



Break Treatment Reference Guide

INTERNAL USE ONLY (I)

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Q: What is a Break?

A break is when an expected control that mitigates a risk has not been implemented.

Q: How do I view all of my Breaks?

Point your browser to <u>https://itrc.ops.tiaa-cref.org/#/home</u> > '**My Stuff**' > '**My Breaks**' OR '**My** Actions' > '**Breaks**'

My Stuff	~						
Dashboard		Filters (1)	-				
My Roles							
My Resources	>	Find				٩	« (<u>1</u>) »
My Assessments							
My Breaks My Plans		Action	Break ID 🔺	Plan ID	Break Status	Source	Procedure Name
			BR-3332660	TR-31931	Open	ITRC Automation	Application Recovery Plan Maintenance
My Actions	`		BR-3332661	TR-31931	Open	ITRC Automation	PSDR SOP Manage RTO-RTC Gaps
T Risk Catalog	> >		BR-3332662	TR-31931	Open	ITRC Automation	Application Resiliency Plan Testing

Q: How do I filter my Breaks?

Select 'Filters' > 'Add new filter criteria'. Once you have created all of applicable filters, **Select 'Apply'**.

Daebboard		Filters (1)									System Default		Save Filter Reset Defa	ult Filter Manage My
My Roles						And/Or	Field		0	perator			Value	
My Resources	,				x		Break Status		•	In List		v	Closed	
dy Assessments													Open Open	
ly Breaks			Charles in											
		1000	EXTREME THE R	ADDIV										
My Plans														
My Plans My Actions	,	Break Sta	tus In List ('Open')											
My Plans My Actions IT Risk Catalog	, ,	Break Sta	tus in List ("Open")			٩	« (<mark>1</mark>)	5	Result	Count: 5		Display 20 Record	s v	6 ¢
My Plans My Actions IT Risk Catalog Tools		Break Sta	tus In List ('Open')			٩	€ (C <mark>1</mark>))	2	Result	Count: 5	Trend	Display 20 Record	5 v	6 ¢
My Plans My Actions IT Risk Catalog Tools	> > >	Break Sta	tus In List ('Open') Break ID	Plan ID	Break Status	Q Source	< (1) Procedure Name	Grouping	Result	Count: 5 Treatment Type	Target Completion / Expiry Date	Display 20 Record Severity	n ∨ FixContent	₿¢
My Plans My Actions IT Risk Catalog Tools	2 2	Break Sta	tus In List ('Open') Break ID * BR-332660	Plan ID 178-31931	Break Status Open	Q Source ITRC Automation	< C Procedure Name Application Recovery Plan Maintenance	> Grouping IT Technical Continuity	Result	Count: 5 Treatment Type Fix Break Plen	Target Completion / Expiry Date 09/30/2021	Display 20 Record Severity Medium	n v Facontent Application Recovery Plan	5 Must Be Maintained

1 | P a g e

Q: How do I save/manage filters I have applied?

Once you have added new filter criteria, you can choose to save them for future use, by clicking 'Save Filter'

🖿 My Stuff	×	Applications /	SSRS - Symphony													
Dashboard My Roles		Basic Details	Risk Profile	Related Resources	Required Controls	Assessments	Breaks	Treatment Plans	Contacts	History						
My Resources		Filters (1) +												✓ Save I	ilter Reset Default Filter Manage My	Filters
My Assessments My Breaks					,	Ind/Or		Field				Operator		Value		
My Plans				×				Break Status			۲	In List	,	Closed Draft Open		^
A My Actions	•															¥

Give the 'filter a name', indicate if you want to default to these criteria for future use and click 'Save'.

	Save Default Filter Options	×	
ourc	Filter Name		
	Set as Default Filter		
	Close	e	

You may manage or delete any saved filters by clicking 'Manage My Filters'.

Filters (1) 🔻	3				System Default	✓ Save Filter	Reset Default Filter	Manage My Filters
		And/Or	Field	Operator		Value		
	×		Break Status	▼ In List	~	Closed Draft Open		* *
+ Add ne	ew filter criteria Apply							

You may also reset your changes by clicking 'Reset Default Filter'.

Filters (1) 🔻				System Default	♥ Save Filter	Reset Default Filter	Manage My Filters
	And/Or	Field	Operator		Value		
x		Break Status	▼ In List	~	Closed Draft Open		*
+ Add new filter criteria Apply							

Q: How do I view Breaks that require action?

A Break will require action if it is not associated to a Treatment Plan, or when a Break needs to be closed.

Point your browser to https://itrc.ops.tiaa-cref.org/#/home 'My Actions' > 'Breaks'.

2 | Page

The Breaks are highlighted with color coding. **Red** Highlighting indicates breaks that are past due. **Yellow** Highlighting indicates breaks that are coming due in 30 Days. **Green** Highlighting indicates breaks that are coming due in 31-90 Days.

My Stuff							Welcome to	T Risk Centra	al, Rachna						
A My Actions							Click here to	go to the IT Risk Education	nal Page						
Dashboard															Add New
Assessments					Mulations	> Dachboard or water	deu annail Dianart doarn't such da miarte	ed treatment class from SI & c	relations and is treated the s	me way a P	raft treatment plans				
Breaks					ing Accounts	- Dashouard of wee	wiy email pillest onesit r exclude reject	or meaning parts normation of	carculations and is dealed the si	nne nay a u	ran u eaunem pian				
Treatments															
			79	9				14					76		
📁 IT Risk Catalog			Assess	ments				Breaks				Treat	ment P	lans	
> Tools	Past Due				24		Past Due		12		Past Due				3
	Coming Du	ue in 30 Days			55		Coming Due in 30 Days		2		Coming Due in 30 Da	ys			55
	Coming Du	ue in 31-90 Days			0		Coming Due in 31-90 Days		0		Coming Due in 31-90	Days			18
		Click here to v	view the assessm	ents that require sul	bmission.		Click here to view the bre	aks that require association to	o a treatment plan.		Click here to	view treatment pla	ns that require su	ubmission, review,	or renewal.
	Find				Q		at t 1 3 36		Result Count: 14		c	isplay 20 Records	~		6 ¢
	Action	Break ID	Resource	Application Name	Procedure Name	Procedure Description				Severity	Severity	Created	PlanID	Ireatment Status	IsSFTS
	۰	BR-3470353	Application	FINANCIAL INFORMATION	PSDR SOP Manage RTO- RTC Garre	All applications less than or equi	with a baseline recovery time objective al to the RTO.Please click on the link be termine/ITBTC (Jachanica).	(RTO) of P0-P6 must have a re ow for break remediation inst	ecovery time capability (RTC) tructions:http://cs2.glb.tiaa-		Medium	04/01/2021			No

Q: How do I create a manual (self-identified) Break?

Point your browser to <u>https://itrc.ops.tiaa-cref.org/#/home</u> > '**My Stuff**' > '**My Resources**' > {**Choose resource type**}

Enter the name of the Resource in the **search** field, and then select the Resource name.

■ My Stuff +	My Applications						
My Roles My Resources V	Filters (1) * Find Q	« (1 2 3 4 5	> »	Result Count: 105	System Default	Save Filter Display 20 Records	Reset Default Filter Manage My Filters
My Applications My DBs	Name	LOB	BISO	Last ARC	Next ARC	Last ACA	Next ACA
My Data Transmissions	ActiveBatch - Symphony	Client Services & Technology	Clark, Thomas T	05/29/2021			
My Servers	Advent Axys (SBAM)	Client Services & Technology	Clark, Thomas T	05/29/2021			
My Workstations	APL - Nuveen	Client Services & Technology	Clark, Thomas T	05/29/2021		04/14/2021	
My Assessments	BACKSTAGE	Client Services & Technology	Clark, Thomas T	05/29/2021		10/10/2020	
My Breaks	BBGPAIM	Client Services & Technology	Clark, Thomas T	05/29/2021		05/02/2020	
My Plans	BBH INFOMEDIARY	Client Services & Technology	Clark, Thomas T	05/29/2021		11/13/2019	

From the 'Basic Details' page, select the 'Breaks' tab and then select 'Create Breaks'.

My Stuff 🗸 🗸	Application	s / SSRS - Symph	ony						
Dashboard			7.5794.055						
My Roles	Basic Detai	ls Risk Profile	Related Res	ources Requir	ed Controls Assessme	ents Breaks Treatment Plans Cont	acts History		
My Resources 🛛 🗸 🗸		_							
My Applications	Filters (1)								System Default
My DBs	Find				۹	« (1) »		Result Count: 5	
My Data Transmissions									Target
My Servers				Basels		Descedure		Treatment	Completion
My Workstations	Action	Break ID 🔺	Plan ID	Status	Source	Name	Grouping	Туре	Date
My Assessments		BR-3332660	TR-31931	Open	ITRC Automation	Application Recovery Plan Maintenance	IT Technical Continuity	Fix Break Plan	09/30/2021
My Breaks		BR-3332661	TR-31931	Open	ITRC Automation	PSDR SOP Manage RTO-RTC Gaps	General	Fix Break Plan	09/30/2021
My Plans		BR-3332662	TR-31931	Open	ITRC Automation	Application Resiliency Plan Testing	IT Technical Continuity	Fix Break Plan	09/30/2021
		BR-3501230		Open	ITRC Automation	Unsupported Operating Systems	IT Application/Systems Developme	nt	
My Actions >	0	BR-3501231		Open	ITRC Automation	Application use of Secure Build Servers	General		
-									
😤 Tools 🔹 🔉	_								
	Create B	Ireaks Create Tre	atment Plan						

You may now **select the 'Procedure(s)'** for which you need to create a break. **Select 'Create Breaks'.**

	CP-7458356	IT Application/Systems Development	Archiving of Externally Procured or Vendor Supplied Software	Not Assessed	2
	CP-6150704	IT Security Monitoring	Audit Log Requirements	Not Assessed	2
	CP-6905064	IT Operations	Audit Trail of Software Changes	Not Assessed	2
	CP-6150762	IT Access Control	Audit Trail of Unassociated Privileged Accounts	Not Assessed	2
0	CP-6150694	IT Operations	Centralized Logging and Protection of Event Logs	Not Assessed	1
	CP-6150683	IT Operations	Change Control Procedures	Not Assessed	2
	CP-6150779	IT Application/Systems Development	Creation of User and Administration Manuals	Not Assessed	6
		« (<u>1</u> 2	3 4 5 > »		
				Cancel	Create Breaks

'Confirm Break' creation.

Enter a description of the break, including any details which may be relevant. If the Break has Audit implications, choose that **'option'** in the drop down box; otherwise, leave blank and **'Save'**.

	Create Break		×
ontrol	Please enter the Description or Reason for the break Enter the reason		
ontrol rity	Compliance		
ontrol	Compliance Detail		~ w
ons ons		Cancel	Save

Q: How do I know what type of Treatment Plan I need for my Breaks?

There are **3** different types of Treatment Plans:

Deferred Break Plan – A Deferred Break Plan indicates the Break(s) which will not be addressed by a fix plan for more than 365 days. There is no minimum deferral period. The maximum deferral period is one calendar year. Extensions are available with the same maximum time period. For each extension, the break must be reviewed and approved for additional deferral periods.

Note: Deferrals of breaks with a break severity of <u>**Critical**</u> will require L3 approval and breaks with a break severity of <u>**High**</u> will require L4 approval.

Fix Break Plan – A Fix Plan outlines the steps to be taken to implement a required control. Targeted completion date must be within one calendar year of the plan creation date. If the fix plan can be started but not finished within the 1st year, a **Multi-Year Plan** can be selected. A Multi Year Plan may not last longer than 2 years. After the first year, updates must be added to the Treatment Plan to show the progress made.

Dispute Break Plan – A Dispute Plan indicates the associated Break(s) are invalid and do not introduce risk.

Q: How do I create a Treatment Plan for my Breaks?

Start by selecting the Resource or Break for which you'd like to open a treatment plan. You can do this in three ways:

5 | Page

- Select 'My Stuff' > 'My Resources' > 'My {Applications, Servers, Workstations, etc.}' > Resource Name
- Select 'My Stuff' > 'My Breaks' > Search by 'Break ID (BR-#)'
- Select 'My Actions' > 'My Breaks' > Resource Name > select the 'Break ID (BR-#)'

From the Resource 'Basic Details' page, select 'Breaks' tab.

Under the 'Action' column, select the 'Break(s)' you would like to create a Treatment Plan for and click 'Create Treatment Plan' at the bottom of the page.

🖿 My Stuff 🛛 🗸 🗸	Applications	/ SSRS - Sympho	ony						
Dashboard	Basic Details	Risk Profile	Related Res	ources Requir	ed Controls Assessme	ents Breaks Treatment Plans Con	stacts History		
My Roles				ources medan			index index y		
My Resources 🛛 🗸 🗸		2							
My Applications	Filters (1) -								System Default
My DBs	Find				٩	« (1) :	» Result (Count: 5	
My Data Transmissions									Terret
My Servers				Break		Drocedure		2010 0	Completion
My Workstations	Action	Break ID 🔺	Plan ID	Status	Source	Name	Grouping	Treatment Type	/ Expiry Date
My Assessments		BR-3332660	TR-31931	Open	ITRC Automation	Application Recovery Plan Maintenance	IT Technical Continuity	Fix Break Plan	09/30/2021
My Breaks		BR-3332661	TR-31931	Open	ITRC Automation	PSDR SOP Manage RTO-RTC Gaps	General	Fix Break Plan	09/30/2021
My Plans		BR-3332662	TR-31931	Open	ITRC Automation	Application Resiliency Plan Testing	IT Technical Continuity	Fix Break Plan	09/30/2021
		BR-3501230		Open	ITRC Automation	Unsupported Operating Systems	IT Application/Systems Development		
My Actions >	0	BR-3501231		Open	ITRC Automation	Application use of Secure Build Servers	General		
TRisk Catalog						« (<mark>1</mark>))	3		
· · ·									
75 Iools >									
	Create Bre	eaks Create Tre	atment Plan						

Select the 'Type of Treatment Plan' you would like to create, and then click 'Continue'. The available options include: Deferred Break Plan, Fix Break Plan or Dispute Break Plan.

		Create Treatment Plan Currently there is no Treatment Plan associated to the selected break(s). Here are the options available to you.	×
		Known Standard Operating Procedures/Services for the selected break(s)	
Filters (1) 🖛		✓ CP-7396902 - Unsupported Operating System	
		Please select a type of Treatment Plan to create	
Action	Break ID Plan BR-3332660 TR-3 BR-3332661 TR-3	Deferred Break Plan – A Deferred Break Plan indicates the Break(s) will not be addressed by a fix plan for more than 365 days. There is no minimum deferral period. The maximum deferral period is one calendar year. Extensions are available with the same maximum time period. For each extension, the break must be reviewed and approved for additional deferral periods. Fix Plan – A Fix Plan – A Fix Plan outlines the steps to be taken to implement a required control. Targeted completion date must be in within one calendar year of the plan creation date. If a Break will not be addressed within 1 year, you will be required to create a Deferred Break Plan nutly you are within that time frame. Dispute Plan – A Dispute Plan indicates the associated Break(s) are invalid and do not introduce risk.	1120
		Deferred Break Plan	
		Deferred Break Plan	
		Fix Break Plan Dispute Break Plan Cano	:el
Create Br	eaks Create Treatment I	Han .	
		6 P a g	; e

Enter the details for the Treatment Plan you've selected, then click 'Submit'.

The following fields are required for each Treatment Plan:

Deferred Break Plan:

- **Business Justification** This is a user provided description detailing why the break is not being addressed at this time.
- **Defer Category** This is a category related to the root cause of the Deferred Break Plan.
- **Defer Expiration Date** Defaults to one calendar year from date of plan creation; change to earlier date if the deferment is not expected to last one year. Leave as is if the deferment is expected to last at least that long.
- **Break Fix Cost** Drop-down list with dollar values from \$10,000-\$10,000,000. Because this is a required field, the plan cannot be saved without a populated value; if you are unsure- choose any value and notify the BISO Team that the values need to be reviewed.
- Estimation Method Drop-down list with four options: Educated Guess, Budgetary Estimate, Vendor Quote and Other. *If unsure, choose "Other".*

Details	Review	History									
	Crea Submiss Number of Ex	ed Date: on Date: Owner: Type: ensions:	06/04/2021 Alli, Priya Rajaram 🍇 Deferred Break 0				Status: Treatment Comments:	Draft			92
Defer De	tails										
Busin	ess Justificatio	n:*		~	Estimation Method:	imation Method		~	Defer Category.* Business acceptance – not f Contractual Constraint Financial Constraint More research needed Defer Expiration Date:* 6/3/2022	bxing	
Find				Q	« (1 > >>		Result Count: 1	Display 20	Records	B ¢
Action		Break	ID 👻	Procedure Name			Break Status	Procedure Class	Break Severity		Evidence
		BR-350	01230	Unsupported Operating Systems			Open	2	High		۵
					« ‹	1 > >>					
						Add Break Rem	ove Break Move to New Plan				

Fix Break Plan:

- **Target Completion / Expiry Date** This is the date when you anticipate the Fix Plan will be resolved.
- **Fix Description** This is a user provided description detailing the steps to be taken in order to close the associated Break(s).

Details to include in the **Fix Description**:

- ✓ The Description Outline the steps for the recommended fix, or the reason for the deferral.
- Dates Must match Target Completion Date. When do you estimate the mitigation to be done? Or Key decision making dates.
- ✓ People/Projects (if applicable) Who is currently working on it? Who are you dependent on? In which project will the break be addressed?
- ✓ Change Request or Demand Numbers (if applicable) from Production Support, Service Now, Data Management Team, etc.
- **Break Fix Cost** Drop-down list with dollar values from \$10,000-\$10,000,000. Because this is required field, the plan cannot be saved without a populated value; if you are unsure- choose any value and notify the BISO Team that the values need to be reviewed.
- Estimation Method Drop-down list with four options: Educated Guess, Budgetary Estimate, Vendor Quote and Other. *If unsure, choose "Other".*

Details Review History					
Created Date: Submission Date: Owner: Type: Number of Extensions:	06/04/2021 Alli, Priya Rajaram 🍇		Status: Dra Treatment Comments: RAG Status: Updated By: Last Update: RAG Comments:	ift Read	Qui Update
Target Completion / Expiry Date:*	6/3/2022	Multi Year:	% Complete:	25 50 75	100
If you need more than 1 year to a	ddress any Break, please create a "Multi-year Fix Treatment Plan" or "Deferred	Plan"			
Fix Description:*					
Break Fix Cost:*		Estimation Method:*		Funding:	
Choose Break Cost	*	Choose Estimation Method		✓ Undecided	
Find	٩	« < <mark>3</mark> > »	Result Count: 1		Display 20 Records
Action Break ID	Procedure Name	Break Status	Procedure Class	Source	Break Severity
BR-3501230	Unsupported Operating Systems	Open	2	ITRC Automation	High
		« < 1 > »			
		Add Break Remove Bre	ak Move to New Plan		
		Save Plan Submit Pla	n Change Plan Type		

Multi Year Fix Break Plan:

- **Target Completion / Expiry Date** This is the date when you anticipate the Fix Plan will be resolved.
- Fix Description This is a user provided description detailing the steps to be taken in order to close the associated Break(s). (Broken up into phases representing year 1 and year 2).

Details to include in the fix description.

- \checkmark The Description Outline the steps for the recommended fix.
- Dates Must match Target Completion Date. When do you estimate the mitigation to be done? Or Key decision making dates.

- ✓ People/Projects (if applicable) Who is currently working on it? Who are you dependent on? In which project will the break be addressed?
- Change Request or Demand Numbers (if applicable) from Production Support, Service Now, Data Management Team, etc.
- Break Fix Cost Drop-down list with dollar values from \$10,000-\$10,000,000. Because this is a required field, the plan cannot be saved without a populated value; if youare unsure- choose any value and notify the BISO Team that the values need to be reviewed.
- **% Complete** This is plan completion in percentage, this shows plan implementation progress status.
- Estimation Method Drop-down list with four options: Educated Guess, Budgetary Estimate, Vendor Quote and Other.

Details Review History						
Created Date: Submission Date: Owner:	06/04/2021 Alli, Priya Rajaram 🔩		Status: Dra Treatment Comments: RAG Status:	sft None	Que Update	
Type: Number of Extensions:	FitxBreak 0		Updated By: Last Update: RAG Comments:			
Target Completion / Expiry Date:*	•	Multi Year. 🗹	% Complete:*	2 5 50 75 100]	
Fix Description Phase 2:*						
Break Fix Cost.*		Estimation Method:"		Funding:		
Choose Break Cost		Choose Estimation Method		♥ Undecided		
Find	٩	« < 1 > »	Result Count: 1	Display	20 Records 🗸	8 ≎
Action Break ID	Procedure Name	Break Status	Procedure Class	Source	Break Severity	Evidence
BR-35012	30 Unsupported Operating Systems	Open	2	ITRC Automation	High	۵
		« (1) »				
		Add Break Remove Break M Save Plan Submit Plan Ch	ove to New Plan			

Dispute Break Plan:

- Reason for Dispute (Document all the compensating control/alternate control that you implemented in detail):- This is a user provided description detailing why the associated Break(s) are not valid.
- **Dispute Category** This is a category related to the root cause of the invalid Break(s)

SSRS - Syn	nphony / TR-33203								
Details	Review History								
	Created Date:	06/07/2021				Status	a: Draft		
	Submission Date:					Treatment Co	omments:		•
	Type:	Dispute Break							
	.,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	onpore or con							
Dispute D	etails								
Reason fo	r Dispute – (Document a	II the compensating control/a	Iternate control that you implemented in detai	():*			Di	spute Category:*	
							la Ih Id	nswered the ACA question incorrectly ave an alternate approach (compensating on't think this applies to me	control)
							4		
Find			٩	«	1 > »		Result Count: 1	Display 20 Records	5 \$
Action	Breat	k ID 👻	Procedure Name			Break Status	Procedure Class	Break Severity	Evidence
0	BR-35	528542	Access Authorization Process			Open	3	High	۵
				« ‹	1 > »				
					Add Break Re	move Break 📗 Move to	New Plan		
					Save Su	omit Change Plan	туре		

Q: How do I view my Treatment Plans?

Point your browser to <u>https://itrc.ops.tiaa-cref.org/#/home</u> > 'My Stuff' > 'My Plans'

My Stuff Dashboerd My Roles	•	My Treatment P Filters (1) ▼	lans								System Default	£	✓ Save Filter Reset De	efault Filter Manage My Filters
My Resources My Assessments	>	Find		٩	<u>e</u>	(1 2 3 4	5)))		Result (Count: 269		Display 20	Records 🗸	6 ¢
My Breaks My Plans		Plan ID 👻	Treatment Type	Resource Name	Treatment Status	Owner	Targeted Plan Completion Date	Created Date	# of Breaks Associated	Resource Type	Submission Date	Plan Extension Count	Application Contact	Application Owner
🐥 My Actions	>	TR-33203	Dispute Breaks Plan	SSRS - Symphony	Draft	Thakur, Rachna		06/07/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
🗐 IT Risk Catalog	,	TR-33202	Deferred Breaks Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M		05/04/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
· · ·		TR-33201	Fix Break Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M	06/03/2022	06/04/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
iools	``	TR-33180	Fix Break Plan	SPEC LOT SELECTOR	Draft	Sandapola, Vijay R		05/25/2021	1	Application		0	Sandapola, Vijay R	Prakash, Yash
		TR-33163	Fix Break Plan	EQUITY STRATEGIC REPORTING PLATFORM	In Progress	Panchedula, Venkatesh	07/01/2021	05/24/2021	1	Application	05/24/2021	0	Panchedula, Venkatesh	Ramanathan, Kameswaran
		TR-33162	Dispute Breaks Plan	EQUITY STRATEGIC REPORTING PLATFORM	Rejected	Panchedula, Venkatesh		05/24/2021	1	Application	05/24/2021	0	Panchedula, Venkatesh	Ramanathan, Kameswaran

Q: How do I add breaks to an existing Treatment Plan?

Point your browser to <u>https://itrc.ops.tiaa-cref.org/#/home</u> > '**My Stuff'** > '**My Plans'**. **Select the** '**Plan ID**' to which you would like to add Breaks.

My Stuff Dashboard My Roles	*	My Treatment P Filters (1) •	lans								System Default		V Save Filter Reset De	fault Filter Manage My Filters
My Resources My Assessments My Breaks	,	Find		٩	¢.	(1 2 3 4	5) 3 Targeted Plan		Result C	ount: 269		Display 20 Plan	Records ¥	₿ ¢
My Plans		Plan ID 🔻	Treatment Type	Resource Name	Treatment Status	Owner	Completion Date	Created Date	≢ of Breaks Associated	Resource Type	Submission Date	Extension Count	Application Contact	Application Owner
🌲 Hy Actions	•	TR-33203	Dispute Breaks Plan	SSRS - Symphony	Draft	Thakur, Rachna		06/07/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
IT Rick Catalan		TR-33202	Deferred Breaks Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M		06/04/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
- Think Calling	Ĩ.	TR-33201	Fix Break Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M	06/03/2022	06/04/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyau M
77 Tools		TR-33180	Fix Break Plan	SPEC LOT SELECTOR	Draft	Sandapola, Vijay R		05/25/2021	1	Application		0	Sandapola, Vijay R	Prakash, Yash
		TR-33163	Fix Break Plan	EQUITY STRATEGIC REPORTING PLATFORM	In Progress	Panchedula, Venkatesh	07/01/2021	05/24/2021	1	Application	05/24/2021	0	Panchedula, Venkatesh	Ramanathan, Kameswaran
		TR-33162	Dispute Breaks Plan	EQUITY STRATEGIC REPORTING PLATFORM	Rejected	Panchedula, Venkatesh		05/24/2021	1	Application	05/24/2021	0	Panchedula, Venkatesh	Ramanathan, Kameswaran

From the Treatment Plan, select 'Add Break'.

-					
APL - Nuveen / TR-33150					
Details Review History					
Created Date	05/20/2021		Status: In Progress		
Submission Date	05/21/2021		Treatment Comments:	•	
Owner	Chen, Clifford C 🤱		RAG Status: None	Undate	
Туре	Fix Break		Updated By:	oposic	
Number of Extensions	0		Last Update:		
			RAG Commenta:		
Target Completion / Expiry Date:*	5/21/2022	Multi Year: D	% Complete: 0 25 50 7	5 100	
If you need more than 1 year	o address any Break, please create a "Multi-year Fix Treatment Plan" or "Defen	ed Plan"			
Fix Description:*					
APL users have unique ID's					
Break Fix Cost:*		Estimation Method:*	Funding:		
so	~	Other	✓ Run		
Find	٩	« < 1 > »	Result Count: 1	Display 20 Records	5 ¢
Action Break II	Procedure Vame	Break Procedure Status Class	Source	Break Severity	Evidence
D BR-3496	04 Unique Workforce User IDs	Open 5	2021-ACA-New: 7870652	Medium	4
		« < <mark>1</mark> > »			
		Add Break Remove Break Close Break M	tove to New Plan		
		Save Plan Complete Plan Extend Cha	inge Plan Type		

You may now select Breaks you would like to add to the Treatment Plan.

Once you've chosen the breaks you'd like to add, scroll to the bottom of this pop out box and **Choose 'Associate Breaks'.**

aa Bi	eaks to F	Plan								
Filters (0)	•				System Default		♥ Save F	ilter Reset De	fault Filter Ma	anage My Filters
Find		٩		« < 1	> »	Result	Count: 1	Display 20 Re	cords 🗸	\$
Add All	Break ID 🔺	Break Status	Source	Procedure Name	Grouping	Treatment Type	Resource Name	Resource Type	Targeted Plan Completion Date	Created Date
	BR-3528647	Open	Manual:Created Breaks	Access Authorization Process	Access Authorization Process		APL - Nuveen	Application		06/07/2021
4				« < 1	> »>					

After the Break association. This will bring you back to the treatment plan. Select 'Save Plan'.

Find		٩	« (<mark>1</mark>) »		Result Count: 2	Display 20 Records 🛛 🗸	5 ¢
Action	Break ID 🔻	Procedure Name	Break Status	Procedure Class	Source	Break Severity	Evidence
0	BR-3528647	Access Authorization Process	Open	3	Manual:Created Breaks	High	8
D	BR-3496704	Unique Workforce User IDs	Open	5	2021-ACA-New: 7870652	Medium	۵
			≪ < 1 > ≫				
			Add Break Remove Save Plan Comple	Break Close Break Move to N ete Plan Extend Change Plar	Type		

Q: How do I remove Breaks from an existing Treatment Plan?

Point your browser to <u>https://itrc.ops.tiaa-cref.org/#/home</u> > '**My Stuff**' > '**My Plans**'. **Select the** '**Plan ID**' you would like to remove Breaks from.

My Stuff Dashboard My Roles	*	My Treatment F	Plans								Surteen Default	2	v Stan Silver Devet De	fe de Eller - Manage Ma Eller
My Resources My Assessments	>	Find		٩	<u>C</u>	(1 2 3 4	5) 3)		Result	Count: 269	System belaut	Display 20	Records	E ¢
My Breaks My Plans		Plan ID 🔹	Treatment Type	Resource Name	Treatment Status	Owner:	Targeted Plan Completion Date	Created Date	# of Breaks Associated	Resource Type	Submission Date	Plan Extension Count	Application Contact	Application Owner
🐥 My Actions	>	TR-33203	Dispute Breaks Plan	SSRS - Symphony	Draft	Thakur, Rachna		06/07/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
📁 IT Risk Catalog	,	TR-33202	Deferred Breaks Plan Fix Break Plan	SSRS - Symphony SSRS - Symphony	Draft Draft	Kedir, Nebiyou M Kedir, Nebiyou M	06/03/2022	06/04/2021	1	Application Application		0	Yung, Matthew G (matthew) Yung, Matthew G (matthew)	Kedir, Nebiyou M Kedir, Nebiyou M
💥 Tools	>	TR-33180	Fix Break Plan	SPECILOT SELECTOR	Draft	Sandapola, Vijay R		05/25/2021	1	Application		0	Sandapola, Vijay R	Prakash, Yash
		TR-33163	Fix Break Plan	EQUITY STRATEGIC REPORTING PLATFORM	In Progress	Panchedula, Venkatesh	07/01/2021	05/24/2021	1	Application	05/24/2021	0	Panchedula, Venkatesh	Ramanathan, Kameswaran
		TR-33162	Dispute Breaks Plan	EQUITY STRATEGIC REPORTING PLATFORM	Rejected	Panchedula, Venkatesh		05/24/2021	1	Application	05/24/2021	0	Panchedula, Venkatesh	Ramanathan, Kameswaran

You may now select the Breaks you would like to remove from the Treatment Plan. Once you've selected the appropriate Breaks, **click 'Remove Break' and confirm removal**.

APL - Nuveen / TR-33150											
Details Review History											
Created Date:	05/20/2021						Status: In Progress				
Submission Date:	05/21/2021						Treatment Comments:				
Owner:	Chen, Clifford C 🤱						DIG Status				
Type:	Fix Break						Updated By:			Update	
Number of Extensions:	0						Last Update:				
							RAG Comments:				
Target Completion / Expiry Date:*	5/21/2022			Multi Year: 🛛			% Complete: 0 25	50 75	100		
If you need more than 1 year t	address any Break, pleas	se create a "Multi-year Fix Treatment P	Plan" or "Deferred P	'lan"							
Fix Description:*											
APL users have unique ID's											
Break Fix Cost:*				Estimation Meth	nod:*			Funding:			
so			~	Other			~	Run			
Find		٩		«	< 1 > »		Result Count: 2		Display 20 Records	~	ľ
Action Break ID	•	Procedure Name			Break Status	Procedure Class	Source		Break Severit	cy .	Evidence
BR-35286	47	Access Authorization Process			Open	3	Manual:Created Break	ka	High		•
O BR-34967	94	Unique Workforce User IDs			Open	5	2021-ACA-New: 78706	52	Medium	1	۵
				«	< 1 > »						
					Add Break Remove Break	Close Break Mo	ove to New Plan				
					Save Plan Complete Plan	Extend Chan	ige Plan Type				

Q: How do I change the Owner of a Treatment Plan?

Point your browser to <u>https://itrc.ops.tiaa-cref.org/#/home</u> > '**My Stuff'** > '**My Resources' OR** '**My Plan**'

Start by selecting the Resource or Plan for which you'd like to change ownership. You can do this in three ways:

- Select 'My Stuff' > 'My Resources' > 'My {Applications, Servers, Workstations, etc.}' > search by Resource Name > Access Plans in 'Treatment Plan' tab within Resource Details
- Select 'My Stuff' > 'My Plans' > search by 'Treatment ID (TR-#)'
- Select 'My Actions' > 'Treatments' > search by 'Treatment ID (TR-#)'

My Stuff v	Applications / APL	- Nuveen						
My Roles	Basic Details R	lisk Profile Related Resources	Required Controls Assessments Breaks	Treatment Plans Contacts History				
My Resources v								
My Applications	Find		۹.	« (<mark>1</mark>) »	R	asult Count: 6	Displey 20 Records 🗸 🗸	
My DBs My Data Transmissions	Action	Plan ID	Treatment Type	Owner	Created Date	Targeted Date	Status	# of Associated Breaks
My Servers		TR-33150	Fix Break Plan	Chen, Clifford C	05/21/2021	05/22/2022	In Progress	2
my monsations	0	TR-33148	Deferred Breaks Plan	Chen, Clifford C	05/21/2021	05/19/2022	Rejected	2
My Assessments	0	TR-31334	Fix Break Plan	Chen, Clifford C	12/30/2020	03/30/2022	In Progress	1
My Breaks		TR-27608	Fix Break Plan	Chen, Clifford C	12/20/2019	12/31/2021	In Progress	1
My Plans	0	TR-27598	Deferred Breaks Plan	Chen, Clifford C	12/20/2019	06/30/2021	Reviewed	1
A My Actions >	0	TR-26793	Fix Break Plan	Chen, Clifford C	08/31/2019	06/30/2021	In Progress	1
IT Risk Catalog >				« < <mark>1</mark> > »				
× Tools >	Change Owner							

13 | Page

Under the 'Action' column, check the box to the left of the 'Treatment Plan ID' that you would like to change the owner of. Once you have selected the appropriate Treatment Plan ID, scroll down and select 'Change Owner'. A pop up will appear with a list to select a new owner. Make sure to save.

Change Treatme	ent Plan Owner	×
Find	Q « < 1 > » Res	ult Count: 5
Action	Full Name	Username
0	Rohit Bajaj	bajajro
0	Clifford Chen	chenl
0	Giselle Pemberton	pemberg
0	Jeyaraman Subramanian	subrama
0	Rachna Thakur	thankur
	« < 1 > »	
		Cancel

Alternately, you can make the change from within the plan itself by clicking the **people icon** next to Owner name.

SSRS - Symphony / TR-33203				
Details Review History				
Created Date:	06/07/2021	Status:	Draft	
Submission Date:		Treatment Comments:		2
Owner:	Thakur, Rachna 🌆			
Туре:	Dispute Break			

Follow same steps as above.

Q: How do I change the Targeted Plan Completion Date of a Treatment Plan?

Point your browser to <u>https://itrc.ops.tiaa-cref.org/#/home</u> > '**My Stuff'** > '**My Plans'**. **Select the** '**Treatment Plan ID**' in which you would like to change the date.

My Stuff	.*.													
Dashboard		My Treatment P	lans											
My Roles		Filters (1) 💌									System Defaul		✓ Save Filter Reset De	efault Filter Manage My Filters
My Resources My Assessments	>	Find		٩	6	(1 2 3 4	5) %		Result (Count: 269		Display 20	Records 🗸	5 ¢
My Breaks My Plans		Plan ID 🔻	Treatment Type	Resource Name	Treatment Status	Owner	Targeted Plan Completion Date	Created Date	# of Breaks Associated	Resource Type	Submission Date	Plan Extension Count	Application Contact	Application Owner
A Wy Actions	>	TR-33203	Dispute Breaks Plan	SSRS - Symphony	Draft	Thakur, Rachna		06/07/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
IT Rick Catalog		TR-33202	Deferred Breaks Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M		06/04/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
- II III CIIIIII		TR-33201	Fix Break Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M	06/03/2022	06/04/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
7% Tools	•	TR-33180	Fix Break Plan	SPEC LOT SELECTOR	Draft	Sandapola, Vijay R		05/25/2021	1	Application		0	Sandapola, Vijay R	Prakash, Yash
		TR-33163	Fix Break Plan	EQUITY STRATEGIC REPORTING PLATFORM	In Progress	Panchedula, Venkatesh	07/01/2021	05/24/2021	1	Application	05/24/2021	0	Panchedula, Venkatesh	Ramanathan, Kameswaran
		TR-33162	Dispute Breaks Plan	EQUITY STRATEGIC REPORTING PLATFORM	Rejected	Panchedula, Venkatesh		05/24/2021	1	Application	05/24/2021	0	Panchedula, Venkatesh	Ramanathan, Kameswaran

Enter a new date in the Targeted Plan Completion Date field and select Save Plan.

EQUITY STRATEG	IC REPORTING PLATE	ORM / TR-331	.63																				
Details Revi	iew History																						
	Created Date:	05/24/202	<	Jul	•	20	21	• ?	>								Statu	s: In Progress					
	Submission Date:	05/24/2023	MO	74	we	10	P7	58 5	u								Treatment Comment	£.				0	
	Owner:	Panchedul	20	29	30	-	2	3 4														_	
	Tupe:	Fix Break	12	12	14	16	9	10 1									RAG Statu	S. Nous				U	pdate
	iype.		19	20	21	22 :	23	24 2	5								Last Updated B	y: e:					
140	Imper of extensions:	U	26	27	28	29	30	31 1									RAG Comment	s:					
			2	3	4	5	6	7 8															
Target Completi	ion / Expiry Date:*	7/1	/2021								Multi Ye	ar: 🗆					% Complete:						
																		0 25	50	75	100		
Large Scale	DR testing will be p	erformed on	June 9	5th an	nd Ju	ne 6t	h 20:	21. Wil	l ensure the t	imeline is n	net Estim	ation Meth	od:*						Fundin	2			
60										~	Edu	antad Guar						×	Undo	idad			
30											Lub	Lated odes	*2						onde	Jueu			
								_					_										
Find							0	۹				-00	< 1	9 B			Result C	ount: 1			Display 20 Reco	ords 🗸	
			Proce	dure													Break	Procedure					Break
Action	Break ID 🔻		Name														Status	Class		Source			Severit
3	BR-3508156		Minim	num Re	equire	ed Dis	aster	Recove	ny Technical O	perational Ca	apability						Open	6		ITRC Aut	omation		Low
														> >>									
													Add Brook	Rom	ave Break	loco Break	Mouro to New Blan						
													Add break	. Rem	overbreak	loae bleak	nove to new Plan						
													Save Pl	an Co	omplete Plan	Extend	Change Plan Type						

Note: If you need more than 1 year to address any break, please create a Deferred Break Plan.

Q: How do I close a Break associated with a Treatment Plan?

Point your browser to <u>https://itrc.ops.tiaa-cref.org/#/home</u> > '**My Stuff'** > '**My Plans'** > **Select the 'Treatment Plan ID'** associated with the '**Break'** you would like to close.

🖿 My Stuff	¥	My Treatment P	lans											
Dashboard														
My Roles		Filters (1) +									System Default		✓ Save Filter Reset De	fault Filter Manage My Filters
My Resources	>	Find		0	100	< 1 2 3 4	5 3 3		Result (ount: 269		Display 20	Records V	ĥċ
My Assessments														
My Breaks							Targeted Plan					Plan		14/11/4 (12/12)
My Fields		Plan ID 🔻	Type	Name	Status	Owner	Date	Date	₹ of Breaks Associated	Resource Type	Date	Extension	Application Contact	Application Owner
🌲 My Actions	>	TR-33203	Dispute Breaks Plan	SSRS - Symphony	Draft	Thakur, Rachna		06/07/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
TRisk Catalog		TR-33202	Deferred Breaks Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M		06/04/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
16	Ċ.	TR-33201	Fix Break Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M	06/03/2022	06/04/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
	,	TR-33180	Fix Break Plan	SPEC LOT SELECTOR	Draft	Sandapola, Vijay R		05/25/2021	1	Application		0	Sandapola, Vijay R	Prakash, Yash
		TR-33163	Fix Break Plan	EQUITY STRATEGIC REPORTING PLATFORM	In Progress	Panchedula, Venkatesh	07/01/2021	05/24/2021	1	Application	05/24/2021	0	Panchedula, Venkatesh	Ramanathan, Kameswaran
		TR-33162	Dispute Breaks Plan	EQUITY STRATEGIC REPORTING PLATFORM	Rejected	Panchedula, Venkatesh		05/24/2021	1	Application	05/24/2021	0	Panchedula, Venkatesh	Ramanathan, Kameswaran
		TR-33161	Fix Break Plan	DATA DISTRIBUTION HUB	In Progress	Panchedula, Venkatesh	01/01/2022	05/24/2021	1	Application	05/24/2021	0	Sethuraman, Seths M	Ramanathan, Kameswaran
		TR-33150	Fix Break Plan	APL - Nuveen	In Progress	Chen, Clifford C	05/22/2022	05/21/2021	2	Application	05/21/2021	0	Chen, Clifford C	Chen, Clifford C

Under the 'Action' column, check the box to the left of the Break ID you would like to close, then select 'Close Break' and confirm 'Break Closure'.

CUSTODIAN MAINT	ENANCE / TR-33204											
Details Review	w History											
Nurr	Created Date: 06/08/2021 Submission Date: 06/08/2021 Owner: Thakur, Rachna Type: Fix Break iber of Extensions: 0	6						Stat Treatment Commen RAG Stat Updated I Last Upda	us: In l ts: us: ay: te: ts:	Progress		
Target Completior	6/30/2021 6/30/2021		N	Multi Year: 🗆				% Complete:	0	25	50	75
If you need	more than 1 year to address any Break, plea	se create a "Multi-year Fix Treatment Plan" or "Defer	red Pla	an"								
Fix Description:*												
Test Break Fix Cost:*				Estimation Meth	od:*						Fundin	g:
\$0		~		Budgetary Est	mate					~	Unde	ided
Find		٩		«	< 1 >	»		Result (Count: 2			
Action	Break ID 🔻	Procedure Name			Break Status		Procedure Class		Source			
0	BR-3534955	Access Control Requirements			Open		3		Manual:C	reated Bre	aks	
	BR-3534954	Access Authorization Process			Open		3		Manual:C	reated Bre	aks	
				*		»						
					Add Break Save Plan	Remove Break	Close Break Mor	ve to New Plan ge Plan Type				

Confirm Break Closure		×
Are you sure you want to close the selected breaks?		
	No	Yes

Q: How do I close a Treatment Plan?

Point your browser to <u>https://itrc.ops.tiaa-cref.org/#/home</u> > '**My Stuff**' > '**My Plans**'. Select the Treatment Plan ID you would like to close.

My Stuff	٠	My Treatment P	lans											
Dashboard My Roles	-01	Filters (1) +									System Default		▼ Save Filter Reset De	fault Filter Hanage My Filters
My Resources My Assessments	,	Find		٩	¢	¢ 1 2 3 4	5)))		Result C	ount: 269		Display 20	Records ¥	6 ¢
My Breaks My Plans		Plan ID 🔹	Treatment Type	Resource Name	Treatment Status	Owner	Targeted Plan Completion Date	Created Date	# of Breaks Associated	Resource Type	Submission Date	Plan Extension Count	Application Contact	Application Owner
A My Actions	>	TR-33203	Dispute Breaks Plan	SSRS - Symphony	Draft	Thakur, Rachna		06/07/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
III Risk Catalog		TR-33202	Deferred Breaks Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M		06/04/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
No Tank	÷.	TR-33201	Fix Break Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M	06/03/2022	06/04/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
A loois	<u>,</u>	TR-33180	Fix Break Plan	SPEC LOT SELECTOR	Draft	Sandapola, Vijay R		05/25/2021	1	Application		0	Sandapola, Vijay R	Prakash, Yash
		TR-33163	Fix Break Plan	EQUITY STRATEGIC REPORTING PLATFORM	In Progress	Panchedula, Venkatesh	07/01/2021	05/24/2021	1	Application	05/24/2021	0	Panchedula, Venkatesh	Ramanathan, Kameswaran
		TR-33162	Dispute Breaks Plan	EQUITY STRATEGIC REPORTING PLATFORM	Rejected	Panchedula, Venkatesh		05/24/2021	1	Application	05/24/2021	0	Panchedula, Venkatesh	Ramanathan, Kameswaran
		TR-33161	Fix Break Plan	DATA DISTRIBUTION HUB	In Progress	Panchedula, Venkatesh	01/01/2022	05/24/2021	1	Application	05/24/2021	0	Sethuraman, Seths M	Ramanathan, Kameswaran
		TR-33150	Fix Break Plan	APL - Nuveen	In Progress	Chen, Clifford C	05/22/2022	05/21/2021	2	Application	05/21/2021	0	Chen, Clifford C	Chen, Clifford C

If all associated Breaks are closed, you may **select 'Complete Plan'**. Otherwise, you need close all Breaks or move them to another Plan.

Find		٩	\ll \langle 1 \rangle »		Result Count: 2	Display 20 Records	5 ¢
Action	Break ID 👻	Procedure Name	Break Status	Procedure Class	Source	Break Severity	Evidence
0	BR-3534955	Access Control Requirements	Open	3	Manual:Created Breaks	Medium	8
0	BR-3534954	Access Authorization Process	Open	3	Manual:Created Breaks	Medium	4
			« (1) »				
			Add Break Remove Bre	eak 🛛 Close Break 📗 Move to	o New Plan		
			Save Plan Complete	Plan Extend Change P	lan Type		

After selecting Complete Plan and confirm treatment plan closure, the Treatment Plan will close and the status will change to '**Done'**.



Q: How do I add or manage evidence associated with a Treatment Plan?

Point your browser to <u>https://itrc.ops.tiaa-cref.org/#/home</u> > 'My Stuff' > 'My Plans' > Select the 'Treatment Plan ID'.

- Select the 'Break' for which you'd like to add/manage evidence.
- Click icon to far right

CUSTODIAN MAINTENANCE / TR-332	24					
Details Review History						
Created Date:	06/08/2021			Status: In Progress	s	
Submission Date:	06/08/2021			Treatment Comments:	₹.	
Owner:	Thakur, Rachna 🤱			R&G Status: None		
Type:	Fix Break			Updated By:	Update	
Number of Extensions:	0			Last Update:		
				RAG Comments:		
Target Completion / Expiry Date:*	6/30/2021	Multi Year: 🛛		% Complete: 0 25	50 75 100	
If you need more than 1 year to	address any Break, please create a "Multi-year Fix Treatment Plan"	or "Deferred Plan"				
Fix Description:"						
Break Fix Cost:*		Estimation Method:*			Funding:	
so		✓ Budgetary Estimate		~	Undecided	
Find	٩	« (1 > >	Result Count: 2	Display 20 Records 🛛 👻	5 \$
Action Break ID	Procedure Name	Break Statu	k Procedure 15 Class	Source	Break Severity	Evidence
D BR-353499	5 Access Control Requirements	Open	3	Manual:Created I	Breaks Medium	۵
D BR-35349	4 Access Authorization Process	Open	3	Manual:Created I	Breaks Medium	۵
		« <	1 > >			

You will see two icons in the middle of the pop out box. To add evidence, choose the '**upload**' icon.

Evidence			×
Upload Evidence Files: *	Ø		
Evidence	Date/Time	Action	
			Close

Another pop out will appear with a drop down menu to choose your evidence type. **Choose 'Text' to enter only text. Enter text. Click 'OK'.**

Add Eviden	ce	×
Type:* il, Evidence Text:*	Text	
		Cancel

To add attachment, choose 'Attachment', enter your 'Evidence Text', and click 'OK'.

Add Evider	ice	×
Type:*	Attachment	
Evidence Text:*		
File:*	Choose File No file chosen	
		Cancel Ok
To manage exis	sting evidence use 'Action' column	

Evidence		x
Upload Evidence Files: *	e	
Evidence SearchResults (13).xlsx	Date/Time 06/08/2021 10:40:54 AM	Action
		Close

The cloud icon will turn **yellow** on any treatment plan with evidence attached.

Find		٩	« (<mark>1</mark> > »		Result Count: 2	Displey 20 Records	60
Action	Break ID 🔻	Procedure Name	Break Status	Procedure Class	Source	Break Severity	Evidence
0	BR-3534955	Access Control Requirements	Open	3	Manual:Created Breaks	Medium	6
0	BR-3534954	Access Authorization Process	Open	3	Manual:Created Breaks	Medium	۵

Q: How do I change a Treatment Plan type?

If you previously chose any plan type and wish to convert the existing plan to any other plan type, you may do so pointing your browser to <u>https://itrc.ops.tiaa-cref.org/#/home</u> > '**My Stuff**' > '**My Plans'** > **Select the 'Treatment Plan ID**' on which you'd like to change plan type.

Select 'Change Plan Type'

CUSTODIAN MAINTER	NANCE / TR-33204							
Details Review	History							
	Created Date: 06/08/2021					Status: In Progress		
	ubmission Date: 06/08/2021				Treat	ment Comments:		
	Owner Theless Dec							
	owner. Thakai, kac					RAG Status: None		Jpdate
	Type: Fix Break					Updated By:		
Numb	er of Extensions: 0					Last Update: RAG Comments:		
Target Completion /	Expiry Date:* 6/30)/2021	Multi Year: 🗆		% Ca	omplete: 0 25	50 75 100	
B If you need m	ore than 1 year to address any Br	eak, please create a "Multi-year Fix Treatment Plan" or "D	eferred Plan"					
- /								
Fix Description:*								
Test								
Break Fix Cost:"			Estimation M	ethod:"			Funding:	
50			Budgetary b	stimate		~	Undecided	
Find		٩	•			Result Count: 2	Display 20 Records	Đ
Action	Break ID 🔻	Procedure Name		Break Status	Procedure Class	Source	Break Severity	Evidence
0	BR-3534955	Access Control Requirements		Open	3	Manual:Created Brea	ks Medium	6
	BR-3534954	Access Authorization Process		Open	3	Manual:Created Brea	iks Medium	۵
				< 1 > »				
				Add Break Rem	ove Break Close Break Move to Ne	w Plan		
				Save Plan Co	mplete Plan Extend Change Plan	Туре		

A pop out box will appear, where you'll choose the 'Plan Type', then click 'Submit'.

Change Plan Type	×
This will change the treatment plan type and reset the status to draft. Please select the plan type you want to change this to:	
Select Plan Type	~
Cancel	nît

Then follow the steps for that plan type provided earlier in this document.

Q: How do I extend an expired Treatment Plan?

Point your browser to <u>https://itrc.ops.tiaa-cref.org/#/home</u> > 'My Stuff'> 'My Plans' > Select the 'Treatment Plan ID'.

From within the plan itself, choose 'Extend'

CUSTODIAN MAINTENANCE /	TR-33204								
Details Review Hist	ory								
Create	d Date: 06/08/2021					Status: In Progress	s		
Submissio	n Date: 06/08/2021					Freatment Comments:		2	
	Dwner: Thakur, Rachna 🤱	2				RAG Status: None		Update	
	Type: Fix Break					Updated By:	_		
Number of Exte	nsions: 0					Last Update:			
						rad comments:			
Target Completion / Expiry Da	6/30/2021		Multi Year: 🛛			% Complete: 0 25	50 75 1	.00	
If you need more than	Lyear to address any Break, ple	ease create a "Multi-year Fix Treatment Plan" or "Deferr	ed Plan"						
Ein Description *									
Test									
Break Fix Cost:*			Estimation Meth	hod:*			Funding:		
\$0		~	Budgetary Est	timate		~	Undecided		
Find		٩	α			Result Count: 2		Display 20 Records	₿ \$
Action Be	eak ID 🔻	Procedure Name		Break Status	Procedure Class	Source		Break Severity	Evidence
C BF	-3534955	Access Control Requirements		Open	3	Manual:Created	Breaks	Medium	۵
C BF	-3534954	Access Authorization Process		Open	3	Manual:Created	Breaks	Medium	0
			æ	(1)»					
				Add Break Remov	ve Break Close Break Move	to New Plan			
				Save Plan Com	nplete Plan Extend Change	Plan Type			

A pop out box will appear, choose a new date (maximum of one calendar year from date of process) and **enter the 'Reason for Extension'. Click 'Submit'.**

Extend Deferred Treatment Plan Expiration Date	×
Proposed Extension Date*	
Reason for Extension*	
Cancel	mit

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Q: I am unable to extend a 'Fix Break' plan

A fresh fix break plan can have a timeline of up to one year. This can be extended to another year only once for every fix break plan. Once the extension is past due at the end of the second year, the 'Extend Plan' button will be permanently greyed out and the plan type must be changed to 'Defer' plan.

										li
Break Fix Co	ost:*		Es	timation Meth	nod:*			Funding:		
\$0		¥	E	ducated Gue	ess		~	Undecided	I	~
Find		٩	«	< 1	>	*	Result Count: 1		Display 20 Records 🗸 🗸	B ¢
Action	Break ID 🔻	Procedure Name		Break Status		Procedure Class	Source		Break Severity	Evidence
	BR-2906627	Review of Privileged User Accounts		Open		5	Existing Open Break Reic	dentified by 843	5136 Medium	۵
			«	< 1	>	»				
						Remove Break]			_

Q: I am not seeing the extend plan button to close a 'Past Due' Fix Break plan

A fix break plan can only be extended once, please change the plan type to 'Dispute' and update the description accordingly.

	Change Plan Type	×	0	•	0
	change Hall type				
	A Missing Breaks created through automation process should be handled as part of the Deferred or Fix Break Plan.				
Break Fix Cost:* \$10,000	This will change the treatment plan type and reset the status to draft. Please select the plan type you want to change this to:				
	Select Plan Type	-			
Find	Select Plan Type Deferred Break Plan		Display 20 Records	~	
Action	Ely Break Plan Dispute Break Plan		Break Severity		Evide
8	BR-3683348 Application Resiliency Plan Testing Open ITRC Auto	matio	n Medium		۵
	an an 🖬 an an				
	Add Break Remove Break Close Break Move to New Plan				
	Save Plan Complete Plan Extend Change Plan Type				
			23	Ра	ge
			- 1		0