

ATTACHMENT A

STATEMENT OF WORK

“Integrated Contractor Purchasing Team (ICPT): Strategic Partnership Projects (SPP) Cost Audit and Testing Services”

08/26/20

1.0 BACKGROUND

The Alliance for Sustainable Energy, LLC (Alliance) is a two-member limited liability company organized under the laws of the state of Delaware on February 7, 2008. The members are Battelle Memorial Institute (Battelle), located in Columbus, Ohio and MRIGlobal (formerly known as Midwest Research Institute), in Kansas City, Missouri. Alliance was formed exclusively for management and operation of the National Renewable Energy Laboratory (NREL), a Federally Funded Research and Development Center (FFRDC) owned by the U.S. Department of Energy (DOE.) Alliance has elected to be treated as a corporation for IRS tax purposes and has IRS tax-exempt status as a 501 (c) (3) public charity. Alliance’s fiscal year ends on September 30.

Alliance operates under a formal Operating Agreement executed by the members. Alliance is governed by a fifteen-member Board of Directors with five directors appointed by the Battelle, five appointed by MRI, and five university directors.

Alliance is part of the ICPT DOE National Laboratory Complex. <https://icpt.doe.gov/>

2.0 OBJECTIVE

The objective of this effort is to establish a Basic Ordering Agreement (BOA) against which to execute Orders for annual internal control testing services and high-quality, timely Strategic Partnership Projects (SPP) costs audits, as requested by the ICPT DOE National Laboratory Complex.

3.0 SCOPE OF WORK

The Subcontractor shall:

- Perform high-quality and timely internal controls testing in accordance with the Office of Management and Budget (OMB) Circular A-123.
- Perform financial audit services as needed. Each project audit will have separate requirements outlined in the specific Statement of Work for each Order issued against the BOA.

4.0 TASKS

While specific tasks have not yet been determined, the following are anticipated tasks that may be required of the Subcontractor. The exact description, quantity, type, and dates of the tasks will be determined and outlined in the specific Statement of Work for each Order issued under the applicable Basic Ordering Agreement (BOA):

- Execute Alliance-developed A-123 internal controls test plans for processes to be completed by May 31st annually.
- Prepare high-quality, timely audited financial statements in accordance with accounting standards. Specific requirements may vary by the audit clause within SPP agreements, but typically would include a definitive statement as to whether the financial information in respect of the specific SPP project funds (separately and in context of NREL’s overall financial position), represent the financial transactions fairly and are based on proper account as and records.

5.0 DELIVERABLES

Specific deliverables, quantities, due dates, reporting requirements, and addressees will be defined in the Statement(s) of Work (SOWs) for each authorized Order issued under the BOA.

Examples of deliverables include but are not limited to the following:

- Provide written internal controls testing results for executed Alliance-developed test plans. The technical monitor will provide the Subcontractor with test plans in Excel format. The Subcontractor shall provide the test results, date of testing, tester's name, date of approval and the approver's name. The Subcontractor shall also provide the test workpapers in a format that NREL can assess and save to NREL's shared drive.
- Provide financial audit services as required by SPP customer agreements. The Subcontractor shall provide required audit and financial reports.

Deliverable Addresses:

The subcontractor shall clearly label all deliverables to include:

- The Subcontractor's name
- BOA and applicable Order Number
- Technical Monitor's name
- Deliverable date, and
- Deliverable description.

Electronic deliverables shall be sent via email to the Technical Monitor indicated in the applicable Order issued under the BOA.