

## Educational Service Agreement Self-Assessment Check-List

**Guidance**

- a. Federal Acquisition Regulations (FAR)
- b. Defense Federal Acquisition Regulations (DFARS)
- c. 31 USC -- Money and Finance
- d. NSTC Tuition Ordering Handbook

	Y/N	Question	Notes
<b>SYSTEM ACCESS REQUIREMENTS</b>			
1		Does the unit have an individual with a WAWF account with Invoice Inspector/Acceptor authority?	
2		Does the unit Ordering Officer have a EDA account with contract load authority	
3		Does the unit Ordering Officer have a FPDS-NG account with contract reporting authority	
4		Does the unit Ordering Officer have a FASTDATA account	
<b>ESA FILE CHECK-LIST</b>			
5		Does the unit Ordering Officer maintain an ESA file containing:	
		Educational Service Agreement (SF 1449)	
		All issued modifications (SF 30s)	
		Proof of CPARS reporting once the total accumulated value of all orders exceeds \$1M (Copy of email or other documentation)	
		Order/Close-Out Log	
		Order total accumulation tracker (required for CPARS)	
		Self-Assessment Audits Results	
		PPMAP Audit Results	
		NSTC and Other Audit Results	
		Corrective Action Documentation (for any discrepancies founded during the audits)	
		NAVSUP FLC Letter(s) of Purchase Card and ESA Ordering Authority valid for the entire period of the ESA	
		Ordering Officer Certificate of Appointment (SF 1402) for all Ordering Officers for the entire period of the ESA	
		Ordering Officer Training Certificates (CON 237) for all Ordering Officers for the entire period of the ESA	
		WAWF 2-in1 Invoice Training Certificates for all WAWF Inspector/Acceptors & QCs	
	Ordering Officer Letters of Termination for all Ordering Officers for the entire period of the ESA		
	Turn-Over documentation (if applicable)		
	Memorandum for the Record (MFR) (if applicable)		
<b>PRE-ORDER PROCESS REQUIREMENTS</b>			
6		Does the unit Ordering Officer check in EDA prior to each task order for any modifications	
7		Does the unit Ordering Officer review the ESA and any modifications prior to placing each order	
8		Does the unit Ordering Officer establish a separate contract file for each task order	

TASK ORDER FILE CHECK-LIST		
9	<input type="checkbox"/>	Does each task order file contain:
	<input type="checkbox"/>	Tuition Estimation NSTC 7100 form
	<input type="checkbox"/>	College/University Catalog Price List
	<input type="checkbox"/>	Term calendar and 45 <sup>th</sup> day determination documentation
	<input type="checkbox"/>	SAM Verification Printout
	<input type="checkbox"/>	Student Scholarship Eligibility List or Student LOA/Academic Reinstatement Letters
	<input type="checkbox"/>	Signed Tuition Ordering Checklist
	<input type="checkbox"/>	(Order) DD Form 1155
	<input type="checkbox"/>	(Modification) SF 30s (if applicable)
	<input type="checkbox"/>	Any applicable/supporting Correspondence
	<input type="checkbox"/>	DD Form 1149 and certification of funds
	<input type="checkbox"/>	Funds Expenditure Tracker
	<input type="checkbox"/>	WAWF Invoice Printouts with supporting invoice documents
	<input type="checkbox"/>	Signed Inspection/Acceptance DD Form 1155's
	<input type="checkbox"/>	Enrollment Completion list
	<input type="checkbox"/>	Tutoring Tracking Sheet
	<input type="checkbox"/>	Task Order Check List
	<input type="checkbox"/>	Local and Miscellaneous Forms
<input type="checkbox"/>	FPDS-NG proof of reporting	
<input type="checkbox"/>	MFRs	
<input type="checkbox"/>	Release of Claims	
<input type="checkbox"/>	Close-Out Form	
10	<input type="checkbox"/>	Each folder shall be labeled with:
	<input type="checkbox"/>	Open and Closed Dates
	<input type="checkbox"/>	ESA and Task Order Numbers
	<input type="checkbox"/>	Identifying it as tuition for term and year
11	<input type="checkbox"/>	All ESA and task order files maintained for 10 years
12	<input type="checkbox"/>	All ESA and task order files maintained under lock and key
DOCUMENTATION REQUIREMENT CHECK-LIST		
13	<input type="checkbox"/>	Is the DD Form 1155 correct (Order)
	<input type="checkbox"/>	Correct ESA Number in Block 1
	<input type="checkbox"/>	Is Task Order number in proper format (i.e. N0021018F0001) in Block 2
	<input type="checkbox"/>	Correct College/University CAGE Code in Block 9 Code block and match the one listed in the ESA unless modified SF30) by FLC
	<input type="checkbox"/>	Correct College/University Address in Block 9.
	<input type="checkbox"/>	Continuation Page
	<input type="checkbox"/>	Correct Period of Performance (45th day of term)
	<input type="checkbox"/>	Correct Student Number and Cost
	<input type="checkbox"/>	Correct College/University DUNS number
	<input type="checkbox"/>	College/University representative signed block 16
	<input type="checkbox"/>	Contains WAWF clause (Attachment A)
	<input type="checkbox"/>	SAM Verified within 1 day of Ordering Officer signing DD Form 1155 Block 24. SAM cannot show any exclusions in order to place an order with the College/University
<input type="checkbox"/>	Unit Ordering Officer signed form last and dated in Block 24	
<input type="checkbox"/>	Ordered issued on or before the Bona Fide Need date listed in the handbook	
14	<input type="checkbox"/>	Is the SF 30 correct (Modification)
	<input type="checkbox"/>	Correct legal authority selected
	<input type="checkbox"/>	Bilateral (cost changes) - FAR 43.103(a)(3) - Mutual agreement of contracting parties
	<input type="checkbox"/>	Unilateral (admin changes) - FAR 43.103(b)
	<input type="checkbox"/>	Bilateral - NSTC N8 signed Block 14 prior to all other signatures
	<input type="checkbox"/>	Bilateral - College/University signed (Block 15) after NSTC N8 signature date
	<input type="checkbox"/>	Bilateral - Unit Ordering Officer Signed last (Block 16)
	<input type="checkbox"/>	Unilateral - Only the unit Ordering Officer signs (Block 16)
	<input type="checkbox"/>	SAM verified prior to any mod with a cost increase - within 1 day of Ordering Officer's signature
<input type="checkbox"/>	Block 14 contains a detail summary of all changes impacted by the mod	
15	<input type="checkbox"/>	Task Orders (DD Forms 1155) and all modifications (SF 30) uploaded in EDA within 3 business days of signature by Ordering Officer.

16		Task Orders (DD Form 1155) and mods (SF 30) changing reportable data reported in FPDS-NG within three 3 business days of signature by the Ordering Officer.	
17		A copy of all signed Task Orders (DD Form 1155) and Modifications (SF 30) provided to the College/University within 3 business days of signature by the Ordering Officer	
18		<input type="checkbox"/> Is invoice payment correct <input type="checkbox"/> Did the units appointed Quality Control assessor verify the correctness of the invoice <input type="checkbox"/> Did the units appointed Quality Control assessor verify the invoice to the task order & mods <input type="checkbox"/> Did the units appointed Quality Control assessor complete blocks 27 through 29 on a photocopy of the DD Form 1155 <input type="checkbox"/> Did the units appointed Quality Control assessor verify that the government was properly billed catalog prices <input type="checkbox"/> Did the unit's Certifying Official review the contract invoice and supporting documentation for accuracy and adequacy <input type="checkbox"/> Did the unit's Certifying Official complete blocks 36.a,36.b and 31 of the DD Form 1155 <input type="checkbox"/> Was the invoice inspected/accepted in WAWF within 7 calendar days <input type="checkbox"/> Did the WAWF approver attach a copy of the inspection/acceptance DD Form 1155 (All pages) to the WAWF invoice <input type="checkbox"/> Did the WAWF approver attach a copy of all issued mods to the WAWF invoice	
19		<input type="checkbox"/> Was the task order properly closed out within 1 month of the final invoice being paid <input type="checkbox"/> Is final closeout process properly documented using NSTC Form 1597 <input type="checkbox"/> Is there sufficient documentation attached to the NSTC Form 1597 justifying all close-out actions <input type="checkbox"/> Release of Claims from the College/University <input type="checkbox"/> All Invoices properly charged and payment(s) made <input type="checkbox"/> Are the obligated and expended amounts equal with a zero balance in FASTDATA	
			Revised: 9/4/2018

**\*Note: This guide is not all-inclusive. Assessor should be knowledgeable of the program and reference the Tuition Ordering Handbook when auditing the program.**

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**Assessors Name and Title**

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**Assessors Signature and Date**