



United States Department of the Interior

OFFICE OF THE SECRETARY

Washington, DC 20240

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Department of the Interior Guidance (DIG) Release 2013-03

Subject: Automated Standard Application for Payments (ASAP) System

References: Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (43 CFR 12, Subpart C);
Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations (43 CFR 12, Subpart F and 2 CFR 215);
Cash Management Improvement Act, Prompt Payment (31 U.S.C. 3335, 6501, and 6503);
Chief Financial Officers' Act of 1990 (Public Law 101-576); and
Federal Financial Assistance Management Improvement Act of 1999 (Public Law 106-107)

1. **Purpose:** The purpose of this DIG is to provide bureau staff with enrollment, waiver and basic user information for the Department of the Treasury's Automated Standard Application Payments (ASAP) system. This supersedes DIG 2008-05, *Automated Standard Application for Payments System*, issued on May 2, 2008.
2. **Effective Date:** Effective immediately upon issuance.
3. **Background and Explanation:** Public Law 106-107 required the streamlining and simplification of the award payment process used to transfer cash from Federal agencies to recipients. As a result of Federal streamlining initiatives, the Chief Financial Officers' Council (CFOC) made the unanimous decision on June 16, 1998, to establish a consolidated payment systems policy to eliminate Federal payments systems that are redundant and increase costs and administrative burdens for recipients. The policy requires each Federal agency that makes payments to recipients to adopt one of two Federal grant payment systems: the Automated Standard Application for Payment (ASAP), operated by the Department of the Treasury; or the Payment Management System (PMS), operated by the Department of Health and Human Services (HHS).

The Department of the Interior (DOI) has selected the ASAP system as the DOI official payment system due to its cost-effective, highly secured and automated interfaces between account management authorizations and reporting functions. It is the payment system that integrates with the Financial and Business Management System (FBMS). ASAP is an electronic payment and information system utilized for the request and delivery of financial assistance award funds. The system was developed jointly by the U.S. Department of the Treasury and the Federal Reserve Bank of Richmond. ASAP is an Internet-based application (<https://www.asap.gov>) and can be utilized by recipients to draw cash from multiple agencies in one transaction.

4. **Responsibilities:**

Bureau Responsibilities

- A. **Pre-award:** Inform recipients of the need to enroll in ASAP to receive funds, or to request a waiver from using ASAP from DOI.
- B. **Award:** Communicate to the recipient in the Notice of Award letter:
 - 1. The method of payment determined for the recipient; and
 - 2. Any circumstances or special award conditions that affect the payment method (e.g., ASAP allows bureaus to require Agency Review for high-risk recipients).
- C. **Post-Award:**
 - 1. Coordinate with the Department of the Treasury's Financial Management Service to resolve any technical issues with associated with recipient enrollment to ensure recipients are able to complete the ASAP enrollment and receive financial assistance funds;
 - 2. Ensure that recipients comply with the terms and conditions of award by conducting appropriate oversight and monitoring activities; and
 - 3. Take appropriate enforcement actions if recipients are non-compliant.

Recipient Responsibilities

- A. Comply with Data Universal Numbering System (DUNS) and System for Award Management (SAM) registration requirements, as applicable;
- B. Enroll in ASAP or, work with the funding bureau to obtain Departmental approval to be waived from ASAP; and
- C. Request funds in accordance with payment methods required by 43 CFR 12 and Federal guidelines established by the Department of the Treasury and the Office of Management and Budget (OMB). Awarded funds are to be used only for immediate expenditures in accordance with the requirements under OMB Circulars A-102 and A-110 by maintaining minimal Federal cash on hand. Recipient requests for disbursements may be at any time provided they are within the program's established period for availability of funds. Recipients are also responsible for maintaining appropriate accounting records, and submitting required financial reports in a timely manner, as required in the award.

Procedures

- A. Bureau User Instructions

Step 1 - Establish Bureau Accounts in ASAP: The bureau must initiate the enrollment process for each recipient under its Agency Locator Code (ALC), even if the recipient is

already enrolled in ASAP under another bureau or Federal entity's ALC. When the recipient organization enrollment tasks are completed, ASAP notifies the bureau contact by email that the enrollment is complete. The bureau can then submit award authorizations to ASAP for the recipient, thus creating accounts. The Department of the Treasury imposes a 10 business day bank validation period after the recipient's enrollment completion date, during which the bureau cannot send funds to the newly established account. ASAP accounts can be established for recipient organizations via online or batch processes. For FBMS deployed bureaus, the automated interface (IF88) between FBMS and ASAP adds new accounts when the obligation is complete in FBMS. Bureau staff with the ASAP Funds Certifier role must certify the increase/ decrease in funds to make them available to the recipient. It is important that grant or cooperative agreement accounts do not have a minimum dollar threshold in ASAP.

Step 2 - Authorize and Validate Spending Transactions in ASAP: The bureaus must maintain accounts in ASAP to control the flow of funds to recipient organizations. Award authorizations are entered into ASAP accounts according to specific program needs and schedules. Authorizations can be entered to increase or decrease the available balance in ASAP accounts at the bureau's discretion.

Both online and batch-processed authorizations may be initiated to be effective on the current processing day, or on a date in the future up to a year in advance (in which case the authorization is warehoused until its effective date). Certified authorization transactions are immediately available to the recipients in ASAP. Bureaus may perform ASAP functions on-line from 8:00 a.m. until 9:00 p.m. Eastern Time each business day. Bureaus may initiate batch processes for ASAP account and authorization activity 24 hours a day. ASAP submits summary data and detailed transactions data to the bureau. For FBMS-deployed bureaus this data is transferred via an automated interface (IF89) between FBMS and ASAP. Bureaus can view relevant data such as real-time account balances, account history, and the status of payment requests affecting ASAP accounts, online.

B. Recipient Organization User Instructions.

Step 1 - Initiating Enrollment: In order for a recipient organization to enroll in ASAP with a specific bureau or office, an ASAP Participation Request form must be submitted via fax or mail to the appropriate bureau or office. The ASAP Participation Request form should be provided to the recipient organization by the grants management specialist prior to, or upon award of the grant or cooperative agreement. The language in the award terms should detail the Departmental guidance for enrolling in ASAP.

Each bureau or office may use its own version of the ASAP Participation Request form; however, the form must contain the following required information: valid 9 digit DUNS number; valid 9 digit Taxpayer Identification Number (TIN); organization name; point of contact name; point of contact email; point of contact phone number; mailing address; and organization type.

Step 2 - Payment Request Process:

a. Recipient organizations can request payments online and initiate payment requests via FEDWIRE to receive payment within minutes. FEDWIRE payments must be made between 8:00 a.m. and 5:45 p.m. Eastern Time each business day. Recipient organizations are able to initiate payment requests from the Automated Clearinghouse (ACH) payment system from 8:00 a.m. to 11:59 p.m. Eastern Time each business day. Payments requested using FEDWIRE are subject to fees as defined by the financial institution designated by the recipient organization. Recipient organizations should contact their financial institution prior to using FEDWIRE to determine related fees. Payment requests are approved or rejected automatically, unless placed on Agency Review or based on the amount of available funds in the ASAP account. The available balance for an ASAP account is displayed when initiating the payment request. Recipient organizations will receive immediate notification of approval or rejection for all online payment requests with the exception of those subject to Agency review. The ASAP system also provides recipient organizations with a book entry feature to make adjustments between accounts without having to initiate a payment request. Availability of the book entry adjustment feature is bureau-specific. Recipient organizations are also able to return funds to an ASAP account via FEDWIRE and ACH for payments requested within the prior 32 days. If the recipient is returning the payment to a funding account other than the funding account from which the payment was made, the recipient will have to communicate with their bank to identify the appropriate account to be credited. In some circumstances, recipients may need to return funds to the bureau by a paper check.

b. ASAP submits the funds and payment data to the payment requestor's financial institution. Approved requests for next-day or future-day payments are accomplished via the ACH system. Same-day payments are accomplished via the FEDWIRE system. Rejections or delayed payments may occur if the funds balance in ASAP account is insufficient to cover the amount of the payment request; or the ASAP account has been placed on Agency Review or Maximum Draw function by the funding bureau. The Agency Review or Maximum Draw functions only are used if deemed appropriate to address recipient noncompliance or if the recipient is designated as high-risk.

Waiver Request

Bureau staff may submit to the Department a waiver request for recipients that are eligible for waiver consideration. A recipient already registered in ASAP with another bureau must also register in ASAP with the specific bureau providing the funding, and cannot be waived from using ASAP. The recipient should submit this explanation to the Program as an e-mailed or hard copy document. If the explanation is handwritten, the Program must also provide a typed version in addition to the recipient's handwritten explanation, as the Department will not accept a handwritten explanation.

If the recipient is a non-domestic (international) entity, the entity shall be waived from ASAP. DOI requires that all non-domestic payments be made using the U.S. Treasury's International Treasury Services.

DOI may approve a waiver for individual, non-profit, small business, sole proprietor or Limited Liability Corporation recipients if the recipient meets one or more conditions on the attached Department of the Interior ASAP Waiver Request Form.

7. Additional Information: Please disseminate this guidance throughout your bureau. If you have customer service or operational questions, please contact the Financial Management Service through the ASAP Customer Support team at <http://www.fms.treas.gov/>. Questions about this guidance may be directed to Anita Hairston, Office of Acquisition and Property Management, at (202) 513-0871 or by e-mail at anita_hairston@ios.doi.gov.



Debra E. Sonderman, Director
Office of Acquisition and Property Management and
Senior Procurement Executive

Attachment

Department of the Interior ASAP Waiver Request Form

The Department of Interior requires that all payments be made to Financial Assistance Recipients after Financial Business Management System (FBMS) implementation via the Department of Treasury Financial Management Services Automated Standard Application for Payments (ASAP) system. Waivers to this requirement may be granted only under the conditions described below. Bureau staff must mark the applicable condition and complete the information requested at the bottom of the form. Recipient justifications must specifically describe how the recipient meets the condition. Bureau requests must be completed in the ADOBE format. Handwritten requests will not be accepted. Recipients must submit a letter/email describing their justification to their bureau for a waiver consideration. The letter of justification/email must be attached to the form.

Waiver Requests for Hardship

- Condition 1** An individual [includes employees and sole proprietors] with or without an account with a financial institution determines that payment through ASAP would impose a hardship due to either a physical or mental disability, language, or literacy barrier. The requirement to receive payment via ASAP is automatically waived for all individuals who are not eligible to open an electronic transfer account (ETA) under Public Law 104-208, until such date as the Secretary of the Treasury determines that the ETA is available.
- Physical or Mental Disability
- Language or Literacy Barrier
- Ineligible for ETA under Public Law 104-208

Computer Access

- Condition 2** The recipient does not have internet access.

Waiver Requests Involving Natural Disasters, Public Safety, or Foreign Payments

- Condition 3** Non-Domestic/Foreign Recipient (until such time that Treasury confirms and DOI agrees payments can be made via ASAP).
- Recipient foreign address prevents ASAP registration.
- Recipient does not have a United States bank account or headquarters office.
- Condition 4** Where the payment is to a recipient within an area designated by the President or an authorized agency administrator as a disaster area. This waiver is limited to payments made within 120 days after the disaster is declared.
- Condition 5** A response to contingency operations conducted by or in support of the Department of Defense.
- Condition 6** Where use of ASAP may pose a threat to national security, the life or physical safety of an individual may be endangered, or a law enforcement action may be compromised.
- Condition 7** Where an agency's need to deliver funding is of such unusual and compelling urgency that the public and/or the Government would be seriously injured unless payment is made by a method other than ASAP; or, where there is only one possible Recipient and the public and/or the Government would be seriously injured unless payment is made by a method other than ASAP.

Explanation of Waiver Request (Please explain how the condition marked was met. Attach recipient email/letter.

Recipient Name _____ DUNS _____

CFDA Number/Program _____

Recipient Address _____

DOI/Bureau Staff Signed (Requestor) _____ Title _____

Bureau /Address _____

Phone No./Email _____ Date _____

FBMS FA Staff Check:

_____ CCR Registration

_____ DUNS

_____ In FBMS

_____ Recipient ID #

DOI PAM Office:

PAM Staff Signed _____ Title _____

PAM Disposition:

_____ Approval

_____ Rejection

Disposition Comments:
