

AX™ Exception is a web-based add-on component for ACL AuditExchange™

Created for organizations that require a centralized view to monitor and respond to key risk areas, AX Exception is a web-based application that supports the distribution, assignment, review and remediation of analytic results across multiple business stakeholders. Organizations can now further leverage the data analysis work being done by audit teams in order to identify and resolve exceptions faster and more efficiently, reducing their negative impact on the business.

Key Benefits

Support continuous auditing and monitoring

- AX Exception supports continuous auditing and monitoring initiatives by automatically distributing exceptions found during continuous analysis to appropriate business stakeholders.

Increase internal audit's value to the organization

- The timely resolution of exceptions reduces their negative impact on the business from fraud, errors and operational inefficiencies, allowing the audit function to provide more value to the organization.

Remediate issues quickly

- Configure to monitor the entire remediation process for quicker audit closure.

AX Exception enables organizations to:

- » Distribute exceptions to business stakeholders for review and resolution through a web-based interface.
- » Schedule automatic updates of exceptions.
- » Securely add supporting file attachments to any exception.
- » Assign exceptions to specific persons or roles for follow-up.
- » Configure resolution process stages and escalation timelines.
- » Provide secure, read-only view of analytic details.
- » Create an audit trail with extensive logs and the ability to enter notes.
- » Filter exceptions for review and analysis and support basic trending, pattern identification and management of false positives.
- » Integrate with several popular reporting tools.
- » Provide management with overall status view.

A high-level overview of open exceptions identified

The screenshot shows the AX Exception web application interface. At the top, there is a navigation bar with 'Overview', 'My Exceptions', 'Exception Details', 'Help', and 'Logout'. Below this is a filter section with 'Entity: All', 'Analytic: All', 'From: yyyy-mm-dd', 'To: yyyy-mm-dd', and 'State: --- Open States ---'. There are 'Clear Filters' and 'Apply' buttons. The main content area displays a table with 4 items found, showing columns for Entity ID, Entity Name, Total Sum, and Assigned to Primary Reviewer. The table contains the following data:

Entity ID	Entity Name	Total Sum	Assigned to Primary Reviewer
AX01Split Transactions	AX01Split Transactions	102	102
AX02Duplicate Payments	AX02Duplicate Payments	102	102
B01FuzzyMatch	B01FuzzyMatch	102	102
C01UnevenDollarTransaction	C01UnevenDollarTransaction	102	102

At the bottom of the screenshot, there is a footer with the ACL logo and the text: 'AX Exception Release 3.0.0 © 2011 ACL Services Ltd. All Rights Reserved.'

EX AX Exception Overview My Exceptions Exception Details Help Logout

Entity: 11 Analytic: 1 My Filters: -- none --

From: yyyy-mm-dd To: yyyy-mm-dd State: --- Open States ---

100 exceptions per page Manage My Filters Clear Filters Apply

102 items found, displaying 1 to 100. [First/Prev] 1 2 [Next/Last]

<input type="checkbox"/>	State ID	Analysis Date	Priority	Vendor Number	Invoice Number	Invoice Date	Invoice Amount	Product Number	Quantity	Unit Cost	Exception ID	Esc Level
<input type="checkbox"/>	Assigned to Primary Reviewer	2011-01-28		11663	5981807	2000-11-17	618.30	070104397	90.00	6.87	1	1
<input checked="" type="checkbox"/>	Assigned to Primary Reviewer	2011-01-28		13808	2275301	2000-11-17	6705.12	070104677	976.00	6.87	2	1
<input type="checkbox"/>	Assigned to Primary Reviewer	2011-01-28		12433	6585673	2000-11-17	7955.46	070104657	1158.00	6.87	3	1
<input checked="" type="checkbox"/>	Assigned to Primary Reviewer	2011-01-28		11663	5983947	2000-11-17	4870.83	070104327	709.00	6.87	4	1
<input type="checkbox"/>	Assigned to Primary Reviewer	2011-01-28		12130	589134	2000-11-17	10531.71	070104377	1533.00	6.87	5	1
<input checked="" type="checkbox"/>	Assigned to Primary Reviewer	2011-01-28		13411	49545947	2000-10-30	5734.00	030414313	122.00	47.00	6	1
<input type="checkbox"/>	Assigned to Primary Reviewer	2011-01-28		12433	6585951	2000-10-30	2195.00	030414283	122.00	18.00	7	1
<input checked="" type="checkbox"/>	Assigned to Primary Reviewer	2011-01-28		10721	123196	2000-10-30	265.19	030412553	23.00	11.53	8	1
<input type="checkbox"/>	Assigned to Primary Reviewer	2011-01-28		12433	6585880	2000-10-30	225.00	030412753	18.00	12.50	9	1
<input type="checkbox"/>	Assigned to Primary Reviewer	2011-01-28		13411	49540141	2000-10-30	14.88	030412903	6.00	2.48	10	1
<input type="checkbox"/>	Assigned to Primary Reviewer	2011-01-28		10787	591533	2000-05-31	1217.16	030321683	828.00	1.47	11	1
<input type="checkbox"/>	Assigned to Primary Reviewer	2011-01-28		10534	58720114	2000-05-31	158.60	030322303	130.00	1.22	12	1

Edit Details Show Parameters Export Export All Purge Exceptions Purge All View Purge Logs

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A detailed view of open exceptions identified

System Requirements

Supported Operating Systems

- Microsoft Windows® Server 2003 Enterprise Edition x86 (32 or 64 bit versions)
- Microsoft Windows® Server 2008 Enterprise Edition R2 x86 (32 or 64 bit versions)

Supported Databases

- Microsoft® SQL Server 2005 Standard and Enterprise Editions
- Microsoft® SQL Server 2008 Standard and Enterprise Editions
- Oracle 10g/11g

Important: Apply all critical Windows updates before installing AX Exception.

Supports both Non-Unicode and Unicode Environments.



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About ACL Services Ltd.

ACL Services Ltd. is the leading global provider of business assurance technology for audit and compliance professionals. Combining market-leading audit analytics software with centralized content management and exception reporting, ACL technology provides a complete end-to-end business assurance platform that is flexible and scalable to meet the needs of any organization.

Since 1987, ACL technology has helped organizations reduce risk, detect fraud, enhance profitability, and improve business performance. ACL delivers its solutions to 14,700 organizations in over 150 countries through a global network of ACL offices and channel partners. Our customers include 98 percent of Fortune 100 companies, 89 percent of the Fortune 500 and over two-thirds of the Global 500, as well as hundreds of national, state and local governments, and the Big Four public accounting firms.

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