

AX Exception User Guide

Contents

1. Getting started with AX Exception
 - 1.1. AX Exception user interface overview
2. My Exceptions
 - 2.1. Viewing exceptions in the My Exceptions page
3. Exception Details
 - 3.1. Viewing exceptions in the Exception Details page
 - 3.2. Viewing exception history
 - 3.3. Editing exception details
 - 3.4. Adding attachments to exceptions
 - 3.5. Viewing exception attachments
 - 3.6. Viewing exception parameters
 - 3.7. Exporting exceptions displayed on screen
 - 3.8. Exporting all exceptions
 - 3.9. Purging exceptions
 - 3.9.1. Purging exceptions displayed on screen
 - 3.9.2. Purging all exceptions
 - 3.9.3. Viewing log entries for purged exceptions
 - 3.9.4. Exporting log entries for purged exceptions

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Contents

Getting started with AX Exception

My Exceptions

Exception Details

1. Getting started with AX Exception

AX Exception is part of the ACL Analytics Exchange platform and provides a secure way to view and manage exceptions identified by ACL Analytics Exchange analytics. Employees in your organization can use AX Exception to review and manage exceptions in accordance with your organization's business processes.

Key features of AX Exception include the following:

- An automated process triggers and presents transactions to users to review and manage.
- The ability to track the status of exceptions ensures timely response by management.
- User-created comments provide an audit trail associated with the review and resolution of every exception.
- Email notifications can be triggered by status escalations to ensure timely responses to any risks that emerge from the identified exceptions.

Section contents

AX Exception user interface overview

1.1. AX Exception user interface overview

AX Exception allows you to manage the assignment of, and track the resolution of, exceptions identified by ACL Analytics Exchange analytics. Links at the top of the page are used to display specific areas of the application, which include the following:

- **My Exceptions** – This page displays the exceptions you are responsible for. Results on this page can be filtered by entity, analytic, date, and state.
- **Exception Details** – This page allows you to view and manage individual exceptions or groups of exceptions. You can access this page by clicking the **Exception Details** link, or by clicking links in the **My Exceptions** page.

Throughout the application, required fields are identified with an asterisk (*). Each time you edit an exception, you must include a comment and can optionally include a file attachment. Comments and attachments provide the audit trail for exception resolution, so it is important that you provide sufficient detail about the changes you make.

2. My Exceptions

The **My Exceptions** page displays an overview of all of the exceptions for the entities you are responsible for. The exceptions table lists the number of open exceptions that match the criteria specified in the Filter panel, based on the entities you are authorized to view summary data for. You can limit the results displayed by filtering on any combination of date range, entity, analytic, or workflow state.

The data displayed depends on the value selected in the **State** drop-down list. If you select "Open States", the table lists the number of exceptions for each workflow state that is defined as an open state. A workflow state corresponds to step in a business process. If you select a particular workflow state in the State drop-down list, the total number of exceptions in that workflow state is displayed in the table.

The **My Exceptions** page initially displays the exception counts for each entity. You can click on any of the results in the table to display exception counts by analytic, and then click on any of the results in the updated table to display the exception details for the selected analytic.

The following columns are displayed when the default AX Exception workflow is being used:

- **Entity ID** – The ID of the entity.
- **Entity Name** – The name of the entity. This may map to either an AX Server engagement or a user-defined grouping of analytic results. For example, you could create an entity called Payroll Exceptions to collect the results of payroll related analytics from multiple engagements.
- **Total Sum** – The total number of open exceptions in workflow states you have been assigned permissions for. For example, if you have been assigned the "Primary Reviewer" role, the total will include exceptions in the "Assigned to Primary Reviewer" state, but will not include exceptions in the "In Review" state.
- **Assigned to Primary Reviewer** – If you have been assigned to the Primary Reviewer role for any entities, this column is displayed with the total number of exceptions currently in this workflow

state.

- **In Review** – If you have been assigned to the Secondary Reviewer role for any entities, this column is displayed with the total number of exceptions currently in this workflow state.

Section contents


Viewing exceptions in the My Exceptions page

2.1. Viewing exceptions in the My Exceptions page

The **My Exceptions** page provides an overview of open exceptions you are responsible for. The exception table lists exception counts for the entities you are authorized to view summary data for. You can use the filter to limit the results displayed, and you can click on individual exception records to view more details about the exception.

To view exceptions in the My Exceptions page:

1. Click the **My Exceptions** link.
2. Use the following fields in the Filter panel to filter the list of exceptions returned:
 - **Entity** – Specify the entity ID you want to view exceptions for, or select “All” to view exceptions for all entities you are authorized to view.
 - **Analytic** – Specify the analytic you want to view exceptions for, or select “All” to view exceptions for all analytics.
 - **From** – Specify the earliest date you want to view exceptions from. Leave this field blank to filter without using a start date.
 - **To** – Specify the latest date you want to view exceptions from. Leave this field blank to filter without using an end date.
 - **State** – The current state of the exception. The list of states is defined by your system administrator during implementation of the business workflow. You can select individual states, or “Open States” to include all open exceptions, or “Closed States” to include all closed exceptions.
3. Click **Apply**.

The table is updated so that only entities and exceptions matching the selected criteria are displayed. You can click on any of the entries in the table to view a more detailed breakdown of the exceptions for an entity by analytic. To view more detailed information about an analytic, you can click any of the entries to navigate to the Exception Details page.
4. If you want to change the name of an entity or analytic, do the following:
 - a. Click **Edit** .
 - b. In the dialog box, enter the new name of the entity or analytic and click **Save**.

3. Exception Details

The **Exception Details** page displays exceptions associated with the selected entity, and can be filtered by entity, analytic, state, and date range. The **Exception Details** page displays the information necessary to start to identify the cause of an exception. You can edit exception details, view the

parameters used when the analytic was run, view the history of the exception and any attached files, and export exception details to a comma delimited file (.csv).

You may find that some columns do not include any values. This means that either the data source did not provide a value for the specified column, or the column was not used in the revised analytic that generated the exception.

Section contents

Viewing exceptions in the Exception Details page

Viewing exception history

Editing exception details

Adding attachments to exceptions

Viewing exception attachments

Viewing exception parameters

Exporting exceptions displayed on screen

Exporting all exceptions

Purging exceptions

3.1. Viewing exceptions in the Exception Details page

The **Exception Details** page provides a view of the exceptions you are authorized to work with. You can use filters to limit the results displayed, and you can select individual or multiple exception records to edit simultaneously. You can also click the header of any column to sort that column in ascending or descending order.


To view exceptions in the Exception Details page:

1. Click **Exception Details**, or if you are viewing the exception summary for an analytic in the **My Exceptions** page, you can click the links in the results table to navigate to the details for all the exceptions in the selected analytic.
2. Select the entity you want to view exceptions for from the **Entity** drop-down list.
3. To apply a filter, choose the options in the **Filter** panel to display the required exceptions and click **Apply**. You can remove the filter at any time by clicking **Clear Filters** and then **Apply**.
 - **Entity** – Specify the entity ID you want to view exceptions for, or select "All" to view exceptions for all entities you are authorized to view.
 - **Analytic** – Specify the analytic you want to view exceptions for, or select "All" to view exceptions for all analytics.
 - **From** – Specify the earliest date you want to view exceptions from. Leave this field blank to filter without using a start date.
 - **To** – Specify the latest date you want to view exceptions from. Leave this field blank to filter without using an end date.
 - **State** – The current state of the exception. The list of states is defined by your system administrator during implementation of the business workflow. You can select individual states, or "Open States" to include all open exceptions, or "Closed States" to include all closed exceptions.

3.2. Viewing exception history

To see a summary of changes and comments that have been made on an exception, you can view the exception history.

To view exception history:

1. Click **Exception Details**, or if you are viewing the exception summary for an analytic in the **My Exceptions** page, you can click the links in the results table to navigate to the details for all of the exceptions associated with the selected analytic.
2. If necessary, adjust the fields in the Filter panel to limit the exceptions displayed.
3. Click **Show History**  for the exception you want to view the history of.

Note

If an exception has a file attachment, the **Attachment**  icon appears beside the **Show History**  icon.

The Exception History page is displayed. It includes an Exception History section that lists information about each change to the exception record, including the user that made the change, the time the change was made, a table listing the details of the changes, any attached files, and the comment the user added when they modified the record.

4. If you do not want to display system-initiated changes, click **Hide System Logs**.
5. Click **Back** to return to the **Exception Details** page.

3.3. Editing exception details

If you have been assigned the required authorization, you can select one or more exceptions in a particular workflow state and move them into another state. Exceptions in different workflow states cannot be selected and moved to a new state at the same time. However, you can select exceptions in different states and add a comment that applies to all of the selected exceptions.

Note

If you move an exception to a state that you are not authorized to view, the exception will be removed from the Exception Details page.

To modify details for one or more exceptions:

1. Click **Exception Details**, or if you are viewing the exception summary for an analytic in the **My Exceptions** page, you can click the links in the results table to navigate to the details for all the exceptions associated with the selected analytic.
2. If necessary, adjust the fields in the **Filter** panel to limit the exceptions displayed.
3. Select each of the exceptions you want to modify and click **Edit Details**. If you select exceptions in different states, you will be able to add comments, but not change states.

Tip

Select the checkbox in the header row to select all displayed exceptions.

4. In the **Action** drop-down list, select the workflow action to move the exception to. If "No action" is displayed in the drop-down list, the reason is that you are not authorized to transfer the selected

exception(s) to any other workflow state, or because you have selected exceptions that are in different workflow states.

5. If additional drop-down lists are displayed below the **Action** drop-down list, select the appropriate values. The application can be customized by your Analytics Exchange administrator to include additional fields.
6. In **Comment**, enter a description of the changes you are making and click **Save**.

3.4. Adding attachments to exceptions


If you have been assigned the required authorization, you can add attachments of any file type to one or more exceptions. The default maximum file size for an attachment is 500 MB and can be customized by your system administrator to any value up to 2 GB.

To add an attachment to one or more exceptions:

1. Click **Exception Details**, or if you are viewing the exception summary for an analytic in the **My Exceptions** page, you can click the links in the results table to navigate to the details for all the exceptions associated with the selected analytic.
2. If necessary, adjust the fields in the **Filter** panel to limit the exceptions displayed.
3. Select each of the exceptions you want to add the attachment to and click **Edit Details**.

Tip

Select the checkbox in the header row to select all displayed exceptions.

4. For each file you want to attach to the exception, click **Choose file**, select the file, and click **Open**.
5. Click **Upload**.
The file is uploaded and the file name appears in the Attached File(s) section.
6. If you uploaded the wrong file, you can delete the attachment by placing your cursor over the file name and then clicking **Delete** .

Note


You cannot delete an attachment after you click **Save**. After clicking **Save**, attachments can only be deleted by purging the associated exception.

7. In **Comment**, enter a description of the file you attached, and any other changes you made, and click **Save**.

Note


If necessary, you can also update the workflow action and other exception details at the same time as adding attachments.

3.5. Viewing exception attachments

If attachments have been added to an exception, the **Show Files**  icon appears in the **History** column for the exception.

To view attachments:

1. Click **Exception Details**, or if you are viewing the exception summary for an analytic in the **My Exceptions** page, you can click the links in the results table to navigate to the details for all of the exceptions associated with the selected analytic.
2. If necessary, adjust the fields in the **Filter** panel to limit the exceptions displayed.

3. Click **Show History**  on the exception that includes the attachment you want to view.

The Exception History page is displayed. Attachments are listed in the Files section in Exception History, which lists information about each change to the exception record, including the user that attached the file and the comment the user added at that time.

4. Click the file name to open or save the attachment.
5. Click **Back** to return to the **Exception Details** page.

3.6. Viewing exception parameters

You can display the parameters and parameter values that were specified when the analytic was processed.

To view parameters for one or more exceptions:

1. Click **Exception Details**, or if you are viewing the exception summary for an analytic in the **My Exceptions** page, you can click the links in the results table to navigate to the details for all of the exceptions associated with the selected analytic.
2. If necessary, adjust the fields in the **Filter** panel to limit the exceptions displayed.
3. Select each of the exceptions you want to view parameters for and click **Show Parameters**.

Tip

Select the checkbox in the header row to select all displayed exceptions.

The parameters for the selected entities and analytic are displayed. You can click the plus sign [+] beside a parameter to view its values.

4. Click **Back** to return to the **Exception Details** page.

3.7. Exporting exceptions displayed on screen

You can export exception data displayed on screen to a comma delimited file (.csv) to use in external analysis or reporting tools. Only data that appears on the screen at the time of export is exported. Comments and file attachments associated with exceptions are not exported.

To export exceptions displayed on screen:

1. Click **Exception Details**, or if you are viewing the exception summary for an analytic in the **My Exceptions** page, you can click the links in the results table to navigate to the details for all of the exceptions associated with the selected analytic.
2. If necessary, adjust the fields in the **Filter** panel to limit the exceptions displayed.
3. Select each of the exceptions you want to export and click **Export**.

Tip

Select the checkbox in the header row to select all displayed exceptions.

Note

You can modify the **exceptions per page** value above the table to adjust the number of exception entries in each page of the table.

4. In the **File Download** dialog box, do one of the following:
 - Click **Save**. In the **Save As** dialog box, select the file name and location and click **Save** to copy the file to your computer, and click **Close** after the download completes.
 - Click **Open** to open the file for viewing without saving it on your computer.

Related tasks

Exporting all exceptions

3.8. Exporting all exceptions

You can export all of the exception data in the results table, including entries on visible and hidden pages, to a single delimited text file. The number of items that will be exported is displayed above the table. Comments and file attachments associated with exceptions are not exported.

To export all exceptions in the exceptions table:

1. Click **Exception Details**, or if you are viewing the exception summary for an analytic in the **My Exceptions** page, you can click the links in the results table to navigate to the details for all the exceptions associated with the selected analytic.
2. If necessary, adjust the fields in the **Filter** panel to limit the exceptions displayed.
3. Click **Export All**.
4. In the **File Download** dialog box, do one of the following:
 - Click **Save**. In the **Save As** dialog box, select the file name and location and click **Save** to copy the file to your computer, and click **Close** after the download completes.
 - Click **Open** to open the file for viewing without saving it on your computer.

Related tasks

Exporting exceptions displayed on screen

3.9. Purging exceptions

The purge commands located on the **Exception Details** page allow you to delete exceptions from the system based on the criteria you specify. You can also view and export log entries for previously deleted exceptions. You must be assigned the "EM Admin" role to use the purge commands, and you must be assigned rights to another role, such as "Primary Reviewer" for the entities you can purge, or be assigned rights to all entities with the "EM Access All Entities" role.

Note

Purging exceptions permanently deletes the exceptions and any associated attachments.

3.9.1. Purging exceptions displayed on screen

If you have the appropriate authorizations, you can selectively delete individual exceptions displayed on screen in the exceptions table.

To purge exceptions displayed on screen:

1. Click **Exception Details**.
2. If necessary, adjust the fields in the **Filter** panel to limit the exceptions displayed.
3. Click **Apply**.

The table is updated so that only exceptions matching the selected criteria are displayed.

4. Select the checkbox beside each of the exceptions you want to delete and click **Purge Exceptions**.

Tip

Select the checkbox in the first column header to select all displayed exceptions.

Note

If the table includes multiple pages of data, only the exceptions on the visible page are selected when you click the first column header. You can modify the **exceptions per page** value above the table to display more exception entries in each page of the table.

The confirmation dialog box is displayed.

5. If you want to delete the analytic after the exceptions are purged, select the **Yes, I would like to delete the Analytic as well** checkbox.

Note

The analytic can only be deleted if all exceptions in the analytic are deleted.

6. Click **Delete exception(s)**.

All selected exceptions, including comments and attachments, are deleted from the AX Exception database and details about the purge, such as the date and time it occurred, are recorded in the log.

3.9.2. Purging all exceptions

If you have the appropriate authorizations, you can delete all of the exception data in the results table for the selected entity, including entries on visible and hidden pages. The number of exceptions that will be deleted is displayed above the table.

To purge all exceptions in the exceptions table:

1. Click **Exception Details**.
2. Select the entity you want to purge exceptions for from the **Entity** drop-down list and click **Apply**.
3. Click **Purge All**.

The confirmation dialog box is displayed.

4. If you want to delete the analytic after the exceptions are deleted, select the **Yes, I would like to delete the Analytic as well** checkbox.
5. Click **Delete exception(s)**.

All exceptions for the selected entity, including comments and attachments, are deleted from the AX Exception database and details about the purge, such as the date and time when it occurred, are recorded in the log.

3.9.3. Viewing log entries for purged exceptions

You can view log entries for all exceptions purged from the system. The information recorded includes the user that purged the exceptions, the date and time when the purge occurred, details about the entity and analytic, and the number of exceptions purged.

To view log data:

1. Click **Exception Details**.
2. Select the entity you want to view log entries for in the **Entity** drop-down list and click **Apply**.
3. Click **View Purge Logs**.
4. If necessary, adjust the fields in the **Filter** panel to limit the log entries displayed.
5. Click **Apply**.

The table is updated so that only log entries matching the selected criteria are displayed.

3.9.4. Exporting log entries for purged exceptions

You can export log data for purged exceptions to a comma delimited file (.csv).

To export log data:

1. Click **Exception Details**.
2. Select the **Entity** and **Analytic** you want to view log entries for and click **Apply**.
3. Click **View Purge Logs**.
4. If necessary, adjust the fields in the **Filter** panel to limit the log entries displayed.
5. Click **Apply**.

The table is updated so that only log entries matching the selected criteria are displayed.

6. Click **Export**.
7. In the **File Download** dialog box, do one of the following:
 - a. Click **Save**. In the **Save As** dialog box, select the file name and location and click **Save** to copy the file to your computer, and click **Close** after the download completes.
 - b. Click **Open** to open the file for viewing without saving it on your computer.