



# Break Treatment Reference Guide

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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 <https://itrc.ops.tiaa-cref.org/#/home> > 'My Stuff' > 'My Breaks' OR 'My Actions' > 'Breaks'

Action	Break ID	Plan ID	Break Status	Source	Procedure Name
	BR-3332660	TR-31931	Open	ITRC Automation	Application Recovery Plan Maintenance
	BR-3332661	TR-31931	Open	ITRC Automation	PSDR SOP Manage RTO-RTC Gaps
	BR-3332662	TR-31931	Open	ITRC Automation	Application Resiliency Plan Testing

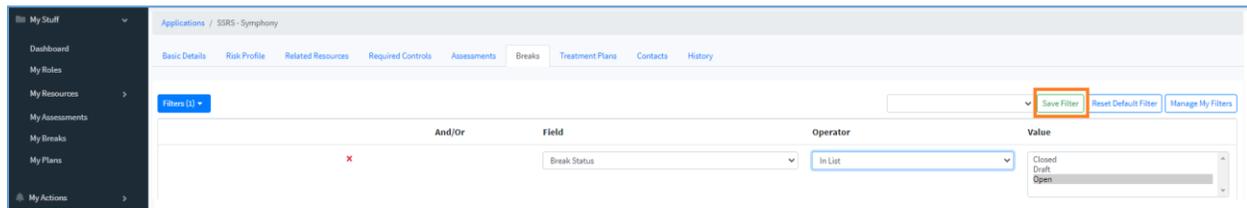
## Q: How do I filter my Breaks?

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

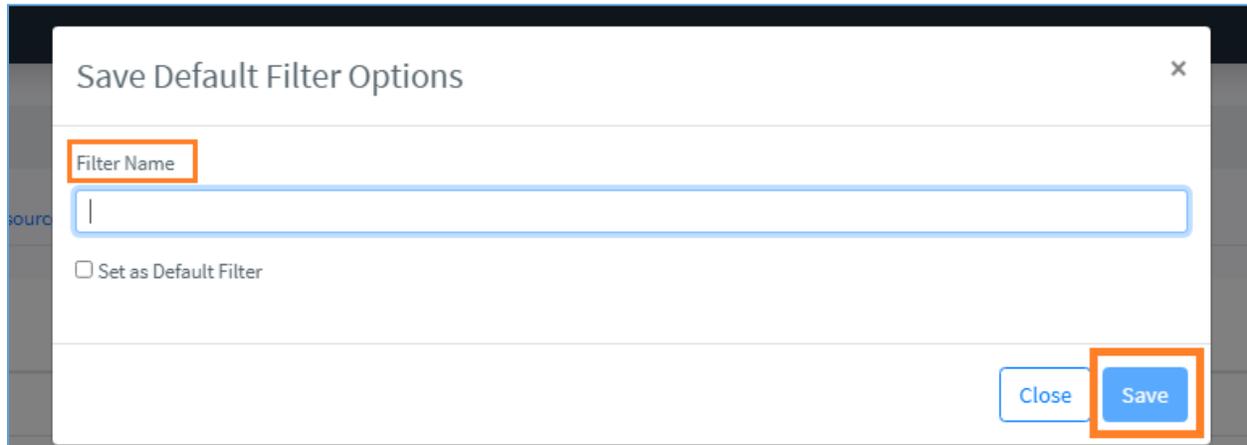
Action	Break ID	Plan ID	Break Status	Source	Procedure Name	Grouping	Treatment Type	Target Completion / Expiry Date	Severity	FixContent
	BR-3332660	TR-31931	Open	ITRC Automation	Application Recovery Plan Maintenance	IT Technical Continuity	Fix Break Plan	09/30/2021	Medium	Application Recovery Plans Must Be Maintained
	BR-3332661	TR-31931	Open	ITRC Automation	PSDR SOP Manage RTO-RTC Gaps	General	Fix Break Plan	09/30/2021	Medium	RTC Must Be Less Than Or Equal To RTO

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

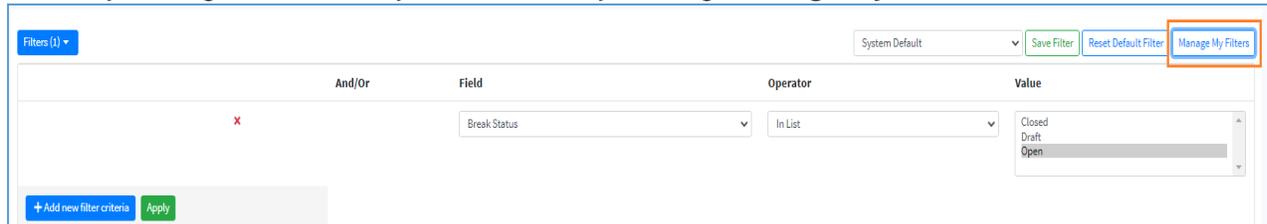
Once you have added new filter criteria, you can choose to save them for future use, by clicking **'Save Filter'**



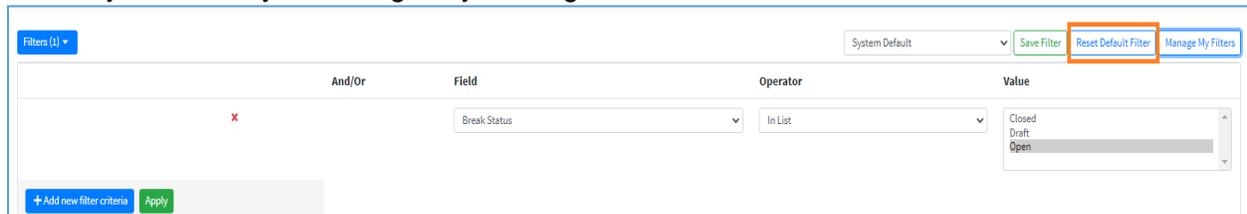
Give the **'filter a name'**, indicate if you want to default to these criteria for future use and click **'Save'**.



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



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



## 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'**.

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.

Action	Break ID	Resource Type	Application Name	Procedure Name	Procedure Description	Severity	Created Date	PlanID	Treatment Status	IsSFTS
<input type="checkbox"/>	BR-3470353	Application	FINANCIAL INFORMATION AND	PSDR SOP Manage RTO-RTC Gaps	All applications with a baseline recovery time objective (RTO) of P0-P6 must have a recovery time capability (RTC) less than or equal to the RTO. Please click on the link below for break remediation instructions: <a href="http://cs2.gba.tiaa-cref.org/Sites/Enterprise/ITBTC/Technical">http://cs2.gba.tiaa-cref.org/Sites/Enterprise/ITBTC/Technical</a> .	Medium	04/01/2021			No

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

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

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

Name	LOB	BISO	Last ARC	Next ARC	Last ACA	Next ACA
ActiveBatch - Symphony	Client Services & Technology	Clark, Thomas T	05/29/2021			
Advent Aegis (SBAM)	Client Services & Technology	Clark, Thomas T	05/29/2021			
APL - Nuveen	Client Services & Technology	Clark, Thomas T	05/29/2021		04/14/2021	
BACKSTAGE	Client Services & Technology	Clark, Thomas T	05/29/2021		10/10/2020	
BBGPAIN	Client Services & Technology	Clark, Thomas T	05/29/2021		05/02/2020	
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'.

Applications / SSRS - Symphony

Basic Details Risk Profile Related Resources Required Controls Assessments **Breaks** Treatment Plans Contacts History

Filters (1) System Default

Find [ ] Result Count: 5

Action	Break ID ^	Plan ID	Break Status	Source	Procedure Name	Grouping	Treatment Type	Target Completion / Expiry Date
	BR-3332660	TR-31931	Open	ITRC Automation	Application Recovery Plan Maintenance	IT Technical Continuity	Fix Break Plan	09/30/2021
	BR-3332661	TR-31931	Open	ITRC Automation	PSDR SOP Manage RTO-RTC Gaps	General	Fix Break Plan	09/30/2021
	BR-3332662	TR-31931	Open	ITRC Automation	Application Resiliency Plan Testing	IT Technical Continuity	Fix Break Plan	09/30/2021
<input type="checkbox"/>	BR-3501230		Open	ITRC Automation	Unsupported Operating Systems	IT Application/Systems Development		
<input type="checkbox"/>	BR-3501231		Open	ITRC Automation	Application use of Secure Build Servers	General		

Create Breaks Create Treatment Plan

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

<input type="checkbox"/>	CP-7458356	IT Application/Systems Development	Archiving of Externally Procured or Vendor Supplied Software	Not Assessed	2
<input type="checkbox"/>	CP-6150704	IT Security Monitoring	Audit Log Requirements	Not Assessed	2
<input type="checkbox"/>	CP-6905064	IT Operations	Audit Trail of Software Changes	Not Assessed	2
<input type="checkbox"/>	CP-6150762	IT Access Control	Audit Trail of Unassociated Privileged Accounts	Not Assessed	2
<input type="checkbox"/>	CP-6150694	IT Operations	Centralized Logging and Protection of Event Logs	Not Assessed	1
<input checked="" type="checkbox"/>	CP-6150683	IT Operations	Change Control Procedures	Not Assessed	2
<input type="checkbox"/>	CP-6150779	IT Application/Systems Development	Creation of User and Administration Manuals	Not Assessed	6

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'**.

## 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 **Critical** will require L3 approval and breaks with a break severity of **High** 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.

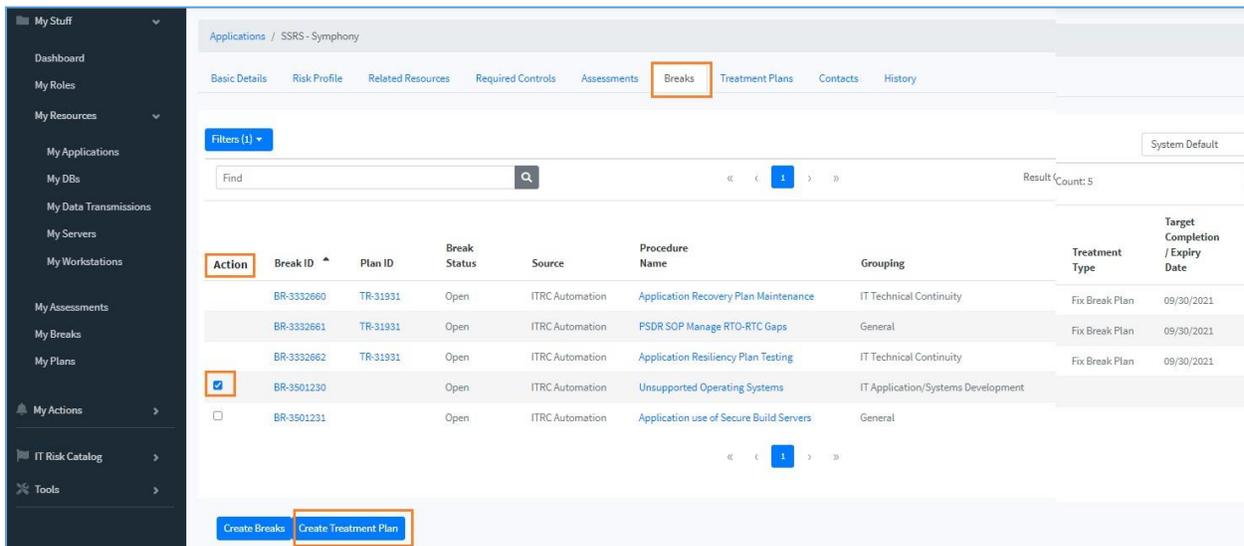
## Q: How do I create a Treatment Plan for my Breaks?

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

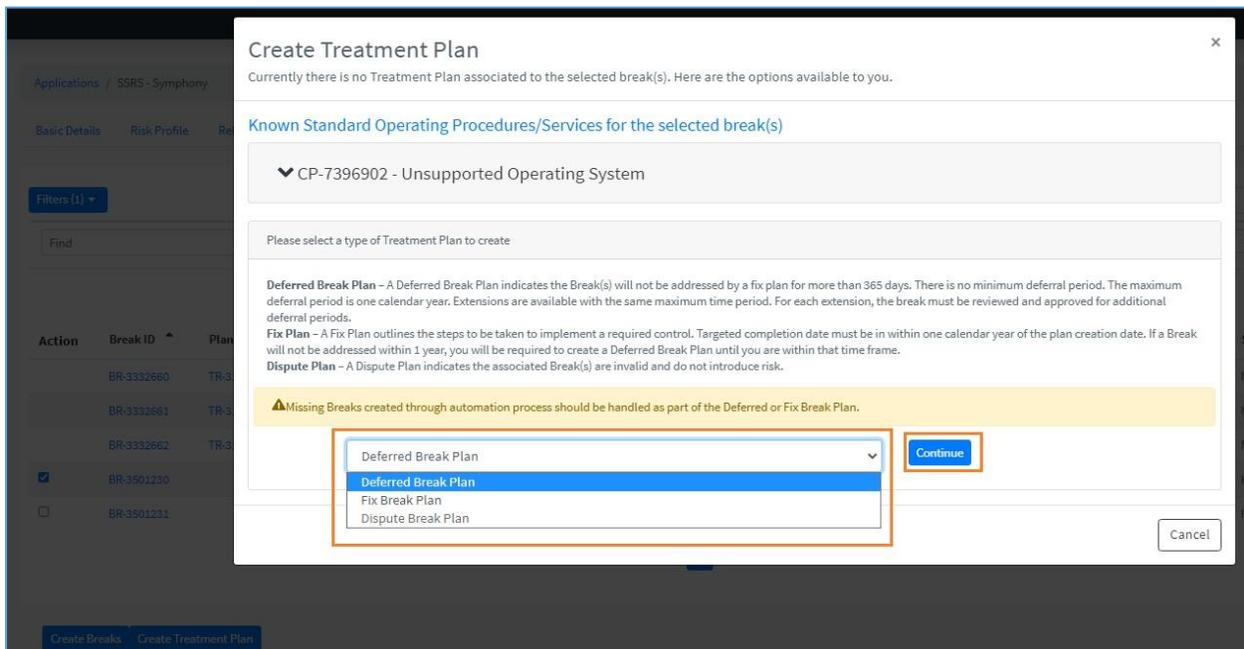
- Select 'My Stuff' > 'My Resources' > 'My {Applications, Servers, Workstations, etc.}' > Resource Name
- Select 'My Stuff' > 'My Breaks' > Search by 'Break ID (BR-#)'
- Select 'My Actions' > 'My Breaks' > Resource Name > select the 'Break ID (BR-#)'

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.



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.**



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".*

The screenshot displays the 'Defer Details' form for a break plan. The form includes fields for 'Business Justification\*', 'Defer Category\*', 'Break Fix Cost\*', 'Estimation Method\*', and 'Defer Expiration Date\*'. The 'Defer Expiration Date\*' is set to 6/3/2022. Below the form is a table with columns: Action, Break ID, Procedure Name, Break Status, Procedure Class, Break Severity, and Evidence. The table contains one record with Break ID BR-3501230, Procedure Name Unsupported Operating Systems, Break Status Open, Procedure Class 2, and Break Severity High. At the bottom of the interface are buttons for 'Add Break', 'Remove Break', 'Move to New Plan', 'Save', 'Submit', and 'Change Plan Type'.

**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".*

The screenshot shows a web-based form for creating a break fix plan. At the top, there are tabs for 'Details', 'Review', and 'History'. The 'Details' tab is active, showing metadata such as 'Created Date: 06/04/2021', 'Submission Date', 'Owner: Alli, Priya Rajaram', 'Type: Fix Break', and 'Number of Extensions: 0'. On the right, there is a 'Status: Draft' indicator, 'Treatment Comments', 'RAG Status: Break', 'Updated By', 'Last Update', and 'RAG Comments'. Below this is a 'Target Completion / Expiry Date' field set to '6/3/2022' and a progress bar for '% Completed' ranging from 0 to 100. A blue banner provides a warning: 'If you need more than 1 year to address any Break, please create a "Multi-Year Fix Treatment Plan" or "Deferred Plan"'. The main form fields include 'Fix Description\*', 'Break Fix Cost\*' (a dropdown menu), 'Estimation Method\*' (a dropdown menu), and 'Funding: Undecided'. Below the form is a search bar and a table with the following data:

Action	Break ID	Procedure Name	Break Status	Procedure Class	Source	Break Severity
<input type="checkbox"/>	BR-3501230	Unsupported Operating Systems	Open	2	ITRC Automation	High

At the bottom of the interface, there are several action buttons: 'Add Break', 'Remove Break', 'Move to New Plan', 'Save Plan', 'Submit Plan', and '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.**

- ✓ 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 you are 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. *If unsure, choose "Other".*

**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)



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
TR-33203	Dispute Breaks Plan	SSRS - Symphony	Draft	Thakur, Rachna	06/07/2021	06/07/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
TR-33202	Deferred Breaks Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M	06/04/2021	06/04/2021	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
TR-33180	Fix Break Plan	SPEC LOT SELECTOR	Draft	Sandepola, Vijay R	05/25/2021		1	Application		0	Sandepola, 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  
 Submission Date: 05/21/2021  
 Owner: Chen, Clifford C.  
 Type: Fix Break  
 Number of Extensions: 0

Status: In Progress  
 Treatment Comments:  
 RAG Status: **None**  
 Updated By:  
 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 to address any Break, please create a "Multi-year Fix Treatment Plan" or "Deferred Plan"**

Fix Description:  
 APL users have unique ID's

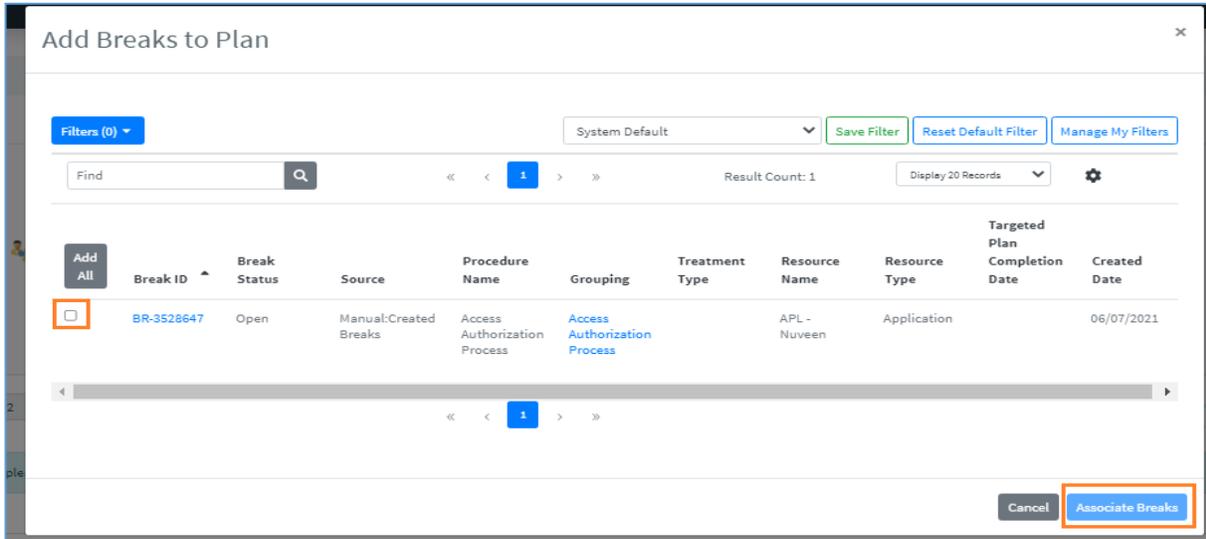
Break Fix Cost: \$0  
 Estimation Method: Other  
 Funding: Run

Action	Break ID	Procedure Name	Break Status	Procedure Class	Source	Break Severity	Evidence
<input type="checkbox"/>	BR-3496704	Unique Workforce User ID's	Open	5	2021-ACA-New: 7870652	Medium	

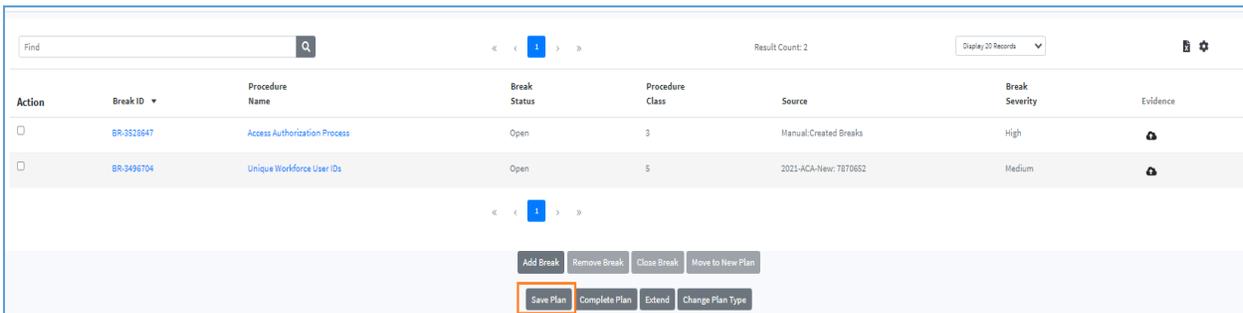
Buttons: Add Break, Remove Break, Close Break, Move to New Plan, Save Plan, Complete Plan, Extend, Change Plan Type

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'.

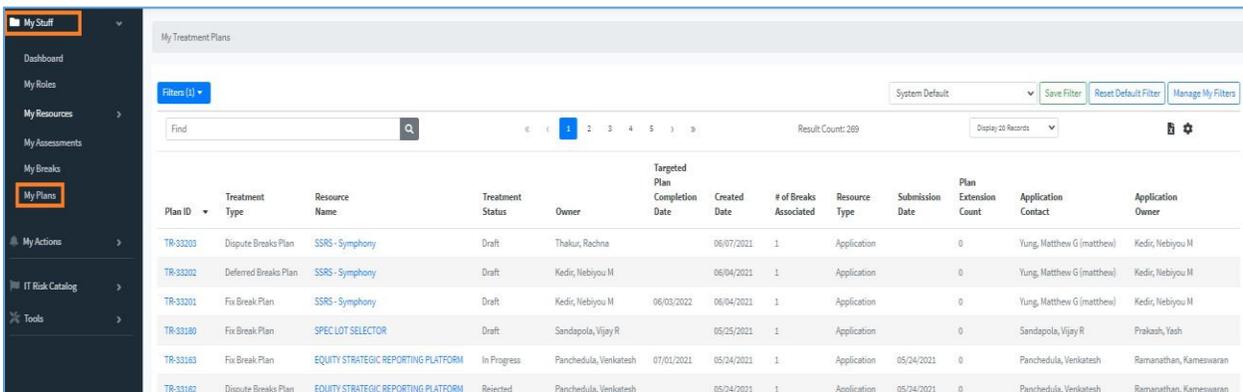


After the Break association. This will bring you back to the treatment plan. **Select 'Save Plan'.**

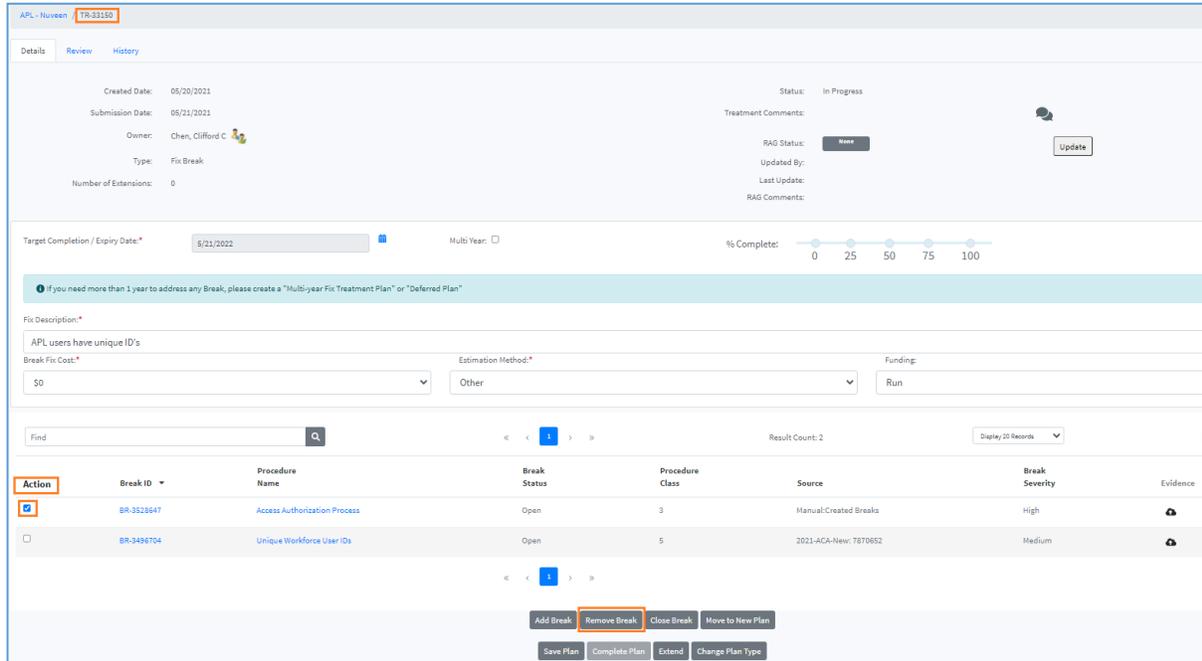


## Q: How do I remove Breaks from an existing Treatment Plan?

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



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.**

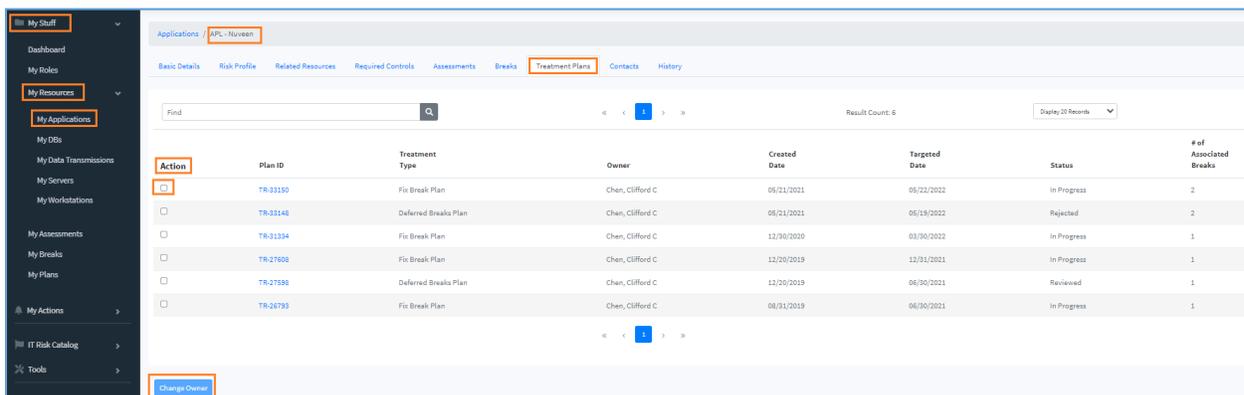


## Q: How do I change the Owner of a Treatment Plan?

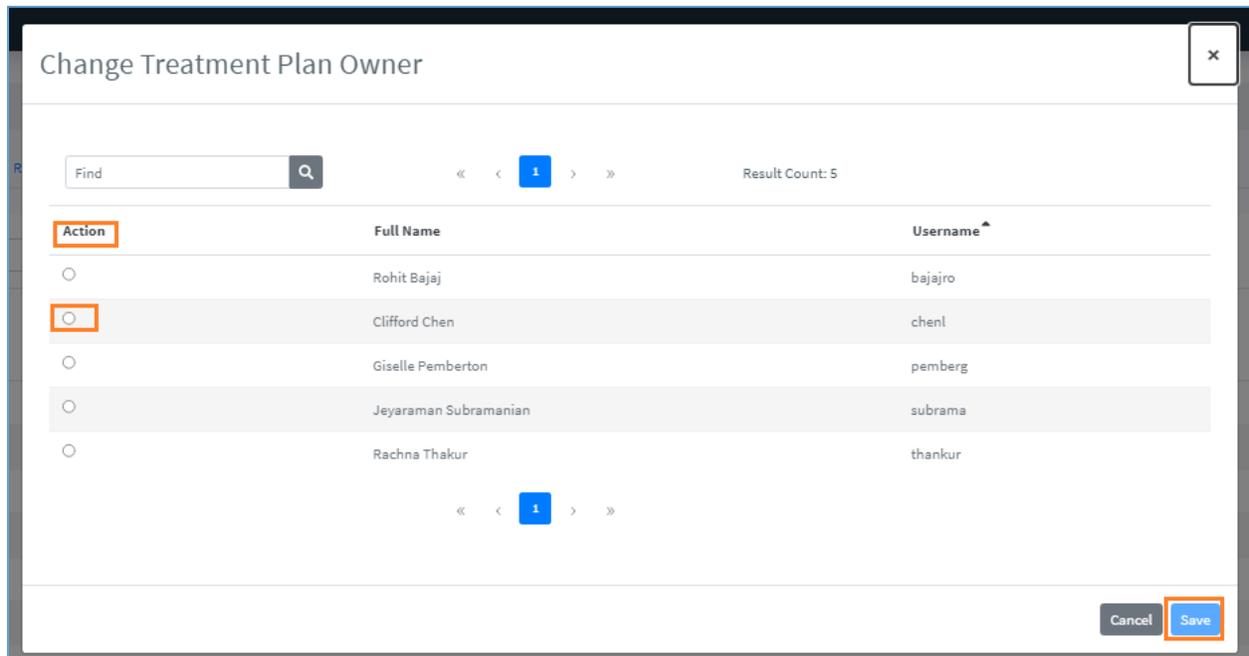
Point your browser to <https://itrc.ops.tiaa-cref.org/#/home> > 'My Stuff' > 'My Resources' OR 'My Plan'

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

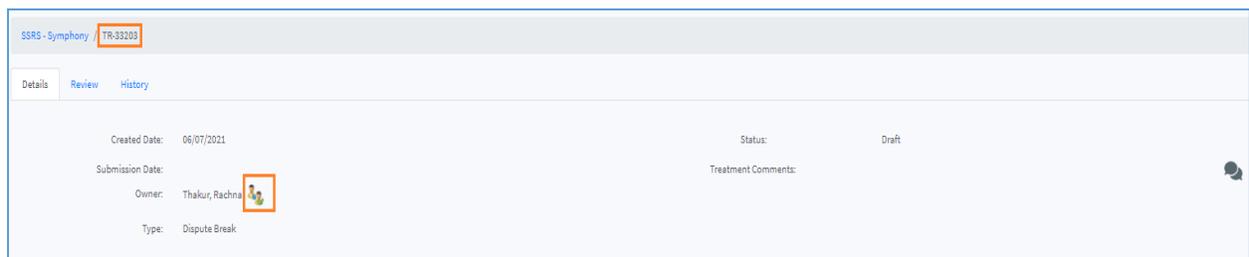
- Select 'My Stuff' > 'My Resources' > 'My {Applications, Servers, Workstations, etc.}' > search by Resource Name > Access Plans in 'Treatment Plan' tab within Resource Details
- Select 'My Stuff' > 'My Plans' > search by 'Treatment ID (TR-#)'
- Select 'My Actions' > 'Treatments' > search by 'Treatment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



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.



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



Follow same steps as above.

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

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

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
TR-33203	Dispute Breaks Plan	SSRS - Symphony	Draft	Thakur, Rachna	06/07/2021	06/07/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
TR-33202	Deferred Breaks Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M		06/04/2021	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
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.

Targeted Completion / Expiry Date: 7/1/2021

% Complete: 0 25 50 75 100

Fix Description: Large Scale DR testing will be performed on June 5th and June 6th 2021. Will ensure the timeline is met

Break Fix Cost: \$0 Estimation Method: Educated Guess Funding: Undecided

Action	Break ID	Procedure Name	Break Status	Procedure Class	Source	Break Severity
<input type="checkbox"/>	BR-3506156	Minimum Required Disaster Recovery Technical Operational Capability	Open	6	ITRC Automation	Low

Buttons: Add Break, Remove Break, Close Break, Move to New Plan, Save Plan, Complete 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 <https://itrc.ops.tiaa-cref.org/#/home> > 'My Stuff' > 'My Plans' > Select the 'Treatment Plan ID' associated with the 'Break' you would like to close.

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
TR-33203	Dispute Breaks Plan	SSRS - Symphony	Draft	Thakur, Rachna	06/07/2021	06/07/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou M
TR-33202	Deferred Breaks Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M	06/04/2021	06/04/2021	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
TR-33180	Fix Break Plan	SPEC LOT SELECTOR	Draft	Sandapola, Vijay R	05/25/2021	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	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, Sethu 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'**.

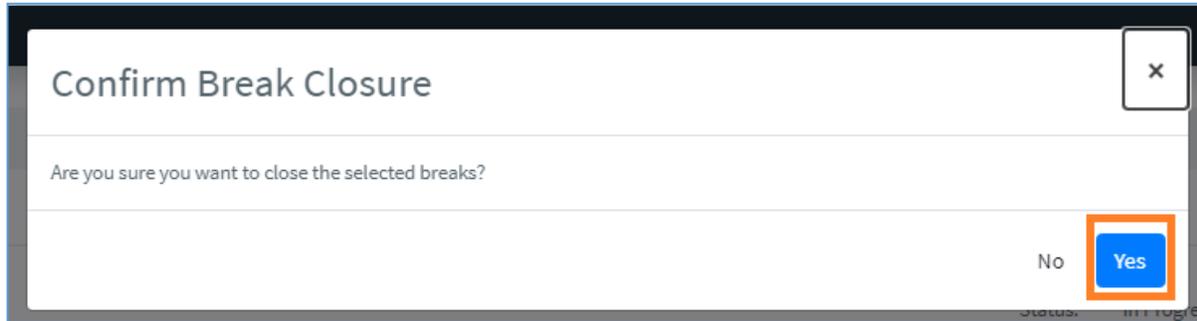
Created Date: 06/08/2021  
 Submission Date: 06/08/2021  
 Owner: Thakur, Rachna  
 Type: Fix Break  
 Number of Extensions: 0  
 Status: In Progress  
 Treatment Comments:  
 RAG Status: None  
 Updated By:  
 Last Update:  
 RAG Comments:

Target Completion / Expiry Date: 6/30/2021  
 Multi Year:   
 % Complete: 0 25 50 75

**Action**

Action	Break ID	Procedure Name	Break Status	Procedure Class	Source
<input type="checkbox"/>	BR-3534955	Access Control Requirements	Open	3	Manual:Created Breaks
<input checked="" type="checkbox"/>	BR-3534954	Access Authorization Process	Open	3	Manual:Created Breaks

Buttons: Add Break, Remove Break, **Close Break**, Move to New Plan  
 Save Plan, Complete Plan, Extend, Change Plan Type



### Q: How do I close a Treatment Plan?

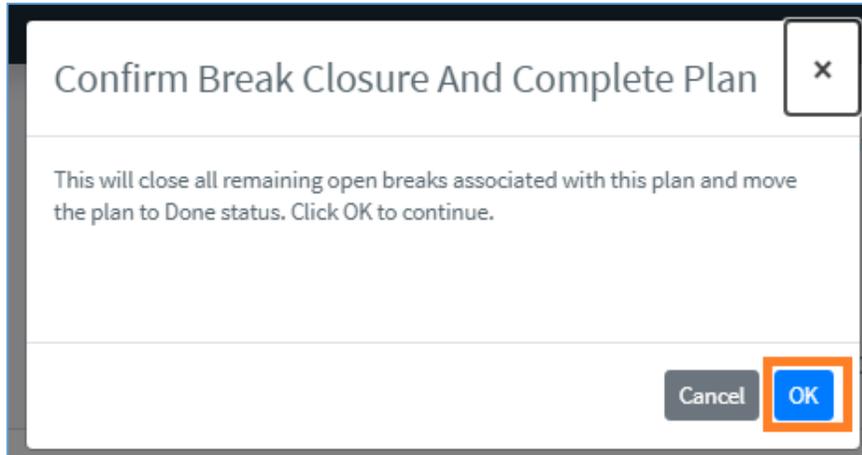
Point your browser to <https://itrc.ops.tiaa-cref.org/#/home> > 'My Stuff' > 'My Plans'. Select the Treatment Plan ID you would like to close.

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
TR-33203	Dispute Breaks Plan	SSRS - Symphony	Draft	Thakur, Rachna	06/07/2021	06/07/2021	1	Application		0	Yung, Matthew G (matthew)	Kedir, Nebiyou H
TR-33202	Deferred Breaks Plan	SSRS - Symphony	Draft	Kedir, Nebiyou M	06/04/2021	06/04/2021	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
TR-33180	Fix Break Plan	SPEC LOT SELECTOR	Draft	Sandapola, Vijay R		05/25/2021	1	Application		0	Sandapola, Vijay R	Prakash, Yash
TR-33183	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, Sethu 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.*

Action	Break ID	Procedure Name	Break Status	Procedure Class	Source	Break Severity	Evidence
<input type="checkbox"/>	BR-3534855	Access Control Requirements	Open	3	Manual:Created Breaks	Medium	
<input type="checkbox"/>	BR-3534854	Access Authorization Process	Open	3	Manual:Created Breaks	Medium	

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



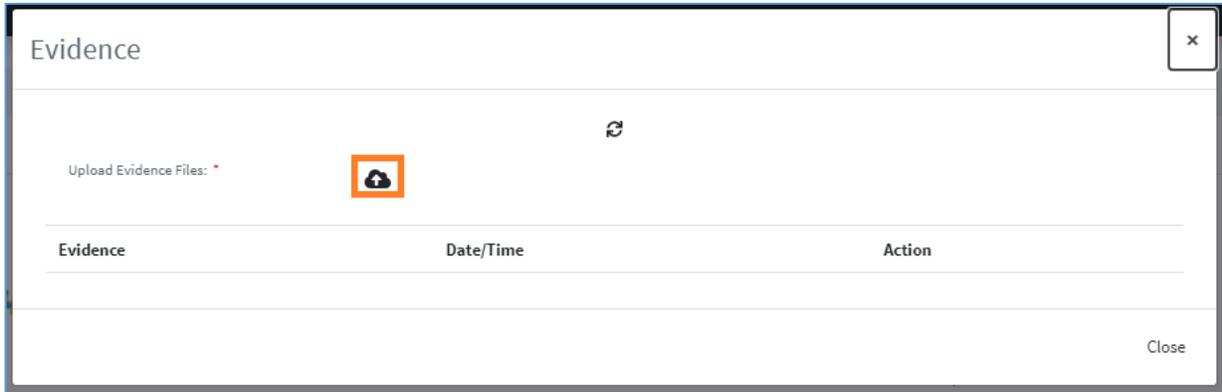
## Q: How do I add or manage evidence associated with a Treatment Plan?

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

Action	Break ID	Procedure Name	Break Status	Procedure Class	Source	Break Severity	Evidence
<input type="checkbox"/>	BR-3534955	Access Control Requirements	Open	3	Manual/Created Breaks	Medium	
<input type="checkbox"/>	BR-3534954	Access Authorization Process	Open	3	Manual/Created Breaks	Medium	

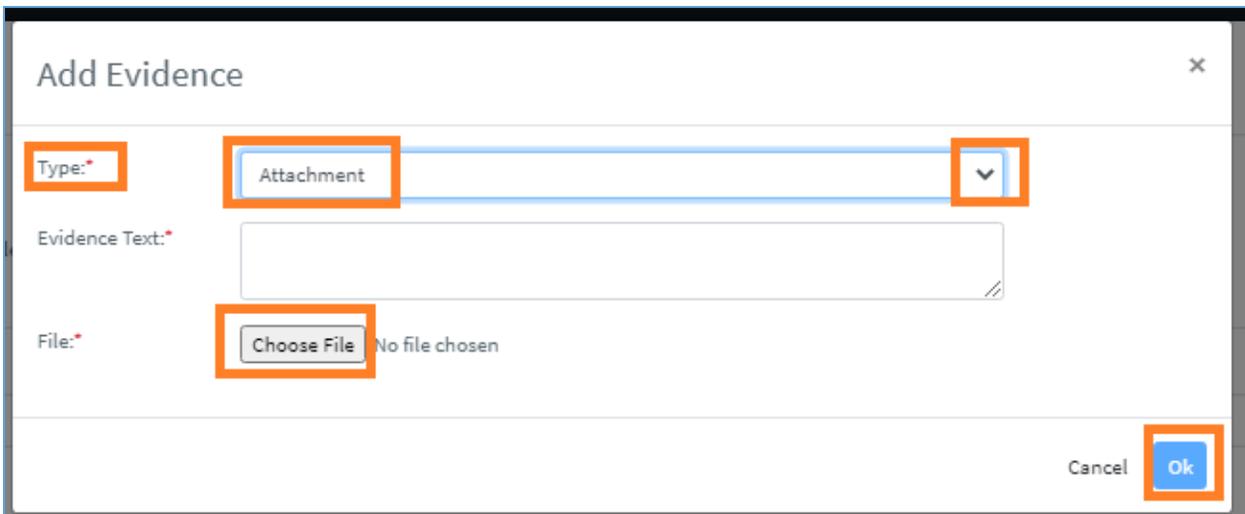
You will see two icons in the middle of the pop out box. To add evidence, choose the 'upload' icon.



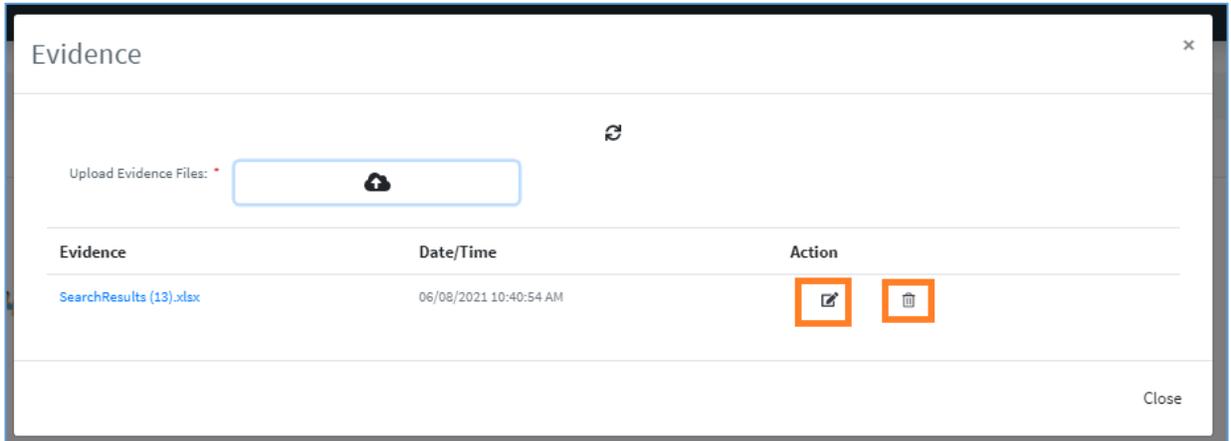
Another pop out will appear with a drop down menu to choose your evidence type. **Choose 'Text' to enter only text. Enter text. Click 'OK'.**



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



To manage existing evidence use **'Action'** column



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

Action	Break ID	Procedure Name	Break Status	Procedure Class	Source	Break Severity	Evidence
<input type="checkbox"/>	BR-3334955	Access Control Requirements	Open	3	Manual:Created Breaks	Medium	
<input type="checkbox"/>	BR-3334954	Access Authorization Process	Open	3	Manual:Created Breaks	Medium	

## 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 <https://itrc.ops.tiaa-cref.org/#/home> > **'My Stuff'** > **'My Plans'** > **Select the 'Treatment Plan ID'** on which you'd like to change plan type.

**Select 'Change Plan Type'**

**CUSTODIAN MAINTENANCE** TR-22204

Details | Review | History

Created Date: 06/08/2021 | Status: In Progress  
 Submission Date: 06/08/2021 | Treatment Comments: [icon] [Update]  
 Owner: Thakur, Rachna | RAG Status: [Draft] [Update]  
 Type: Fix Break | Updated By: [icon]  
 Number of Extensions: 0 | Last Update: [icon]  
 RAG Comments: [icon]

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: \*  
 Test

Break Fix Cost: \* \$0 | Estimation Method: \* Budgetary Estimate | Funding: Undecided

Find [input] [icon] | Result Count: 2 | Display: 20 Records [icon]

Action	Break ID	Procedure Name	Break Status	Procedure Class	Source	Break Severity	Evidence
<input type="checkbox"/>	BR-3534955	Access Control Requirements	Open	3	Manual-Created Breaks	Medium	[icon]
<input type="checkbox"/>	BR-3534954	Access Authorization Process	Open	3	Manual-Created Breaks	Medium	[icon]

[Add Break] [Remove Break] [Close Break] [Move to New Plan]  
 [Save Plan] [Complete Plan] [Extend] [Change Plan Type]

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

**Change Plan Type** [Close]

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 [v]

[Cancel] [Submit]

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

From within the plan itself, choose 'Extend'

The screenshot shows the 'CUSTODIAN MAINTENANCE' interface for a specific break record (ID: 18332024). The record is in 'In Progress' status. Key details include:
 

- Created Date: 06/08/2021
- Submission Date: 06/08/2021
- Owner: Thakur, Rachna
- Type: Fix Break
- Number of Extensions: 0
- Target Completion / Expiry Date: 6/30/2021
- % Complete: 0 (indicated by a progress bar)

 A note states: "If you need more than 1 year to address any Break, please create a 'Multi-year Fix Treatment Plan' or 'Deferred Plan'". The 'Fix Description' is 'Test'. The 'Break Fix Cost' is \$0, and the 'Estimation Method' is 'Budgetary Estimate'. Below this is a table of actions:
 

Action	Break ID	Procedure Name	Break Status	Procedure Class	Source	Break Severity	Evidence
<input type="checkbox"/>	BR-334955	Access Control Requirements	Open	3	Manual-Created Breaks	Medium	
<input type="checkbox"/>	BR-334954	Access Authorization Process	Open	3	Manual-Created Breaks	Medium	

 At the bottom, there are buttons for 'Add Break', 'Remove Break', 'Close Break', 'Move to New Plan', 'Save Plan', 'Complete Plan', 'Extend' (highlighted with an orange box), and 'Change Plan Type'.

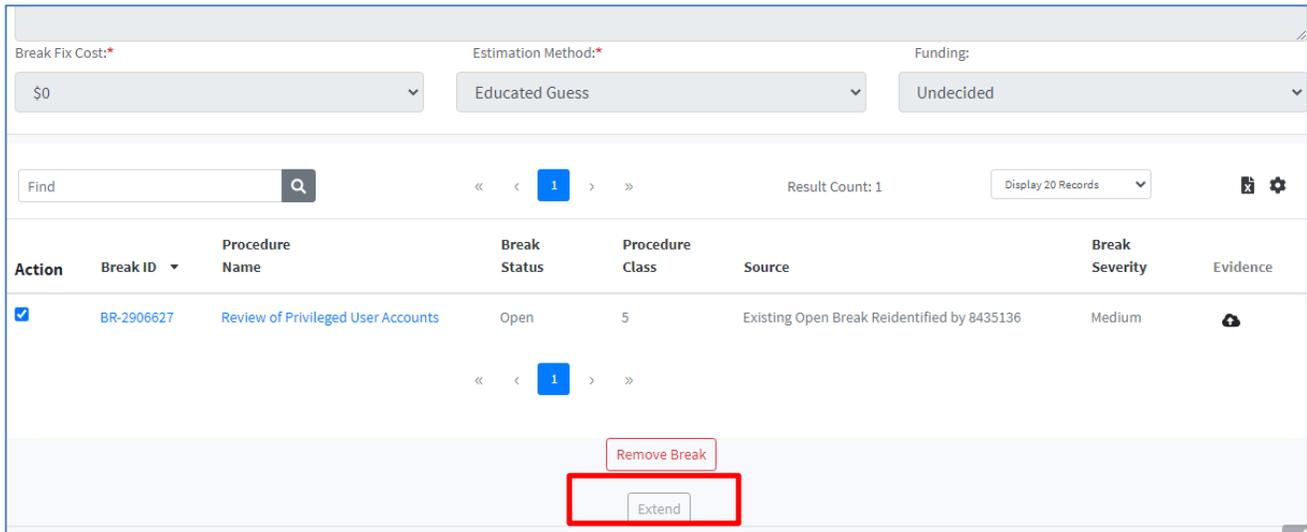
A pop out box will appear, choose a new date (maximum of one calendar year from date of process) and **enter the 'Reason for Extension'**. Click **'Submit'**.

The screenshot shows a pop-up dialog box titled "Extend Deferred Treatment Plan Expiration Date". It contains the following fields and buttons:
 

- Proposed Extension Date\***: A date input field with the value "6/7/2022".
- Reason for Extension\***: A text area for providing the justification for the extension.
- Buttons**: "Cancel" and "Submit" (highlighted with an orange box).

## 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.



## 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.

