

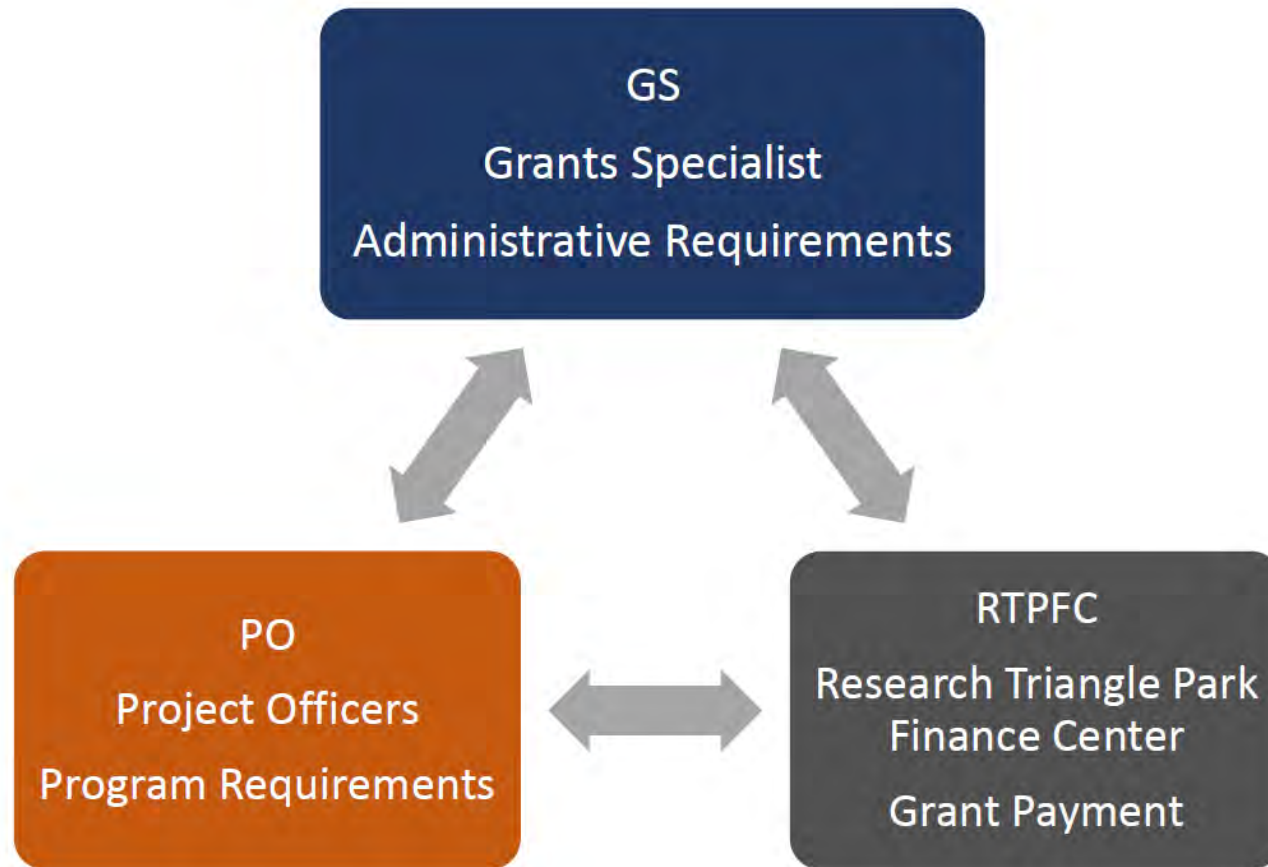
Financial Management Overview 2023 RTOC

R9 GRANT BRANCH

PETER PUGLISI – RESEARCH TRIANGLE PARK FINANCE DIVISION (RTPFD) GRANTS BRANCH CHIEF

AIQUOC JOHNSON (AJ) NGUYEN – RTPFD FINANCIAL SPECIALIST FOR R9

Triad of Grants Management



Agenda



- Triad of Grants Management
- Research Triangle Park Finance Division (RTPFD)
- ASAP/Enrollment
 - Multi-Factor Authentication
- Completing a draw in ASAP
- Returning funds via ASAP/PAY.GOV
- Financial Reporting (SF-425)
- Questions and Answers (Q&A)

Research Triangle Park Finance Division



Research Triangle Park Finance Division

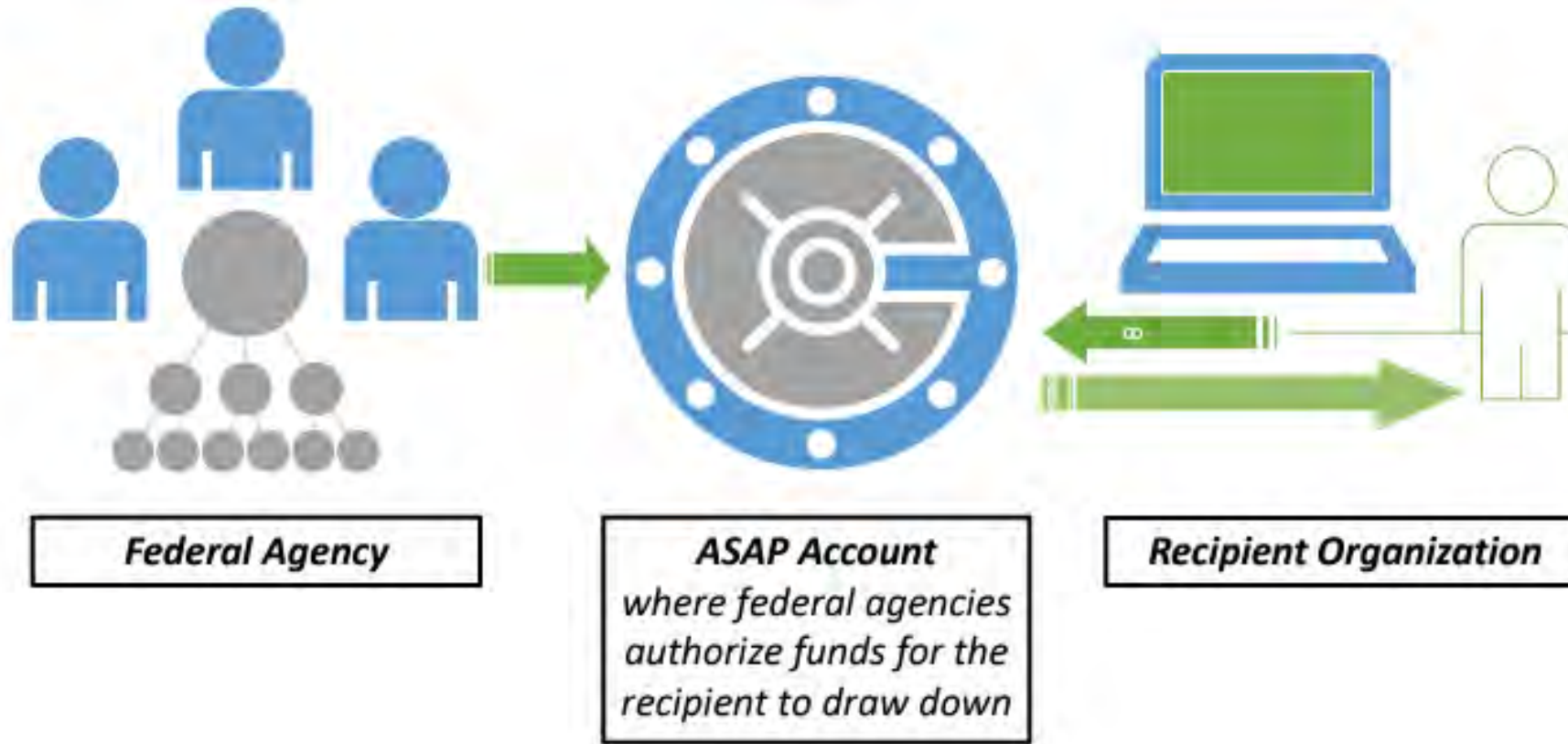


EPA Finance Centers provide a full range of accounting and financial services. The Office of the Controller operates Finance Division (FDs) located in Research Triangle Park, NC, and Cincinnati, OH. Each Finance Division has national financial responsibilities for certain functions and local financial responsibilities for an assigned geographic area. Local responsibilities include such functions as accounts receivables and collections.

ASAP (mandatory)



- U.S. Treasury System
- Used by 65 Federal Agencies
 - *FY22:*
 - *Over 21,000 Recipients*
 - *602,000 payments*
 - *\$653 Billion*
- Includes Reporting Features (inquiries)
- Paperless System





ASAP Responsibilities

(EPA) Federal Agency

- Initiate enrollment
- Create grants
- Increase/Decrease funds
- Change Administrative information/end dates
- Close grants

ASAP (helpdesk)

- Complete enrollment
- Issue user ID/Passwords
- Reset passwords
- Add/Delete users
- Update recipient name via change request form
- Walk users through draws, book entry adjustments, training (webinar)

ASAP Enrollment



- After the grant is awarded, EPA will **initiate enrollment** in ASAP
- EPA will notify the recipient's **Point of Contact (POC)**, via email, from the SF-424 grant application that enrollment has been initiated
- The enrollment notification email will contain:
 - *Instructions for how to complete enrollment*
 - *ASAP contact information for the recipient*
 - *ID.ME instructions (Enrolled by 09/15/2023)*

ASAP Enrollment (Multi-Factor Authentication)



❖ Deadline September 15, 2023

❖ ID.ME

❖ ASAP.GOV

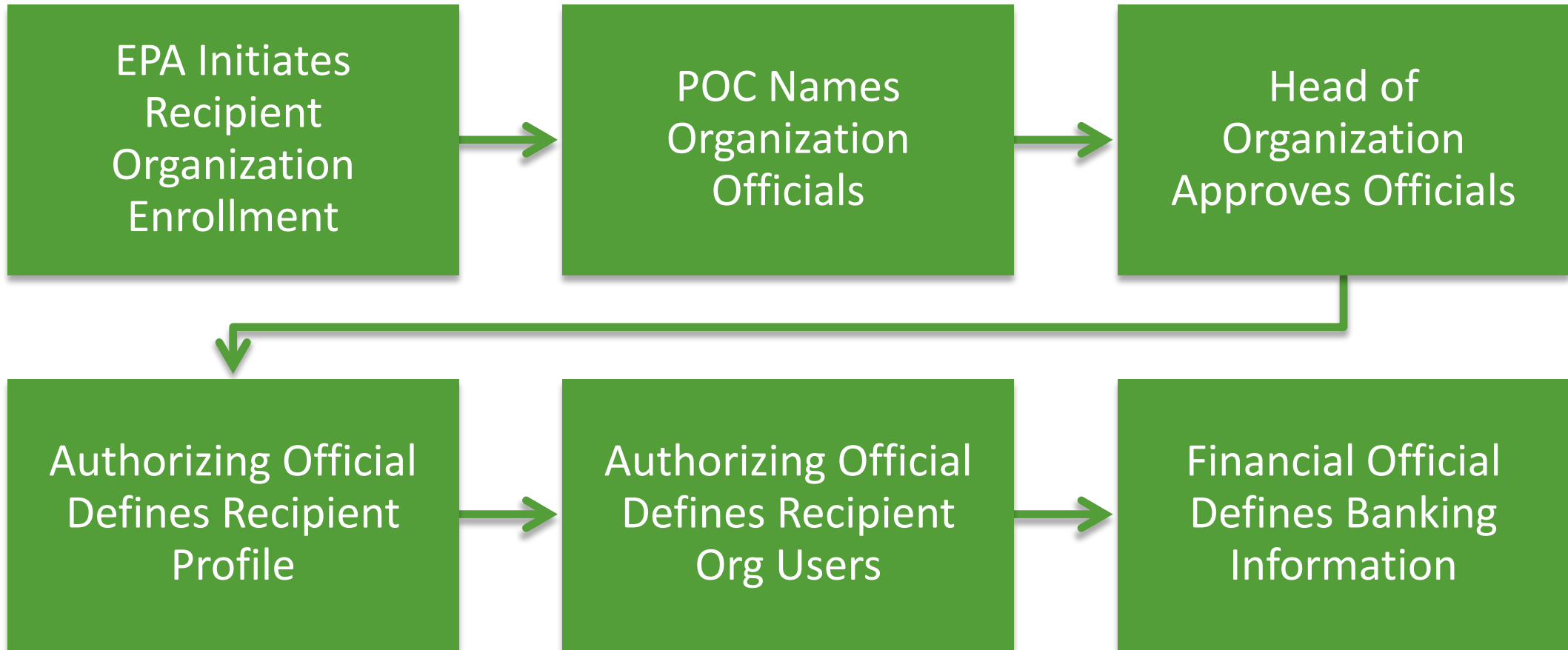
Broadcast Messages

- **ATTENTION ASAP USERS****
The ASAP login process will be changing for ALL users the weekend of September 16, 2023.
Federal Agency users will be required to access ASAP via their PIV or CAC.
Recipient Organization users will be required to login via ID.me. Please Note: **Your ID.me primary email address must be the same as your email address associated with your ASAP account.** To verify and confirm your access in advance, please click **VERIFY YOUR ACCESS NOW.**

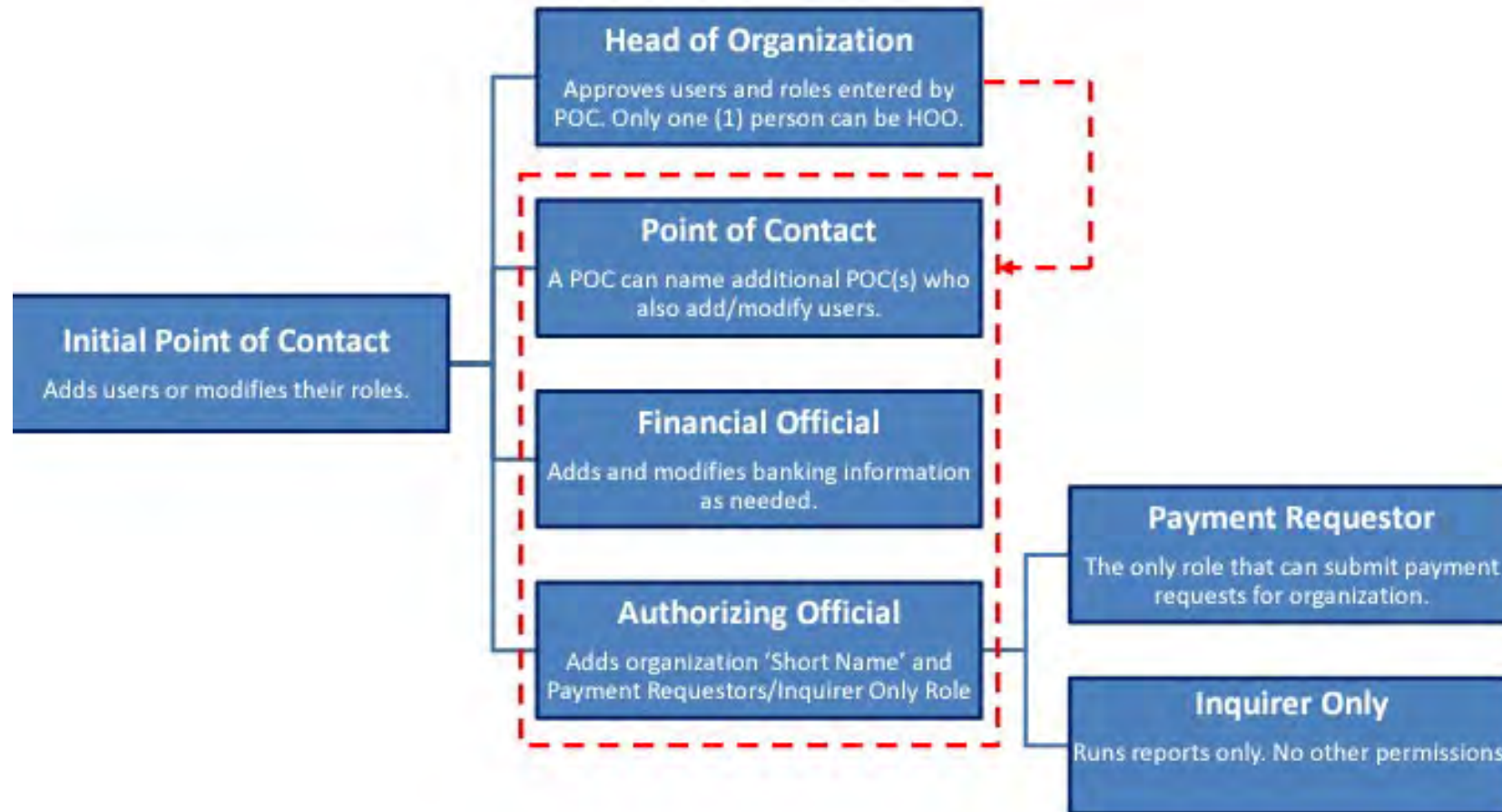
VERIFY YOUR ACCESS NOW

❖ Webinar: <https://www.fiscal.treasury.gov/asap/>

ASAP Enrollment



ASAP Recipient Roles/Responsibilities



ASAP Enrollment



- ASAP communicates with recipients via email
 - *Check SPAM folder after email from EPA*
 - *If you have not received an email from ASAP within 48 hours EPA email, contact ASAP help desk asaphelpdesk@fiscal.treasury.gov or (855)868-0151 select option 2, then option 3.*
- Six steps to complete the enrollment
- Each step must be completed prior to starting next step
- Recipients have 45 days to complete each step or must be re-enrolled

ASAP Enrollment



- ASAP will notify the EPA enrollment is complete
- EPA will create a grant account in ASAP and add the funds
 - *~10 days to verify banking data*
 - *Cannot draw funds until verification is complete*
- If you have account with another agency still need to be enrolled
 - *One step process, linking banking data to EPA's ALC*
 - *No verification of banking data if using existing bank*

ASAP Enrollment



“I haven’t received my password/login information from ASAP...”

“I’m having problems logging into ASAP...”

Solution: Reach out to ASAP via email or phone. ONLY ASAP can issue passwords/login info.

“It has been over 45 days and I think my enrollment was cancelled...”

Solution: Send an email to RTPFC-Grants@epa.gov so we can reinitiate your enrollment.



Drawing Funds

EPA Policy RAIN- 2018-G06-R



- Recipients must enroll in ASAP
- Grant drawdowns are for immediate cash needs
- Must disburse funds within 5 business days of receipt
- May retain up to 5% of the draw/maximum of \$1,000
- All funds in excess of 5%/\$1,000 rule must be returned to EPA
- Recipients may request an exception

Drawing Funds

- Recipients log into ASAP to initiate draw
 - *Do not submit invoices*
 - *Invoices are kept on file for audit*
 - *No limit to # draws*

- Recipients paid same day/next day
 - *Draw is \$1,000,000/less and submitted prior to 4:00PM EST*
 - *If not, next business day*

- EPA receives all grant draws next business day
 - *Draws are loaded into GPAS/recorded in Compass*

Drawing Funds



- Open status
 - *During the budget period*
 - *Draw as needed*
- Liquidated Status
 - *After the budget period but prior to 120 days*
 - *Allows for final draws*
- Suspended status
 - *120 days after the budget period expires*
 - *Cannot draw until submit final FFR/Amendment*

Completing a draw in ASAP



- From the ASAP.gov home page, **hover** your mouse over the **Payment Request** menu button.
- Click on **“Initiate Payment Request (PR)”** from the drop-down menu.



Completing a draw in ASAP



- Select a Bank Relationship - Select one of your existing bank accounts.

Select a Bank Relationship : --Select--
--Select--
7522**41

- Select individual for payment request type

* Payment Request Type : Individual
* Payment Method : ACH
* Requested Settlement Date : / /

Completing a draw in ASAP



- Select ACH for payment method
- For Requested Settlement Date - Enter the date which you would like to have funds to deposited in your bank account.

A screenshot of a web form for a payment request. The form is enclosed in a light gray border. It contains three rows of input fields:

- The first row is labeled "* Payment Request Type :" and has a dropdown menu with "Individual" selected.
- The second row is labeled "* Payment Method :" and has a dropdown menu with "ACH" selected.
- The third row is labeled "* Requested Settlement Date :" and has three input boxes for the month, day, and year, separated by slashes. A small calendar icon is positioned to the right of the year box.

- Click Continue to proceed to the next step

Completing a draw in ASAP



- Select ALC/Region- 68128933 - RTPFC-Grants
- Enter your Account ID- XJ + your grant number
- Click Continue

Step 1 of 4 (Continued)
Retrieve Accounts

Recipient ID : 29169

ALC / Region : --ALL-- ▾

Account ID (or partial) :

Completing a draw in ASAP



- Enter an amount in the “Amount Requested” field.
- Ensure Account Status is open, and funds requested do not exceed available balance.
- Ensure you are drawing from the correct site code

Recipient : LEMON LLC (2923419)

Federal Agency : DEPARTMENT OF THE NAVY (17008712)

Cash on Hand : \$ Total : \$ 1,000.00

Account ID	Account Status	Requestor Reference Number	Available Balance	Amount Requested	Remittance Data
ACCOUNTTEST-04292022	Open	<input type="text"/>	\$0.00	\$ <input type="text"/>	<input type="button" value="+"/>
ACCOUNTTEST-12202021	Liquidated	<input type="text"/>	\$1,010.00	\$ <input type="text"/>	<input type="button" value="+"/>
ACCTEST-04292022	Open	<input type="text"/>	\$0.00	\$ <input type="text"/>	<input type="button" value="+"/>
LEMON LLC	Open	<input type="text"/>	\$989,289.94	\$ 1,000.00	<input type="button" value="+"/>

Completing a draw in ASAP



- Review your payment request. After your payment request has been reviewed click submit.

Step 3 of 4
Review Payment Transactions

Payment Request Type : Individual
 Payment Method : ACH
 Bank Relationship : 121137522**4159
 Requested Settlement Date : 12/21/2022

Recipient : LEMON LLC (2923419)

Federal Agency : DEPARTMENT OF THE NAVY (17008712)

Cash on Hand : \$ Total : \$ 1,000.00

Row #	Account ID	Account Status	Requestor Reference Number	Available Balance	Amount Requested	Remittance Data
<input checked="" type="checkbox"/>	LEMON LLC	Open	<input type="text"/>	\$989,289.94	\$ 1,000.00	<input type="button" value="+"/>

Returning Funds - Book Entry Adjustment



- Does not initiate a payment request/utilize bank account
- Used to adjust site balances within a grant or correct payment request drawn from the wrong grant (must have more than one grant)
- Adjusts the available balance between grants that share the same Agency Location Code.
- Accounts are decreased by the same amount other accounts are increased (net \$0 transaction)
- For accounts being decreased, the resulting available balance must be greater than zero.

Returning Funds



- Return ACH Payment function in ASAP
 - *Allows for recipients to return partial or whole payments back to EPA Automated Standard Application for Payments (ASAP)*
 - *Debit against your bank account on file at ASAP*
 - *Verify your organization allows automated debits*
- Pay.gov
 - *U.S. Treasury system*
 - *Accepts credit cards, bank accounts, digital payments, ACH credit*
 - *For tracking, Include EPA Grant number and Account Receivable number if provided.*



Financial Reporting: Interim FFR

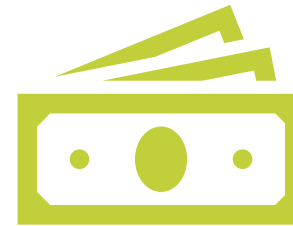
- Uniform Grants Guidance requires Interim FFRs:
 - *No more often than quarterly*
 - *No less often than annually*
- Award Terms and Conditions outline frequency
- Interim/Final FFRs - submit to RTPFC:
 - RTPFC-grants@epa.gov

Financial Reporting: Final FFR



120 days from Budget Period End Date

Submit Final FFR
Complete final draw



Include all costs from inception of the grant

Federal Financial Report (SF-425)



[View Burden Statement](#)

Federal Financial Report (Follow form Instructions)

OMB Number: 4040-0014
Expiration Date: 02/28/2022

1. Federal Agency and Organizational Element to Which Report is Submitted <input type="text"/>		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment) <input type="text"/>	
3. Recipient Organization (Name and complete address including Zip code)			
Recipient Organization Name: <input type="text"/>			
Street1: <input type="text"/>			
Street2: <input type="text"/>			
City: <input type="text"/>		County: <input type="text"/>	
State: <input type="text"/>			Province: <input type="text"/>
Country: <input type="text"/>		ZIP / Postal Code: <input type="text"/>	
4a. DUNS Number <input type="text"/>	4b. EIN <input type="text"/>	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment) <input type="text"/>	
6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input type="checkbox"/> Cash <input type="checkbox"/> Accrual	8. Project/Grant Period From: <input type="text"/> To: <input type="text"/>	9. Reporting Period End Date <input type="text"/>

Federal Financial Report (SF-425)



10. Transactions	Cumulative
<i>(Use lines a-c for single or multiple grant reporting)</i>	
Federal Cash (To report multiple grants, also use FFR attachment):	
a. Cash Receipts	
b. Cash Disbursements	
c. Cash on Hand (line a minus b)	0.00
<i>(Use lines d-o for single grant reporting)</i>	
Federal Expenditures and Unobligated Balance:	
d. Total Federal funds authorized	
e. Federal share of expenditures	
f. Federal share of unliquidated obligations	
g. Total Federal share (sum of lines e and f)	0.00
h. Unobligated balance of Federal Funds (line d minus g)	0.00
Recipient Share:	
i. Total recipient share required	
j. Recipient share of expenditures	
k. Remaining recipient share to be provided (line i minus j)	0.00
Program Income:	
l. Total Federal program income earned	
m. Program Income expended in accordance with the deduction alternative	
n. Program Income expended in accordance with the addition alternative	
o. Unexpended program income (line l minus line m or line n)	

Federal Financial Report (SF-425)



11. Indirect Expense						
a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. Totals:				0.00	0.00	0.00

12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:

13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

a. Name and Title of Authorized Certifying Official

Prefix: First Name: Middle Name:
 Last Name: Suffix:
 Title:

b. Signature of Authorized Certifying Official

c. Telephone (Area code, number and extension)

d. Email Address

e. Date Report Submitted

14. Agency use only:

Standard Form 425



RTP Contact Information

Region 1- Ryan Mowrey Mowrey.ryan.t@epa.gov

Region 2- Brenda Freiberg Freiberg.Brenda@epa.gov

Region 3- Sarah Olive Olive.Sarah@epa.gov

Region 4- Tate Hanzlicek Hanzlicek.tate@epa.gov

Region 5- Andre Fairley fairley.andre@epa.gov

Region 6- Rolando Poblete Poblete.rolando@epa.gov

Region 7- Thetrice Taylor taylor.Thetrice@epa.gov

Region 8- Johnathan Mceachin mceachin.johnathan@epa.gov

Region 9- Aiquoc Johnson Nguyen nguyen.aiquocjohnson@epa.gov

Region 10- Krisondra Lione lione.Krisondra@epa.gov

HQ- Antoinette Patterson Patterson.Antoinette@epa.gov

RTPFC-Grants group inbox- RTPFC-GRANTS@epa.gov

R9 Grants Branch Contact Information



Grants Management Officer

Carolyn Truong, truong.carolyn@epa.gov

Deputy Grants Management Officer

Angela Mendiola, mendiola.angela@epa.gov

Grant Management Specialists

Veronica Adams, adams.veronica@epa.gov

Fareed Ali, ali.fareed@epa.gov

Danielle Carr, carr.danielle@epa.gov

Karla Carrillo Castillo, carrillocastillo.karla@epa.gov

Susan Chiu, chiu.susan@epa.gov

Norma Douglass, douglass.norma@epa.gov

Alba Espitia, espitia.alba@epa.gov

Darlene Fernandez, fernandez.darlene@epa.gov

Jakob Franco, franco.jakob@epa.gov

Lamont Nowlin, nowlin.lamont@epa.gov

Matthew Null, null.mathew@epa.gov

Katya Obrez, obrez.katya@epa.gov

Alexandrea Perez, perez.alexandrea@epa.gov

Kimberli Smith, smith.kimberli@epa.gov

Nelly Sun, sun.nelly@epa.gov

Martha Villarreal, villarreal.martha@epa.gov

Mackenzie Whitby, whitby.mackenzie@epa.gov

Questions???

