

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.

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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 wrong doing
3. Complete the Defense Acquisition University course Simplified Acquisition Procedures (CON 237) **and CLM 003 Overview of Acquisition Ethics or TWMS equivalent acquisition ethics training.** (See the NROTC supply binder website for guidance on registering for DAU courses). File a copy of the certificate in the ESA contract file.
4. Read and comply with the Tuition Ordering Handbook.
5. 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.
6. 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.
7. **Upload the completed SF 1402 into the PIEE JAM Module.**
8. Request access to:
 - Wide Area Work Flow Access with inspection and acceptance roles and Electronic Document Access (EDA) with contract upload capability. (See the NROTC supply binder 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
 - **CFMS**
9. Read and understand the appropriate NROTC unit's host college/university ESA and all modifications. See Appendix A-13 to obtain an electronic copy.
10. Receive turnover of contract files if relieving the previous Ordering Officer
11. Conduct audit of contract files, document and correct all discrepancies
12. 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.

Subj: CERTIFICATION OF SEPARATION OF DUTIES (SOD) REQUIREMENTS

Ref: (a) NMCARS 5203.101(a)
(b) NAVSUP KM 19-36
(c) NSTC Tuition Ordering Policy and Procedures Tab 4-1

1. Reference (a) prohibits ordering officers from performing more than one of the following duties:

- 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 (b) and (c) requires the SOD certification to be completed and filed in the Educational Service Agreement File with the Ordering Officer's appointing SF1402 and other required training documentation.

3. Reference (c) requires that the NROTC unit appoint an individual, other than the ordering officer or anyone who works for the ordering officer, to perform the duties of inspection and acceptance of scholarship and other services ordered under the Educational Service Agreement.

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

I _____ certify that I am aware of my responsibilities for ensuring that I perform only one of the following functions while in the performance of my duties as the NROTC Tuition 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)

(Date)

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

Appointing Official:

(Signature)

(Date)

Step-by-Step Instructions in Completing the SOD

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 signs the SOD form

Block 5. The Commanding Officer enters the dates

Block 6. The Commanding Officer signs the SOD form

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

I certify that I am aware of my responsibilities for ensuring that I perform only one of the following functions while in the performance of my duties as the NROTC Tuition 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) (Date)

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

Appointing Official:
(Signature) (Date)

Subj: CERTIFICATION OF SEPARATION OF DUTIES (SOD) REQUIREMENTS

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3. Reference (c) requires that the NROTC unit appoint an individual, other than the ordering officer or anyone who works for the ordering officer, to perform the duties of inspection and acceptance of scholarship and other services ordered under the Educational Service Agreement.

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

I, Kevin Robinson, certify that I am aware of my responsibilities for ensuring that I perform only one of the following functions while in the performance of my duties as the NROTC Tuition 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: *Kevin Glenn Robinson* 8/16/2016
(Signature) (Date)

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

Appointing Official: *Donna Populorum* 8/17/2016
(Signature) (Date)

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 orders against Educational Service Agreements (ESA) issued by Fleet Logistics Centers (FLC) for educational services.”** 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.

Sample SF 1402 Certificate of Appointment

Certificate of Appointment

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

(NAME) **1**

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 orders against Educational Service Agreements (ESA) issued by Fleet Logistics Centers (FLC) for educational services.

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

3
NROTC (Unit)
(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

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 orders against Educational Service Agreements (ESA) issued by Fleet Logistics Centers (FLC) for educational services.

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

NROTC PENN STATE UNIVERSITY
(Organization)

Department of Defense, United States Navy
(Agency/Department)

Donna Populorum
(Signature and Title) **Commanding Officer**

08/17/2016
(Date)

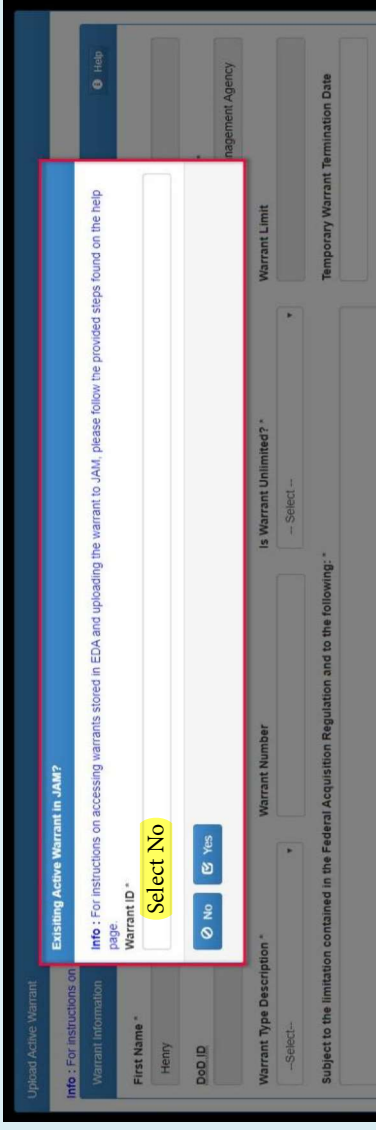
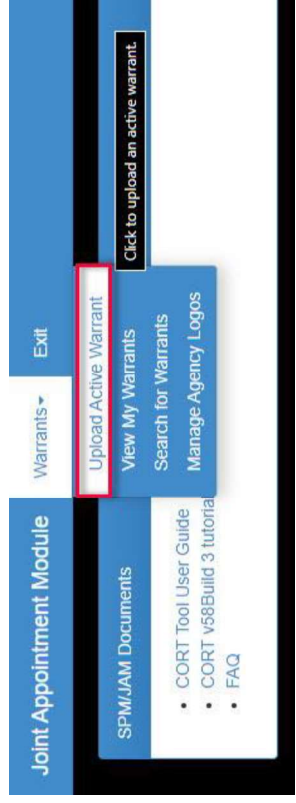
16-003
(Number)

Warrant Upload Reference Guide



INSTRUCTIONS FOR UPLOADING SF 1402 IN PIEE JAM

<p>Roles</p>	<ul style="list-style-type: none"> Government Users
<p>Upload Active Warrant</p>	<p>User types that will be able to upload warrants into JAM</p> <p>Log into PIEE and Access JAM. In JAM go to Warrants > Upload Active Warrants</p>
<p>Existing Warrant in JAM</p>	<p>If there is an existing Active Warrant in JAM, the Warrant ID can be added here to associate it to the user</p>



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

Upload Active Warrant

Warrant Information

First Name * Henry

Middle Name

Last Name * Blake

DOD ID S0512A

Issue / Admin Office * DCHA LOS ANGELES

Agency / Department * Defense Contract Management Agency

Warrant Number From SF1402

Warrant Type Description * Ordering Officer

Is Warrant Unlimited? * Yes

Warrant Limit

Temporary Warrant Termination Date

Approval Date * From SF1402

Supplementary Warrant Indicator

File Name *

No file found. Click 'Add Active Warrant' to browse for your active warrant to upload.

Add Active Warrant

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

Warrant Information

First Name * Henry

Middle Name

Last Name * Blake

DOD ID S0512A

Issue / Admin Office * DCHA LOS ANGELES

Agency / Department * Defense Contract Management Agency

Warrant Number From SF1402

Warrant Type Description * Ordering Officer

Is Warrant Unlimited? * Yes

Warrant Limit

Temporary Warrant Termination Date

Approval Date * From SF1402

Supplementary Warrant Indicator

File Name *

No file found. Click 'Add Active Warrant' to browse for your active warrant to upload.

Add Active Warrant

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.

Supplementary Warrant Indicator

File Name *
Active_Warrant.pdf

Temporary Warrant Termination Date

Approval Date *
20191004

Action
View X Delete

Supplementary Warrant Information

Warrant Approver

ADD Active Warrant

Warrant Approver

First Name *

Last Name *

Work Phone Number *

Title *

Work Email Address *

Enter PNS info of who signed the SFI402

Back Submit Help

Warrant Approver

First Name *
Bucosand

Last Name *
Azzooth

Work Phone Number *
805-555-5555

Work Email Address *
b

Title *
Warrant Approver

Back Submit Help

Upload Active Warrant

Info * Warrant Uploaded successfully

Warrant Information

First Name *
Henry

Middle Name

Last Name *
Blake

Surfix

Agency / Department *
Defense Contract Management Agency

DoD ID
S0912A

Organization *
DCMA LOS ANGELES

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 *
20191004

Supplementary Warrant Indicator

File Name *

Action

Warrant Approver

Enter Warrant Approver information

Warrant Submit

Submit the Active Warrant to JAM

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
- EDA
- WAWF
- **CFMS**



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

4200
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) Naval Service Training Command Tuition Ordering and Payment Policy and Procedures Handbook

1. Your appointment as an Ordering Officer Certificate of Appointment SF1492 Ser (insert serial number) dtd (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

Note: This is an example of an Ordering Officer Termination letter and is not required to be used by the NROTC Units. NROTC commands should terminate the Ordering Officers.

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 and regulatory limitations.