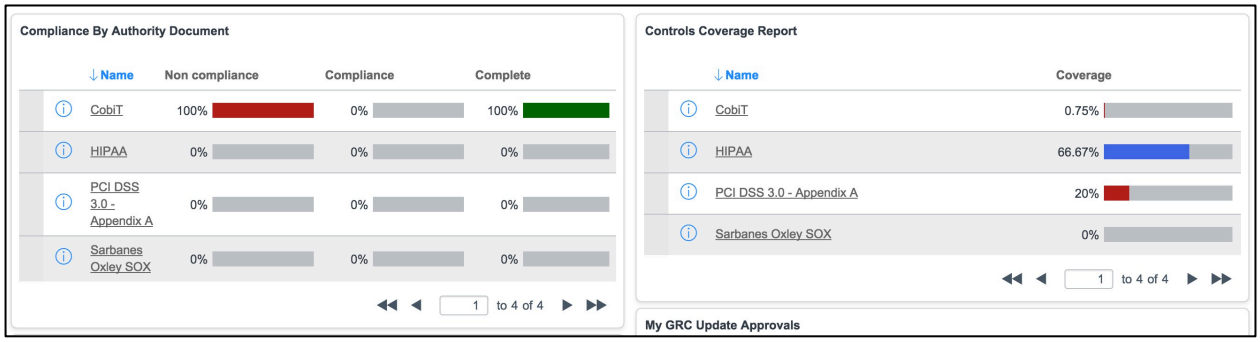
The Attestation control test type is new in the ServiceNow Fuji release.

1. Within the **IT GRC** application, select the **My GRC** module. You should see the dashboard load in the content frame.



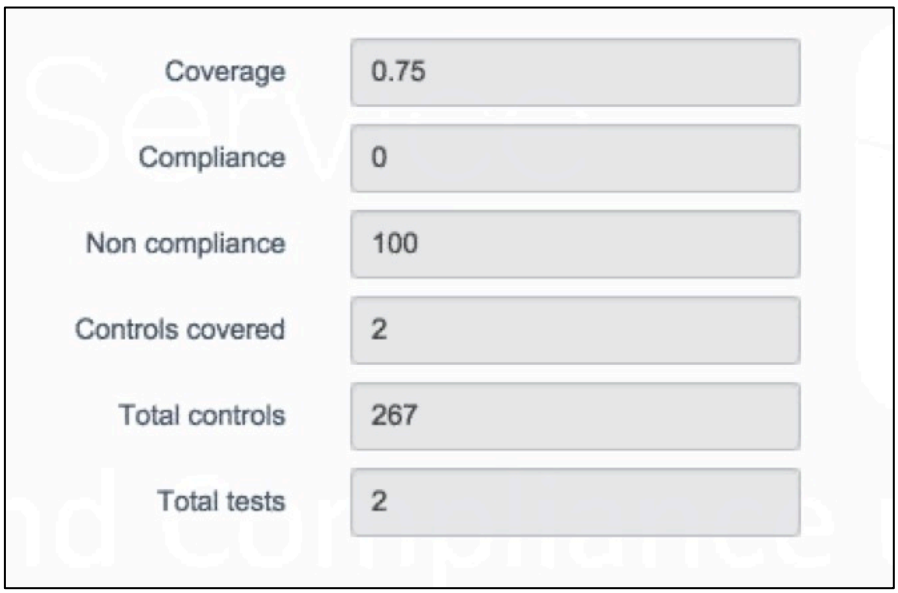
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2. Scroll to the **Compliance by Authority Document** and **Control Coverage Reports**. For CobiT, you should see that there is 0.75% coverage of controls by controls tests and that testing is 100% complete with 100% failure.



3. On the **Compliance by Authority Document** gauge, click the CobiT framework.

4. Review the details of the authority document, including the testing statistics. The numbers should be updated after completing the previous lab.

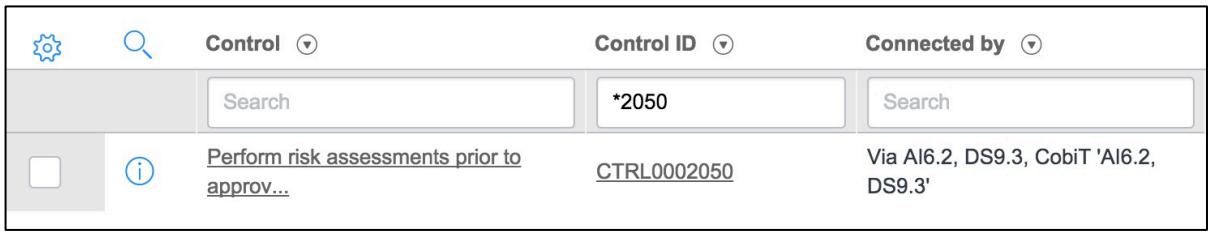


5. Scroll to the related lists at the bottom of the form and select the **Controls** related list.



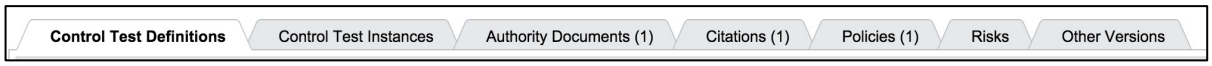
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6. Click the **magnifying glass** icon and enter ***2050** in the **Control ID** column, and press the enter key.



7. Select the Control by clicking on the **Control name**.

8. Scroll to the related lists at the bottom of the form and select the **Control Test Definitions** related list.

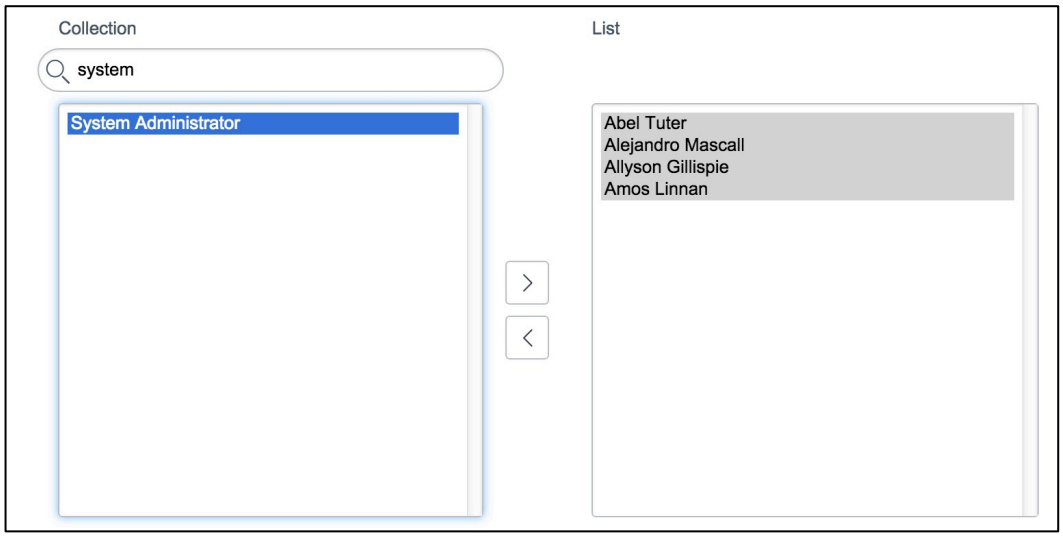


9. Click the **New** button.

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10. Complete the following fields with the corresponding values:

- Name: **Risk Assessment Questionnaire**
- Method: **Assign to Group**
- Assign to Group: **IT Securities**
- State: **Active**
- Remediation Group: **IT Securities**
- Execution Steps: **Complete Survey**
- Check the **Collect Supporting Data** check box.
- Condition Type: **Attestation**
- Attestation introduction: **Please complete this survey to the best of your knowledge.**
- Question 1: **How many risk assessments have you completed in the last quarter?**
  - Type: **Number**
  - Maximum: **200**
- Question 2: **Rate the accuracy of the risk assessment process.**
  - Type: **Numeric Scale**
- Question 3: **Are you aware of changes implemented without a proper risk assessment?**
  - Type: **Attestation**
  - Correct Answer: **No**
- Recipients: **Select User**
  - Select a handful of users to send survey to by moving them from the left to the right.
  - Use the Search window to find **System Administrator** and move to the right.



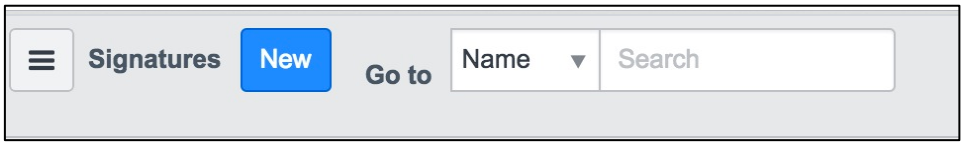
11. Click the **Save** button at the bottom of the form.

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12. Just below the **Collect Supporting Data** check box, next to the **Signature** field, click the **magnifying glass** icon.

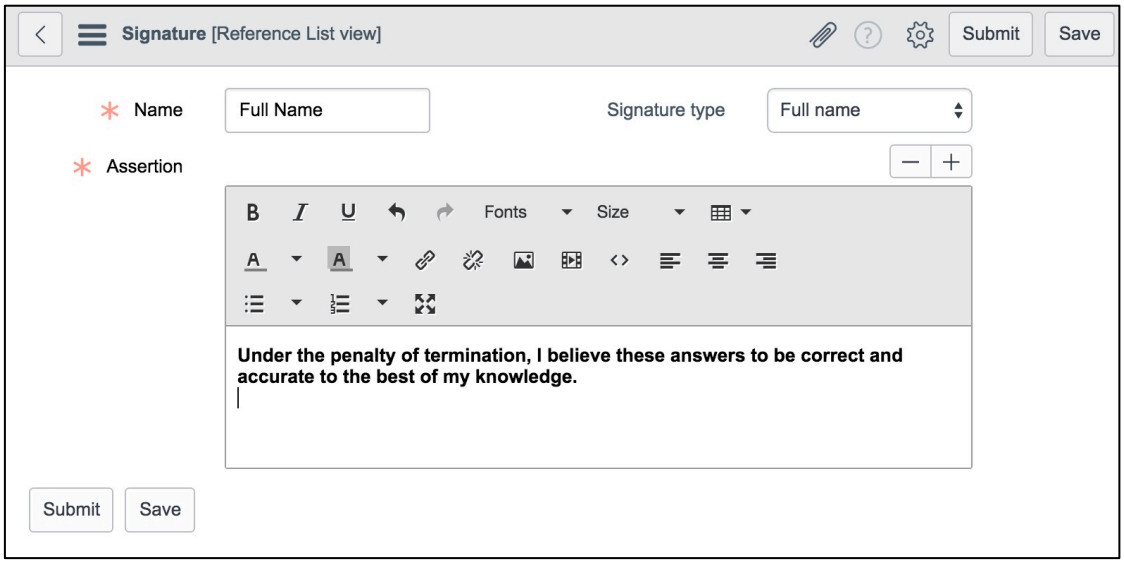


13. Click the **New** button in the pop up window.
Note: Make sure you do not have pop up windows blocked.



14. Complete the following fields with the corresponding values:

- Name: **Full Name**
- Signature Type: **Full Name**
- Assertion: **Under the penalty of termination, I believe these answers to be correct and accurate to the best of my knowledge.**

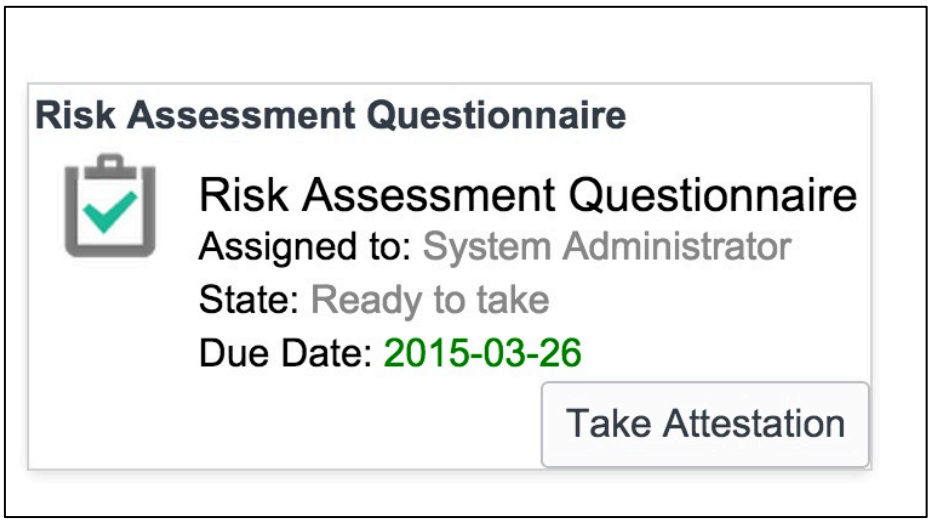


15. Click the **Submit** button.

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16. On the **Control Test Definition**, click the **Execute Now** button.

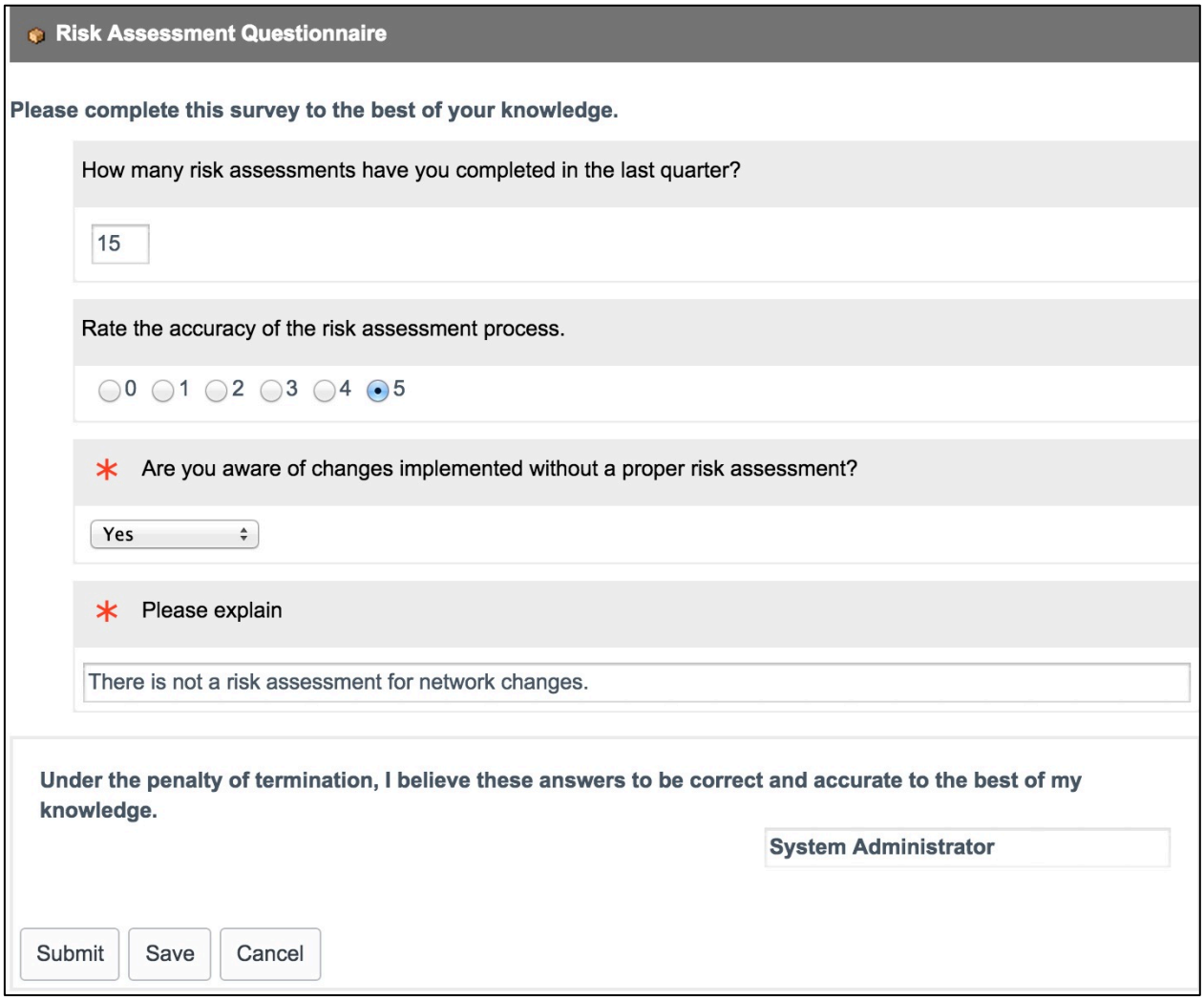
17. Within the **Self Service** application, select the **My Assessments & Surveys** module. You should see a set of surveys awaiting your response.



18. Click the **Take Attestation** button on the survey. You should see the survey with all the questions you created.

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19. Complete the survey. Answer the **Are you aware of changes** question with **Yes**. You will be prompted to enter additional information.



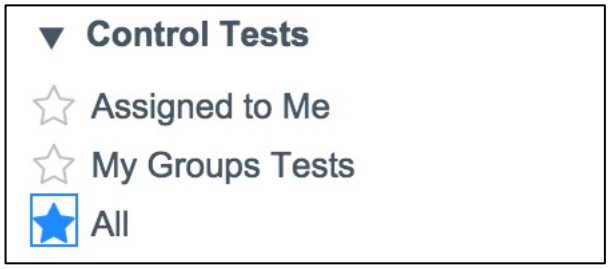
20. Click the **Submit** button. You are prompted to digitally sign the attestation by authenticating.

21. Enter your **Admin password** and click **Submit**. A message appears informing you that the survey was completed.



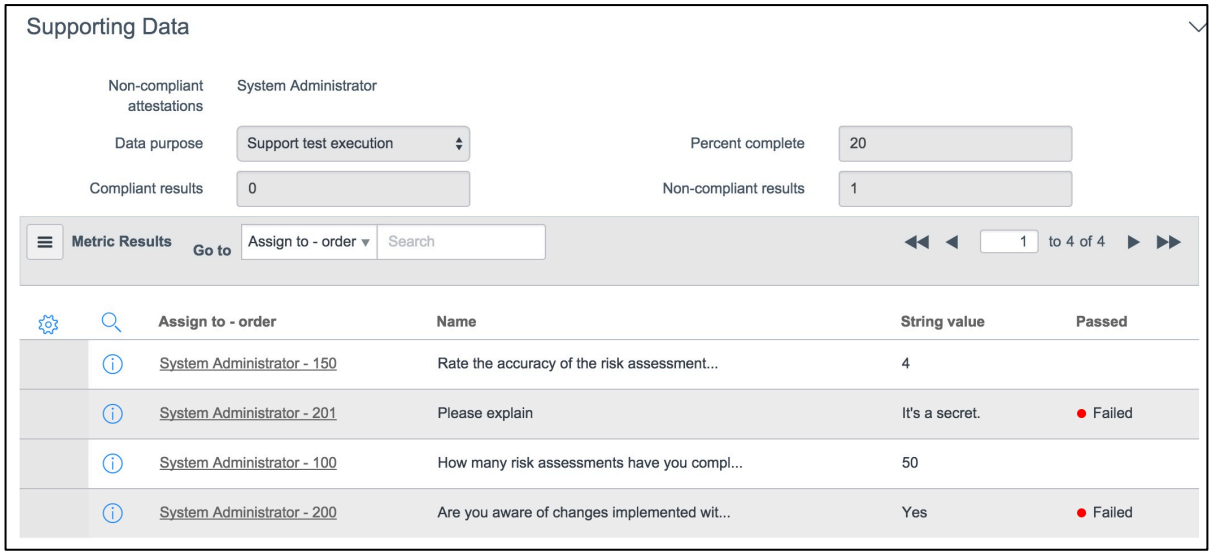
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22. Within the **IT GRC** application, select **Control Tests > ALL**.



23. Select the **Risk Assessment Questionnaire** control test.

24. From the **Control Test**, scroll to the **Supporting Data**. Responses can be reviewed. Failure responses can be evaluated.



25. Enter actual results: **surveys completed**. Set state to **Success**.

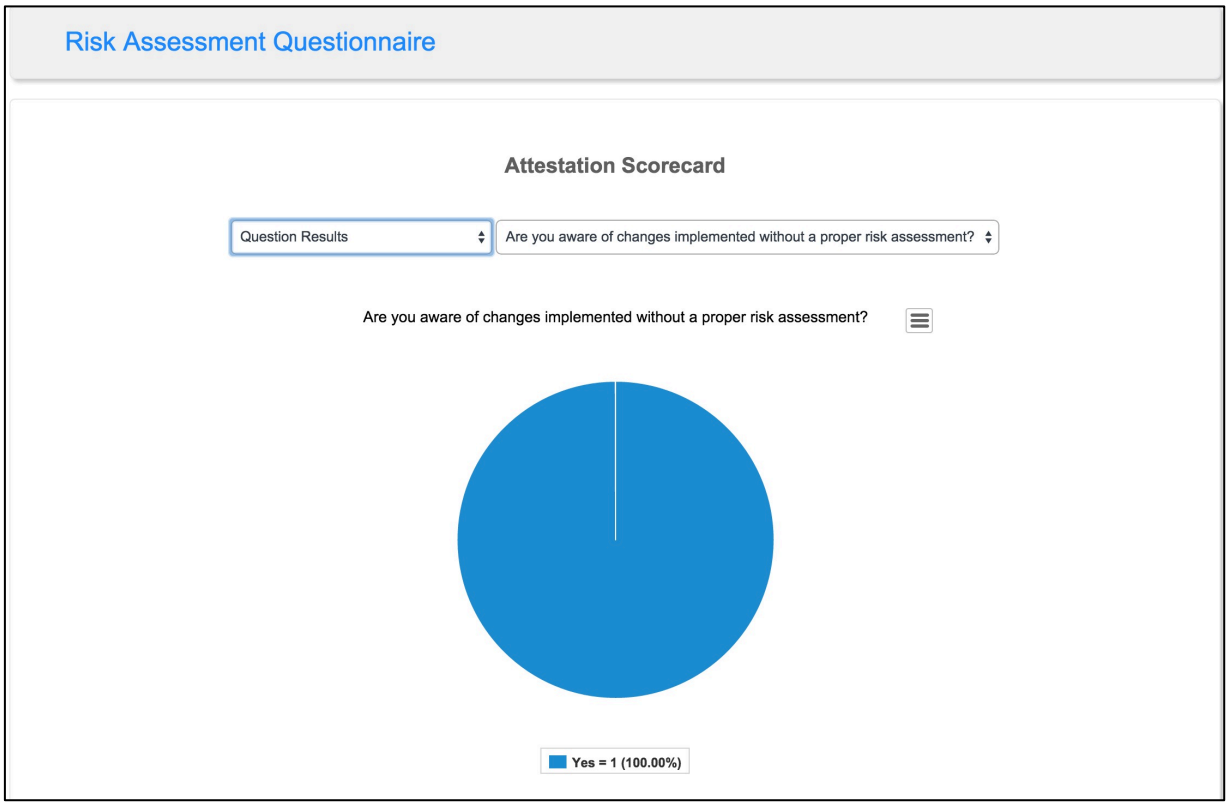
26. Click the **Save** button.

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27. Scroll to the bottom, just above the related lists are **Related Links**. Click the **View Scorecard** related link. The Scorecard allows you to track results as they are submitted by all recipients.



28. On the Risk Assessment Questionnaire scorecard select **Question Results** from the dropdown list.

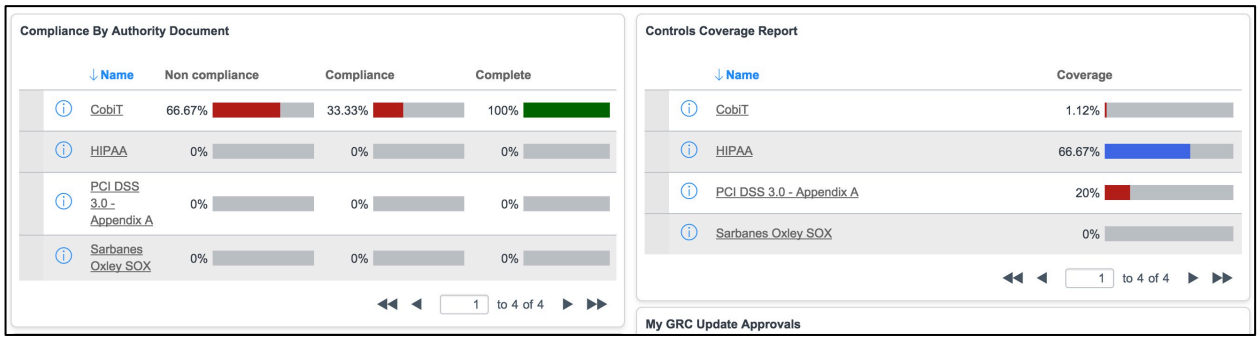


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29. Within the **IT GRC** application, select the **My GRC** dashboard. You should see the dashboard load in the content frame.



30. Scroll to the **Compliance by Authority Document** and **Control Coverage Reports**. For CobiT, you should see that there is 1.12% coverage of controls by controls tests and that testing is 100% complete with 66.67% failure.



Progress Report

1. Navigate to **Lab Management> Report Lab Progress**.

2. Click **I am done!**

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Lab Goal:

Lab 4.1 – Automatic Tracking of Corrective Actions

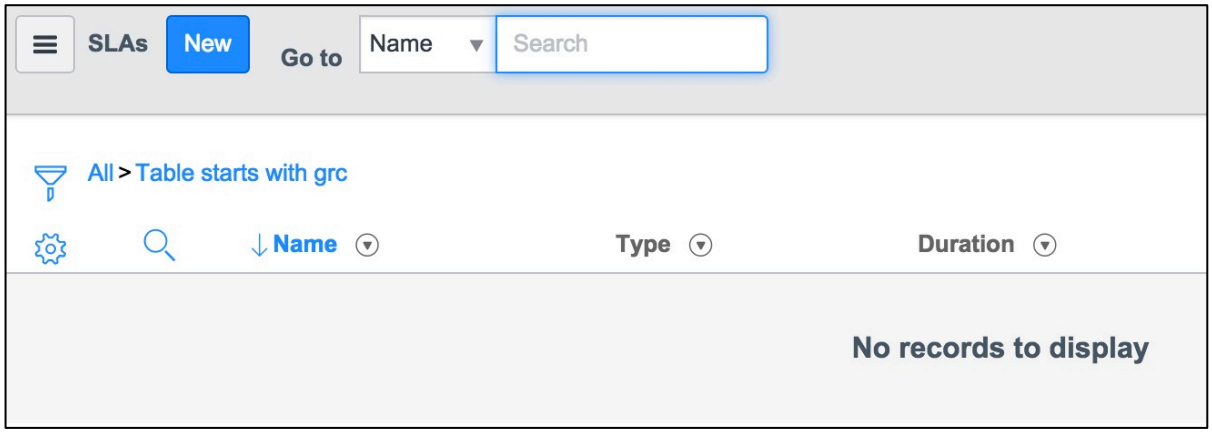
Typically, when an organization has a control test fail, the follow up activities are tracked through emails. This results in corrective actions not being resolved in a timely manner. In this lab, we create Service Level Agreements for Remediation tasks. This automates the process of notifying the assignee as deadlines approach and escalates to management when deadlines are missed.

Lab 4.1 Automatic Remediation Escalation

1. Within the **IT GRC** application, select the **SLA Definitions** module close to the bottom.



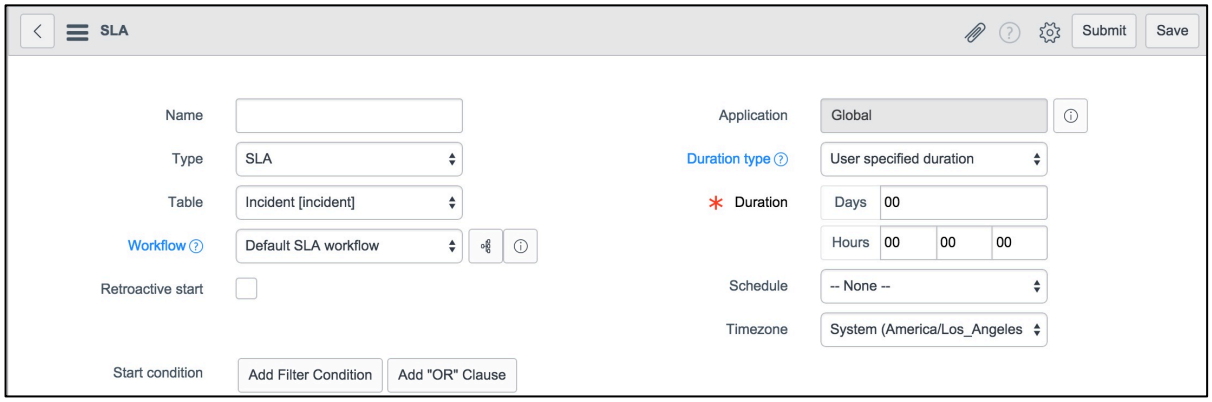
2. You should see the list view of SLAs defined for the GRC application. **Note**: none exists by default.



3. Click the **New** button in the upper-left corner.

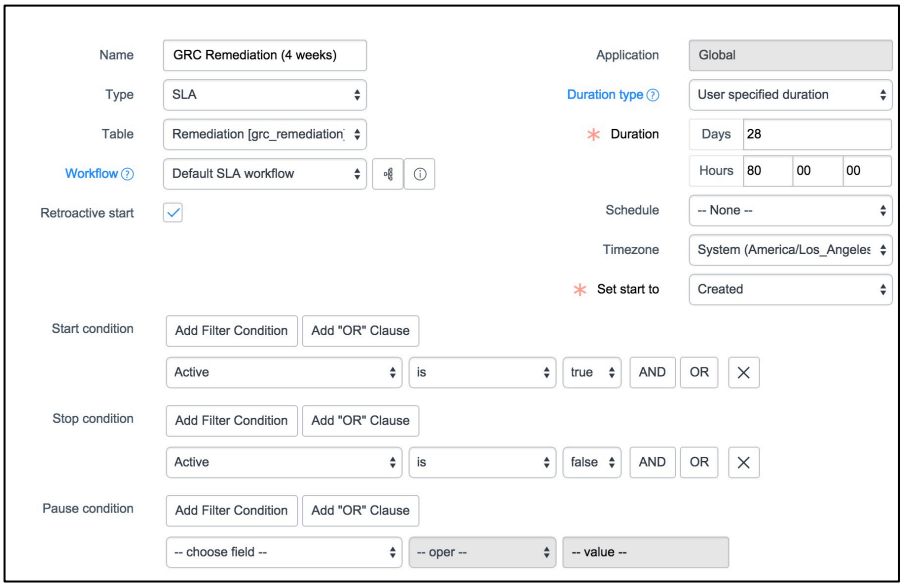
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4. You should see a blank **SLA** form.



5. Complete the form with the following values:

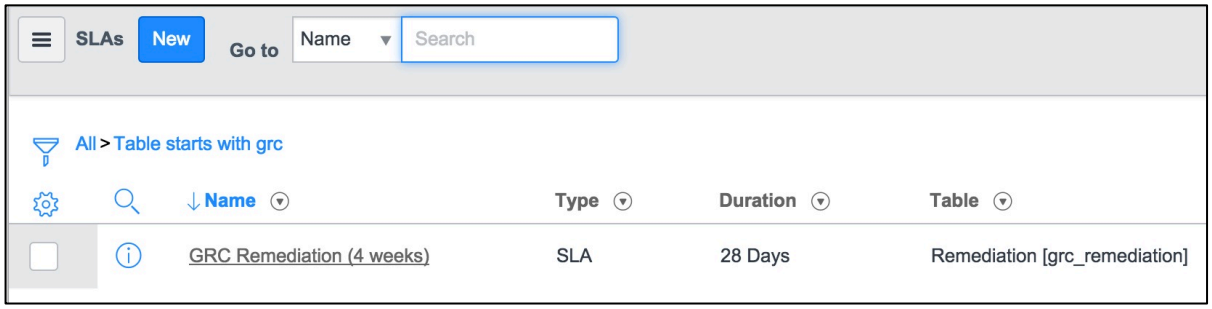
- Name: **GRC Remediation (4 weeks)**
- Table: **Remediation [grc_remediation]**
- Check the **Retroactive Start** check box
- Duration: **28 days**
- Set Start to: **Created**
- Start Condition: **Active is true**
- Stop Condition: **Active is false**



6. Click the **Submit** button.

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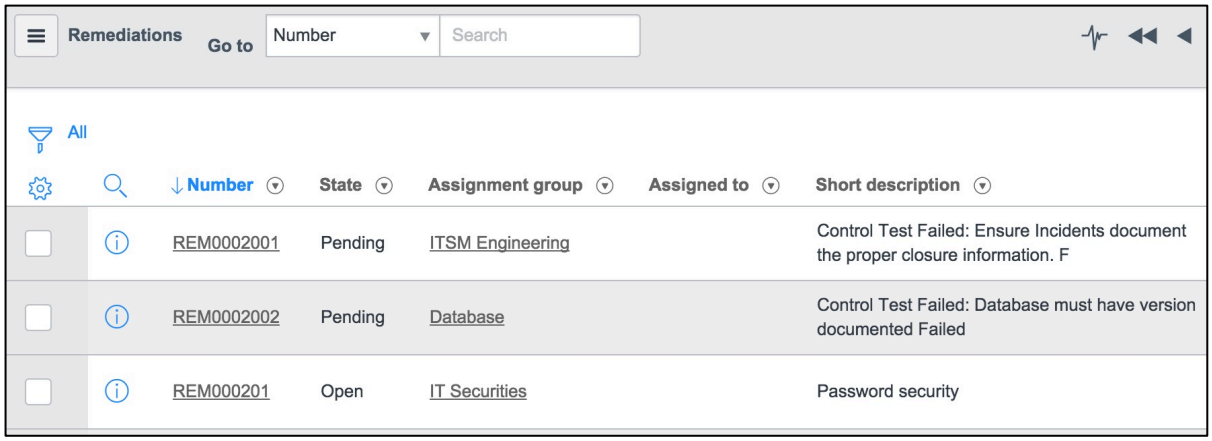
7. You should see the list view for GRC specific SLAs.



8. Within the **IT GRC** application, select **Remediation > All**.



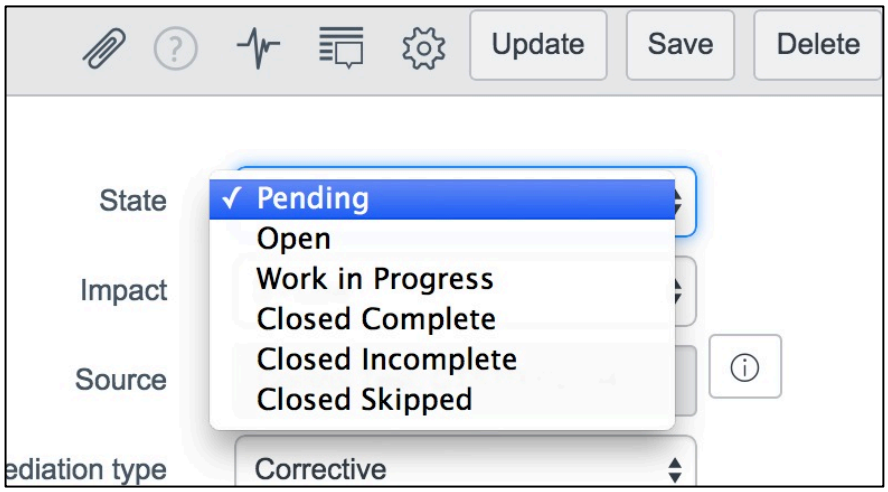
9. You should see the list view of all remediation tasks. At the top of the list are the two remediation tasks created in Lab 3.1 and Lab 3.2.



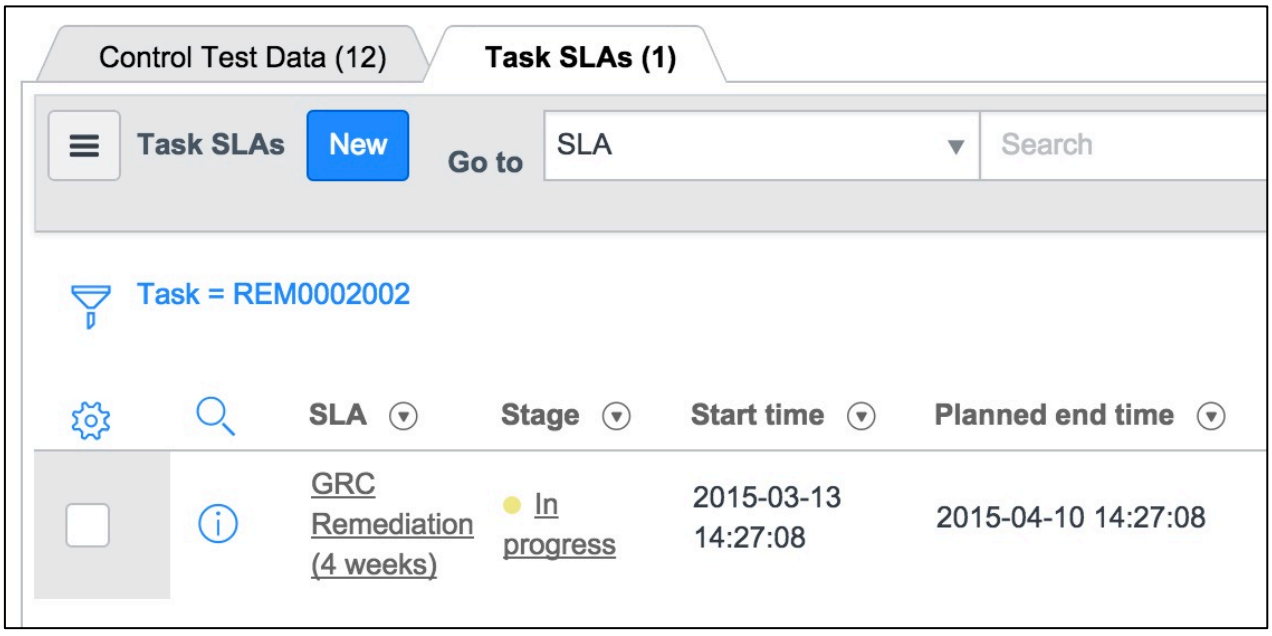
10. Select the Database remediation task by clicking on the **remediation number**.

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11. Update the remediation by changing the state from **Pending** to **Work in Progress** and click the **Save** button in the upper-right corner.



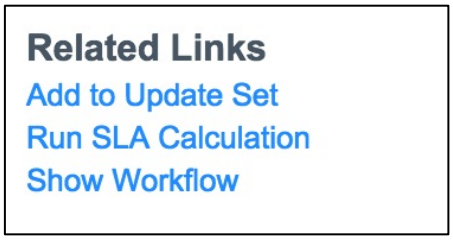
12. Scroll to the bottom of the remediation task. Select the **Task SLA** related list. You should see an active GRC Remediation SLA.



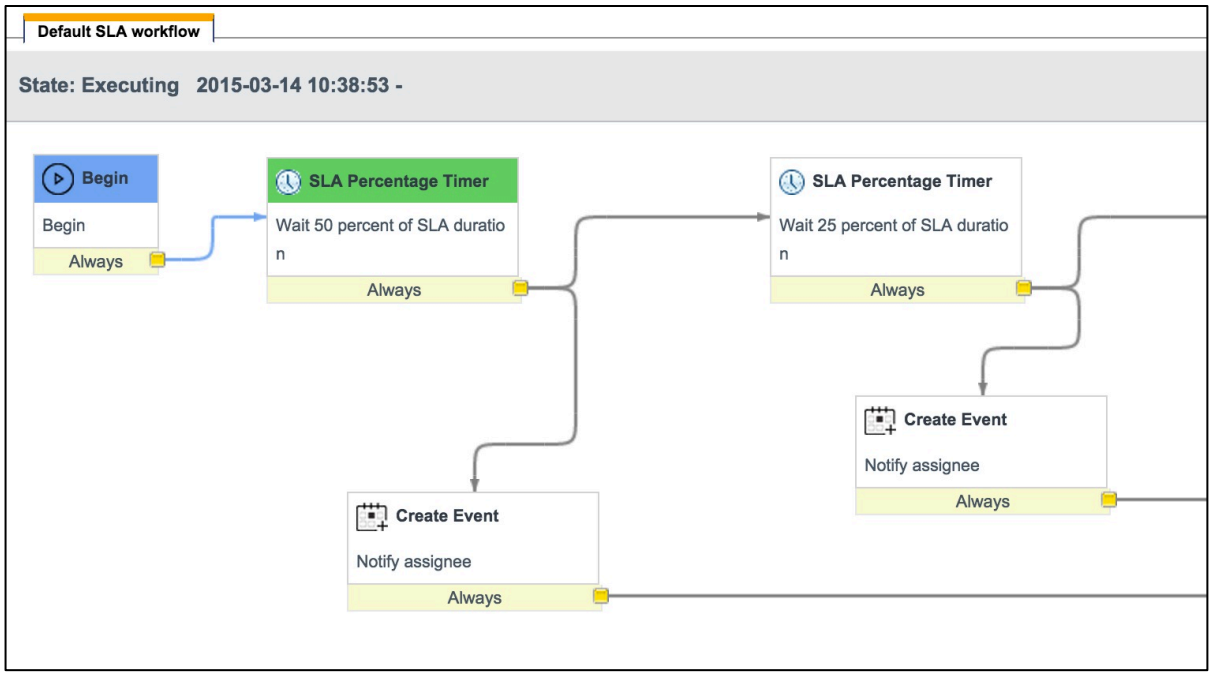
13. If you click the **Information** icon ⓘ you should see the details of the running SLA.

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14. Scroll to the bottom of the TASK SLA form and click on **Related Links > Show Workflow**.



15. You should see the default SLA notification and escalation workflow that automates the corrective action follow up activities.



Progress Report

1. Navigate to **Lab Management> Report Lab Progress**.
2. Click **I am done!**

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