

## Tuition Ordering and Payment Process Handbook – Appendix A-17

**SUBJECT:** Appointment and Termination procedures for NROTC Unit Ordering Officers.

**PURPOSE:** To inform Prospective NROTC Unit Ordering Officers of the requirements and process for appointing and terminating NROTC unit Ordering Officers.

**OVERVIEW:** Only a properly appointed Ordering Officer can enter into a legitimate contractual obligation and legally bind the Federal Government of the United States. These contractual obligations include placing orders against Educational Service Agreements (ESAs) and issuing modifications against those orders.

NAVSUP Fleet Logistics Center (FLC) Procurement Performance Management Assessment Program (PPMAP) office has issued a letter of delegation IAW DFARS 201.6003-3(b) to the NROTC unit's Commanding Officer allowing them to appoint a unit Ordering Officer to place orders against the ESAs. This letter is titled "Delegation of Purchase Card and ESA Ordering Authority," outlining the unit's procurement authority states "All individuals delegated ordering authority must be warranted on an SF 1402 and may be required to receive training..."

Upon the NROTC unit Ordering Officer transfer, re-assignment or being relieved for cause, the NROTC Commanding Officer shall issue termination letter revoking the Ordering Officers authority.

### **ACTION REQUIRED:**

1. Adhere to the guidance contained on the following pages.

### **CONTENTS:**

|  |              |
|--|--------------|
| - Prospective Unit Ordering Officer Appointment Requirements | Pages 2 – 3  |
| - Step-by-Step Instructions in Completing the SOD            | Pages 4      |
| - Example Completed SOD                                      | Pages 5      |
| - Step-by-Step Instructions in Completing the SF 1402        | Pages 6 – 7  |
| - NROTCU Warrant Tiers                                       | Pages 8      |
| - Example Completed SF 1402                                  | Pages 9      |
| - Instructions for Uploading SF 1402 in PIEE JAM             | Pages 10 -12 |
| - Termination Procedures                                     | Pages 13     |
| - Termination Example Letter                                 | Pages 14     |
| - Common Discrepancies                                       | Pages 15     |

## **Prospective Unit Ordering Officer Appointment Requirements**

Prospective NROTC unit Ordering Officers shall meet the following requirements before being nominated as a NROTC unit Ordering Officer:

1. Must be Military or Government Civil Service
2. Must not be under investigation nor been disciplined for wrongdoing
3. Cannot perform the below functions:
  - a. Initiator. The HRA and the Student Advisors typically perform this.
  - b. Inspection and Acceptance of Services. The Executive Officer typically performs this.
4. Read and comply with NSTCISNT 4205.1. Chapter 4 covers tuition ordering.
5. Read and comply with the NSTC Tuition Ordering Policy and Procedures.
6. Complete Navy's Annual Information Assurance Training in TWMS or other approved course.
7. Complete the Defense Acquisition University courses
  - a. Simplified Acquisition Procedures (CON 2370). CON 2370 has replaced CON 237 and CLC 005. Those who have completed CON 237 prior to 07 April 2023 are grandfathered.
  - b. ACQ 0030 Overview of Acquisition Ethics or TWMS equivalent acquisition ethics training. This is an annual requirement.
  - c. Combatting Trafficking in Persons Training. Training may be taken through DAU or TWMS. This is required to be completed every three-years.
  - d. SPS 101 Standard Procurement System (SPS) FPDS-NG User
  - e. SPS 102 Standard Procurement System (SPS) Contracts Course
  - f. File an OGE-450 Confidential Financial Disclosure Report with the Officer of General Counsel when determined as required by the NROTCU Commanding Officer.

8. Fill in the Certification of Separation of Duties (SOD) and submit it to the unit commanding officer (via chain of command) for signature. File a copy of the signed SOD in the ESA contract file.

9. Fill in the SF 1402, Certificate of Appointment as Ordering Officer and submit it to the unit commanding officer (via chain of command) for signature. File a copy of the signed SF 1402 in the ESA contract file.

10. Request access to:

- PLEE
  - Wide Area Work Flow (WAWF) Inspector and Acceptor Roles
  - Electronic Document Access (EDA) with Contracts and Upload/Inactivate contracts Role.  
(See the NROTC supply binder (Tab 3) website for guidance on registering for WAWF and EDA access). File a copy of the required training certification in the ESA contract file.
- FPDS-NG (See Appendix A-9 for instructions)
- CFMS (See Appendix A-3 for instructions). *This requirement expires on 01 December 2023.*
- Navy ERP (Future requirement est 01Oct23 rollout)
- Procurement Desktop – Defense Standard Procurement System (PD<sup>2</sup> – SPS) (Future requirement est 01Oct23 rollout)
- System of Award Management (SAM) (See Appendix A-9 for instructions)

11. Upload the completed SF 1402 and SOD into the PLEE JAM Module.

12. Read and understand the appropriate NROTC unit's host college/university ESA and all modifications. See Appendix A-13 to obtain an electronic copy.

13. Receive turnover of contract files if relieving the previous Ordering Officer

14. Conduct audit of contract files, document and correct all discrepancies

15. Verify a termination letter of the previous Ordering Officer has been completed and is filed in the ESA folder. If not, then process the termination letter.

## Step-by-Step Instructions in Completing the SOD

Download Appendix B-14 Separation of Duty Form. This is a fillable .pdf form.

Block 1. Name of the ordering officer appointee

Block 2. Select “b. award of contract or placement of order; and”

Block 3. Ordering Officer appointee enters the date

Block 4. Ordering Officer appointee digitally signs the SOD form

Block 5. The Commanding Officer enters the dates

Block 6. The Commanding Officer digitally signs the SOD form

---

### Certification of Separation of Duties (SOD)-Contracting Officer's

I **1** \_\_\_\_\_ certify that I am aware of my responsibilities for ensuring that I may perform only the below selected function while in the performance of my duties as the NROTCU Ordering Officer (check one):

- 2** ☐ a. initiation of the requirement;  
☒ b. award of contract or placement of order; and  
☐ c. receipt, inspection, and acceptance of supplies or services.

Ordering Officer:

**3**

(Signature)

**4**

(Date)

I hereby certify that the potential SOD conflicts have been reviewed and certify that the Ordering Officer will only perform the above selected single function within the limits outlined in their Ordering Officer Certificate of Appointment (SF 1402).

Appointing Official:

**6**

(Signature)

**5**

(Date)

## EXAMPLE OF PROPERLY COMPLETED SOD

Subj: CERTIFICATION OF SEPARATION OF DUTIES (SOD) REQUIREMENTS

Ref: (a) NMCARS 5203.101-1(a)  
(b) NAVSUP Contracts Handbook  
(c) NSTCINST 4205.1

1. Reference (a) prohibits the same individual from performing more than one of the following duties in the procurement process:

- a. Initiation of the requirement;
- b. Award of contract or placement of order; and
- c. Receipt, inspection, and acceptance of supplies or services.

2. Reference (a) through (c) requires that the NROTCU Commanding Officer assign different Government personnel to perform the different duties involved in acquisition process of Midshipmen Tuition.

3. Under the tuition contract ordering process:

- a. Initiation of the requirement includes determining which Midshipmen meet scholarship eligibility, that each eligible Midshipmen service record contains all required fully executed documents to receive scholarship financial assistance, generation of the scholarship listing and verifying that all courses being ordered are required for the Midshipmen degree program.
- b. Award of contract or placement of order can only be conducted by a Warranted (SF1402) NROTCU Ordering Officer and required to execute their duties in accordance with the Federal and DoD Acquisition Regulations.
- c. Receipt, inspection, and acceptance of supplies or services is done by the Quality Control Official who is responsible for inspecting and accepting WAWF submitted invoices for accuracy, completeness and allowability of charges.

---

### Certification of Separation of Duties (SOD)-Contracting Officer's

I Kevin Robinson certify that I am aware of my responsibilities for ensuring that I may perform only the below selected function while in the performance of my duties as the NROTCU Ordering Officer (check one):

- ☐ a. initiation of the requirement;
- ☒ b. award of contract or placement of order; and
- ☐ c. receipt, inspection, and acceptance of supplies or services.

Ordering Officer:



(Signature)

Digitally signed by  
ROBINSON.KEVIN.GLENN.10999  
91484  
Date: 2022.04.17 22:00:53 -05'00'

04/17/2022

(Date)

I hereby certify that the potential SOD conflicts have been reviewed and certify that the Ordering Officer will only perform the above selected single function within the limits outlined in their Ordering Officer Certificate of Appointment (SF 1402).

Appointing Official:

Digitally signed by  
POPULORUM DONNA.123456  
87891  
Date: 2022.04.17 22:01:19 -05'00'

(Signature)

04/17/2022

(Date)

Copy To:

Filed in ESA folder with Ordering Officers Appointment and Training Records  
NSTC SPS Super User  
Uploaded into PIEE JAM with Ordering Officer's SF1402  
Appointing Official's Files

## Step-by-Step Instructions in Completing the SF 1402

1. Download a .pdf version of the SF 1402 to your computer for editing. See Useful Web Links for web address.

**Text to be added (See example on next page):**

Block 1. Name of the Ordering Officer appointee

Block 2. **“Place firm fixed-price Task Orders against Educational Service Agreements (ESA) issued by Fleet Logistics Centers (FLC) for educational services up to a Maximum amount of”** *(Insert dollar amount listed per Tier Group Listing)* **“per Order”**. This is a mandatory entry as approved by NAVSUP FLC PPMAP office San Diego and Norfolk.

Block 3. Enter the name of NROTC unit

Block 4. Enter **“Department of Defense, United States Navy”**

Block 5. Enter **“Commanding Officer”**. The Commanding Officer will sign on this line.

Block 6. Enter the date of appointment

Block 7. Enter the NROTC unit's the unique serial number generated by the NROTC unit. Each command is responsible for establishing and tracking their own numbering system.

# SF 1402 Certificate of Appointment Instructions

## Certificate of Appointment

Under authority vested in the undersigned and in  
conformance with Subpart 1.6 of the Federal Acquisition  
Regulation

**1** (Name)

is appointed

**Contracting Officer**

for the

**United States of America**

Subject to the limitations contained in the Federal Acquisition Regulation and to the following:

**2**

Place firm fixed-price Task Orders against Educational Service Agreements (ESA) issued by Fleet Logistics Centers (FLC) for educational services up to a Maximum Dollar Amount of *(Insert dollar amount listed for unit's Tier Group) per Order.*

Unless sooner terminated, this appointment is  
effective as long as the appointee is assigned to:

**3**

**NROTCU (Insert Unit Name)**

(Organization)

**4**

**Department of Defense, United States Navy**

(Agency/Department)

**5**

**(Commanding Officer/Head of Activity)**

(Signature and Title)

**6**

**(Date)**

(Date)

**7**

**(Unique # Generated by Unit)**

(Number)

**STANDARD FORM 1402 (10-83)**  
Prescribed by GSA - FAR (48 - CFR) 53.201-1

| NROTCU                  | WARRANT<br>THRESHOLD |
|-------------------------|----------------------|
| HAWAII                  | \$250,000            |
| ILLINOIS                | \$500,000            |
| KANSAS                  | \$500,000            |
| MISSOURI                | \$500,000            |
| NEBRASKA                | \$500,000            |
| OKLAHOMA                | \$500,000            |
| SAVANNAH                | \$500,000            |
| SOUTHERN A&M            | \$500,000            |
| UTAH                    | \$500,000            |
| ARIZONA                 | \$1,000,000          |
| ARIZONA STATE           | \$1,000,000          |
| ATLANTA REGION          | \$1,000,000          |
| BERKLEY                 | \$1,000,000          |
| BOSTON REGION           | \$1,000,000          |
| CARNEGIE-MELLON         | \$1,000,000          |
| CHICAGO REGION          | \$1,000,000          |
| CORNELL                 | \$1,000,000          |
| HOUSTON REGION          | \$1,000,000          |
| IDAHO                   | \$1,000,000          |
| IOWA                    | \$1,000,000          |
| MAINE MARITIME          | \$1,000,000          |
| MARQUETTE               | \$1,000,000          |
| MARYLAND                | \$1,000,000          |
| MIAMI OF OHIO           | \$1,000,000          |
| MID-SOUTH REGION        | \$1,000,000          |
| MINNESOTA               | \$1,000,000          |
| NEW MEXICO              | \$1,000,000          |
| NORTH CAROLINA PIEDMONT | \$1,000,000          |
| OHIO STATE              | \$1,000,000          |
| OREGON STATE            | \$1,000,000          |
| RUTGER                  | \$1,000,000          |
| SOUTH CAROLINA          | \$1,000,000          |
| WASHINGTON              | \$1,000,000          |
| WISCONSIN               | \$1,000,000          |

| NROTCU               | WARRANT<br>THRESHOLD |
|----------------------|----------------------|
| AUBURN               | \$2,000,000          |
| HOLY CROSS           | \$2,000,000          |
| PURDUE               | \$2,000,000          |
| SUNY MARITIME        | \$2,000,000          |
| TEXAS A&M            | \$2,000,000          |
| VANDERBILT           | \$2,000,000          |
| VIRGINIA             | \$2,000,000          |
| YALE                 | \$2,000,000          |
| CITADEL              | \$3,000,000          |
| COLORADO             | \$3,000,000          |
| EMBRY RIDDLE         | \$3,000,000          |
| FLORIDA              | \$3,000,000          |
| FLORIDA A&M          | \$3,000,000          |
| GEORGE WASHINGTON    | \$3,000,000          |
| HAMPTON ROADS        | \$3,000,000          |
| JACKSONVILLE         | \$3,000,000          |
| LA CONSORTIUM        | \$3,000,000          |
| MICHIGAN             | \$3,000,000          |
| NORWICH              | \$3,000,000          |
| NOTRE DAME           | \$3,000,000          |
| PENN STATE           | \$3,000,000          |
| PHILADELPHIA REGION  | \$3,000,000          |
| R.P.I                | \$3,000,000          |
| ROCHESTER            | \$3,000,000          |
| SAN DIEGO CONSORTIUM | \$3,000,000          |
| SOUTH FLORIDA        | \$3,000,000          |
| TEXAS                | \$3,000,000          |
| TULANE               | \$3,000,000          |
| VMI                  | \$3,000,000          |
| VPI                  | \$3,000,000          |

**Warrant (SF1402) Threshold is the maximum dollar amount that an Ordering Officer may award an individual Task Order for. NROTCUs were placed in established Tiers based off of historic ordering. Ordering Officers who require an increase threshold amount should contact the ESA Program Manager.**



EXAMPLE OF PROPERLY COMPLETED SF1402 WARRANT

# Certificate of Appointment

Under authority vested in the undersigned and in conformance with  
Subpart 1.6 of the Federal Acquisition Regulation

**Kevin Robinson**

is appointed

**Contracting Officer**

for the

**United States of America**

Subject to the limitations contained in the Federal Acquisition Regulation and to the following:

**Place firm fixed-price Task Orders against Educational Service Agreements (ESA) issued by Fleet Logistics Centers (FLC) for educational services up to a Maximum Dollar Amount of \$2,000,000 *per Order*.**

Unless sooner terminated, this appointment is  
effective as long as the appointee is assigned to:

NROTC EXAMPLE UNIVERSITY

(Organization)

Department of Defense, United States Navy

(Agency/Department)

*Donna Populorum*

(Signature and Title)

Commanding Officer

04/17/2022

(Date)

16-003

(Number)

# Warrant Upload

## Reference Guide



Homepage

JAM

Warrants

Upload Active Warrant

### Roles

User types that will be able to upload warrants into JAM

- Government Users

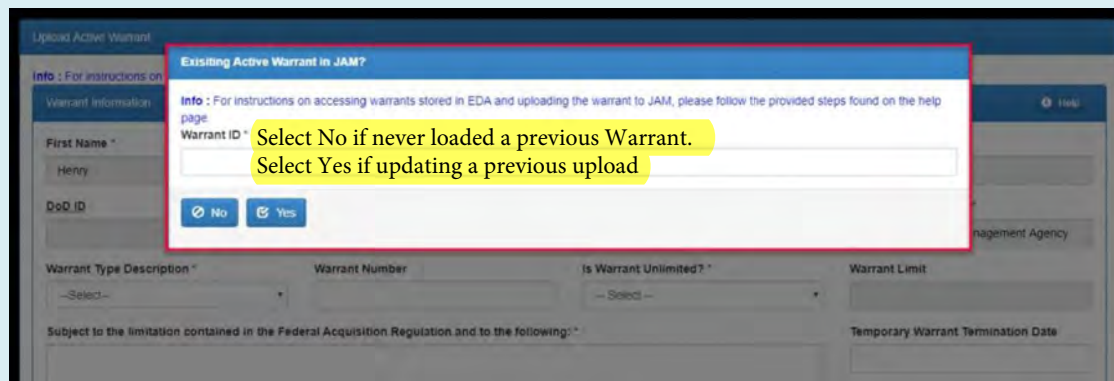
### Upload Active Warrant

Log into PIEE and Access JAM. In JAM go to **Warrants > Upload Active Warrants**



### Existing Warrant in JAM

If there is an existing Active Warrant in JAM, the Warrant ID can be added here to associate it to the user



If a user uploads a Warrant into JAM via a Web Service an email will be sent to the user with the Warrant ID to so that the user can associate to their role.

## Warrant Information

Enter all Warrant Information and upload Active Warrant file

The screenshot shows the 'Upload Active Warrant' form with the following fields and annotations:

- First Name \***: Henry
- Middle Name**: (empty)
- Last Name \***: Blake
- Suffix**: (empty)
- DoD ID**: (empty)
- Issue / Admin Office \***: S0512A
- Organization \***: DCMA LOS ANGELES
- Agency / Department \***: Defense Contract Management Agency
- Warrant Type Description \***: --Select-- **Ordering Officer**
- Warrant Number**: **From SF1402**
- Is Warrant Unlimited? \***: **No**
- Warrant Limit**: **Enter Warrant Limit**
- Subject to the limitation contained in the Federal Acquisition Regulation and to the following: \***:  
**Place firm fixed-price Task Orders against Educational Service Agreements (ESA) issued by Fleet Logistics Centers (FLC) for educational services up to a Maximum Dollar Amount of (Insert Warrant Amount) per Order.**
- Supplementary Warrant Indicator**: (empty)
- Temporary Warrant Termination Date**: (empty)
- Approval Date \***: **From SF1402**
- File Name \***: (empty)
- Action**: (empty)
- Add Active Warrant**: (button, highlighted with a red box)

Enter all required information. Click the "Add Active Warrant" button to add the file for the warrant.

The screenshot shows the 'Add Active Warrant' dialog box with the following fields and buttons:

- Active Warrant \***: (empty)
- Browse**: (button)
- Cancel**: (button)
- Add**: (button)

Browse the machine for the Active Warrant file then Click the "Add" button to upload it.

Warrant Type/Description \*

Administrative Contracting Officer

Warrant Number

Is Warrant Unlimited? \*

Y

Warrant Limit

Subject to the limitation contained in the Federal Acquisition Regulation and to the following: \*

Required information for uploading an active warrant

Temporary Warrant Termination Date

Approval Date \*

2019/10/04

Supplementary Warrant Indicator

File Name \*

Active\_Warrant.pdf

This table contains warrant information

Action

View

Delete

Warrant Approver

Help

Warrant Approver

First Name \*

Last Name \*

Title \*

Work Phone Number \*

Work Email Address \*

Enter PNS info of who signed the SF1402

Back

Submit

Help

Warrant Approver

First Name \*

Last Name \*

Title \*

Work Phone Number \*

Work Email Address \*

Back

Submit

Help

Click the "Submit" button after entering all required information for the warrant.

Upload Active Warrant

Info : Warrant Uploaded successfully

Warrant Information

First Name \*

Middle Name

Last Name \*

Suffix

DoD ID

Issue / Admin Office \*

Organization \*

Agency / Department \*

Warrant Type Description \*

Warrant Number

Is Warrant Unlimited? \*

Warrant Limit

Subject to the limitation contained in the Federal Acquisition Regulation and to the following: \*

Required information for uploading an active warrant

Temporary Warrant Termination Date

Approval Date \*

Supplementary Warrant Indicator

File Name \*

Action

An info message will be displayed for a successful submission of the warrant. The warrant information will now be read only.

## **Termination Procedures**

Upon a NROTC unit Ordering Officer transferring, retiring/leaving federal service or being relieved for cause, the Commanding Officer shall issue the member a letter terminating their contracting authority to protect the government's interests. An Ordering Officer's authority does not automatically end when an Ordering Officer transfers, retires, leaves federal service or is removed for cause. A copy of the termination letter shall be placed in the ESA contract folder and a copy forwarded to the college/university Bursars office.

Upon issuance of the termination letter, the unit shall (as appropriate), request the terminated Ordering Officer access be removed from:

- FPDS-NG
- PEE – All modules
- CFMS
- NERP
- PD<sup>2</sup>-SPS



**EXAMPLE**  
**DEPARTMENT OF THE NAVY**  
ACTIVITY TITLE  
COMMAND STREET ADDRESS  
CITY STATE ZIP CODE

4205  
Ser  
Date

From: Commanding Officer, (NROTC Unit)  
To: (Name of Ordering Officer)

Subj: TERMINATION OF APPOINTMENT AS AN ORDERING OFFICER

Ref: (a) 48 CFR Subpart 1.6  
(b) NAVSUP Contracting Officer's Handbook  
(c) NSTCINST 4205.1  
(c) Naval Service Training Command Tuition Ordering and Payment Policy and Procedures

1. Your appointment as an Ordering Officer Certificate of Appointment SF1402 Ser (insert serial number) dated (insert date) is hereby terminated effective (insert date or immediately). You are no longer legally allowed to sign any further contract documents, obligate the Government or otherwise represent the Government in placing tuition orders under the Naval Service Training Command's (NSTC) Educational Service Agreements (ESA).

2. You shall ensure all Educational Service Agreement Contract and Ordering files are complete and turned-over to the (interim or prospective) Ordering Officer.

CO's Signature Block (Must be the CO)

Copy to:  
Member  
Educational Service Agreement Contract File  
(Insert University) BURSAR Officer  
NSTC N8 NERP Account Manager  
NSTC N4 PD2-SPS SuperUser  
NSTC N4 ESA Program Manager

## **Common Discrepancies**

- SF 1402 is not signed by the NROTC Commanding Officer. This form has to be signed by the unit's commanding officer and cannot be delegated.
- Not entering the required statement "Place firm fixed-price orders against Educational Service Agreements (ESA) issued by Fleet Logistics Centers (FLC) for educational services." on the SF 1402.
- NROTC unit Ordering Officer's not reading, understanding or complying with the ESA's, NSTCINST 4205.1 and regulatory limitations.
- Ordering Officers not reading the policy.