

## **Establishing an Intended Recipient's Payment Method before Obligating Funds for a New Grant or Cooperative Agreement Award in the Financial and Business Management System (FBMS)**

### **Instructions:**

Programs must complete all steps outlined in this Guidance **BEFORE** obligating funds for a new grant or cooperative agreement award. Failure to complete all steps before obligating funds will cause system errors that will delay recipient payment. [A flow chart of the entire process is attached.](#) This guidance document and all referenced attachments are available electronically on Inside.fws at <https://inside.fws.gov/index.cfm/go/post/Payments-New>.

### **Step 1: Verify compliance with the System for Award Management (SAM) and Data Universal Numbering System (DUNS) registration requirements**

Federal law ([2 CFR Part 25, Central Contractor Registration and Data Universal Numbering System](#)) mandates that all entities applying for Federal financial assistance must have a valid Dun & Bradstreet Data Universal Number System (DUNS) number and have a current registration in the Central Contractor Registry (CCR). The CCR functionality was consolidated into the System for Award Management (SAM) in September 2012.

Exemptions and Waivers: The SAM and DUNS registration requirements do not apply to individuals submitting an application on their own behalf and **not** on behalf of a company or other for-profit entity, State, local or Tribal government, academia or other type of organization. **If the intended award recipient is an exempted individual, go on to Step 2 now.** In addition to individuals who have an automatic exemption, the Service may waive the SAM and DUNS registration requirements for: (1) recipients whose information may be compromised as a result of disclosure, and/or (2) foreign entities applying for or receiving an award or sub-award for a project performed outside of the United States valued less than \$25,000. For more information on how to request a [SAM/DUNS waiver](#), contact the Chief, Financial Assistance Policy and Oversight Branch at 703-358-2107. **If the intended foreign recipient has been waived from SAM/DUNS (requires a waiver signed by the Assistant Director, Wildlife and Sport Fish Program), go on to Step 2 now.**

In order to enroll in SAM, financial assistance applicants must first have a valid DUNS number assigned by Dun & Bradstreet. If your intended recipient does not have a DUNS number they can request one online at <http://fedgov.dnb.com/webform>. DUNS numbers are free for Federal financial assistance applicants. Applicant and recipient entities are responsible for maintaining up-to-date information with Dun & Bradstreet. To confirm the validity of a DUNS number, go to <http://creditreports.dnb.com/webapp/wcs/stores/servlet/AdvancedCompanySearch?storeId=11154&catalogId=71154&blnMdsbPortalFlag=false> and use the Search by D&B D-U-N-S Number feature.

Once registered in SAM, entities must renew and revalidate their SAM registration at least once every 12 months from the date previously registered. Entities are strongly urged to revalidate their registration as often as needed to ensure that SAM is up to date and in synch with changes that may have been made to DUNS and IRS information. Foreign entities who wish to be paid to a bank account in the United States must enter and maintain valid and current banking information in SAM. If a recipient's SAM registration expires during the course of an award, the recipient must update their registration to continue to receive funds from the Federal government.

The Interior Business Center (IBC) will not process manual payments to recipients with expired SAM registrations. ASAP payments to recipients with expired SAM registrations will fail to clear to cash and create issues for the monthly financial reconciliation. Although individuals are not required to register in SAM, some did enroll in CCR/SAM in the past. If the SAM registration for an individual expires, payments to the recipient will be held (manual payments) or not clear to cash (ASAP payments) until the recipient either updates or deletes their registration in SAM.

For entities required to register in SAM, program staff must check that an active SAM registration exists for the intended recipient. An entity that had an active record in CCR will have an active record in SAM. To check if the intended recipient is registered in SAM, go to <https://www.sam.gov/portal/public/SAM/> and enter the entity's DUNS number in the Search Records data entry field. The entity's status must be "Active". If the entity is registered in SAM, their registration status will appear on the top right-hand side of the returned record. If an active SAM registration is not found, the entity must complete or revalidate their SAM registration at this point. Do not begin Step 2 of this process until the entity's SAM registration is active!

## Step 2: Verify an Existing or Establish a New FBMS Vendor Record for the Intended Recipient

- A. Program staff must determine if an FBMS vendor record exists for the intended recipient. **Do NOT assume that the vendor record associated with a previous award in PRISM is the correct vendor to be used on a new award!** Program staff must always search the FBMS Vendor Master to confirm the correct FBMS vendor record to be used on each and every new award. Refer to the attached [FBMS D7 User Guide - How to Look up a Vendor in FBMS for Users with Financial Assistance Roles](#) document for step-by-step instructions on how to search for a vendor record in FBMS. When searching for an FBMS vendor record, search by DUNS if entity is in SAM and search by name if entity is exempted or waived from SAM. **If the matching FBMS vendor record for the intended recipient is found, go on to Step 3 now.**
- B. If an FBMS vendor record for the intended recipient is not found, an FBMS vendor record will have to be created for them. To request the creation of an FBMS vendor record, do one of the following (choose based on if the intended recipient is or is not required to register in SAM):
  1. SAM registered entities: Open a Help Desk ticket requesting that the SAM vendor be added to the FBMS Vendor Master and marked as a GRANTS vendor. Use the template below to send an email to the FBMS Help Desk:

Subject: Add SAM vendor and mark as GRANTS

Help Desk,  
Please assign this ticket to the Vendor Master Team.

Vendor Master Team,  
Please bring SAM vendor [insert vendor name], DUNS [insert DUNS number] into FBMS Vendor Master, and verify that "GRANTS" is found on the Data Line field. If "GRANTS" is not found on the Data Line field, please add it. Please include the new FBMS vendor number in the ticket resolution.

2. SAM exempt/waived entities: Program staff must complete the [FBMS Vendor Request Form](#) ([https://inside.fws.gov/media/fbms/Video/Vendor%20Request%20Form%20-%202013\\_06.pdf](https://inside.fws.gov/media/fbms/Video/Vendor%20Request%20Form%20-%202013_06.pdf)) and submit it through a Service user with the Master Data Maintenance Bureau Vendor Requestor role (Role ID: MDM\_BVR). Contact your Regional FBMS Manager for the point(s) of contact in your region responsible for processing FBMS Vendor Request Forms. The list of Regional FBMS Managers is available on Inside.fws at <https://inside.fws.gov/go/post/FBMS-POC>.

Instructions for completing the [FBMS Vendor Request Form](#) correctly for a SAM exempt/waived FA vendor:

- Check the “Vendor needed in Prism Grants” box.
- Under the Business Information section, **do NOT complete the ASAP Recipient ID field or check the ASAP Waiver box or add special instructions to waive the vendor from ASAP!** Program staff and Bureau Vendor Requestors are NOT authorized to complete these fields. ONLY the Service’s Financial Assistance Systems (FAS) Branch staff are authorized to request the addition of an ASAP waiver flag or ASAP Recipient ID to the Vendor Master record. This step will be done after the vendor record is established (see Step 5 below).
- For individuals who will be waived from ASAP, Financial Institution Information must be provided.
- For individuals who will be paid in ASAP, an EFT waiver form ([https://inside.fws.gov/media/fbms/Video/EFT%20Vendor%20Waiver%20Form%20v6.1%20\(fill%20form\)%20-%202013\\_03\\_08.pdf](https://inside.fws.gov/media/fbms/Video/EFT%20Vendor%20Waiver%20Form%20v6.1%20(fill%20form)%20-%202013_03_08.pdf)) must be completed and submitted with the FBMS Vendor Request Form.
- For foreign entities to be paid through International Treasury Services (payments to banks outside the United States), include the following statement in the Other Special Instructions field: *Foreign vendor to be paid via ITS. Per DOI, an EFT waiver for foreign vendors being paid in ITS is automatically granted. An EFT waiver is not required.*
- For individuals, include the following statement in the Other Special Instructions field: *This vendor is a private citizen who will receive a financial assistance award and is exempted by regulation from SAM. A SAM waiver is not required.*
- For all entities waived from SAM, a waiver signed by the AD-Wildlife and Sport Fish Restoration Program must be submitted with the FBMS Vendor Request Form. See Step 1 above for more information on SAM waivers.

Once the request to add a non-SAM vendor is completed, search for the vendor record in FBMS to verify that the vendor information is correct and that the GRANTS flag was added to the Data Line field. When searching for the vendor in FBMS, search by DUNS if vendor is in SAM, by name if vendor is exempted or waived from SAM, or by the FBMS vendor number provided to you by the Bureau Vendor Requestor. Refer to the attached [FBMS D7 User Guide - How to Look up a Vendor](#)

in [FBMS for Users with Financial Assistance Roles](#) document for step-by-step instructions. **Once Step 2 is completed, skip Steps 3-4 and go directly to Step 5.**

### Step 3: Ensure that the vendor record has the GRANTS flag in the Data Line Field

The FBMS vendor record for an entity to receive financial assistance must include the word “GRANTS” in the Data Line field. Refer to the attached [FBMS D7 User Guide - How to Look up a Vendor in FBMS for Users with Financial Assistance Roles](#) document for instructions on locating the Data Line field. **If “GRANTS” is found in the Data Line field on the vendor record for the intended recipient, go on to Step 4 now.**

If there is no GRANTS flag in the Data Line field, open a Help Desk ticket to have the Grants flag added. Use the template below to send an email to [fbms\\_helpdesk@nbc.gov](mailto:fbms_helpdesk@nbc.gov):

Subject: Add Grants flag to Data Line on vendor [insert FBMS vendor number]

Help Desk,  
Please assign this ticket to the Vendor Master Team.

Vendor Master Team,  
Please add the Grants flag to the Data Line field on the vendor record for vendor [insert FBMS Vendor number], [insert vendor name].

Once the Help Desk request is completed, search for the vendor record in FBMS to verify that the GRANTS flag was added to the Data Line field. Go on to Step 4.

### Step 4: Verify that a payment method has been established.

A financial assistance vendor's established payment method is indicated on their FBMS vendor record. Program staff must view the ASAP Recipient ID and the ASAP Waiver fields on the intended recipient's vendor record. Refer to the attached [FBMS D7 User Guide - How to Look up a Vendor in FBMS for Users with Financial Assistance Roles](#) document for instructions on locating these fields. Based on data found on the FBMS vendor record, the vendor should fall under one of the following categories:

- A. Category 1-An ASAP Recipient ID is found on the vendor record: This means that the recipient has enrolled in ASAP with the Service or another DOI Bureau. **Finding an ASAP Recipient ID does NOT mean that the account is active for the Service's use!** To make sure that the intended recipient is enrolled in ASAP with the Service, Program staff must:
1. Go to the [Daily ASAP Enrollment Status Report](#) posted to Inside.fws at <https://inside.fws.gov/index.cfm/go/post/Payments-New>. Search the *ASAP Enrollment Status Report* for the ASAP Recipient ID found on the vendor record in the Recipient Org ID field. To effectively search the report, use the FIND (Control+F) function and select the “Find All” option. Local Excel settings may remove leading zeros from the DUNS and Recipient Org ID fields, which will result in false negative search results when searching for an ASAP Recipient ID or DUNS with leading zeros. To avoid this problem, search for the ASAP Recipient ID or DUNS with leading zero(s) removed.

2. If a matching ASAP Recipient ID is found on the [Daily ASAP Enrollment Status Report](#) verify that the Recipient Org Status column for that record reads “Active” and not “Pending” or “Rejected”. If the status is Active, view the record’s “Awards CANNOT Be Obligated Prior To Date” field. Treasury imposes a 10 business day bank validation period that begins on the date the Recipient Org Status becomes “Active” during which we cannot send funds to the newly activated account. Agreements Officers **MUST NOT** release an award to the entity prior to either receiving an email from FAS that their enrollment is complete or confirming that the “Awards CANNOT Be Obligated Prior To Date” has passed. **If the status is Active and the “Awards CANNOT Be Obligated Prior To Date” has passed, go on to Step 6 now.**
  3. If the search of the [Daily ASAP Enrollment Status Report](#) returns no results, the vendor is not enrolled in ASAP and will not be able to request payments under an award. **Go on to Step 5 now.**
- B. Category 2-Vendor record is marked Waived from ASAP: **If the vendor is marked Waived from ASAP, go on to Step 6 now.**
- C. Category 3-The vendor record has no ASAP Recipient ID and is not marked Waived from ASAP: This vendor will not be able to request payments under an award. **Go on to Step 5 now.**

**Step 5: Establish a payment method. Select one of the following methods depending on entity and program:**

**A. Submit an ASAP Enrollment request for a Domestic Entity**

The Department requires that domestic state and local governments, non-profits, for-profit/commercial recipients, educational institutions/universities and individuals receive their grant and cooperative agreement award payments through ASAP. The Department has approved a programmatic ASAP waiver for the Partners for Fish and Wildlife and Coastal Programs (PFW&C). For PFW&C entities, **go to Step 5D for instructions on submitting an ASAP waiver request. All other ASAP waiver requests must be approved by the Department. Go to Step 5C for instructions on completing a non-PFW&C ASAP waiver request.**

1. Complete Section 4: Submission Instructions of the attached [ASAP Enrollment Form](#) to provide **program-specific** contact information and submission instructions for your Program’s intended recipient(s). **Do NOT instruct your intended recipient(s) to submit their ASAP Enrollment Form directly to the FAS Branch!** Send the updated [ASAP Enrollment Form](#) to your intended recipient(s). Refer your recipients with questions on the form or process to the public ASAP website at [http://wsfrprograms.fws.gov/Subpages/FAPO/Service\\_Grants.htm](http://wsfrprograms.fws.gov/Subpages/FAPO/Service_Grants.htm). Programs may also forward recipient questions to [fwhqfas@fws.gov](mailto:fwhqfas@fws.gov).
2. Once the intended recipient has returned the form to the Program office, Program staff **MUST** complete Section 5: For Bureau Requestor Use Only. Submit completed forms to the FAS Branch by email to [fwhqfas@fws.gov](mailto:fwhqfas@fws.gov). **Submit each enrollment form in a separate email with a subject line following this format: FY [insert current FY] ASAP Enrollment for [insert recipient name].** **NOTE:** Enrollment forms for private citizens must be zipped and encrypted (using WinZip Pro or other like software). To encrypt a zip file,

you must assign a password. The FAS Branch will give you the password to assign to your file. **Before you submit an enrollment form for a private citizen, send an email to [fwhqfas@fws.gov](mailto:fwhqfas@fws.gov) to request a password to be used when encrypting your zipped file. Include your telephone number in the email.** Once you have zipped and encrypted the file using the password provided, submit the form by email following the instructions above.

3. The FAS Branch will log the form, verify the information provided, and initiate the recipient's enrollment in ASAP.
4. The attached [ASAP Enrollment Process Flowchart](#) details the steps of the ASAP enrollment process. The FAS Branch will notify the Program Office contact identified on the enrollment form by email when the process is complete. Agreements Officers must not release the award in PRISM until all steps of the ASAP enrollment process are complete!

#### **B. Submit an ASAP Waiver Request for a Foreign Entity**

The U.S. Treasury prohibits foreign financial assistance recipients from enrolling in ASAP, even if they are being paid to a bank in the United States. The Department requires Bureaus to submit ASAP waiver requests for all intended foreign financial assistance recipients.

To submit an ASAP waiver request for a foreign entity:

1. The Program must complete the attached [USFWS ASAP Waiver Request List template](#). Programs may submit multiple waiver requests together on the same template. Insert a record for each of the foreign entities to be waived.
2. Submit completed [USFWS ASAP Waiver Request Lists](#) to the FAS Branch by email to [fwhqfas@fws.gov](mailto:fwhqfas@fws.gov). Submit the list by email with a subject line following this format: **FY [insert current FY] ASAP Waiver Request List for [insert Program name, Region #]**.
3. Every Friday morning, the FAS Branch will log the waiver requests, verify the information provided, and submit a single, consolidated list to the Department for review and approval. To ensure submissions are included on the consolidated list to the Department, programs must submit their lists to the FAS Branch before 12:00 p.m. ET each Friday. Program submissions received after 12:00 p.m. ET on Fridays will be held by the FAS Branch for an additional week.
4. Once the Department has returned the approved ASAP waiver list to the Service, the FAS Branch will verify that the recipient's FBMS vendor record is accurately marked as waived from using ASAP and then inform the Program that the waiver process is complete.

#### **C. Submit an ASAP Waiver Request for a Domestic Entity to Receive an Award from any program except the Partners for Fish and Wildlife and Coastal Programs**

ASAP waivers may be granted by the Department only under the certain conditions described on the [Department of the Interior ASAP Waiver Request Form](#) which include Waiver Requests for Hardship and Waiver Requests Involving Natural Disasters, Public Safety, or Foreign Payments.

To submit an ASAP waiver request for a domestic entity:

1. The Program must complete the attached [Department of the Interior ASAP Waiver Request Form](#). A separate form is required for each entity. Program 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. Requests must be completed in the ADOBE format. Handwritten requests will not be accepted. Recipients must submit a letter/email describing their justification to Program staff for a waiver consideration. The letter of justification/email must be attached to the form.
2. Submit completed [Department of the Interior ASAP Waiver Request Form](#) to the FAS Branch by email to [fwhqfas@fws.gov](mailto:fwhqfas@fws.gov). Submit the form by email with a subject line following this format: FY [insert current FY] ASAP Waiver Request Form for [insert Program name, Region #]. **NOTE:** ASAP Waiver forms for private citizens must be zipped and encrypted (using WinZip Pro or other like software). To encrypt a zip file, you must assign a password. The FAS Branch will give you the password to assign to your file. **Before you submit a waiver form for a private citizen, send an email to [fwhqfas@fws.gov](mailto:fwhqfas@fws.gov) to request a password to be used when encrypting your zipped file. Include your telephone number in the email.** Once you have zipped and encrypted the file using the password provided, submit the form following the instructions above.
3. Every Friday the FAS Branch will log the waiver requests, verify the information provided, check SAM/DUNS/ASAP information and submit a single, consolidated request to the Department for review and approval. To ensure submissions are included on the consolidated request to the Department, programs must submit their lists to the FAS Branch before 12:00 p.m. ET each Friday. Program submissions received after 12:00 p.m. ET on Fridays will be held by the FAS Branch for an additional week.
4. Once the Department has returned the approved/rejected ASAP waiver form to the Service, the FAS Branch will verify that the recipient's FBMS vendor record is accurately marked as waived from using ASAP and then inform the Program that the waiver process is complete or if rejected notify the Program that the entity must enroll in ASAP.

#### **D. Submit an ASAP Waiver Request for an Entity to Receive a Partners for Fish and Wildlife or Coastal Program Award**

The Department has granted a programmatic waiver for the PFW&C Programs through May 31, 2014, allowing these programs to waive entities that do not want to use ASAP, provided the entity is not already registered in ASAP with another Federal Agency. PFW&C program staff **must** give their intended recipients the option of using ASAP. The programmatic ASAP waiver does NOT extend to the SAM/DUNS registration requirements. Only individuals applying for or receiving funds separate from a business or non-profit organization he/she may operate are exempt by regulation from SAM/DUNS registration requirements. In order to document/invoke the programmatic ASAP waiver for an intended PFFW/CP award recipient, PFW&C Program staff must:

1. Complete the attached [USFWS ASAP Waiver Request List template](#). You may submit multiple waiver requests together on the same template. Insert a record for each of the entities to be waived. To ensure the ASAP waiver request is for PFW&C you must also submit a signed agreement (WEA, WCEA, landowner agreement or other signed agreement) for each entity to be waived regardless of the source of funds or CFDA

selected on the PRISM award. If the signed agreement has already been attached to the PR in FBMS rather than attach the agreement to the email you may list the PR number on the [USFWS ASAP Waiver Request List template](#). Please remember that the award in PRISM must reflect the Code of Federal Domestic Assistance number (CFDA) that corresponds to the source of funding.

- For example: If you are using the source of funds for Great Lakes Restoration Initiative you must use the CFDA 15.662 for Great Lakes Restoration and not 15.631 Partners for Fish and Wildlife.
2. Submit the completed [USFWS ASAP Waiver Request Lists](#) to the FAS Branch by email to [fwhqfas@fws.gov](mailto:fwhqfas@fws.gov). Submit the list by email with a subject line following this format: **FY [insert current FY] ASAP Waiver Request List for [insert Program name, Region #]**. Include the signed agreement for each entity listed on the [USFWS ASAP Waiver Request List](#).
  3. Every Friday the FAS Branch will log the waiver requests, verify the information provided, check SAM/DUNS/ASAP compliance and submit a single, consolidated list to the Department for review and approval. To ensure submissions are included on the consolidated list to the Department, programs must submit their lists to the FAS Branch before 12:00 p.m. ET each Friday. Program submissions received after 12:00 p.m. ET on Fridays will be held by the FAS Branch for an additional week.
  4. Once the Department has returned the approved ASAP waiver list to the Service, the FAS Branch will verify that the recipient's FBMS vendor record is accurately marked as waived from using ASAP and then inform the Program that the waiver process is complete.

### **Step 6: The Agreements Officer can release the Award in PRISM.**

Agreements Officers (AGO) are responsible for making sure all steps of this process have been completed before releasing the financial assistance Award in PRISM. The FAS Branch is monitoring FBMS data for awards released prior to completion of this process.

For more information on payments to foreign recipients, see the [Guidance on Processing Grant and Cooperative Agreement Payments to Foreign Recipients](#), available electronically on Inside.fws at <https://inside.fws.gov/index.cfm/go/post/Payments-New>.

For more information on making manual payments to domestic ASAP-waived recipients, go to <https://inside.fws.gov/index.cfm/go/post/Payments-New>.

### **ATTACHMENTS**

Flow Diagram- Establishing an Intended Recipient's Payment Method before Obligating Funds for a New FA Award

FBMS D7 User Guide - How to Look up a Vendor in FBMS for Users with Financial Assistance Roles

ASAP Enrollment Form

ASAP Enrollment Process Flowchart

USFWS ASAP Waiver Request List template

Department of the Interior ASAP Waiver Request Form