CHAPTER 1:

FOUNDATIONS

PURPOSE

This chapter:

--   Introduces the basic ideas behind the ASAP system;
--   Explains how to read the Guide; and
--   Provides a checklist of what you will need before you begin using ASAP.

WHAT IS ASAP?

The Automated Standard Application for Payments (ASAP) is a system through which organizations receiving Federal dollars can draw funds pre-authorized by Federal Agencies for payment through the U.S. Treasury.

ASAP is an all-electronic payment and information system developed jointly by the Financial Management Service (FMS) of the US Treasury and the Federal Reserve Bank of Richmond.

ASAP USER ORGANIZATIONS

In ASAP,

- ➢ **Federal Agencies** provide funds;

- ➢ **Payment Requestors** draw the Federal funds; and

- ➢ **Recipient Organizations** use the Federal funds.

- ➢ **Regional Financial Centers (RFCs)** of the Financial Management Service provide customer support to ASAP users.

A "Payment Requestor" in ASAP is an **organization authorized to draw Federal funds** for deposit into bank accounts it specifies.

In some instances a Recipient Organization has the authority to draw its own Federal funds, in which case that organization is **both** a Payment Requestor and a Recipient Organization in ASAP.

In other instances only a **separate** Payment Requestor, such as a State Treasurer or Controller, has the authority to draw down Federal funds for use by one or more Recipient Organizations.

ASAP distinguishes between the roles of "Recipient Organization" and "Payment Requestor" because each role allows a different set of system capabilities.

HOW ASAP WORKS

➢ Federal Agencies, Payment Requestors, and Recipient Organizations **enroll** on a one time basis to use ASAP.

➢ Federal Agencies establish and maintain **accounts** in ASAP to control the flow of funds to Recipient Organizations.

➢ Payment Requestors initiate **payment requests** via ASAP to meet the cash needs of Recipient Organizations.

➢ Approved requests may be paid the **same day** via the Federal Reserve's **FEDWIRE** system.

➢ Approved requests may be paid **on a business day from one to 32 calendar days** from the request date via the **Automated Clearing House (ACH)** system.

ACCOUNTS

All funds in the ASAP system reside in **Accounts**. These accounts are defined and created by each Federal Agency for its own programs in ASAP. Below are some important points to remember about ASAP Accounts:

➢ The structure of each ASAP Account **always** includes the Federal Agency providing the funds, the Recipient Organization using the funds, and an **Account ID** chosen by the Federal Agency to track the funds. Each ASAP Account is unique.

➢ The ASAP Account is the **lowest level** at which the ASAP system maintains transaction activity. It can represent a program, a group of programs, or some unit within a program.

➢ For each ASAP Account, there is only **one** Payment Requestor that can draw funds from that account.

➢ Federal Agencies fund their ASAP accounts by entering spending **authorizations**.

➢ The amount of money in each ASAP Account available for drawdown by a Payment Requestor is called the **available balance**.

➢ ASAP Accounts are **not bank accounts**, and available balances are not funds in the Requestor's bank account. When a Federal Agency enters an authorization to an ASAP Account, no money leaves the US Treasury until 1) a payment request is made and approved against that ASAP Account, and 2) the payment settles at the Payment Requestor's financial institution.

IDENTIFIERS

To summarize what we have seen so far, ASAP transactions revolve around **Federal Agencies**, **Payment Requestors**, **Recipient Organizations**, and **ASAP Accounts**. In order to use ASAP, you must become familiar with the identifiers for each.

> Each Federal Agency is identified by a unique 8-digit **Agency Location Code**.

> In cases where there are multiple regional offices of the same Federal Agency in ASAP, a 2-character **Region** code is used in addition to the Agency Location Code to distinguish each regional office.

> Each Payment Requestor is identified by a unique 7-digit **Requestor ID**.

> Each Recipient Organization is identified by a unique 7-digit **Recipient ID**.

> The **Account ID** is part of each ASAP Account. It is from one to 20 characters long, consisting of letters and/or numbers. It is assigned by the Federal Agency according to its own internal account structure.

Putting the pieces together, you can specify an **ASAP account** from which to draw funds by indicating a valid combination of:

Agency Location Code/Region + Recipient ID + Account ID.

NOTE: A "valid combination" is one created by the Federal Agency when establishing the ASAP Account in the system. The Federal Agency also specifies the Requestor ID of the Payment Requestor allowed to draw funds from that account.

The following table summarizes the identifiers used in ASAP:

BUSINESS-LEVEL ENTITY	ASAP SYSTEM IDENTIFIER
Federal Agency	Agency Location Code/Region
Payment Requestor	Requestor ID
Recipient Organization	Recipient ID
ASAP Account	Valid combination of Agency Location Code/Region *plus* Recipient ID *plus* Account ID

HOW TO READ THIS GUIDE

Each of the following chapters in this Guide begins with an overview of the major concepts of that chapter, followed by one or more sections. Each section has one or more **Examples** in which a sequence of ASAP screens shows you how to perform a particular function step by step. Please see the following page for a sample Example.

In all Examples, shaded characters indicate data the user types on a screen. **Bold** characters indicate information that the system produces in response to a user action.

All Examples follow an ACTION - RESULT structure. The Action performed by the user appears in the top screen on each page, and the ensuing system Result appears directly below it. The next page of an Example then shows the subsequent user Action and system Result, continuing in this fashion until the Example is complete.

NOTE   All Agency Location Codes, Requestor IDs, Recipient IDs and Account IDs in this Guide are strictly for illustration. When you are practicing in the test region, you will use the test data provided to you. After you cut over to production, you will use "live" production data.

TIPS TO REMEMBER

➢ The current calendar date always appears in the upper right corner of each ASAP screen.

➢ The **Current Cycle Date** is the date in the upper left corner of each ASAP screen. It indicates the current date in the ASAP application. In production, it will ALWAYS equal the current calendar date. In the test region, this date may not equal the calendar date. This is not a problem. However, you need to be aware of what the current cycle date is in the test region.

➢ When an ASAP screen first appears, you may press the Enter key and have the system indicate with red question marks which fields are required to be entered on that screen.

➢ Use the TAB key to move the cursor to the beginning of each field in which you wish to type information. Do not use the arrow keys: they can move the cursor into areas in which you may not type. Also, do not use the Enter key to move from field to field.

➢ To print an ASAP screen when using CQ software, use Print Screen or select File and highlight Print Screen to Printer on the dropdown menu.

➢ Refer to the Troubleshooting Guidelines in the Appendices first to resolve simple error messages.

FUNCTION KEYS

Function keys within ASAP allow you to navigate between screens. Some function keys are standard throughout the system - these are listed below. Other function keys only appear on certain screens and will be discussed as appropriate. Note that only available function keys are displayed to you on the screens. On some screens, function keys will not be available to you until after you have entered a value in the Action field and pressed Enter.

<u>Standard Function Keys</u>

F2=EXIT   Allows you to exit ASAP and log off.
F3=PRMT   Takes you to the previous prompt screen.
F4=MENU   Takes you to the previous menu.
F5=MAIN   Take you to the Main menu.
F7=PGUP   Moves you to the previous screen of data.
F8=PGDN   Moves you to the next screen of data.

ACTION

Fill in the prompt screen as shown below and press Enter. Note - The Account ID field is left blank.

```
SP115A             AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
SP115AO                  ACCOUNT BALANCE INQUIRY PROMPT                HH:MM:SS
08/02/2000 T

REQUESTOR ID:                                            SHORT NAME:

     ENTER:

AGENCY LOCATION CODE/REGION: 11000001 /__              SHORT NAME: US MONEY1

RECIPIENT ID: 0101111                                  SHORT NAME:

ACCOUNT ID:

ACCOUNT STATUS:     (O=OPEN, C=CLOSED, S=SUSPENDED
                     OR LEAVE BALNK FOR ALL)

AS OF:   __ / __ / ____  (MM/DD/CCYY)

            F4=MENU F5=MAIN
```

RESULT

The following screen appears with all account balances for criteria specified on the prompt screen.

```
SP120A             AUTOMATED STANDARD APPLICATION FOR PAYMENTS        08/02/00
SP120AO                  ACCOUNT BALANCE INQUIRY DETAIL               HH:MM:SS
08/02/2000 T

AGENCY LOCATION CODE/REGION: 11000001 /               SHORT NAME: US MONEY1
RECIPIENT ID: 0101111                                 SHORT NAME: GRAY U
STATUS:
AS OF:

                    CUMULATIVE          CUMULATIVE           CURRENT
 ACCOUNT ID        AUTHORIZATIONS      DRAWS/RP/BE      AVAILABLE BALANCE

 F1R10001           $500,000.00         $53,000.00          $447,000.00
 F1R10002           $500,000.00         $73,000.00          $427,000.00
 F1R10003           $500,000.00         $48,000.00          $452,000.00
 F1R10004           $500,000.00        $230,000.00          $270,000.00
 F1R10005           $500,000.00         $50,000.00          $450,000.00
 F1R10006           $500,000.00                             $500,000.00
 F1R10007           $500,000.00          $2,000.00          $498,000.00
 F1R10008           $500,000.00                             $500,000.00
 F1R10009           $500,000.00          $3,000.00          $497,000.00
 F1R10010           $500,000.00                             $500,000.00

 TOTALS:          $5,000,000.00        $459,000.00        $4,541,000.00

    F3=PRMT F4=MENU F5=MAIN                    F9=ALC F10=RO
```

GETTING STARTED

Follow the examples in the text to learn the specifics of using the ASAP system. The five main functions that you as a Federal Agency can perform are:

> ➢ Building account profiles,

> ➢ Entering authorizations,

> ➢ Certifying authorizations,

> ➢ Setting Agency Review and Maximum Draw Amounts, and

> ➢ Inquiry

It is important to note that the functions of entering authorizations and certifying authorizations can not be performed by the same individual.

In addition to the above functions, Federal Agency users can draw funds and make adjustments on behalf of the payment requestor.

Before you begin, please go through the following **checklist** and verify that you have everything listed. If you are missing any item, or have any questions, please contact the ASAP Help Desk at your servicing RFC. The numbers are listed at the end of this chapter.

> -- Personal computer, modem, printer, and operating system.

> -- CQ/3270 communication software for DOS or WINDOWS loaded on the PC you will be using to access ASAP.

> -- User ID and password for yourself.

> -- ASAP ID and Organization Access Code (OAC) for your organization for access to the test region of the ASAP system.

> -- at least one Requestor ID and Recipient ID to use in the test region of ASAP.

GOOD LUCK!

WHERE TO CALL FOR HELP

If you have any problems or questions about installing or using your CQ software, or about using the ASAP system, please contact the ASAP Help Desk at your servicing RFC.

If the capital of the state in which you are located is in the **Eastern time zone,** you may contact the ASAP Help Desk at the Philadelphia Financial Center between the hours of 7:30 am and 5:00 p.m. Eastern Time at **(215) 516-8021.**

If the capital of the state in which you are located is in the **Central time zone**, you may contact the ASAP Help Desk at the Kansas City Financial Center between the hours of 7:30 am and 5:00 p.m. Central Time at **(816) 414-2100**.

If the capital of the state in which you are located is in the **Mountain or Pacific time zones or time zones further west**, you may contact the ASAP Help Desk at the San Francisco Financial Center between the hours of 7:30 am and 5:00 p.m. Pacific Time at **(415) 817-7182**.