



Transaction Exception Details

PFSRTXNExcDetails.dnax
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Overview:

The Transaction Exception Details application is an online application with a single new screen that allows the User to obtain an in-depth review of each transaction exception over a designated period of time. The User has several filtering options, including by Employee, Overriding Employee, Branch, and Financial Institution.

Key Benefits:

The Transaction Exception Details application provides the Financial Institution with several benefits, including:

- Presenting an individual in-depth analysis of transaction exceptions that occur over a period of time.
- Streamlined processing created by several filtering options.
- Providing real-time data and analysis for transaction exceptions.
- Enabling the User to view all the information regarding each transaction exception.
- Offering the internal audit team an on-demand method to review what is happening across the Financial Institution, without having to request special report runs to be generated.

Processing:

The User needs to first have access to the Authorization Item SECM – Security Module in their DNA Authorization Profile with the proper authorization permissions.

The Transaction Exception Details application has four query choices: By Employee, By Overriding Employee, By Branch, and By Institution. These four choices allow the User to filter the exceptions according to their preference.

Once one of these four choices is selected, the User will then select a date range using the Start Date and Thru Date selections to establish a query range. The Thru Date will default to the Current Post Date, and the Start Date will default to the value of the Current Post Date minus the value of the Number of Back Date Query Days (TDQD) calculation variable.

Note: *When setting dates for the query, longer date ranges will result in longer query result times.*

The Transaction Exception Details application will only display exception transactions that were processed. Transaction exceptions that were not able to be processed will not display on the Transaction Exception Details application screen, as there is no functionality for the DNA system to record them.

The default sorting criteria for the Query Results grid is by Post Date. If multiple transaction exceptions have the same Post Date, they are then sorted by the Activity Date. If multiple transaction exceptions have the same Activity Date, they are then sorted by the most recent Activity Time. The columns can be sorted in ascending/ descending order by clicking on the column headings.

The multiple processing options are shown below:

The User first accesses the new screen by logging in to DNA, selecting the Security module, and then selecting System from the toolbar and the new Transaction Exception Details menu item.

The User will then select one of the four radio button selections and then the **Start Date** and **Thru Date** search criteria options. The default search criterion is **By Employee**, with a **Start Date** value of the current Post Date minus the value of the Number of Back Date Query Days (TDQD) calculation variable in MM-DD-YYYY format, and a **Thru Date** value of the current Post Date in MM-DD-YYYY format. The User can then select from two different secondary query options. Depending on the primary query conditions, the first secondary query option will allow the user to select from a dropdown menu of Employee, Employee (Overriding Employee) or Location. The other secondary query option is to query by a certain Exception from a dropdown menu.

The screenshot shows a web form titled "Transaction Exception Details" with a "Search Criteria" section. It features four radio buttons for search criteria: "By Employee" (selected), "By Overriding Employee", "By Branch", and "By Institution". Below these are two dropdown menus: "Employee" with "<ALL>" selected and "Exception" with "<All>" selected. There are also two date pickers: "Start Date" with "07-26-2018" and "Thru Date" with "09-24-2018". At the bottom right are "Query" and "Clear" buttons, and at the bottom left is a "Close" button.

1. If the User selects Search Criteria **By Employee**, the application will show the transaction exceptions occurring between the dates specified in the **Start Date** through **Thru Date** criteria options. The User may select to query by all transaction exceptions or select one specific exception and then select the **Query** button. The resulting results grid will display sorted by Post Date, with the Transaction Exception Details group box displaying the information regarding the highlighted transaction exception from the results grid.

Transaction Exception Details

Search Criteria

By Employee
 By Overriding Employee
 By Branch
 By Institution

Employee » JOEX BANKER Exception » <All>

Start Date » 07-26-2018 Thru Date » 09-24-2018

Query Results

Exception Number	Exception Description	Post Date	Account Number	Account Owner
59	Receivables Currently Due for Balance Type	09-24-2018	700039185	Jennifer Ann Miller
698	Transacting Person not selected	09-24-2018	700039185	Jennifer Ann Miller
1101	Unscheduled Principal Payment against Deli...	09-24-2018	700039185	Jennifer Ann Miller

Transaction Exception Details

Exception Details

Activity Time: 12:32:03 PM Major: Consumer Loan

Activity Date: 09-30-2018 Minor: Automobile

Effective Date: 09-24-2018 Responsible Person: JoeX Banker

Network Node: DNACREATOR Approving Person: JoeX Banker

Branch: Pineland Branch

Remote Override: Override Note:

Transaction Details

Amount: 10.00 Check Number:

Type: Principal Receipt Payee:

Cash Box Number: 215 Retirement Reason:

RTXN Number: 2501 Qualifier Code:

Transaction Description: Year:

Transacting Person:

Activity Details

Activity Number: Activity Category: Activity Type:

Subject Person: Subject Organization:

- If a User selects Search Criteria **By Overriding Employee**, the application will show the transaction exceptions occurring between the dates specified in the **Start Date** through **Thru Date** criteria options that a selected employee performed the override on. The User may select to query by all transaction exceptions or select one specific exception, and then select the **Query** button. The resulting results grid will display sorted by Post Date, with the Transaction Exception Details group box displaying the information regarding the highlighted transaction exception from the results grid.

Transaction Exception Details

Search Criteria

Search Criteria

By Employee
 By Overriding Employee
 By Branch
 By Institution

Employee » JOEX BANKER Exception <All>

Start Date » 01-27-2018 Thru Date » 09-24-2018 Query Clear

Close

Query Results

Exception Number	Exception Description	Post Date	Account Number	Account Owner
127	Cash Transaction Caused Total for Day to ...	09-24-2018	700014161	Alick MICHELE John
525	New Balance is less than Minimum Allowed	09-24-2018	700014161	Alick MICHELE John
656	Daily Limit Reached-Multiple withdrawal do...	09-24-2018	700014161	Alick MICHELE John
698	Transacting Person not selected	09-24-2018	700014161	Alick MICHELE John
57	Re-Open Closed Account with Deposit	09-24-2018	350264796	Smith & Sons
698	Transacting Person not selected	09-24-2018	350264796	Smith & Sons
3	Insufficient Funds - Checking	09-24-2018	700043847	Amanda Smith
698	Transacting Person not selected	09-24-2018	700043847	Amanda Smith

Transaction Exception Details

Exception Details

Activity Time: 12:55:18 PM Major: Savings

Activity Date: 10-01-2018 Minor: Statement Savings

Effective Date: 09-24-2018 Responsible Person: JoeX Banker

Network Node: DNACREATOR Approving Person: JoeX Banker

Branch: Pineland Branch

Remote Override: N Override Note:

Transaction Details

Amount: 100.00 Check Number:

Type: Deposit Payee:

Cash Box Number: 215 Retirement Reason:

RTXN Number: 2619 Qualifier Code:

Transaction Description:

Transacting Person:

Activity Details

Activity Number: Activity Category: Activity Type:

Subject Person: Subject Organization:

- If a User selects Search Criteria **By Branch**, the application will show the transaction exceptions occurring between the dates specified in the **Start Date** through **Thru Date** criteria options that a selected Branch performed. The User may select to query by all transaction exceptions or select one specific exception, and then select the **Query** button. The resulting results grid will display sorted by Post Date, with the Transaction Exception Details group box displaying the information regarding the highlighted transaction exception from the results grid.

Transaction Exception Details

Search Criteria

Search Criteria

By Employee
 By Overriding Employee
 By Branch
 By Institution

Location » PINELAND BRANCH Exception » <All>

Start Date » 09-24-2018 Thru Date » 09-24-2018

Query Results

Exception Number	Exception Description	Post Date	Account Number	Account Owner
698	Transacting Person not selected	09-24-2018	700014161	Alick MICHELE John
57	Re-Open Closed Account with Deposit	09-24-2018	350264796	Smith & Sons
698	Transacting Person not selected	09-24-2018	350264796	Smith & Sons
3	Insufficient Funds - Checking	09-24-2018	700043847	Amanda Smith
698	Transacting Person not selected	09-24-2018	700043847	Amanda Smith
59	Receivables Currently Due for Balance Type	09-24-2018	700039185	Jennifer Ann Miller
698	Transacting Person not selected	09-24-2018	700039185	Jennifer Ann Miller
1101	Unscheduled Principal Payment against De...	09-24-2018	700039185	Jennifer Ann Miller

Transaction Exception Details

Exception Details

Activity Time: 12:32:03 PM Major: Consumer Loan

Activity Date: 09-30-2018 Minor: Automobile

Effective Date: 09-24-2018 Responsible Person: JoeX Banker

Network Node: DNACREATOR Approving Person: JoeX Banker

Branch: Pineland Branch

Remote Override: N Override Note:

Transaction Details

Amount: 10.00 Check Number:

Type: Principal Receipt Payee:

Cash Box Number: 215 Retirement Reason:

RTXN Number: 2501 Qualifier Code:

Transaction Description:

Transacting Person:

Activity Details

Activity Number: Activity Category: Activity Type:

Subject Person: Subject Organization:

- If a User selects Search Criteria **By Institution**, the application will show the transaction exceptions occurring between the dates specified in the **Start Date** through **Thru Date** criteria options that the Institution performed. The User may select to query by all transaction exceptions or select one specific exception, and then select the **Query** button. The resulting results grid will display sorted by Post Date, with the Transaction Exception Details group box displaying the information regarding the highlighted transaction exception from the results grid.

Transaction Exception Details

Search Criteria

Search Criteria

By Employee
 By Overriding Employee
 By Branch
 By Institution

Exception <All>

Start Date » 01-27-2018

Thru Date » 09-24-2018

Query Results

Exception Number	Exception Description	Post Date	Account Number	Account Owner
207	Edit Allotment Information	09-24-2018	400130443	Hollis Baer
12	Cashbox Cash < 0	09-24-2018	400713040	Matthew Clary
127	Cash Transaction Caused Total for Day to ...	09-24-2018	400713040	Matthew Clary
656	Daily Limit Reached-Multiple withdrawal do...	09-24-2018	400713040	Matthew Clary
698	Transacting Person not selected	09-24-2018	400713040	Matthew Clary
94	Allow Critical Account Status Change	09-24-2018	561074459	Luz Talbott
1	Insufficient Funds - Savings	09-24-2018	700014161	Alick MICHELE John
12	Cashbox Cash < 0	09-24-2018	700014161	Alick MICHELE John

Transaction Exception Details

Exception Details

Activity Time: 01:21:21 PM Major: Certificate

Activity Date: 10-01-2018 Minor: Flex CD

Effective Date: Responsible Person: JoeX Banker

Network Node: DNACREATOR Approving Person:

Branch: Pineland Branch

Remote Override: N Override Note:

Transaction Details

Amount: Check Number:

Type: Payee:

Cash Box Number: Retirement Reason:

RTXN Number: Qualifier Code:

Transaction Description: Year:

Transacting Person:

Activity Details

Activity Number: 256480 Activity Category: Account Maintenance Activity Type: Account

Subject Person: Subject Organization:

In the RTXN Exceptions System Table, there are different options to define any approvals required for an exception.

The RTXN Exception Table Maintenance section is where the User will find the Exception On checkbox, which must always be checked in order for the exception to be eligible to display on the Transaction Exception Details screen.

RTXN Exceptions

RTXN Exception Table

RTXN Exception Number	Description	Customer Message Description	Reject External Loan Funds	Online Override	Approval Authorization Code	Reject Offline	Exception On	Notice	Critical Repair
207	Edit Allotment Information		Yes	Yes		No	Yes	No	Yes

Auto Hide Create Edit Delete

RTXN Exception Table Maintenance

RTXN Exception Number » 207

RTXN Exception Description » Edit Allotment Information

RTXN Exception Customer Message

Online Override

Approval Authorization Code <None>

Internal Use

Exception On (Exception On checkbox is only for Online Applications. It is not used in AH_Clear Processing)

Notice

Critical Repair

Priority 207

Pocket Number

Default ACH Return Reason <None>

Online Category <None>

Reject Offline

Reject e-Transactions

Reject External Loan Funds

Service Charge

Reject ATM

Reject ACH

Close Close Clear Review Process

In the Exception Details section of the Transaction Exception Details screen, the Approving Person field will be blank if the Approval Authorization Code in the RTXN Exceptions Table Maintenance section on the RTXN Exceptions System Table is set to None. The name of the Approving Person on the Transaction Exception Details screen will only be displayed if there is a designated Approval Authorization Code in the RTXN Exceptions Table Maintenance section of the RTXN Exceptions System Table.

The Approval Authorization Code is set to None:

RTXN Exceptions

RTXN Exception Number	Description	Customer Message Description	Reject External Loan Funds	Online Override	Approval Authorization Code	Reject Offline	Exception On	Notice	Critical Repair
207	Edit Allotment Information		Yes	Yes		No	Yes	No	Yes

Auto Hide Create Edit Delete

RTXN Exception Table Maintenance

RTXN Exception Number: 207

RTXN Exception Description: Edit Allotment Information

RTXN Exception Customer Message:

Online Override

Approval Authorization Code: **<None>**

Internal Use

Exception On (Exception On checkbox is only for Online Applications. It is not used in AH_Clear Processing)

Notice

Critical Repair

Priority: 207

Pocket Number:

Default ACH Return Reason: <None>

Online Category: <None>

Reject Offline

Reject e-Transactions

Reject External Loan Funds

Service Charge

Reject ATM

Reject ACH

Close Close Clear Review Process

The Approving Person field is blank:

Transaction Exception Details

Search Criteria

Search Criteria

By Employee
 By Overriding Employee
 By Branch
 By Institution

Employee » <ALL> Exception <All>

Start Date » 01-27-2018 Thru Date » 09-24-2018

Query Results

Exception Number	Exception Description	Post Date	Account Number	Account Owner
207	Edit Allotment Information	09-24-2018	400130443	Hollis Baer
12	Cashbox Cash < 0	09-24-2018	400713040	Matthew Clary
127	Cash Transaction Caused Total for Day to ...	09-24-2018	400713040	Matthew Clary
656	Daily Limit Reached-Multiple withdrawal do...	09-24-2018	400713040	Matthew Clary
698	Transacting Person not selected	09-24-2018	400713040	Matthew Clary
94	Allow Critical Account Status Change	09-24-2018	561074459	Luz Talbott
1	Insufficient Funds - Savings	09-24-2018	700014161	Alick MICHELE John
12	Cashbox Cash < 0	09-24-2018	700014161	Alick MICHELE John

Transaction Exception Details

Exception Details

Activity Time: 01:21:21 PM Major: Certificate

Activity Date: 10-01-2018 Minor: Flex CD

Effective Date: Responsible Person: JoeX Banker

Network Node: DNACREATOR Approving Person:

Branch: Pineland Branch

Remote Override: N Override Note:

Transaction Details

Amount: Check Number:

Type: Payee:

Cash Box Number: Retirement Reason:

RTXN Number: Qualifier Code:

Transaction Description: Year:

Transacting Person:

Activity Details

Activity Number: 256480 Activity Category: Account Maintenance Activity Type: Account

Subject Person: Subject Organization:

Here the Approval Authorization Code has a value:

RTXN Exceptions

RTXN Exception Number	Description	Customer Message Description	Reject External Loan Funds	Online Override	Approval Authorization Code	Reject Offline	Exception On	Notice	Critical Repair
94	Allow Critical Account Status Change		Yes	Yes	SUP	No	Yes	No	No

Auto Hide Create Edit Delete

RTXN Exception Table Maintenance

RTXN Exception Number » 94 Notice Reject Offline

RTXN Exception Description » Allow Critical Account Status Change Critical Repair Reject e-Transactions

RTXN Exception Customer Message Priority Reject External Loan Funds

Online Override Pocket Number Service Charge

Approval Authorization Code **Supervisor Override** Default ACH Return Reason <None> Reject ATM

Internal Use Online Category <None> Reject ACH

Exception On (Exception On checkbox is only for Online Applications. It is not used in AH_Clear Processing)

Close Close Clear Review Process

The Approving Person is our employee with the Supervisor Override authorization role:

Transaction Exception Details

Search Criteria

Search Criteria By Employee By Overriding Employee By Branch By Institution

Exception: <All>

Start Date: » 09-24-2018 Thru Date: » 09-24-2018

Query Clear

Close

Query Results

Exception Number	Exception Description	Post Date	Account Number	Account Owner
94	Allow Critical Account Status Change	09-24-2018	561074459	Luz Talbott
1	Insufficient Funds - Savings	09-24-2018	700014161	Alick MICHELE John
12	Cashbox Cash < 0	09-24-2018	700014161	Alick MICHELE John
127	Cash Transaction Caused Total for Day to ...	09-24-2018	700014161	Alick MICHELE John
525	New Balance is less than Minimum Allowed	09-24-2018	700014161	Alick MICHELE John
656	Daily Limit Reached-Multiple withdrawal do...	09-24-2018	700014161	Alick MICHELE John
698	Transacting Person not selected	09-24-2018	700014161	Alick MICHELE John
57	Re-Open Closed Account with Deposit	09-24-2018	350264796	Smith & Sons

Transaction Exception Details

Exception Details

Activity Time: 01:09:04 PM Major: Checking

Activity Date: 10-01-2018 Minor: Golden 55 Checking

Effective Date: Responsible Person: JoeX Banker

Network Node: DNACREATOR Approving Person: JoeX Banker

Branch: Pineland Branch

Remote Override: N Override Note:

Transaction Details

Amount: Check Number:

Type: Payee:

Cash Box Number: Retirement Reason:

RTXN Number: Qualifier Code:

Transaction Description: Year:

Transacting Person:

Activity Details

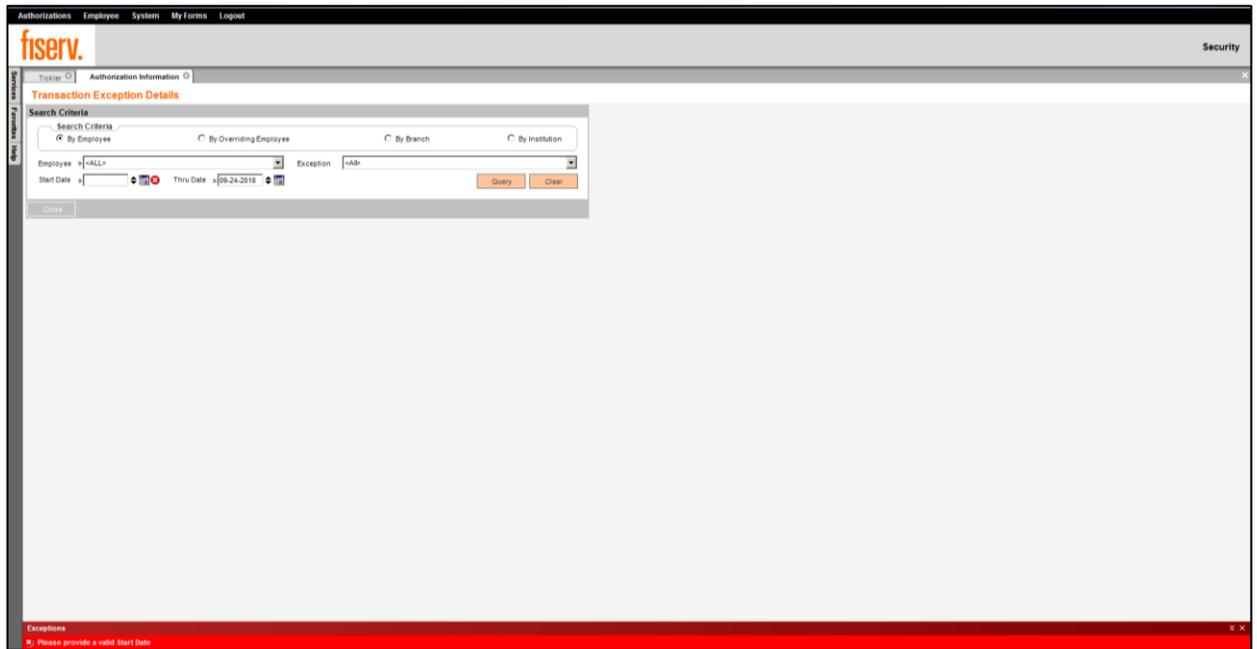
Activity Number: 256474 Activity Category: Account Maintenance Activity Type: Status Change

Subject Person: Subject Organization:

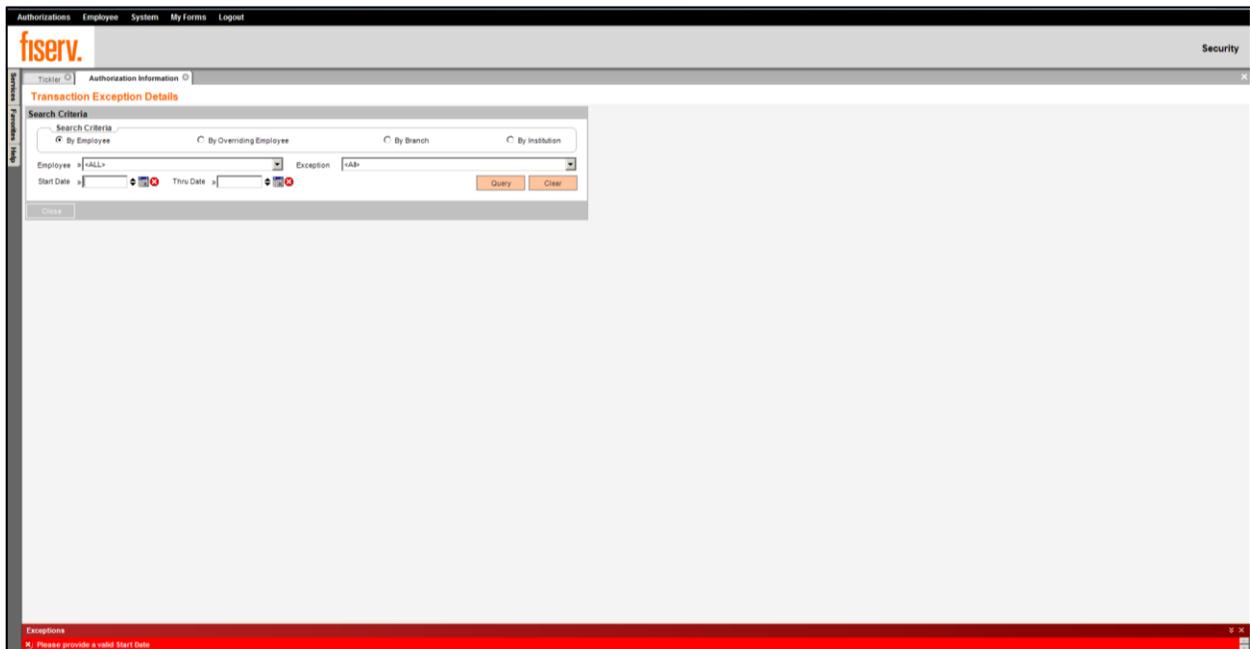
Application Messages:

The system will display the following exception messages when application exceptions occur.

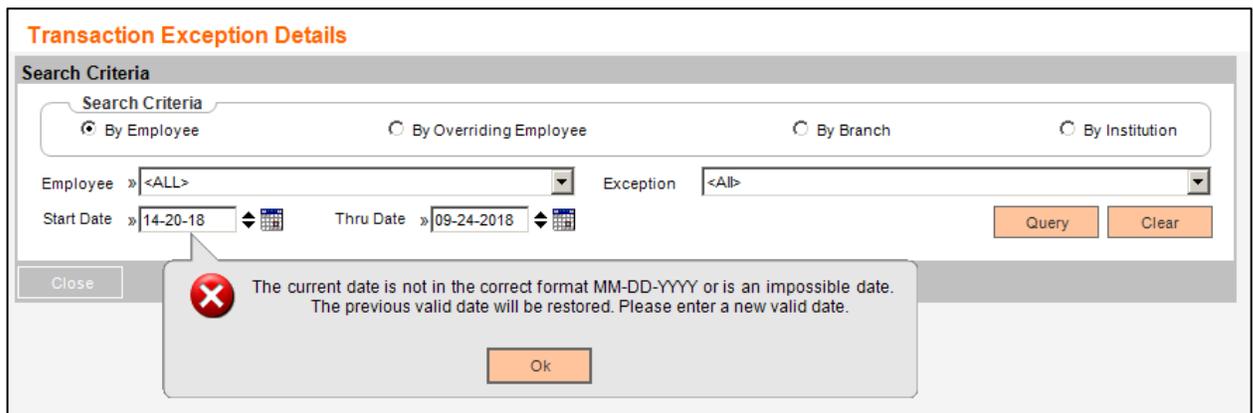
- If the User clears either the Start or Thru Date value (or both), and attempts to run a query with either or both of these parameters with no value, the application will display system error messages advising the User to provide a valid value. An example is shown below for a missing Start Date value:



And another example where both the Start and Thru Date values have been removed:

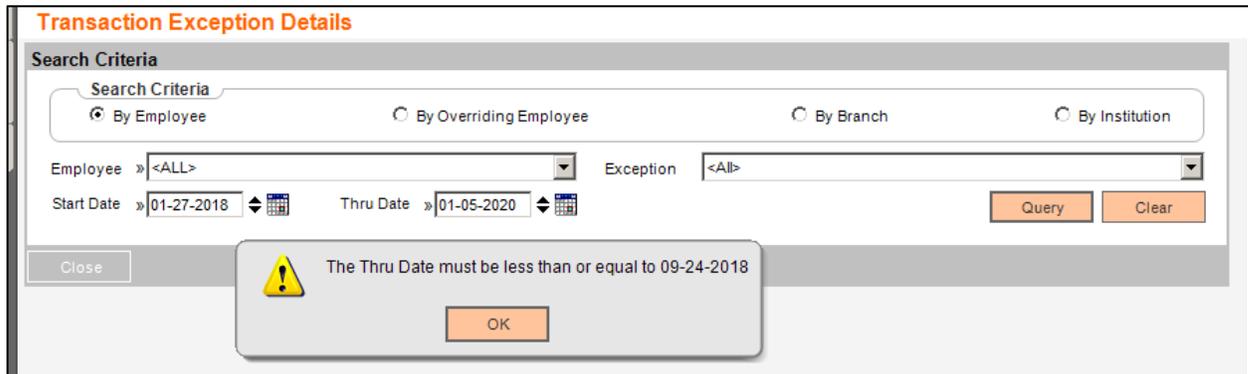


- If the User attempts to enter an incorrect date format, the system will display a pop-up exception message “The current date is not in the correct format MM-DD-YYYY or is an impossible date. The previous valid date will be restored. Please enter a new valid date.”



- If the User attempts to select a Thru Date value of a date greater than the current Post Date, the system will display a pop-up exception message “The Thru Date must be less than or equal to MM-DD-YYYY”, where MM-DD-YYYY is the current Post Date.

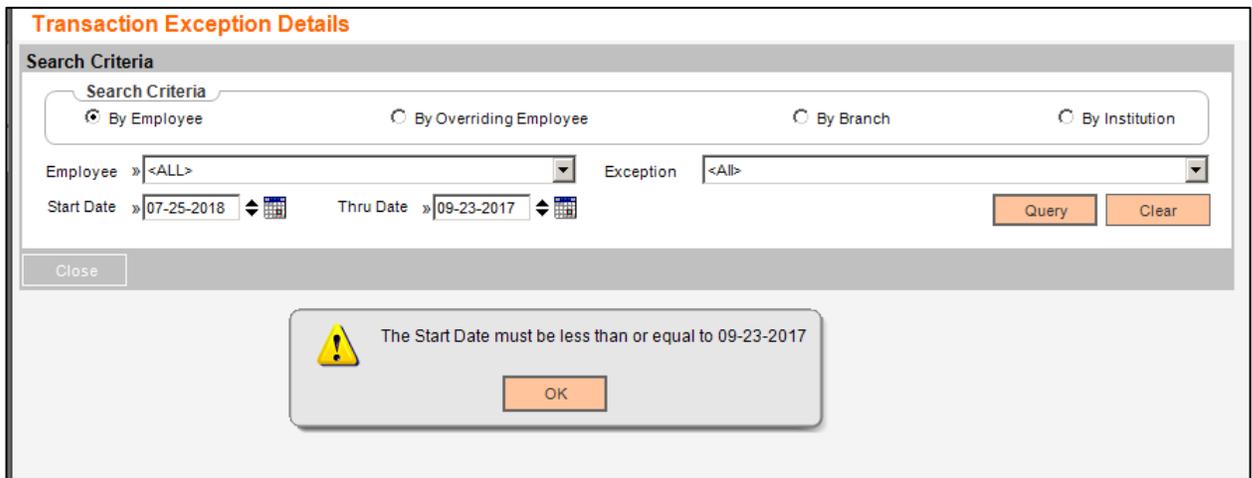
Example: System Post Date is 09-24-2018. If the User selects a Thru Date greater than 09-24-2018, the following message is raised:



- If the User attempts to select a Start Date that is equal to or greater than the calculated Start Date, and also selects a Thru Date value that is less than the calculated Start Date, the system will display a pop-up exception message “The Start Date must be less than or equal to MM-DD-YYYY”, where MM-DD-YYYY is the Thru Date value entered.

Note: Although the Thru Date value is outside the allowable limit established by the Calculation Variable value, the application will always check the logic on the Start Date value first to determine if there is an exception.

Example: System Post Date is 09-24-2018, the Number of Back Query Days (TDQD) variable has a value of 60, and a Start Date of 07-25-2018 is entered. If the User selects a Thru Date of 09-23-2017, the following message is raised:



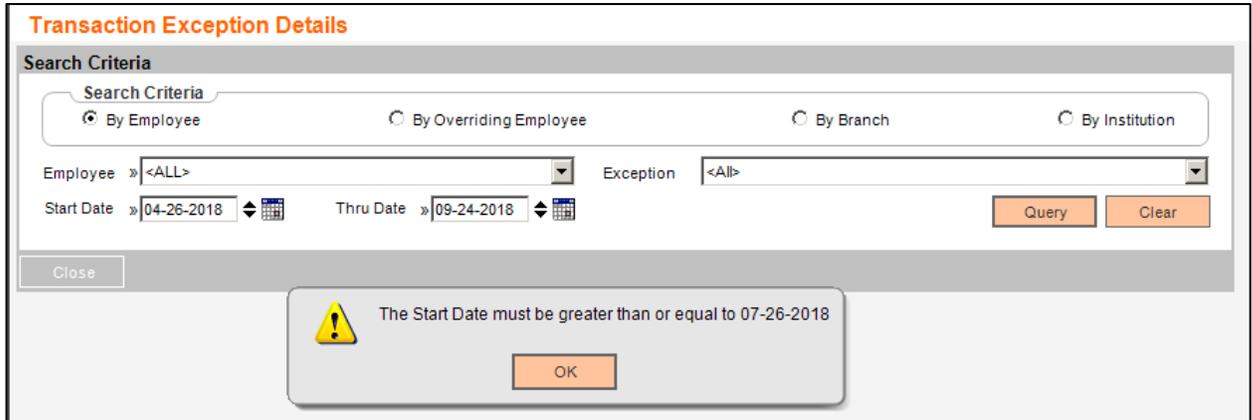
If the User then adjusts the Start Date value to be 09-23-2017 per the exception message; if Query is then selected, the following exception message will be raised:

The screenshot shows a dialog box titled "Transaction Exception Details". Inside, there is a "Search Criteria" section with four radio buttons: "By Employee" (selected), "By Overriding Employee", "By Branch", and "By Institution". Below these are two dropdown menus: "Employee" with "<ALL>" selected and "Exception" with "<All>" selected. There are two date pickers: "Start Date" with "09-23-2017" and "Thru Date" with "09-23-2017". To the right of the date pickers are "Query" and "Clear" buttons. At the bottom left is a "Close" button. Below the search criteria section is a yellow warning icon and a message box that reads: "The Start Date must be greater than or equal to 07-26-2018". An "OK" button is centered below the message box.

This is due to the logic being set to check the Start Date value first, as the application is designed to guide the User back toward using a valid Start Date. However, if the User changes the value of the Start Date to 07-26-2018 per this second exception message, they will receive the first exception message again, as the Thru Date value is still at 09-23-2017 and the validation is looking for the Start Date to always be equal to or less than the Thru Date.

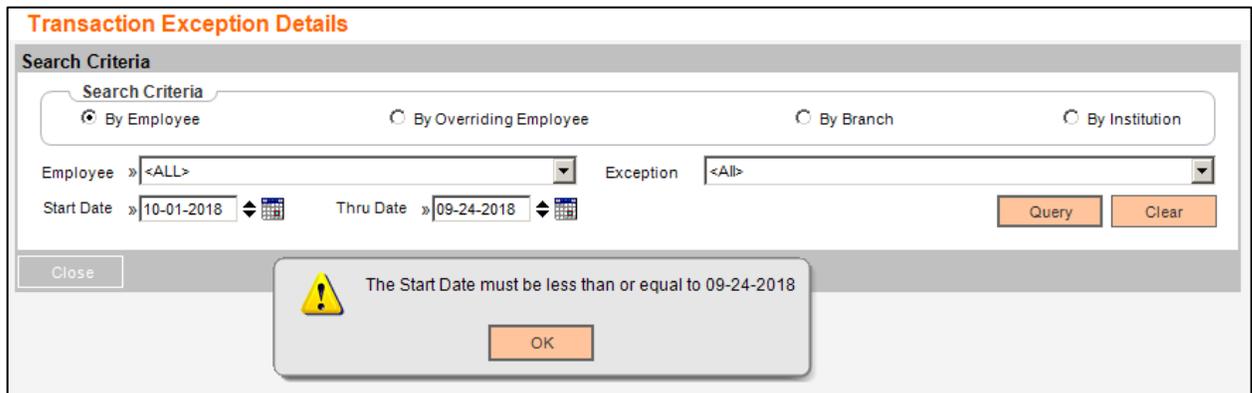
- If the User attempts to select a Start Date value that will set a date range that is outside the range of the value of the calculation variable Number of Back Query Days (TDQD), the system will display a pop-up exception message "The Start Date must be greater than or equal to MM-DD-YYYY", where MM-DD-YYYY is the Post Date value minus the value of the Number of Back Query Days (TDQD) variable.

Example: System Post Date is 09-24-2018, Thru Date is 09-24-2018 and the Number of Back Query Days (TDQD) is 60 days, making the minimum Start Date value 07-26-2018. If the User selects a date less than 07-26-2018 for the Start Date, such as 04-26-2018, the following message is raised:



- If the User attempts to select a Start Date value of a date greater than the Thru Date and the Thru Date is equal to the Post Date, the system will display a pop-up exception message “The Start Date must be less than or equal to MM-DD-YYYY”, where MM-DD-YYYY is the Post Date.

Example: System Post Date is 09-24-2018, Thru Date is 09-24-2018, and the User selects a date of 10-01-2018 for the Start Date. The following message is raised:



- If the User attempts to select a Start Date value of a date greater than the Thru Date and the Thru Date is less than the Post Date, but both Date values are within the allowed Calculated Date timeframe, the system will display a pop-up exception message “The Start Date must be less than or equal to MM-DD-YYYY”, where MM-DD-YYYY is the Thru Date.

Example: System Post Date is 09-24-2018, the TDQD variable days are set at 60, and the User selects a Start Date of 09-26-2018 and a Thru Date of 09-20-2018. The following message is raised:

The screenshot shows a window titled "Transaction Exception Details". Inside, there is a "Search Criteria" section with four radio buttons: "By Employee" (selected), "By Overriding Employee", "By Branch", and "By Institution". Below these are two dropdown menus: "Employee" set to "<ALL>" and "Exception" set to "<All>". There are two date pickers: "Start Date" set to "09-26-2018" and "Thru Date" set to "09-20-2018". To the right of the date pickers are "Query" and "Clear" buttons. At the bottom left is a "Close" button. A modal dialog box is overlaid in the center, featuring a yellow warning triangle icon and the text "The Start Date must be less than or equal to 09-20-2018". An "OK" button is centered at the bottom of this modal dialog.

Note: When the OK button on an exception message is clicked, the cursor will return to the date field that caused the exception. At this point the date can be corrected or the Clear button may be selected. When clicked, the Clear button will change the Start and Thru Dates back to the default values from the calculated Start and Thru Dates as calculated by the current post date and the TDQD calculation variable value, and return the default selection to the By Employee radio button.

If there are two exceptions possible (i.e. both the Start and Thru Date values are valid dates but outside the allowed calculated reporting period), only one exception message will be displayed at a time. The User will need to address the first exception message and if a valid value is entered to satisfy that exception, upon selecting the Query button again, the second exception message may be raised. Selection of the Clear button after clicking OK on any exception message will always set the default values back (as stated above) and ensure there are no secondary exception messages.

Variables:**Calculation Type:**

This calculation type is set at the system institution level only, with no product or account level functionality.

Calculation Type	Code	Description (how used)	MjMiYN
Transaction Exception Details	TEXD	This Calculation Type will be used for associating the calculation variable Number of Back Date Query Days (TDQD).	N

The following Calculation Variable stores the number of days and is used to set a limit on how far back query may go from the current Post Date.

Variable	Code	Description (how used)	Data Type	Default
Number of Back Date Query Days	TDQD	<p>Maximum number of days allowed for historical search criteria backdated from the current Post Date.</p> <p>This is a system institution-level variable that sets a historical date limit on how long the search period can be for a query.</p> <p>This variable allow the User to not inadvertently select a long reporting period such as several years that will result in a long query run time/possible timeout.</p>	NUM	60

The Variable Number of Back Date Query Days (TDQD) is associated at the system institution level with Calculation Type "TEXD" (Transaction Exception Details)

Screens:

Navigation

Security Module > System > Transaction Exception Details

Batch Module > System > Transaction Exception Details

System Module > System > Transaction Exception Details

Screen Appearance:

Default screen appearance before query is performed:

The screenshot shows a web application window titled "Transaction Exception Details". Below the title is a "Search Criteria" section. It contains four radio buttons for search criteria: "By Employee" (selected), "By Overriding Employee", "By Branch", and "By Institution". Below these are two dropdown menus: "Employee" with "<ALL>" selected and "Exception" with "<All>" selected. There are two date pickers: "Start Date" with "07-26-2018" and "Thru Date" with "09-24-2018". At the bottom right are "Query" and "Clear" buttons, and at the bottom left is a "Close" button.

The screen after a query is performed:

Transaction Exception Details

Search Criteria

Search Criteria

By Employee
 By Overriding Employee
 By Branch
 By Institution

Exception: <All>

Start Date: » 07-26-2018
 Thru Date: » 09-24-2018

Query Results

Exception Number	Exception Description	Post Date	Account Number	Account Owner
12	Cashbox Cash < 0	09-24-2018	700014161	Alick MICHELE John
127	Cash Transaction Caused Total for Day to ...	09-24-2018	700014161	Alick MICHELE John
525	New Balance is less than Minimum Allowed	09-24-2018	700014161	Alick MICHELE John
656	Daily Limit Reached-Multiple withdrawal do...	09-24-2018	700014161	Alick MICHELE John
698	Transacting Person not selected	09-24-2018	700014161	Alick MICHELE John
57	Re-Open Closed Account with Deposit	09-24-2018	350264796	Smith & Sons
698	Transacting Person not selected	09-24-2018	350264796	Smith & Sons
3	Insufficient Funds - Checking	09-24-2018	700043847	Amanda Smith

Transaction Exception Details

Exception Details

Activity Time: 12:55:18 PM Major: Savings

Activity Date: 10-01-2018 Minor: Statement Savings

Effective Date: 09-24-2018 Responsible Person: JoeX Banker

Network Node: DNACREATOR Approving Person: JoeX Banker

Branch: Pineland Branch

Remote Override: N Override Note:

Transaction Details

Amount: 100.00 Check Number:

Type: Deposit Payee:

Cash Box Number: 215 Retirement Reason:

RTXN Number: 2619 Qualifier Code:

Transaction Description: Year:

Transacting Person:

Activity Details

Activity Number: Activity Category: Activity Type:

Subject Person: Subject Organization:

Field Listing:

Field	Description
Search Criteria	
There are four primary query conditions, along with two secondary query filters and two date range endpoints.	
By Employee (radio button)	Radio button that allows the User to select all exceptions generated by the selected employee between the dates specified in the Start and Thru Date fields. This is the default.
By Overriding Employee (radio button)	Radio button that allows the User to select all exceptions overridden by the selected Overriding Employee between the dates specified in the Start and Thru Date fields.
By Branch (radio button)	Radio button that allows the User to select all exceptions generated by the selected Branch between the dates specified in the Start and Thru Date fields.
By Institution (radio button)	Radio button that allows the User to select all exceptions generated by the Financial Institution between the dates specified in the Start and Thru Date fields.

Field	Description
Employee	When the Employee radio button is selected, this field will become available and the Financial Institution's employees will be available for selection in the dropdown menu. The employees will be listed by First Name Last Name, with <All> as the starting option in the selection.
Employee	<p>When the Overriding Employee radio button is selected, this field will become available and the Financial Institution's employees will be available for selection in the dropdown menu. The employees will be listed by First Name Last Name, with <All> as the starting option in the selection.</p> <p>There is an additional selection value immediately below the <All> starting option: <No Overriding Employee>.When this value is selected, exceptions will display on the new Transaction Exception Details screen that did not require an Overriding Employee, as the User did not have to type in their password.</p>
Location	When the Branch radio button is selected, this field will become available and the Financial Institution's branches will be available for selection in the dropdown menu. The branches will be listed in name order, with <All> as the starting option in the selection.
Exception	<p>The transaction exception descriptions in a dropdown menu to allow all or an individual transaction exception to be selected.</p> <p><All> is the default exception selection, which will display all transaction exceptions associated with the other criteria.</p> <p>The dropdown list will only display the transaction exceptions that are available with the other criteria selected – for example, if a certain employee is selected, only the transaction exception descriptions that the employee processed during the date range will be shown for possible selection. This allows the user to further filter their query results if desired.</p>
Start Date	<p>A date field that allows the User to enter the Query period beginning date, entered in the format MM-DD-YYYY or by using the provided calendar icon to the right of the field and selecting the desired date from this calendar. The Start Date will default to the current system Post Date minus the value of the Number of Back Date Query Days (TDQD) calculation variable. For example if the TDQD calculation variable is set to 60 days and the current Post Date is March 30, the Start Date will be January 29.</p> <p>The Start Date has a restriction in that the value cannot be less than the current Post Date minus the value of the Number of Back Date Query Days (TDQD) variable. Even if a User selects a Thru Date that is less than the current Post Date, the restriction in the Start Date will not change; it will not "move back" to accommodate the earlier date request.</p>
Thru Date	A date field that allows the User to enter the Query period ending date, entered in the format MM-DD-YYYY or by using the provided calendar icon to the right of the field and selecting the desired date from this calendar. The Thru Date will default to the current system Post Date.

Field	Description
Query (button)	Will start the DNA database query run process based on the selection criteria entered from the preceding selection criteria and return the output in the query results data grid.
Clear (button)	When clicked prior to the Query button being selected, will reset the Start and Thru Dates to the default values, and return the default selection to the By Employee radio button.
Close (button)	When the Close button is clicked, then this screen will close. This button is not available when the screen is first opened and is only available after the initial query is run.
Query Results	
This is a 5-column results grid that will display the results of the query, with the most recent postdated transaction exceptions being listed at the top of the grid results by default.	
Note: If a monetary transaction exception does not have an ONLI transaction source code (RTXNSOURCECD) then the transaction exception record will not display in the Query Results grid.	
Note: If the maintenance (non-monetary) transaction exception does not create an exception message (EXCPMSG) in the Activity tables, the transaction exception record will not display in the Query Results grid.	
Exception Number	DNA transaction exception number
Exception Description	Description of the DNA transaction exception number, taken from the description for each exception number in the exception system table.
Post Date	The system date that the transaction exception was processed.
Account Number	Account number which the transaction exception is generated for. Note: if the transaction exception is not account-based (i.e. on a person or org), this field will be null.
Account Owner	Tax Reported for Owner of the account that the transaction exception generated for. Note: If the transaction exception is not account-based (i.e. on a person or org), this field will be null.
Transaction Exception Details	
Exception Details	
This section is always populated, and contains basic information about where the transaction exception was processed and who performed the transaction exception, etc.	
Activity Time	Time that the transaction exception was generated.
Activity Date	The calendar date that the transaction exception was generated.
Effective Date	The system date that the transaction exception message was generated. Note: If a non-transaction / maintenance exception is processed the Effective Date field will be null as there is no effective date associated with these types of transactions.
Network Node	The workstation name of the workstation that processed the transaction exception.
Branch	Branch of Financial Institution where the transaction exception was generated.

Field	Description
Remote Override	„Y“ is set if the electronic request is sent to a supervisor to override a transaction exception from a different workstation, else „N“ is printed.
Major	Major account type.
Minor	Minor account type.
Responsible Person	The employee who generated the transaction exception.
Approving Person	The employee who implemented the override for the given transaction exception.
Override Note	Reason provided for overriding the transaction exception.
Transaction Details	
This section is populated only if the transaction exception is generated for a monetary transaction. This information is taken from various fields in the transaction tables for the transaction.	
Amount	The amount of the transaction.
Type	Transaction type, such as Deposit Reversal.
Cash Box Number	The cash box number that processed the transaction.
RTXN Number	DNA system assigned transaction number.
Transaction Description	Description of the transaction entered by the User during processing of the original transaction, such as “payment for xxxx”.
Transacting Person	The Transacting Person selected by the User on the monetary processing screen.
Check Number	The number of the check (if applicable).
Payee	The Person/Organization on the Payee line of the Financial Institution issued check (if applicable).
Retirement Reason	The code for the Retirement Category selected for a retirement plan deposit or withdrawal (if the account is a retirement account).
Qualifier Code	The Retirement Qualifier code that was selected for a retirement plan deposit or withdrawal (if the account is a retirement account).
Year	The year the retirement transaction should be allocated to (i.e. previous or current year).
Activity Details	
This information is only populated if the transaction exception is generated for a maintenance (non-monetary) activity.	
Activity Number	DNA system generated number for the action completed.
Subject Person	The Customer/Member listed by First name Last name for the transaction exception triggered during updating information.
Activity Category	The activity category of the activity that triggered the transaction exception.
Subject Organization	The Organization for the transaction exception triggered during updating information.
Activity Type	The type of activity that triggered the transaction exception.

Additional Requirements:

- The installation of DNA 4.4.1 or higher is required.
- The Transaction Exception Details screen is assigned to the Security Module Authorization Item (SECM) for security authorization. Users of this application will require access to this Authorization Item within their user profile.

Configuration Checklist:

Item	Test Environment	Production Environment
Ensure Users have the Authorization Item Security Module (SECM) in their DNA Authorization Profile with the appropriate authorization permission view.		
Set value of the Number of Back Query Days (TDQD) calculation variable.		

Revisions

Date	App Version #	Change
10/2018	1.0.0.1	Updated code with performance increase.
05/2014	1.0.0.0	Initial Version.