



Making Adjustment and Returning Funds to ASAP

April 2012

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Making Adjustments and Returning Funds to ASAP

I. Overview:

This guide provides instructions on how to 1) make Book Entry Adjustments between ASAP accounts and 2) initiate ACH Debit Returns in ASAP.gov. It also provides instructions for Financial Institutions on returning funds to ASAP by ACH or Fedwire.

II. Book Entry Adjustments:

The **Book Entry Adjustments** feature allows Recipient Organization Payment Requestors and Federal Agencies to adjust balances between ASAP Accounts that share the same Agency Location Code/Region. This feature will not initiate a Payment Request. To use this feature, the Federal Agency must allow Book Entry Adjustments on the accounts involved in the adjustment (i.e., the agency must set the Book Entry Adjustment flag to “Yes” on the ASAP Account profile). This will allow Payment Requestors to use the Book Entry Adjustment feature. To verify if an ASAP account is eligible for Book Entry Adjustments, go to the Inquiry Menu and Select the “Account Profile Inquiry” to view the Book Entry Adjustment flag setting.

A Book Entry Adjustment is made to adjust account balances or correct a payment request drawn from the wrong account. It works like a journal entry in a general ledger, using increases and decreases to individual accounts to reflect adjustments. The Book Entry Adjustment feature **will not allow** users to increase the available balance of an ASAP Account to an amount greater than the Cumulative Authorized Amount for the account.

III. ACH Debit Returns:

The **Return ACH Payment** feature allows the Payment Requestor to initiate an ACH Debit to their bank account to return an ACH payment made within the **last 32 days** in ASAP.gov. The ACH Debit can be for the full or partial amount of the payment. By initiating an ACH Debit, the Payment Requestor will be requesting the U.S. Treasury Department to initiate an ACH debit against the bank account to which the original payment was sent. **Before using this feature, the user must verify that the Recipient Organization allows ACH Debits against the bank account which received the original payment.**

The Return ACH Payment feature only allows one ACH Debit to be initiated per ACH payment. **This feature will not allow a second ACH Debit to be initiated against the same payment.**

The ACH Debit must be initiated before 8:00 p.m. ET in order for the debit to settle against the bank account the following business day. If the ACH Debit is initiated after 8:00 p.m. ET, the settlement date of the debit will be two business days from the date initiated.

On settlement day, the ASAP account to which you are returning funds will be credited with the returned amount; however, the funds will not be available to make a payment request until the second business day following the ACH Debit settlement date. ASAP will hold the funds for two

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business days to allow the financial institution to return the ASAP Debit to the Treasury Department in the event that the Recipient Organization does not allow debits to their bank account.

To cancel an ACH Debit, the action must be taken before 9:00 p.m. ET on the day the ACH Debit was initiated.

NOTE: Once an ACH Debit has been initiated from an ASAP Account, do not have the financial institution initiate the return of the same payment. If the financial institution returns a payment for which an ACH Debit has already been initiated, this will result in the payment being returned twice.

The following screens display the steps to initiate an ACH Debit in ASAP.gov.

From the Payment Request drop down menu, select “Return ACH Payment.”

Step 1: Enter the required information to retrieve the original payment.

The screenshot shows the ASAP.gov web interface. At the top right, it says 'BUILD: 2012.03.01(13.0.BA25) (CLONE: (ASAPGov_Cluster_Clone3) | Current Cycle Date: 04/11/2012)'. The user 'Jaketha robinson' is logged in. The navigation menu includes Home, Enrollments, Payment Requests, Agency Functions, Reports, Inquiries, Help, and Log Off. The page title is 'Return ACH Payment'. The main content area is titled 'Step 1 of 4 Retrieve Payment Information'. Below this, there is a warning: 'In returning this payment, you will be originating a debit against the bank account to which the original payment was sent. Prior to initiating an ACH Return, you must ensure that your organization allows debits to this bank account and that the appropriate funds are available.' The form asks to 'Enter the following:' and includes fields for 'Payment Settlement Date' (From: 04/04/2012 Through: 04/04/2012) and 'Payment Amount' (From: 1 To: 100). Below that, it asks to 'Enter one or more of the following (optional):' and includes fields for Recipient ID (0573201), Agency Location Code/Region, Account ID, and Requestor Reference Number. There are 'Find' buttons next to the Recipient ID and Agency Location Code/Region fields. At the bottom, there is a note '*Asterisk denotes required field.' and 'Continue' and 'Help for this Step' buttons.

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Step 1 Cont.: The system will display the payments based on the information entered. Select the payment for which an ACH Debit should be initiated.

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Home Enrollments Payment Requests Agency Functions Reports Inquiries Help Log Off

Return ACH Payment

Step 1 of 4 (continued)
Select Payment

Select one of the following:

Payment Amount	Settlement Date	Requestor Reference Number	Payment Type	View Banking Data
<input type="radio"/> \$99.00	04/04/2012	ACH TEST_JLC	Individual	
<input type="radio"/> \$60.00	04/04/2012	ACH TEST_JLC	Individual	

Continue Cancel Help for this Step

Step 2: Enter the amount to be returned and the reason for the return. The return may be for the full amount or a partial amount.

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Return ACH Payment

Step 2 of 4
Enter Return Payment Amount

Enter the following:

Recipient Organization : AR SOIL AND WATER CONSERVATION (0573201)
Agency Location Code/Region : ENVIRONMENTAL PROTECTION AGENC (8128933)

Account ID	Account Status	Payment Amount	* Return Amount	* Return Reason	* Return Reference Number	View Banking Data
ES8660102	Open	\$60.00		Duplicate Payment Requested	Return041112	
DB	Open	\$10.00	10.00			
DD	Open	\$20.00	20.00			
DG	Open	\$30.00	30.00			

*Asterisk denotes required field

Continue Cancel Help for this Step

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Step 3: Review the amount to be returned and edit, if necessary.

Return ACH Payment

Step 3 of 4
Review Return Payment Amount

Enter the following:

Recipient Organization: AR SOIL AND WATER CONSERVATION (0573291)
Agency Location Code/Region: ENVIRONMENTAL PROTECTION AGENC (8128933)

Account ID	Account Status	Payment Amount	* Return Amount	* Return Reason	* Return Reference Number	View Banking Data
ES28500103	Open	\$60.00		Duplicate Payment Requested	Return041112	
DB	Open	\$10.00	<input type="text" value="10.00"/>			
DD	Open	\$20.00	<input type="text" value="20.00"/>			
DG	Open	\$30.00	<input type="text" value="30.00"/>			

*Asterisk denotes required field

Step 3 Cont.: Authorize the Department of Treasury to originate an ACH Debit to your organization's bank account.

Return ACH Payment

Step 3 of 4 continued
ACH Debit Agreement

ACH Debit Transaction Information	
Bank ABA Number	:011000028
Bank Account Number	:100000000000000000
Debit Amount	:\$60.00
Requested Settlement Date	:04/12/2012

By entering your name and title below and clicking "I Agree", you are authorizing the U.S. Department of the Treasury, Financial Management Service (Treasury) to originate an Automated Clearing House (ACH) debit to your organization's Financial Institution account identified above in the specified amount for credit to Treasury's account. Such authorization is limited to this debit transaction for the amount specified. By clicking "I Agree" you acknowledge this transaction is governed by Treasury regulations governing participation in the ACH Network, and that you are authorized to bind your organization, or the entity whom you are representing, to the terms of this authorization and do so.

* First Name: * Last Name:
* Job Title:

*Asterisk denotes required field

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Step 4: The ASAP Confirmation Page. The Settlement Date is the date on which the Recipient's bank account will be debited.

Confirmation Number : 2012-04-11 03600375 1

ACH Debit Transaction Information	
Bank ABA Number :	011000028
Bank Account Number :	100000000000000000
Debit Amount :	\$60.00
Return Reason :	Duplicate Payment Requested
Return Reference Number :	Returns041112
Return Request Date :	04/11/2012
Requested Settlement Date :	04/12/2012
Availability Date :	04/16/2012

Recipient Organization : AR SOIL AND WATER CONSERVATION (0512201)

Agency Location Code/Region : ENVIRONMENTAL PROTECTION AGENCY (08128933)

Account ID	Return Amount
FS8600103	
DB	\$10.00
DD	\$20.00
DG	\$30.00

[Printed Form](#) [View for Print](#)

To help make forms, reports, inquiries and other documents easier to read, the ASAP.gov application offers them in PDF format. To view or print these documents, please download the free Adobe Acrobat reader by clicking on the following link.
<http://access.adobe.com>

NOTE: If the ACH Debit is initiated before 8:00 p.m. ET, the settlement date will be the next business day. If the ACH Debit is initiated after 8:00 p.m. ET, the settlement date will be two business days from the date initiated.

IV. Financial Institutions Returning Funds to ASAP:

Recipient Organizations may request their financial institution to return payments to ASAP. The instruction for returning funds to ASAP via Fedwire, including the required format, is on page 9, in this document. The Recipient Organization should complete page 10 and provide a copy to their financial institution, for reference, when a payment must be returned to ASAP.

ACH Payments: The ASAP application will allow the full amount of the payment to be returned by ACH **within 2 banking days** from the settlement date of the original payment using the Financial Institution's regular ACH return process. The Recipient Organization should provide the ACH Trace Number of the ACH payment to be returned. ACH payments that are not returned timely under ACH rules can be returned to ASAP via Fedwire (see below).

Fedwire Payments: For Fedwire payment returns, the FI can return the full amount or a partial amount. **NOTE:** Any funds returned to an ASAP account cannot exceed the Cumulative Authorized Amount for that account.

The Recipient Organization MUST provide their Financial Institution with the ACH Trace Number or the Fedwire IMAD number, Agency Location Code/Region (ALC), Recipient ID, and ASAP Account ID for the payment being returned.

To obtain the ACH Trace Number or Fedwire IMAD number of the original payment, use the "Payment Request Status Inquiry" in ASAP.gov.

The FMS Regional Financial Centers (RFCs) are responsible for monitoring returned items and ensuring funds are properly credited back (i.e., classified) to the correct ASAP account. Returned funds which cannot be identified and classified to an ASAP account will be dishonored and returned to the Originating Depository Financial Institution (ODFI). For this reason, it is imperative that the page 10 be completed and provided to the Financial Institution.

Once the payment is classified, the balance of the ASAP account is increased. Federal Agencies will receive a notification when a returned payment is classified to one of their accounts. Returned payments are displayed on the ASAP.gov "Account Statement Inquiry" and the "Account Settlement Report."

Returned payments cannot be credited to Closed ASAP Accounts. If the account is closed, the RFC will contact the Federal Agency and request that the account be temporarily reopened so that the return can be processed.

V. Contact and Support Information:

FMS Philadelphia Regional Financial Center Help Desk - (215) 516-8021
FMS Kansas City Regional Financial Center Help Desk - (816) 414-2100

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VI. Fedwire Format for the Financial Institution to Return a Payment to ASAP:

Provide the Financial Institution with a copy of pages 9 and 10 with the information from the payment filled in the “ASAP Wire Format” section below and then give the completed information to the wire room of the bank. The bank will process the return and the money will be sent to the ASAP application and the Regional Financial Center will manually classify the money back to the appropriate ASAP account.

ASAP Wire Format Sample:

	Field Tag/ Element	Data Element Name	Field Length	Data Element Description
*	{3400} /01	Receiver ABA Number	9	051036803
	{3400} /02	Receiver Short Name	13	ASAP FRB RICH
	{3600}	Business Function	3	CTR
	{4200} /01	Beneficiary ID Code	1	N
*	{4200} /02	Agency Location Code (ALC)	8	13060001
*	{4200} /02	Region Code	2	02
*	{4200} /03	Recipient Organization ID	7	7809540
*	{4300} /03		1	<i>Space</i>
*	{4200} /03	Account ID	20	NT10BIX5570096
	{4200} /04	Beneficiary Name	10	NTIA-OAM
	{5000} /01	Originator ID Code	1	D
*	{5000} /02	Account Number	17	Recipient Organization’s bank account number at DFI to which funds will be deposited 193138801
	{5000} /03	Originator’s Name	35	Recipient Organization’s Name
	{5000} /04	Originator’s Address - Line 1	35	Recipient Organization’s Address - Line 1
	{5000} /05	Originator’s Address - Line 2	35	Recipient Organization’s Address - Line 2
	{5000} /06	Originator’s Address - Line 3	35	Recipient Organization’s Address - Line 3

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FUNDS TYPECODE 1000 and 1002 FORMAT FOR RETURNING FUNDS TO ASAP

Insert Payment data for the Return and give this page to Financial Institution:

	Field Tag / Element	Data Element Name	Field Length	Data Element Value
*	{3400} /01	Receiver ABA Number	9	051036803
	{3400} /02	Receiver Short Name	13	ASAP FRB RICH
	{3600}	Business Function	3	CTR
	{4200} /01	Beneficiary ID Code	1	N
*	{4200} /02	Agency Location Code (ALC)	8	ALC of the Federal agency granting funds to the Recipient Organization
*	{4200} /02	Region Code	2	A two character "suffix" to the ALC used to further identify the Federal Agency in ASAP
*	{4200} /03	Recipient Organization ID	7	Recipient Organization ID as established in the ASAP system which uniquely identifies the recipient of Federal funds
*	{4200} /03		1	Space
*	{4200} /03	Account ID	20	Account ID in ASAP as established by the Federal agency
	{4200} /04	Beneficiary Name	10	Federal Agency Short Name
	{5000} /01	Originator ID Code	1	D
*	{5000} /02	Account Number	17	Recipient Organization's bank account number at DFI from which funds are being returned
	{5000} /03	Originator's Name	35	Name of the Recipient Organization on whose behalf the funds are being returned
	{5000} /04	Originator's Address - Line 1	35	Recipient Organization's Address - Line 1
	{5000} /05	Originator's Address - Line 2	35	Recipient Organization's Address - Line 2
	{5000} /06	Originator's Address - Line 3	35	Recipient Organization's Address - Line 3