### Brief Description

The Large Hadron Collider is the world's largest and highest-energy particle accelerator. Located near Geneva, Switzerland and operated by the European Organization for Nuclear Research (CERN), the LHC is designed to accelerate and collide counter-propagating bunches of protons at a total energy of up to 14 TeV (one TeV = 10^{12} electron volts). Physicists study the debris from these collisions to learn about the elementary particles and fundamental forces that shape the universe. U.S. involvement in the LHC is jointly supported and overseen by NSF and the Department of Energy (DOE) and is primarily focused on supporting operations, research, upgrades, and O&M at two general purpose detectors: “A Toroidal LHC ApparatuS” (ATLAS) and “Compact Muon Solenoid” (CMS). HL-LHC is an enhancement to the accelerator that will increase the proton collision rate by a factor of about 5-7. The detector upgrades are modifications to the ATLAS and CMS detectors that will enable them to operate at the higher rate and with greater measurement precision.

NSF’s FY 2023 Request for HL-LHC is $33.0 million to continue support for ongoing component upgrades of the ATLAS and CMS detectors. The FY 2023 Request amount supports the current NSB-authorized Total Project Cost (TPC) of $153.0 million. NSF’s HL-LHC upgrade program represents about seven percent of the global high luminosity upgrade effort at the LHC, which is being supported by 45 funding agencies internationally.¹

As discussed below, assessment of the COVID-19 impacts is under way using a range of assumptions. For planning purposes, a preliminary estimate of about $20.0 million in additional COVID-related funding need is incorporated into the FY 2024 funding estimate (which would raise the TPC to about $173 million). This estimate and future planning will be refined through a re-baselining of the HL-LHC detector upgrade program once there is a stable and quantifiable understanding of the pandemic’s consequences. See the Baseline History section below for more details on the approval timeline and refer to the Project Status section for a summary of the current understanding of COVID-19 impacts.

¹U.S. DOE is among the other agencies supporting the overall HL upgrade effort, including the upgrade to the accelerator, while NSF supports only the upgrades to the ATLAS and CMS detectors. The scope of DOE-supported activities is independent of the NSF-supported scope, though some links exist at the level of university-based efforts. NSF and DOE coordinated development and design efforts in preparation for construction of the HL upgrades and will continue joint oversight of the U.S. components of the ATLAS and CMS O&M programs through the HL upgrades and subsequent operations; see the Governance Structure and Partnerships section below for details.
Scientific Purpose

The LHC probes the fundamental structure of matter to elucidate the basic forces that have shaped our Universe since the beginning of time and that will determine its fate. Studies are carried out by colliding protons and heavy ions at the highest energies ever produced in a laboratory and recording, reconstructing, and analyzing the by-products of these collisions that take place within the ATLAS and CMS detectors.

The discovery of the Higgs boson in 2012 was one of the original goals of the LHC. It is one of the most important particle physics discoveries of the last 50 years, confirming the existence of the final element of the Standard Model of Particle Physics. Despite the predictive power of the Standard Model, there is strong evidence that it is incomplete. For example, it does not account for the existence of dark matter, nor does it explain why the mass of the Higgs particle is so low. Now, with the HL-LHC, the scientific focus has shifted to understanding the detailed properties of the Higgs boson and its coupling to other known processes to discover possible deviations from expectations—deviations that might indicate new physical phenomena beyond those described by the Standard Model. In addition, the HL-LHC research program will continue to search more broadly for new particles and interactions.

Baseline History

Following an agreement among NSF, DOE, and CERN (“Experiments Protocol I”), signed in December 1997, NSF began support for construction of ATLAS and CMS detector elements and software development in 1998. NSF has subsequently supported ongoing O&M, as well as a previous smaller-scale upgrade to each detector. Since 2011, U.S. funding for ATLAS and CMS O&M has included investments in advanced R&D for investigations into detector modifications that enable the detectors to function at much higher collision rates in conjunction with an upgrade to the LHC to increase its luminosity. The ATLAS and CMS groups, consisting of researchers from all participating countries, each developed scoping documents describing their scientific goals and the technical paths forward for operation in the challenging HL-LHC environment.

In 2014, the Particle Physics Project Prioritization Panel (P5), a subcommittee of the High Energy Physics Advisory Panel that advises NSF and DOE, recommended U.S. participation in the detector upgrades. In fall 2014, MPS charged a subcommittee of the MPS Advisory Committee (MPS AC) to advise on an appropriate response. The subcommittee, with MPS AC endorsement, recommended NSF provide construction funding at the major facility level to enable meaningful participation by NSF-supported scientists in the HL-LHC research program. An estimated $150.0 million funding target was defined by NSF in consultation with the MPS AC.

In November 2015, the NSF Director approved entry of the HL-LHC Upgrade to the ATLAS and CMS detectors into the Conceptual Design phase. The principal objectives of this activity were to define a quantitative statement of science requirements, develop a flow-down of the science requirements to a set of technical requirements, define the major technical components, and provide NSF with a top-down estimate of the associated cost, schedule, and risk.

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2 Oversight of the U.S. component of the ATLAS and CMS O&M programs is jointly conducted by NSF and DOE. See the Governance Structure and Partnerships section below.
In August 2016, the NSF Director approved entry into the Preliminary Design phase. The principal goals of this phase were to develop a detailed technical description of the scope to be fabricated, the risk-adjusted TPC for each detector based on bottom-up cost estimates, the corresponding resource-loaded schedules, year-by-year budget profiles for construction, and plans for managing risk. NSF targeted the estimated TPC at $150.0 million, or $75.0 million for each detector.

In July 2018, NSB authorized the NSF Director to include construction of the High Luminosity upgrades to the ATLAS and CMS detectors in a future Budget Request. Funding to begin construction was provided in the FY 2020 MREFC appropriation, and the NSF Director obtained the NSB's authorization, in February 2020, to begin construction in FY 2020 with separate construction awards to Columbia and Cornell Universities (for ATLAS and CMS, respectively) totaling $153.0 million (adjusted upward by $3.0 million in the Final Design Review process).

Project Status

The ATLAS and CMS Final Design Reviews (FDRs) established that each detector collaboration had completed all NSF-mandated pre-construction preparation needed to enable construction to commence in April 2020. The FDR panels considered each of the construction readiness criteria in NSF's 2019 Major Facilities Guide and advised NSF on whether they had been satisfied. The FDR panels also evaluated the sufficiency of each collaboration’s response to the recommendations from prior reviews and they offered suggestions to NSF on areas to follow closely during construction. NSF and the NSB conducted additional assessments that assured each project was ready to start construction in April 2020. NSF's Large Facilities Office (LFO) led an independent cost estimate of each project as part of the overall cost analysis process carried out by BFA. These were completed and satisfactorily reconciled prior to awarding construction funds in FY 2020.

Each project is currently (as of February 2022) more than 21 percent complete, but well behind schedule due to the COVID-19 pandemic. Preparatory work by CERN-led international consortia to develop custom silicon sensors and custom integrated circuits utilized by both detectors is nearly one year behind schedule, which has delayed the start of some NSF-supported construction activities.

Summary of COVID-19 Impacts

The pandemic is causing schedule and cost impacts to the NSF-funded scope for the LHC detector upgrades. Cost impacts realized since MREFC-funded construction began April 1, 2020, are relatively small in comparison to the pre-pandemic estimate of the total project cost to NSF. This is because initial construction activities are mostly focused on detailed production design work, procurement, and software development activities that are being accomplished through remote telework. However, fabrication activities have progressed more slowly than anticipated because of labor inefficiencies resulting from pandemic restrictions on activities in university labs and workshops, and these delays are growing as the pandemic continues. Delays in the availability of custom prototype silicon sensors and chips, which are part of each upgrade, are due to the closure during 2020 of radiation test facilities needed to validate the radiation hardness of the components.

Impacts stemming from the pandemic continue to emerge. Substantial uncertainties remain regarding the pandemic’s effects on industrial suppliers and vendors, with whom procurement negotiations may be delayed due to the inability to conduct site visits and who may have diminished capacities to meet pre-pandemic delivery forecasts. For example, the global shortage in the availability
Major Research Equipment and Facilities Construction

of custom integrated circuits and surging demand for semiconductor fabrication are likely to hamper fabrication plans. The pandemic is delaying the schedules of international partners in each detector upgrade, disrupting linkages to NSF-funded activities. Foreign partners, in development activities led by CERN, are responsible for the development of several custom Application-Specific Integrated Circuits that have been designed into many subsystems in the ATLAS and CMS detectors. These are widely used across each detector in the upgrade scope undertaken by many countries and are not specific to NSF-supported scope. Some examples are the low-power gigabit transceiver, the silicon pixel readout chip, the DC-DC converter for the silicon sensor power, and silicon pixel sensors themselves. CERN's governing body is closely monitoring these and other impacts of the pandemic on HL-LHC plans at the international level. In January 2022, CERN announced a one-year delay to the start of installation of the HL-LHC accelerator and detector components, from January 2025 until January 2026, and an extension in the installation period to three full years (rather than the two and one-half years that had been previously planned) to allow these activities to be completed. The new schedule was developed in reaction to the impacts arising from the pandemic and was recommended by CERN's relevant scientific and technical advisory committees.

NSF will initiate a process to assess and validate a revised Total Project Cost once the cumulative impacts of the pandemic are understood. Quantifiable forecasting of schedule delays and cost increases is not yet available, although the ATLAS and CMS management teams are periodically modeling future scenarios to bracket the expected longer-term impacts of the pandemic on the upgrade program. This modeling quantitatively forecasts the pandemic impacts on tasks needed to deliver each of the upgraded detector subsystems based on assumptions as to how the pandemic will evolve and the societal responses that will be employed in response. From these assumptions, ATLAS and CMS teams estimate factors such as labor efficiency, costs to establish and maintain safe working environments, escalation costs arising from schedule delays, and contingency costs arising from re-estimation of future risks due to COVID-19. Estimates are periodically updated as understanding of COVID-19 continues to evolve. For preliminary planning purposes, NSF has incorporated a rough estimate of $20.0 million in additional COVID-related funding needs in the FY 2024 funding estimate presented in this Request.

Meeting Intellectual Community Needs

Initial operation of the LHC, and the ATLAS and CMS detectors, enabled the discovery of the Higgs boson in 2012, leading to the 2013 Nobel Prize in Physics. The Higgs mechanism explains how fundamental particles acquire mass. Despite this historic accomplishment, the ATLAS and CMS experiments have only scratched the surface of the ultimate physics potential of the LHC.

There are many open fundamental questions in particle physics. Three key science questions that the HL-LHC program will address are:

- What are the properties of the Higgs boson?
- Are there new particles and interactions beyond those predicted by the Standard Model?
- What is the nature of dark matter?

To answer these questions, researchers must compare theoretical predictions with observations of various rare processes, such as those involving the Higgs boson, that could be sensitive indicators of new physical phenomena. Discovering meaningful departures from theoretical predictions will
require high precision measurements and the collection of a data sample more than two orders of magnitude larger than the one used for the Higgs discovery in 2012. To accomplish this, CERN is upgrading the accelerator, which will be renamed the High Luminosity-LHC, to deliver the high intensity proton beams required. The HL-LHC is planned to commence ten years of operation in 2028. During that time, it is expected to produce more than 10 times the data collected by LHC operation through 2025 (a hundred-fold increase relative to the data set confirming the 2012 Higgs discovery).

In parallel with the accelerator upgrade, NSF is funding the construction of critical components of the ATLAS and CMS detectors that will allow them to record and analyze the torrent of data to be produced. NSF contributions primarily fund radiation-hard electronics that increase the spatial granularity of calorimeter and muon detectors, expansion of the charged-particle tracking close to the beam direction in the CMS detector, and major improvements to the fast-decision-making electronics that trigger each detector to select and record interesting, rare events. The accelerator enhancements and the detector upgrades are currently planned to be installed and commissioned from 2026 through 2028.

Currently, more than 1,200 U.S. researchers participate in the ATLAS and CMS collaborations, including more than 100 post-doctoral fellows and more than 400 students, of whom about half are undergraduates. The U.S. researchers comprise about 20 percent of the total membership of the ATLAS and CMS collaborations. NSF supports about 20 percent of the U.S. ATLAS and CMS contingents.

**Governance Structure and Partnerships**

**NSF Governance Structure**

NSF oversight is handled by a program officer in the Division of Physics (PHY). Cross-foundation coordination is provided by an Integrated Project Team that includes staff from MPS, BFA, EDU, OISE, the Office of the Director, the Office of the General Counsel, and the Office of Legislative and Public Affairs. Within BFA, the Large Facilities Office (LFO) and the Division of Acquisition and Cooperative Support provide advice to program staff and assist with agency oversight and assurance. The MPS Facilities Team and NSF's Chief Officer for Research Facilities also provide high-level guidance and oversight support for the project. The NSF program officer works closely with PHY colleagues overseeing the Experimental Particle Physics research program at NSF, and with counterparts in the DOE Office of High Energy Physics. Interagency coordination is accomplished through a Joint Oversight Group (JOG), which meets at least semi-annually. The framework for joint DOE/NSF oversight of the U.S.-led portion of the international ATLAS and CMS collaborations has a successful history spanning more than two decades. It is based on an interagency Memorandum of Understanding (MOU) that was initially implemented in December 1999 and that was replaced by a new MOU in March 2018 to encompass HL-LHC activities.

**External Governance Structure**

NSF-funded principal investigators at Columbia University and Cornell University are responsible for managing and accomplishing the NSF-designated scope. NSF- and DOE-funded activities, which together form the U.S. collaboration for ATLAS and CMS, are coordinated through the JOG as described above. The U.S. collaborations coordinate with the international ATLAS and CMS project leadership to accomplish the entire upgrade program. The NSF-funded construction scope for ATLAS and CMS was selected, at the outset of conceptual design, to be minimally coupled with other construction activities of DOE or international partners so that NSF's construction can be executed as
two relatively independent projects within the overall scope of upgrade activities. NSF receives monthly reports from the ATLAS and CMS teams that describe the technical and financial status of NSF-funded construction activities and that update assessments of project risks. The monthly reports also document all revisions to the scope, budget, and schedule baselines, which are implemented through NSF-approved change-control processes. In those cases where revisions exceed thresholds defined in the cooperative agreements for construction, the ATLAS and CMS teams separately submit them to NSF for approval prior to making baseline adjustments.

Partnerships and Other Funding Sources

More than 45 funding agencies worldwide are contributing various components of the upgraded detectors. NSF investments in the upgrades enable university-based U.S. scientists and students to participate in the HL-LHC experimental program, which currently has about 7,000 participants worldwide. NSF is working closely with DOE to coordinate construction activities and to jointly oversee each detector’s operation.

In May 2015, DOE, NSF, and CERN executed a cooperation agreement concerning scientific and technical cooperation in nuclear and particle physics. The cooperation agreement established the framework under which DOE, NSF, and their awardees, as well as DOE national laboratories, participate in the particle physics programs in the international ATLAS and CMS detector collaborations (under the auspices of CERN) in the era of the HL-LHC. Subject to availability of appropriated funds, NSF’s total contributions to the HL-LHC detector upgrade program are specified and incorporated under separate implementing arrangements in the form of addenda to the 2015 cooperation agreement. The CERN LHC Resources Review Boards (separate boards for ATLAS and CMS) are composed of representatives from each participating funding agency. The Boards monitor and oversee resource-related matters as defined by the framework for participation in each experiment. NSF is a full member of these LHC Resources Review Boards. The Boards meet semi-annually to oversee and approve all LHC upgrade plans and major decisions at the international level.

Cost and Schedule

Commencement of NSF-funded construction in April 2020 was considered critical to enable recipient U.S. universities to undertake timely fabrication and delivery to CERN to meet the international integration schedule. A significant delay could have resulted in the transfer of NSF-funded scope to other international partners for accomplishment, resulting in lost leadership opportunities for U.S. scientists.

The major facility construction project will be completed when the NSF-funded components for both
detectors are delivered and verified at CERN to be in good working order. NSF will support the subsequent installation, integration, and system testing of the NSF-funded components at CERN through awards to U.S. ATLAS and U.S. CMS collaborations for detector O&M. These activities will be coordinated by CERN. This work is currently planned to occur during CY 2026-2028. NSF's share of installation and commissioning costs was estimated before the pandemic outbreak at about $5.0 million per detector and reconfirmed in reviews NSF held in July 2021. The annual O&M cost is forecast to remain constant during and following the HL-LHC Detector Upgrade installation.

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<th>Total Funding Requirements for HL-LHC Upgrade (Dollars in Millions)</th>
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1 Outyear estimates are for planning purposes only. The current cooperative agreements end in December 2026 (CMS) and January 2027 (ATLAS) - see LHC request in the Major Facilities section.
2 FY 2025 and beyond are TBD because COVID-19-related delays are increasingly likely to move the operations phase of HL-LHC past this reporting window.
3 COVID-19 impacts are preliminary. An estimate of an additional $20.0 million in COVID-related funding need is incorporated in the FY 2024 estimate for planning purposes. Schedule and cost impacts will lead to revisions of the funding plan.

[Graph: HL-LHC Funding, by Stage (Dollars in Millions)]

Research Infrastructure - 27
Future Operations Costs

An additional agreement among NSF, DOE, and CERN ("Experiments Protocol II"), signed in December 2015, follows on from the more general cooperation agreement signed in May 2015; it documents the responsibilities of U.S. participants to provide normal O&M of detector subsystems and components provided by NSF and DOE. Future MOUs with CERN will describe the distribution of tasks and other responsibilities for all participating institutions, including those supported by NSF, as well as the organizational, managerial, and financial guidelines to be followed by each detector collaboration. NSF anticipates providing approximately three percent of the total operations cost of the ATLAS and CMS detectors during HL-LHC operation (as it does today). This proportion is based on the number of NSF-supported scientists in each collaboration. NSF's external reviews of the impacts of the HL upgrades on future operating costs indicated that these projections are reasonable and are based on realistic assumptions. These projections are regularly revisited during the period of construction to incorporate evolving understanding of the pandemic impacts on future operation.

A well-orchestrated global effort is underway, progressing in parallel with the HL-LHC detector upgrades, to meet the challenges of computing in the HL era. ATLAS and CMS are coordinating their efforts within this framework to seek common solutions in areas of mutual interest. The coordination framework extends across the U.S. ATLAS and U.S. CMS collaborations, the U.S. funding agencies, other national funding agencies, and CERN. In July 2021, NSF conducted reviews of the software and computing R&D efforts that are underway to develop tools and methods that will satisfy future computing needs during HL-LHC operation. The reviewers expressed confidence that the multiple software research programs now underway to address these challenges are likely to provide affordable solutions within the flat computing budgets that are planned (by NSF, DOE, and funding agencies in other countries). Many of the R&D tasks now underway are promising, and only a subset needs to be successful to meet the needs of the HL operating program.

Reviews

- Conceptual Design Reviews (2016), Preliminary Design Reviews (2017-2018) and Final Design Reviews (2019) with external review panels were carried out in accordance with the requirements of NSF's Major Facilities Guide, with panel reports favorable to the continuation of the program as designs matured.
- Review of the O&M Plans of ATLAS and CMS for CY 2017-2021 (whose scope includes development and design activities for the detector upgrades) were held in July 2016.
- CERN international committee reviews: Major subsystems of the combined international effort were scientifically and technically reviewed by the CERN LHC Committee (LHCC), an international committee of technical experts, followed by a cost and schedule review by the CERN Upgrade Cost Group, an international committee of technical and financial experts that reported to the LHCC (July 2017-April 2018).
- Full Life-cycle Cost Reviews: NSF held reviews of the cost impacts of the HL upgrades on the LHC operations program in October 2019.
- NSF held external reviews of ATLAS and CMS installation plans and software and computing R&D projects in July 2021 to assess the stability of the planned scope, the forecast budget needs and schedule requirements, and the risk projections for these activities. The reviews indicated that these activities are well-planned and appropriately budgeted. Impacts from possible future revisions by CERN to the LHC run schedule are estimated to have minimal budget impact.
• Reviews of ATLAS and CMS HL upgrade activities took place in August 2021 to examine the current technical, financial, schedule, and risk status of each project and their current assessments of total pandemic impacts.

Risks

Technical Risk
Technical designs were sufficiently mature at the start of construction to credibly support estimates of the costs to complete construction. Cost and schedule impacts due to technical risks are credibly bounded. There are multiple alternatives for dealing with the known production uncertainties, although the unanticipated impacts of the pandemic have introduced uncertainties in supply chain issues and substantially delayed access to radiation testing facilities needed to verify design performance.

Deployment Risk
The MREFC-supported construction projects conclude with delivery and verification of subcomponent operability at CERN. CERN has overall responsibility for coordinating the assembly, integration, and commissioning of the upgraded detectors, integrating the contributions from more than 40 different countries to each detector. While a slip in the CERN schedule for installation will delay scientific research, the total project cost of the NSF-funded construction projects is not anticipated to increase due to the expanded time interval between delivery of the NSF-funded elements to CERN and CERN's recently revised start of their installation (which NSF supports through its funding of ATLAS and CMS O&M programs). If pandemic impacts are prolonged, this could result in additional changes to installation and commissioning requirements and methods, but external reviews confirmed that overall cost impacts due to potential schedule delays are minor. If there is another significant delay in the start of installation, or a prolonged installation period, NSF will trade off installation support against O&M support to remain within the flat overall annual O&M budget profile planned.

Management Risk
The FDRs established that the management risk was low; the ATLAS and CMS management teams are well-qualified and well-prepared to undertake construction activities, with appropriate organizational structures and delegations of responsibility. The review committees reported each team's development of cost and schedule estimates was based on sound (pre-pandemic) assumptions and methods that are consistent with best practices defined by the Government Accountability Office in the Cost Estimating and Schedule Assessment guides. The FDR panels also expressed confidence that each upgrade could be accomplished within its estimated TPC, after adjusting the CMS estimate upward by $3.0 million to cover possible increased costs related to
critical components. The ATLAS and CMS Project Execution Plans included detailed (pre-COVID) risk management considerations and mitigation strategies. Each project maintains a risk register that is regularly updated (and which includes risks resulting from the pandemic).

**Partnership Risk**

The NSF scope for the detector upgrades relies on the successful and timely completion of testing by international partners of some key components, such as radiation-tolerant custom electronic circuits that are used throughout both detectors in many HL upgrade applications. COVID-19 impacts on international partners, as well as impacts on foreign suppliers of components for the NSF-funded scope, have added new schedule and cost risks to those considered when construction budgets were developed.

A further partnership risk arises from possible disruption of the detector fabrication activities that rely, in part, on DOE and NSF research grants to universities. Faculty, post-docs, and graduate students participate in the management, testing, characterization, and software development of detector components fabricated by engineers and technicians. While the engineering and technical labor is funded through the MREFC awards, the faculty, post-docs, and graduate students are supported by research grants from DOE and NSF to universities and colleges. Risks and contingency budgets were refined through the FDR process to assure NSF that partnership risks could be confidently addressed. These pre-COVID assessments did not consider the possibility that the pandemic would close some university laboratories and shop facilities and restrict the level of student and post-doctoral fellow participation in hands-on activities associated with testing and characterizing detector components. As most of the fabrication of production quantities of various detector components occurs later in the construction schedule, only minor impacts from this risk have been realized so far. Most university laboratories and shop facilities in the U.S. are now opening, but the future availability of materials from vendors may pose a similar threat to the production schedule. This has not been a significant problem so far.

**Disposal Costs**

CERN's policy is to dispose of all detector components when they are no longer used in the detectors. NSF will be responsible only for covering its share of the demolition costs to remove each detector from its underground operating location and transport it to the surface for disposal by CERN. At the Full Life-Cycle Cost Reviews each detector collaboration estimated these costs at approximately $1-2 million (not escalated).