

## 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 FLC 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                 |       |
|                                   |  | Ordering Officer's Separation of Duties Certification   |       |
|                                   |  | 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)  |   |       |
|                                   | Quality Control Officer Designation Letter   |   |       |
|                                   | Memorandum for the Record (MFR) (if applicable)  |   |       |

| PRE-ORDER PROCESS REQUIREMENTS |  |  |
|--------------------------------|--|--|
| 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                              |  | <p>Does each task order file contain:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Tuition Estimation NSTC 7100 form</li> <li><input type="checkbox"/> College/University Catalog Price List</li> <li><input type="checkbox"/> Term calendar and 45<sup>th</sup> day determination documentation</li> <li><input type="checkbox"/> SAM Verification Printout</li> <li><input type="checkbox"/> Student Scholarship Eligibility List or Student LOA/Academic Reinstatement Letters</li> <li><input type="checkbox"/> Signed Tuition Ordering Checklist</li> <li><input type="checkbox"/> (Order) DD Form 1155</li> <li><input type="checkbox"/> (Modification) SF 30s (if applicable)</li> <li><input type="checkbox"/> Any applicable/supporting Correspondence</li> <li><input type="checkbox"/> DD Form 1149 and certification of funds</li> <li><input type="checkbox"/> Funds Expenditure Tracker</li> <li><input type="checkbox"/> WAWF Invoice Printouts with supporting invoice documents</li> <li><input type="checkbox"/> Signed Inspection/Acceptance DD Form 1155's</li> <li><input type="checkbox"/> Enrollment Completion list</li> <li><input type="checkbox"/> Tutoring Tracking Sheet</li> <li><input type="checkbox"/> Task Order Check List</li> <li><input type="checkbox"/> Local and Miscellaneous Forms</li> <li><input type="checkbox"/> FPDS-NG proof of reporting</li> <li><input type="checkbox"/> MFRs</li> <li><input type="checkbox"/> Release of Claims</li> <li><input type="checkbox"/> Close-Out Form</li> </ul> |
|                                |  |  |
| 10                             |  | <p>Each folder shall be labeled with:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Open and Closed Dates</li> <li><input type="checkbox"/> ESA and Task Order Numbers</li> <li><input type="checkbox"/> Identifying it as tuition for term and year</li> </ul>  |
|                                |  |  |
| 11                             |  | All ESA and task order files maintained for 10 years   |
|                                |  |  |
| 12                             |  | All ESA and task order files maintained under lock and key   |
|                                |  |  |

| DOCUMENTATION REQUIREMENT CHECK-LIST                                       |  |  |
|--|--|--|
| 13   | Is the DD Form 1155 correct (Order)  |  |
|  | Correct ESA Number in Block 1  |  |
|  | Is Task Order number in proper format (i.e. N0021018F0001) in Block 2  |  |
|  | Correct College/University CAGE Code in Block 9 Code block and match the one listed in the ESA unless modified SF30) by FLC  |  |
|  | Correct College/University Address in Block 9.   |  |
|  | Continuation Page  |  |
|  | Correct Period of Performance (45th day of term)   |  |
|  | Correct Student Number and Cost  |  |
|  | Correct College/University DUNS number   |  |
|  | College/University representative signed block 16  |  |
|  | Contains WAWF clause (Attachment A)  |  |
|  | 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       |  |
|  | Unit Ordering Officer signed form last and dated in Block 24   |  |
| Ordered issued on or before the Bona Fide Need date listed in the handbook |  |  |
|  |  |  |
| 14   | Is the SF 30 correct (Modification)  |  |
|  | Correct legal authority selected   |  |
|  | Bilateral (cost changes) - FAR 43.103(a)(3) - Mutual agreement of contracting parties  |  |
|  | Unilateral (admin changes) - FAR 43.103(b)   |  |
|  | Bilateral - NSTC N8 signed Block 14 prior to all other signatures  |  |
|  | Bilateral - College/University signed (Block 15) after NSTC N8 signature date  |  |
|  | Bilateral - Unit Ordering Officer Signed last (Block 16)   |  |
|  | Unilateral - Only the unit Ordering Officer signs (Block 16)   |  |
|  | SAM verified prior to any mod with a cost increase - within 1 day of Ordering Officer's signature  |  |
|  | Block 14 contains a detail summary of all changes impacted by the mod  |  |
|  |  |  |
| 15   | 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   |                    |
| 20 | <input type="checkbox"/> | Ordering Officer has a hardcopy of the NSTC Tuition Ordering Policy available for review prior to initiating all ordering and contract actions |                    |
|    | <input type="checkbox"/> | Ordering Officer reviews the on-line NROTC Supply Binder for issued changes to the NSTC Tuition Ordering Policy                                |                    |
|    | <input type="checkbox"/> | The hardcopy NSTC Tuition Ordering Policy reflects all issued changes  |                    |
|    |                          |  | Revised: 5/14/2019 |

**\*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**