

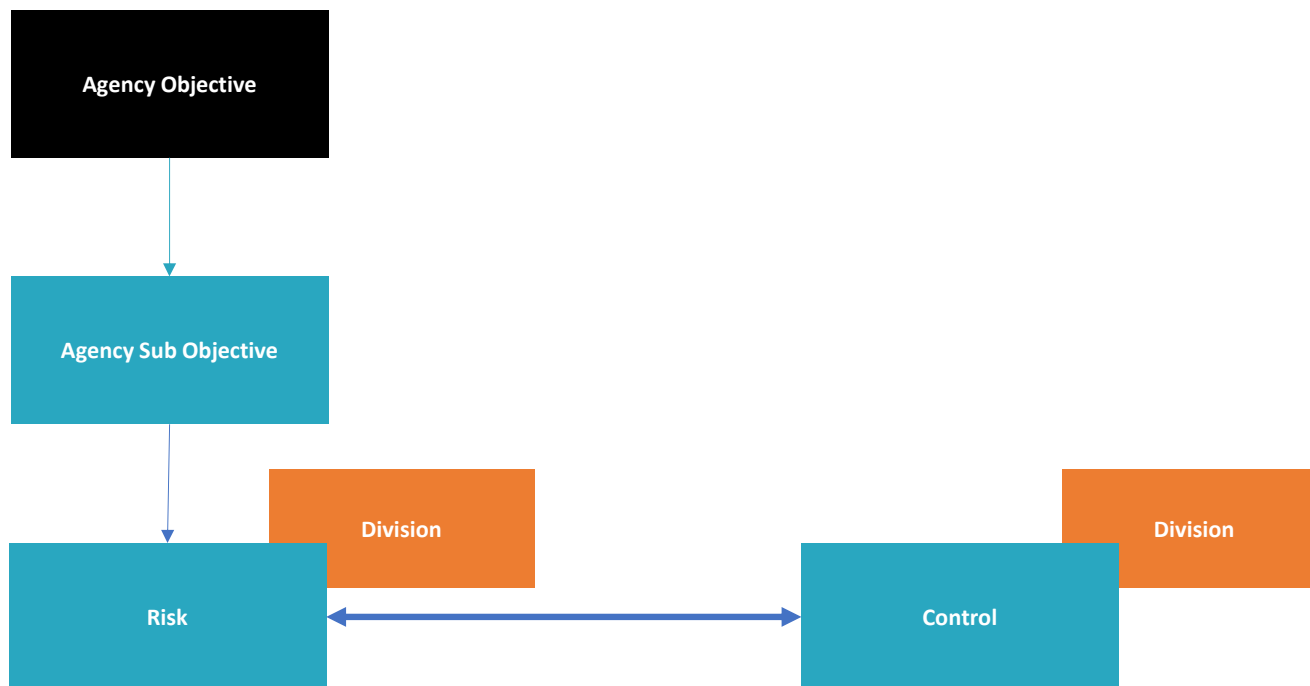


State of South Dakota - SBIC

ServiceNow GRC Application Overview

Risk and Control Matrix (RCM)

Conceptual Diagram



Excel RCM

Previous State

[illegible]

ServiceNow GRC Application Preview

Current State – Navigation

The screenshot displays the ServiceNow GRC Application interface. The left sidebar contains a navigation menu with the following items: Home, Risk and Control Matrix (highlighted), All Controls, All Risks, My Open Risk Response Tasks, My Open Issues, My Open Remediation Tasks, My Attestations, My Assessments, Policy and Compliance, and Benchmarks. The main content area shows a list of risks, with a table of columns: ID#, Name, Division, Agency, Agency Sub Objective, Category, State, Description, Impact, Likelihood, Risk rating, and Type. The table contains 10 rows of data, all with a risk rating of Medium. The 'New' button in the top navigation bar is highlighted.

ID#	Name	Division	Agency	Agency Sub Objective	Category	State	Description	Impact	Likelihood	Risk rating	Type
10000000000000000000000000000000	Financial Reporting	Bureau of Finance and Management			Financial	Monitor	Financial Reporting	High	Possible	Medium	Control
10000000000000000000000000000000	Financial Reporting	Bureau of Finance and Management			Financial	Monitor	Financial Reporting	High	Unlikely	Medium	Control
10000000000000000000000000000000	Financial Reporting	Bureau of Finance and Management			Operational	Monitor	Financial Reporting	Medium	Possible	Medium	Control
10000000000000000000000000000000	Financial Reporting	Bureau of Finance and Management			Compliance	Monitor	Financial Reporting	High	Almost Certain	Critical	Control
10000000000000000000000000000000	Financial Reporting	Bureau of Finance and Management			Compliance	Monitor	Financial Reporting	Medium	Likely	Medium	Control
10000000000000000000000000000000	Financial Reporting	Bureau of Finance and Management			Operational	Monitor	Financial Reporting	Medium	Possible	Medium	Control
10000000000000000000000000000000	Financial Reporting	Bureau of Finance and Management			Financial	Monitor	Financial Reporting	Low	Almost Certain	Medium	Control
10000000000000000000000000000000	Financial Reporting	Bureau of Finance and Management			Financial	Monitor	Financial Reporting	Low	Almost Certain	Medium	Control
10000000000000000000000000000000	Financial Reporting	Bureau of Finance and Management			Operational	Monitor	Financial Reporting	Medium	Possible	Medium	Control
10000000000000000000000000000000	Financial Reporting	Bureau of Finance and Management			Operational	Monitor	Financial Reporting	High	Unlikely	Medium	Control

ServiceNow GRC Application Preview

Filter/Group Options

The image displays two screenshots of the ServiceNow GRC application interface. The left screenshot shows a table of risks with columns for Name, ID#, Risk rating, and Agency. A context menu is open over the table, and the 'Group By Risk rating' option is highlighted with a red box. A large blue arrow points from this option to the right screenshot. The right screenshot shows the same interface after grouping, with the table displaying four rows representing risk ratings: Critical (63), High (81), Low (126), and Medium (213).

Left Screenshot: Risk Table

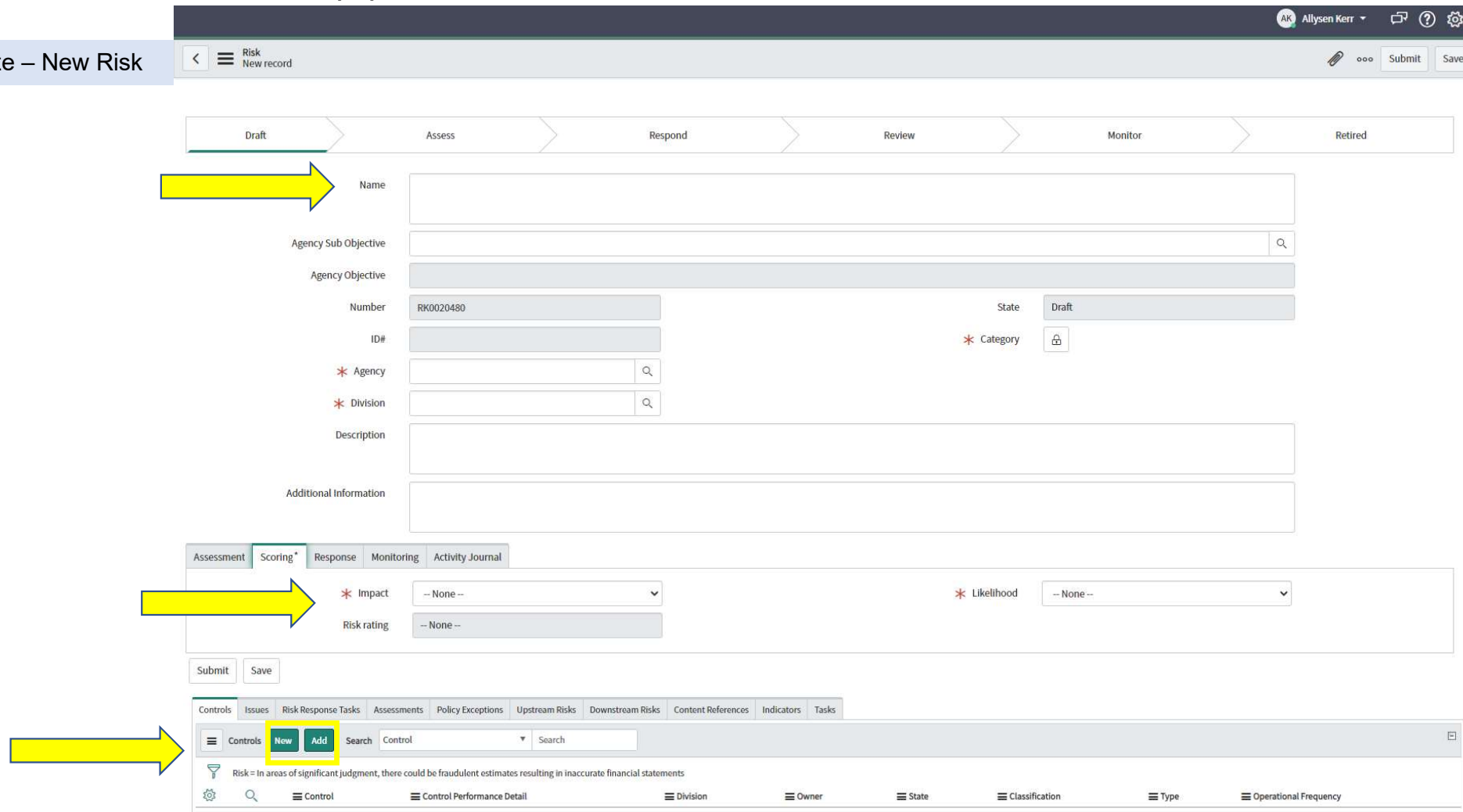
Name	ID#	Risk rating	Agency
Search	Search	Search	
Medi		Medi	
Low		Low	
Low		Low	

Right Screenshot: Grouped Risk Data

Risk rating	Count
Risk rating: Critical	63
Risk rating: High	81
Risk rating: Low	126
Risk rating: Medium	213

ServiceNow GRC Application Preview

Current State – New Risk



The screenshot displays the 'New Risk' form in the ServiceNow GRC application. The interface includes a top navigation bar with the user 'Allysen Kerr' and a sidebar with a 'Risk' menu. The main form is titled 'Current State – New Risk' and features a process flow at the top: Draft (highlighted with a yellow arrow), Assess, Respond, Review, Monitor, and Retired. The form fields are organized into sections: 'Name' (with a yellow arrow pointing to the input field), 'Agency Sub Objective', 'Agency Objective', 'Number' (pre-filled with 'RK0020480'), 'ID#', 'Agency' (with a red asterisk and search icon), 'Division' (with a red asterisk and search icon), 'Description', and 'Additional Information'. Below these fields are tabs for 'Assessment', 'Scoring*' (highlighted with a yellow arrow), 'Response', 'Monitoring', and 'Activity Journal'. The 'Scoring*' tab contains fields for 'Impact' (with a red asterisk and dropdown menu), 'Likelihood' (with a red asterisk and dropdown menu), and 'Risk rating'. At the bottom of the form are 'Submit' and 'Save' buttons. Below the form is a 'Controls' section with a search bar and a list of controls. The 'New' and 'Add' buttons in the 'Controls' section are highlighted with a yellow arrow. The list of controls includes a search bar and a table with columns: Control, Control Performance Detail, Division, Owner, State, Classification, Type, and Operational Frequency. The first row of the table shows a risk statement: 'Risk = In areas of significant judgment, there could be fraudulent estimates resulting in inaccurate financial statements'.

AK Allysen Kerr

< Risk New record

Submit Save

Draft Assess Respond Review Monitor Retired

Name

Agency Sub Objective

Agency Objective

Number RK0020480 State Draft

ID#

* Agency

* Division

Description

Additional Information

Assessment Scoring* Response Monitoring Activity Journal

* Impact -- None --

* Likelihood -- None --

Risk rating -- None --

Submit Save

Controls Issues Risk Response Tasks Assessments Policy Exceptions Upstream Risks Downstream Risks Content References Indicators Tasks

Controls New Add Search Control Search

Risk = In areas of significant judgment, there could be fraudulent estimates resulting in inaccurate financial statements

Control Control Performance Detail Division Owner State Classification Type Operational Frequency

ServiceNow GRC Application Preview

Current State – New Control

ServiceNow Service Management

Control New record

Filter navigator

Home

Risk and Control Matrix

- All Controls
- All Risks
- My Open Risk Response Tasks
- My Open Issues
- My Open Remediation Tasks
- My Attestations
- My Assessments

Policy and Compliance

Benchmarks

- Dashboard
- Policy and Compliance - GRC M...

Draft Attest Review Monitor Retired

* Control Activity Description

Number CTRL0020222

Status -- None --

* Agency

State Draft

* Division

Type

Owner

* Classification

Reference to Policy

Independent Assurance Provider

Reference to compliance requirement

* Control Performance Detail

Additional Information

Supporting Technology

Attestation Owners Activity Journal

Attestation SD Semi-Annual Attestation

* Attestation respondents

Testing Frequency Semi-Annually

Operational Frequency -- None --

Last Attestation Date

Next attestation date

Submit Save

GRC Application Preview

Self Assessment Survey - Attestation

Take Assessment

[Click here](#) for more information related to the control you are attesting to.

* Is the control implemented?


Yes

* Have you experienced any failures?

Yes

* Please provide details

* Please details any remediation steps taken to resolve failures experienced.

Please provide any pertinent documentation 

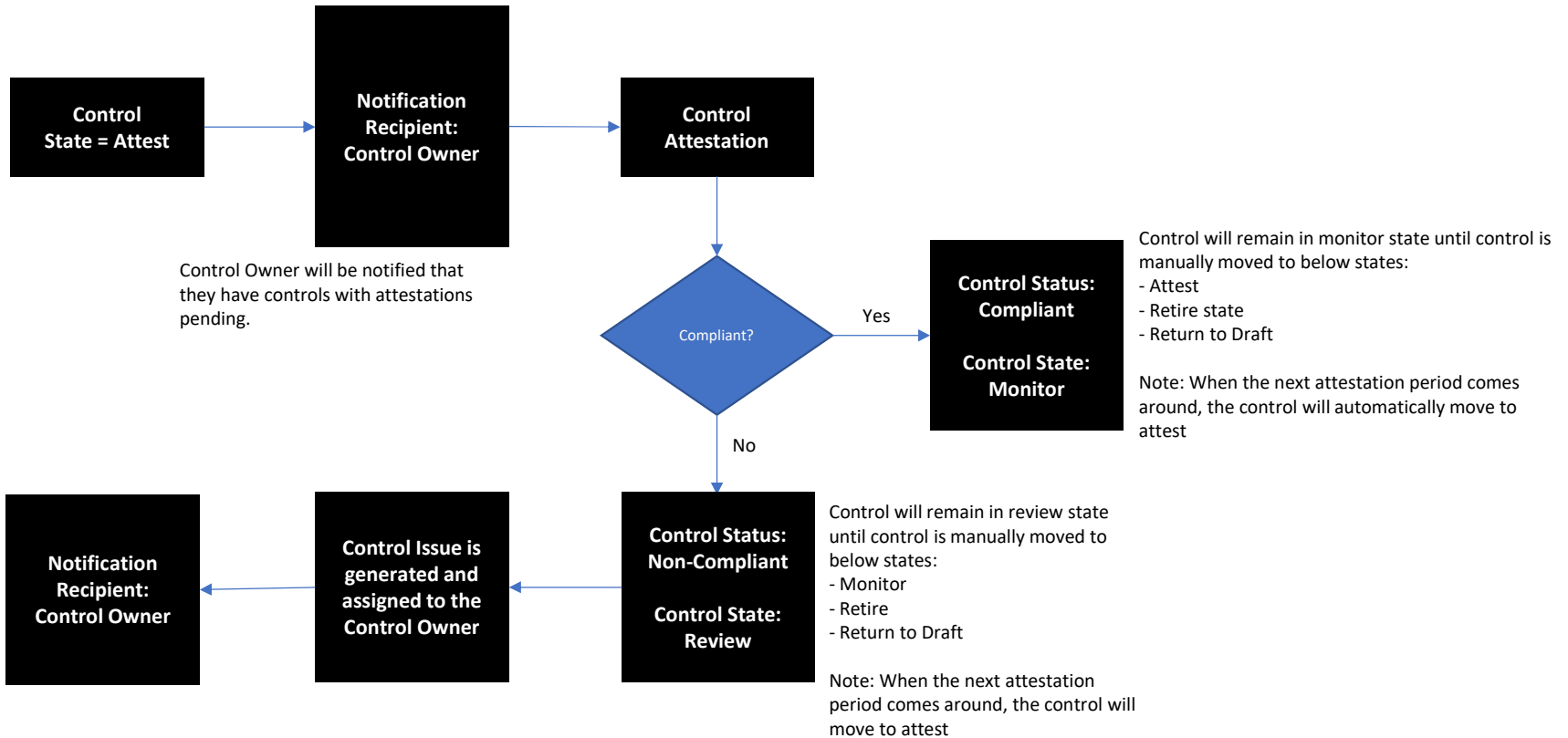
Submit

Save

Cancel

Control Attestation Workflow

Control will automatically move to Attest state based on pre-defined timeframe (June 1st)



GRC Application Preview

Reports (Statewide vs Agency)

Sample Statewide Report:

GRC Manager

GRC Manager

Prior review period

Current review period

Agency Metrics Details

Metric	Details	Current review period		Prior review period	
Risk by Type	Public Perception Technology Operational Compliance Financial Multiple	Number	Percent	Number	Percent
		31	6.4%	0	0%
		37	7.7%	0	0%
		174	36.0%	0	0%
		75	15.5%	0	0%
		76	15.7%	0	0%
		90	18.6%	0	0%
		483	100%	0	0%
Risk by Priority	Low Medium High Critical	126	26.1%	0	0%
		213	44.1%	0	0%
		81	16.8%	0	0%
		63	13.0%	0	0%
		483	100%	0	0%
Control Owner Self-Assessments	Completed On-time	100%		0%	
Critical / High Priority Risks with an Identified Control Issue	High Critical	0	0%	0	0%
		1	1.6%	0	0%
		1	0.7%	0	0%
Past Due Remediation Actions		0		0	
Risks with Priority Changes		0		0	
Number of Control Issues by Risk Type	Public Perception	Number	Percent	Number	Percent
		0	0.0%	0	0.0%

Sample Agency Report:

GRC Manager

GRC Manager

Prior review period

Current review period

Agency Metrics Details

Metric	Details	Current review period		Prior review period	
Risk by Type	Public Perception Technology Operational Compliance Financial Multiple	Number	Percent	Number	Percent
		28	9.2%	0	0%
		24	7.9%	0	0%
		60	19.7%	0	0%
		51	16.7%	0	0%
		52	17.0%	0	0%
		90	29.5%	0	0%
		305	100%	0	0%
Risk by Priority	Low Medium High Critical	73	23.9%	0	0%
		113	37.0%	0	0%
		57	18.7%	0	0%
		62	20.3%	0	0%
		305	100%	0	0%
Control Owner Self-Assessments	Completed On-time	100%		0%	
Critical / High Priority Risks with an Identified Control Issue	High Critical	0	0%	0	0%
		1	1.6%	0	0%
		1	0.8%	0	0%
Past Due Remediation Actions		0		0	
Risks with Priority Changes		0		0	

GRC Application Preview

Dashboards

