

F.A.Qs

Frequently Asked Questions

The following information will provide answers to frequently asked questions related to Express Account Contribution Census Transfer (ExACCT) program. Any specific ExACCT questions should be directed your Plan Service Consultant/Representative.

GENERAL QUESTIONS

What are the benefits of ExACCT?

- With ExACCT you will be able to submit enrollments, contributions, loan repayments, and census data electronically
- Reduction of forms to fill out by hand
- Faster response and information processing at AUL
- If you use ExACCT to track contributions, compensation and hours throughout the year, the software can build your census at year-end
- Data may be imported or exported to and from other programs, such as Lotus 1-2-3, Microsoft Excel (version 3.0, 4.0, 95/5.0, 97, or 2000), Microsoft Access (version 97 or 2000), Fixed Width Text or Comma Delimited files
- Data is encrypted to ensure secure data transmission
- Includes AULSense, a benefit not available with paper submission. AULSense is a validation tool that will help you check your data for accuracy and completeness before you send it to AUL, thus reducing revision costs
- It is easily customized to suit your company's needs
- It is network compatible

Whom do I contact with general questions or suggestions concerning my ExACCT software?

Online help is available in the application. It covers the functionality of the software. Plan Services Consultants/Representatives should be able to answer most client questions regarding installation, navigation, data entry, and transmission. Information about ExACCT is also available on the AUL web site.

The Data Transmission Unit (DTU) should be contacted regarding any errors, technical problems, or data import questions. The DTU is available to answer questions at 1-800-261-9618 x7472 during normal business hours (8 a.m. to 5 p.m. Eastern standard time). During the period January 7th through January 25th, Monday through Friday, the DTU will be available from 8:00 a.m. to 7:00 p.m. Eastern standard time.

Is the ExACCT software easy to use?

ExACCT is written in Visual Basic. It uses standard Windows functionality. If you have used Microsoft Access, Excel or Lotus 1-2-3, you should feel comfortable using the ExACCT software.

How can I get set-up for transmitting contributions?

Complete the Electronic Data Transmission Profile located in the documents folder on the ExACCT CD at D:\Documents\Electronic Data Transmission Profile doc. This form should be faxed to the Data Transmission Unit (DTU) at (317)285-7632 before December 31, 2001, or after February 15, 2002. The DTU Account Representative will contact you when your account has been set-up for ACH Debit and provide you with further instructions.

SYSTEM REQUIREMENTS

What are the minimum system requirements?

- At least Windows 98
- 64 megabytes of RAM
- 15 megabytes of free hard disk space (if no other Microsoft® applications are installed on the PC, 32 meg of free hard disk space may be required)
- CD-ROM drive
- Internet Service Provider and 128-bit encryption version of Microsoft® Internet Explorer 5.5 Service Pack 2 or higher

How do I determine if my PC has 64MB RAM?

1. Right-click on the "**My Computer**" icon on the desktop.
2. Click on "**Properties**."
3. Click on the "**Performance**" tab.
4. Look at the line labeled "**Memory**" (example: 64.0 MB of RAM).

How do I determine if my PC has 15MB of free disk space remaining on my hard drive?

1. Double-click on the "**My Computer**" icon on the desktop.
2. Right-click on the (C:) icon.
3. Click on "**Properties**."
4. On the "**General**" tab, look at the line labeled "**Free Space**" (example: 126 MB means 126MB free).

What if I do not have the minimum hardware requirements to utilize ExACCT?

AUL wants to give our clients every opportunity to utilize electronic data transmission. The minimum hardware requirements for ExACCT are actually less than the minimum requirements for most current software. You may want to consider purchasing new equipment or upgrading. AUL will be sending the ExACCT software to all our plan sponsors.

What if I do not have a CD-ROM drive?

Addressing the CD-ROM drive, the options, in order of preference, are:

- You may either upgrade entire PC, or add a CD-ROM drive to current machine.
- You can continue to send data manually in paper form; however, this method may eventually be subject to an increased administrative fee for manual processing.

What if I do not have an IBM PC?

You have 2 options, in order of preference:

- You will need to gain access to an IBM® compatible PC, preferably by purchasing one to add to their total environment.
- You can continue to send data manually in paper form; however, this method may eventually be subject to an increased administrative fee for manual processing.

INSTALLATION

Are there any steps that I need to take before installing the program?

To assist in minimizing installation problems, we recommend the following steps before you install ExACCT:

1. Verify that computer meets the minimum system requirements (see minimum requirements).

2. Disable all virus-protection programs you may have running. Refer to your virus-protection documentation for instructions. After you install ExACCT, re-enable your virus-protection programs.
3. Make sure all programs are closed, except Microsoft® Windows.
4. Run "**Scan Disk**" to find and repair errors on your hard disk. See your Windows User guide for instructions.
5. Run "**Disk Defragmenter**" to increase the speed at which your computer can access information. See your Windows User guide for instructions.
6. To further assist in minimizing potential installation issues, download free critical updates from Microsoft's® web site. To perform the updates, follow these steps.
 - Connect to the Internet and open Internet Explorer.
 - On the Menu Bar, click "**Tools,**" and then click "**Windows Update.**"
 - Click "**Product Updates**" on the left side of the screen. The Microsoft® website will search to see if the Windows version on your PC needs any upgrades. If any critical updates are shown, click "**Download.**"
 - You will need to reboot your PC after any downloads. Repeat the Windows Update again until no critical updates are listed. Make sure your PC has Internet Explorer 5.5 Service Pack 2 or higher.
 - Connect to the Internet. Open Internet Explorer, and click "**Help**" from the Menu Bar.
 - Click "**About Internet Explorer.**" Look in the version line to see if you have 5.5 or higher. If not, go to Microsoft's® website and download the free copy of Internet Explorer 5.5 Service Pack 2, or the newest available version of Internet Explorer.

When can I expect to get the ExACCT software?

The ExACCT software is being sent to our clients in a gradual rollout. Current AULternet clients and new business will be targeted first in fall of 2001.

Will I have to input all of my participant and plan data manually?

No. Once you have installed ExACCT, you will go to the Data Transmission section of the Tools menu and download a file from AUL. This file will contain AUL's plan and participant data for you to start with. This data includes all previous terminated participants. AUL recognizes this can be an inconvenience and is working to filter terminated participants.

How do I create a shortcut to ExACCT on my Windows desktop?

1. Right-click on a blank space on the desktop.
2. Click on "**New.**"
3. Click on "**Shortcut.**"
4. In the Command Line field, type: "**C:\Program Files\ExACCT\ExACCT.exe.**"
5. Click the "**Next**" button.
6. Select a name (such as ExACCT) for the shortcut and click the "**Finish**" button.

Will I be able to use this software on my network?

Yes, ExACCT is network capable. Each individual user will need to install ExACCT on each individual PC and change your database locations to the network location that the administrator has established.

Will multiple users be able to input information from different PCs?

Multiple users can use the application. The application tracks the location of the data.

Step 1: Administrator uses the Tools, Options menu item form to "Move the database" to a network share.

Step 2: Individual users then use the File, Get Data, and Locate Database menu option to connect to the network copy.

What if the ExACCT software does not work, or if I have a question?

The Data Transmission Unit (DTU) is available to answer your questions during normal business hours (8 a.m. to 5 p.m. Eastern standard time) at 1-800-261-9618 x7472. During the period January 7th through January 25th, Monday through Friday, the DTU will be available from 8:00 a.m. to 7:00 p.m. Eastern standard time.

PASSWORDS

Where do I get my passwords to log into ExACCT?

When you open the ExACCT software, a sign-on screen is displayed. Both the user ID and password are ADMIN. You will be prompted to change the password to something unique that should be easily remembered. The next time you open ExACCT, your user ID will be ADMIN and your password will be what you have just changed it to be. You are not required to change your password again unless you want to do so for your own security.

What if I have lost/forgotten my password or logon ID?

You should first contact your Plan Service Consultant/Representative or the Data Transmission Unit at 1-800-261-9618 x7472.

SECURITY

What security levels exist in ExACCT?

Three access levels are available in ExACCT - data entry, confidential, and administrator. The data entry and confidential levels are identical in this version. Once ExACCT has been installed, you will want to determine whom the system administrator(s) should be. The system administrator is responsible for maintaining the security and integrity of the information. It is best to have only one or two system administrators so the integrity of the data can be maintained more easily; however, security and access levels can be customized to best suit your needs.

TRANSMISSION

What is supposed to happen when I transmit via the Internet?

Once you click "Transmit," ExACCT should initiate a communications session with AUL's web server. Then you will see numerous messages in the "Transmission Status" window that detail the "conversation" between your PC and AUL. When the transmission is complete, you will see a message that says, "The connection to AUL has been closed." At this point, you should close the Transmission screen.

What is a 128-bit version of Internet Explorer and how do I know if I have it?

Encryption refers to the translation of data into a secret code to achieve data security. Browsers have different levels of encryption, from 40-bit to 128-bit, the highest level of data protection. AUL's web sites, like those of most financial institutions, require a 128-bit encryption browser. For ExACCT to transmit properly, Microsoft® Internet Explorer 5.5 Service Pack 2 or higher is required.

To check your Internet Explorer for 128-bit encryption, open Internet Explorer. At the top of the screen, click on "**Help**" then click on "**About Internet Explorer**." In Internet Explorer, the cipher strength must be 128-bit. If your browser does not have 128-bit encryption strength, you will need to upgrade your browser before you can use ExACCT. Microsoft® offers free downloads of 128-bit version of Internet Explorer on its web site

www.microsoft.com/windows/ie/download/128bit/intro.htm.

I tried to transmit via the Internet and had problems. I tried to create a diskette instead. Now it says I have "0 participants" on my transmission screen and I can't change any of my data. What do I do?

The software thinks you transmitted even though your file transfer was unsuccessful. Call the Data Transmission Unit at 1-800-261-9618 x7472. We can reset your transmission status and help you either put the file on a disk or re-attempt the Internet.

DATA ENTRY

Will multiple users be able to input information from different PCs?

Yes. ExACCT allows multiple users (up to about 50) to be used at any given time.

IMPORTING

Why can I not import deferrals or matching contribution amounts into my census?

Please contact the Data Transmission Unit at 1-800-261-9618 x7472.

PAPER REQUESTS

What if I just want to use paper?

AUL is taking steps to provide its clients with easier, faster, and more accurate ways of processing data; therefore, if the computer meets the minimum system requirements, we encourage our clients to take advantage of this new software. AUL will be sending the ExACCT software to all our plan sponsors. You can continue to send data manually in paper form; however, this method may eventually be subject to an increased administrative fee for manual processing.

DIVISIONAL CASES

Is it possible with multiple locations to enter enrollments and contributions from each separate location?

Yes; however, your plan must be setup with AUL as multi-divisional case.

REVISIONS

What if contributions have been sent and then I realize an error has been made?

You would need to discuss the error with your Plan Services Consultant/Representative. We encourage you to make adjustments on the next contribution listing. For instance, if John Smith's account was credited \$10 instead of \$5, the next contribution listing would decrease his allocation by \$5.

If adjustments are not possible or feasible, we may be able to reverse the deposit and generate a refund. However, you will be billed for any potential losses incurred by AUL as the result of the reversal.

What if census information has been sent and then I realize something needs to be changed?

Contact your Plan Services Consultant/Representative first. They will determine what the best course of action should be. If the census information has already been uploaded, you must submit corrections in a paper format. This may result in a re-work fee.

Census Information and QPIRs

I have finished updating the data, and I am ready to transmit. When I run the AULSense report, I have a fatal error that needs to be corrected. How do I transmit the data?

Contact the Data Transmission Unit at 1-800-261-9618 x7472. They can assist you with finding a solution to the fatal error that will enable you to transmit the data.

When I look at my census on the PC, I see several fields for contribution information – Employer, Rollover, Elective, Match. When I print the census, though, there are only two contribution columns – Deferral and Match. Is that right?

Yes, that is correct. ExACCT was designed to provide some additional detail in the contribution types. The printout, however, was designed to look identical to the paper census we have used in years past. The Deferral and Match columns on the paper correspond to the Elective and Match fields in the software.

The software does not seem to be saving the changes I am making to my census data. Every time I open the software, I have to start over. What is wrong?

Make sure you are **not** reloading your population diskette every time you load the software. You should load your population disk **ONLY ONCE**. The updates you make to your data are saved automatically to your hard drive, not to the floppy disk. If you reload the information on the diskette, you are changing the data you updated back to the form on the original diskette. If you have loaded your population disk only once and are still experiencing problems, contact the Data Transmission Unit at 1-800-261-9618 x7472.

My company has several separate contracts with AUL, and I loaded the information for each plan into the ExACCT software. When I open the QPIR form, I only see the QPIR for one contract. I am not able to change the contract number. How do I update the QPIRs for the other plans?

On the Tool Bar at the top of the screen, there is a button with an arrow pointing to the right. (If you rest the cursor on the button, you will see a pop-up box that says, "**Next Record.**") Click on this button to move to the next QPIR record. If you still have difficulties, please contact the Data Transmission Unit at 1-800-261-9618 x7472.

What information is required for a terminated employee? Should I just delete him or her from the census?

Terminated employees should not be deleted. If they were terminated in a prior plan year, simply change their employment status to terminated and provide a termination date. Compensation and contribution data is not required if the employee terminated in a prior plan year. If the employee was terminated in the plan year for which you are completing the census, change his or her employment status to terminated and provide a termination date. You will need to provide plan hours, compensation and contribution data if he or she terminated in the current plan year.

I am confused about 415 Compensation. Does it include K-1 income?

415 compensation includes earned income for self-employed individuals (e.g., sole proprietors or active partners in a partnership). Earned income includes only earnings from a trade or business in which the individual's personal services are a material income-producing factor. Not all K-1 income is included in earned income.

In order to determine earned income for 415 compensation purposes, an individual's K-1 income must be reduced by any passive income (e.g., dividends, interest, annuities, royalties, rent, and gains from the disposition of certain property) so that only income attributable to personal services is included. Further, K-1 income must be reduced by one-half of the individual's self-employment tax and the individual's qualified retirement plan deduction to determine earned income.

How do I report a plan status of Excluded Class, Ineligible-Service, or Irrevocable Decline for a terminated participant?

Indicate a standard "rehire" date of 1/1/2003. This will eliminate the error you receive that states you must supply a termination reason of terminated, retired, deceased, or disabled.

How do I know when my census has been successfully transmitted?

During the census transmission process, ExACCT will ask you to verify compensation and contribution totals for your census. Once you have verified totals by clicking "Yes," your census will be marked as received by AUL. ExACCT will also mark your census as being transmitted.

Why did I not receive a message to verify my compensation and contribution totals on the census transmission screen?

In the AUL Communications screen when transmitting your census, leave the division code **BLANK**. You have not successfully transmitted your census until you have verified your compensation and contribution totals. By leaving the division code blank, you will be able to transmit successfully.

EMPLOYEE MAINTENANCE

What information is required for a terminated employee?

Terminated employees should not be deleted. If they were terminated in a prior plan year, simply change their employment status to terminated and provide a termination date. Compensation and contribution data are not required if they terminated in a prior plan year.

How are rehires handled through ExACCT?

You will fill in the appropriate date in the rehire field in ExACCT and submit the information to AUL. Once AUL has this information, we will process the conformation within specific standards.

How are terminations of participants handled through ExACCT?

You will fill in the appropriate date in the termination field in ExACCT and submit the information to AUL.

How will social security number changes be handled through ExACCT?

Social security number changes must be made through the "Change Social Security Number" screen. (Select "Employee" from the "File." This screen allows you to correct social security numbers in one central location. All data related to that social security number will be changed. A designated system operator will be responsible for reviewing the participant's account and correcting the social security number on AUL's system.

How will Investment Option Elections (IOE) changes be handled?

IOE changes will need to be requested on paper, through Account Services, or through AUL TeleServe by the participant. Do to the fact ExACCT is used by the plan sponsor and IOEs are designated by the participant, these items are not available to be handled through ExACCT.

How will address changes be handled?

As addresses are updated in ExACCT and transmitted to AUL, a designated system operator will be responsible for reviewing the participant's account and correcting the address on AUL's system. Participants can also use account services or AUL TeleServe to update their addresses.

How do I add a current terminnee, deceased, disabled, or retired participant onto a contribution batch?

A participant with one of the above statuses will not show up on the ExACCT contribution listing. You will have to enter a participant manually with any of these status codes onto the contribution listing by selecting the new record within the contribution entry screen.

What if I already have participant data in another electronic file. Can the data be imported into ExACCT?

Yes! If you currently use an Excel or Lotus spreadsheet, an Access database, a Fixed Width Text or Comma Delimited File to track payroll or benefits, they can import data into ExACCT from that source. For more information, please reference the ExACCT CD at D:\Documents\Import or Data Transmission Unit at 1-800-261-9618 x7472.

ERROR MESSAGES

I am trying to install the ExACCT program, but it is running slowly. And I am getting errors. What should I do?

Your database may have become fragmented or corrupted. Contact the Data Transmission Unit at 1-800-261-9618 x7472.

When I try to install ExACCT, I get a message that a DLL file cannot be updated. What is a DLL file and how do I get past this error?

A DLL file is a Windows file that provides one or more particular functions. A DLL can be used by several applications at the same time. Some DLLs are provided with the Windows operating system and are available for any Windows application. Other DLLs are written for a particular application and are loaded with the application. Unfortunately, DLL files are constantly altered by Microsoft® and other software companies, so it is difficult to determine the exact version your PC requires.

If the version of Microsoft Windows® allows you to click the “**Ignore**” button at this message, click “**Ignore**”. If you are unable to ignore a DLL error during installation, contact the Data Transmission Unit at 1-800-261-9618 x7472.

When installing ExACCT, I am getting a notice that files need to be updated. I click OK and it prompts me to reboot. I attempt the installation again, and I get the same error. How should I proceed?

When you click “**OK**” to update the necessary files, the update goes into a temporary folder on your hard drive. Upon rebooting, most PCs are configured to delete the contents of the temporary folder, causing the same error to occur again. A fix has been found for this error. Please contact the Data Transmission Unit at 1-800-261-9618 x7472 for assistance.

I received a Communications User ID and Password with my ExACCT software packet. Where do I use this information in ExACCT?

The Communications User ID and Password are to be used when transmitting or receiving information from AUL. This information is used in the data transmission module that can be found on the Menu Bar under “**Tools**” and then “**Data Transmission**.”

I have completed my census and I am trying to print a Census Report, but continue to get a blank report. How should I proceed?

If you are getting a blank report, but have finished all your census information, please verify that you have entered in the correct plan year. If that does not solve the problem, please contact the Data Transmission Unit at 1-800-261-9618 x7472 for assistance. They will email you a correction to this error.

How do I print out my plan information listed on the Employee Maintenance screen?

The easiest method of printing employee information is to export the information out to a spreadsheet, such as Excel, or Lotus 1-2-3.

I am trying to transmit information to AUL, but am getting an error that I have an invalid plan number. How do I correct this?

Make sure that your plan number is in the correct format. You must enter your plan number, followed by THREE spaces and then FOUR zeros (e.g. GA12345__ _ 0000.) Please note that if your case is divisional, your division code may take the place of the four zeros.

I am trying to Build Census from Contribution without success. How should I proceed?

If you have not yet transmitted a contribution to AUL through ExACCT, the Build Census from Contributions function has not been enabled. You will need to create a historical contribution.

The “**Historical Information Only**” box is used by ExACCT to reflect manual contribution amounts. Historic batches can be transmitted but they will *not* be processed, and a bank entry will not be created.

- Click on “**File**,” then select “**Contributions**,” and finally “**Contributions**.”
- For a new contribution, leave the batch number field blank. ExACCT will automatically assign a batch number once all required fields are entered.
- Click on the down arrow in the “**Plan Number**” field and select the appropriate plan number.
- In the “**Division**” field, click on the down arrow and select the appropriate division.
- Under the Control Amount section, enter \$1.00 in the Contributions amount field. Leave all other amounts at 0.00.
- Next, a pay date will need to be entered. If you are working with 2000 census information, enter 12/31/2000. If you are working with 2001 census information, enter 12/31/2001.
- In the upper right corner of this screen, click on the “**Compensation**” box. Under “**Contribution Sources**,” click on the “**All Available Contribution Sources**” box.
- Click on the “**Historical Information Only**” box and then click the “**Continue**” button.
- The next screen that will appear is a Contribution Entry screen. This screen is built based upon the entries in the Contribution Setup screen.
- On the first participant record that appears, click your cursor in the first contribution source amount field and enter \$1.00 and press the tab key once. (Note: The participant that is selected here will reflect \$1.00 in their contribution source totals located on the Census Information record.)
- Click the “**Save**” button. Close the contribution entry screen by clicking on the “**Close**” button.
- From the Menu Bar, select “**File**.”
- Then select “**Build Census from Contribution**” from the “**Census**” menu.
- The Build Census screen will appear. Enter the appropriate plan year in a four-digit format. For example, if the anniversary date for a plan is 01/01 and you are working on a 2001 census, the plan year for the census to be updated is 2001.
- In the Plan Number field, click the down arrow and select the plan for which you are preparing the census.
- Click “**OK**” to build the census. When the census has been built, a message box will appear stating the number of records processed and inserted. Click “**OK**” to accept message and then click the “**Cancel**” to close Build Census screen.

Now you are ready to update the census information! For further instructions on updating census information, please see pages 19 and 20 of the ExACCT booklet. Please contact your Plan Service Consultant/Representative, or the Data Transmission Unit at 1-800-261-9618 x7472 for further assistance.