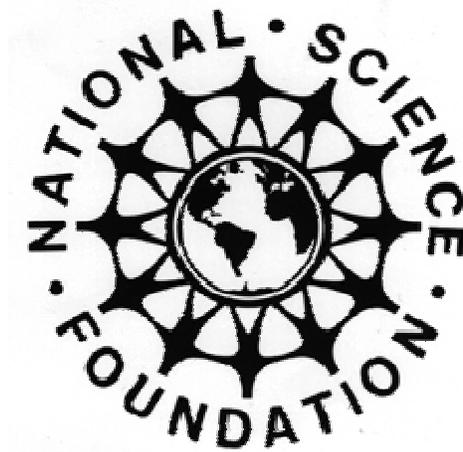


**Guidelines for Reporting to NSF
During Planning, Construction, and Operation of
MREFC-Funded Projects**



March 31, 2011

Guidelines for Reporting to NSF During Planning, Construction and Operation of MREFC-Funded Projects

Purpose: Awardees provide NSF with various reports pertaining to large facility projects. This document summarizes required reporting in order to inform NSF staff and prospective awardees of the effort and associated cost involved. NSF staff and prospective awardees may use this information to appropriately plan resources necessary to fulfill these requirements. References and hyperlinks are provided to the materials that are the sources of these requirements. Prospective awardees are advised to contact NSF program staff with specific questions or to obtain representative example reports for planning purposes.

Reporting requirements vary by project life-cycle stage (planning, construction, operation, termination). Awardee reporting requirements are specified, either explicitly or by reference, in the Terms and Conditions associated with the Grant or Cooperative Agreement between NSF and the awardee.

In addition, Awardees may need to prepare reports and analyses for NSF oversight reviews which include:

- Conceptual, Preliminary and Final Design Reviews (CDR, PDR and FDR) and any additional reviews (examples: interim progress reviews, cost update reviews) held during the planning and implementation stages;
- Annual or other periodic oversight reviews during construction and operations; and
- Business System Reviews (BSRs), which occurs at least every 5 years (the standard duration of a Cooperative Agreement). See <http://infoshare.nsf.gov/showFile/3174/bsr409.pdf> .
- Projects receiving funds provided through the American Recovery and Reinvestment Act of 2009 must satisfy additional reporting requirements, defined in the special Terms and Conditions of the Grant or Cooperative Agreement. See http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509.
- Projects receiving funds provided through the American Recovery and Reinvestment Act of 2009 for programs or activities that may involve construction, alteration, maintenance, or repair must also satisfy Davis-Bacon Act reporting requirements in accordance with 2 CFR 176.180-190. See <http://edocket.access.gpo.gov/2009/pdf/E9-9073.pdf>
- Major Research Equipment and Facilities Construction (MREFC) funds used for the construction activity must be segregated by the Awardee from Research and Related

Activities (R&RA) funds available to the project. MREFC and R&RA funds require separate reporting activities; these are specified in the Terms and Conditions of separate Cooperative Agreements for each type of funds.

NSF may occasionally request that Awardees provide additional information on a specific activity, often as a result of a unique request from within the government. The ad hoc and individual nature of that activity is not described in this document, but nevertheless an awardee must be prepared to respond. Examples include responses to audit requests from the Office of Inspector General, queries from the US Congress and Executive Branch agencies.

The two tables that follow group reporting requirements into those activities that are required of all projects that receive MREFC funds for construction or are candidates for those funds.

Table 1. Reporting requirements applicable to all MREFC projects and MREFC candidate projects.

Stage	Awardee Reporting requirements
All	<p>Cooperative Agreement Financial and Administrative Terms and Conditions (CA-FATC): http://www.nsf.gov/awards/managing/co-op_conditions.jsp These documents specify a broad range of reporting requirements pertaining to finance, administration, and property stewardship. Note that there are general provisions applying to all Cooperative Agreements such as Annual Project Reports and Final Project Reports, as well as specific provisions such as Government Performance and Results Act (GPRA) reporting pertaining to large facilities and to facilities designated as Federally Funded Research and Development Centers.</p> <p>Notice of potential international partnerships (see: “Partnerships” in the Large Facilities Manual, “LFM”).</p>
Conceptual Design	<p>Project Execution Plan at the Conceptual Design level of completeness (see “Conceptual Design Stage” in the LFM: http://www.nsf.gov/publications/pub_summ.jsp?ods_key=lfm).</p> <p>Conceptual Design Review (see “Exit from the Conceptual Design Stage” in the LFM).</p>

<p>Preliminary Design</p>	<p>Brief monthly project status reports (see <i>“Frequency and Content of Reports”</i> in the Large Facilities Manual).</p> <p>Project Execution Plan at the Preliminary Design Stage level of completeness (see <i>“Preliminary Design/Readiness Stage”</i> in the Large Facilities Manual).</p> <p>Responses to requests from NSF resulting from Preliminary Design Review (see <i>“Preliminary Design Review”</i> in the Large Facilities Manual).</p>
<p>Final Design</p>	<p>Brief monthly project status reports (see <i>“Frequency and Content of Reports”</i> in the Large Facilities Manual).</p> <p>Project Execution Plan at the Final Design Stage level of completeness (see <i>“NSF Approval/Final Design Stage”</i> in the Large Facilities Manual).</p> <p>Update reviews of the project to ensure that the total project cost and the basis of estimate, schedule, and risk management plan presented at the Preliminary Design Review are still valid (see <i>“Final Design Review”</i> in the Large Facilities Manual).</p> <p>Responses to requests from NSF resulting from Final Design Review (see <i>“Final Design Review”</i> in the Large Facilities Manual).</p>

Construction	<p>Monthly reporting of technical and financial status. Financial status reporting must use Earned Value methodology. See <i>“Frequency and Content of Reports”</i> in the Large Facilities Manual. See also <i>“Technical Reporting Requirements”</i> in NSF’s Proposal and Award Policies and Procedures Guide, http://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp</p> <p>Change Control Board (CCB) Actions. Reporting requirements are described in the <i>“Construction Stage”</i> section of the LFM. Of particular note, CCB actions exceeding thresholds defined in the Terms and Conditions of the Cooperative Agreement require prior NSF approval. In addition, certain actions also require National Science Board approval. For instance, any project re-baselining which would result in a construction cost exceeding \$10 million or 20 percent of the NSB-approved baseline cost (whichever is smaller) must be reviewed and approved by the NSB, on the recommendation of the MREFC Panel and the Director). Required NSF approvals for baseline changes below these NSB-engaging levels are described in the LFM.</p> <p>Government Performance Results Act (GPRA) Goals¹ reporting (see <i>“Government Performance and Results Act (GPRA)”</i> in the LFM)</p>
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¹ NSF facilities under construction, and having individual project costs in excess of \$5 million dollars must annually report to performance goals under GPRA. Information related to these goals is collected from awardees via the “Performance Data Reports” module of the FastLane Project Reports system. The most recent performance goals defined by the NSF to meet GPRA may be found in the Performance Information chapter of the NSF Annual Budget Request.

Operations	<p>Commissioning Plan (see <i>“Commissioning”</i> in the LFM).</p> <p>Annual Performance Report (See NSF Bulletin 09-11 <i>“Inclusion of Performance Evaluation and Measurement Components into Cooperative Agreements for NSF Facilities in Operations”</i> http://infoshare.nsf.gov/showFile/3279/ib0911.pdf and <i>“Reviewing Awardee Performance”</i> in the LFM).</p> <p>Responses to information requests relating to Business Systems Review (see <i>“Reviewing Awardee Performance”</i> and <i>“Guidelines for Conducting Total Business Systems Reviews of NSF’s Large Facilities”</i> in the LFM.)</p> <p>Unique requirements for ship and aircraft operation (if applicable per Cooperative Agreement).</p>
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