



APPEC Discussion Paper

Path towards sustainable APPEC

- Draft 08/10/19

Present situation

The APPEC GA in the meeting in Granada of May 2019 expressed interest in pursuing the path for a more sustainable and stronger APPEC (Doc. GA08.1).

By the next APPEC GA meeting on 03/12/2019 in Lisbon, the further steps can be one of the following two options:

1. The agreement about the creation of an APPEC host office coordinating the Joint Secretariat work, implying:
 - a. The definition of criteria to be fulfilled to become the APPEC host office;
 - b. The opening of a call of tenders for hosting the APPEC office including:
 - i. The description of a business plan;
 - ii. The choice of a suitable legal form for sustainable APPEC;
2. The proposal of an alternative kind of collaboration, that is equally demonstrating the support of a sustainable APPEC, and the presentation of the relative to-do list.

Introduction and aims

The present APPEC governance was approved in 2012. The APPEC MoU describes its mandate that has to be fulfilled through its organisation, composed by the General Assembly, as the organism which decides on the strategy, through the SAC which advises it on the Science, and through an executive organisation (described in more detail in the Annex of the MoU) based on functional centres (FC) and called Joint Secretariat (JS).

On a short term, APPEC must gain a strong presence at the funding agency and ministry level to represent the interests of Astroparticle Physics with a clear mandate, which is described in its periodical Roadmaps. This mandate has to be transmitted also at the level of the European Commission and in international contests. For example, APPEC could become a consultant and/or supporter of international collaborations, help in the planning

of new community building and research infrastructures, support the preparation of APPEC common calls funded by a virtual common pot.

These are the aims that were common to ASPERA and the first APPEC period.

Our scientific field is living now a period of intense and exciting developments and it is moved by a great momentum. Also a coordination organism such as APPEC has the duty to take advantage of such a favourable period and support the scientists in their activities. Furthermore, the possibility for APPEC to issue bills was strongly recommended. APPEC should become a no-profit, legal entity with a light-growth perspective.

These tasks and aspects characterize *sustainable APPEC*.

The present situation based on in-kind and retributed contributions by different APPEC partners (0.6 FTE NWO in-kind, 1 FTE DESY in-kind, 0.2 FTE KIT paid by Common Fund) needs to be changed because the activities indicated in the MoU cannot be supported, the sustainable-APPEC model is not fulfilled and, if the situation does not change, no in-kind contributed FTEs can be guaranteed anymore in the future.

For this reason, the central-office model with a partner hosting it was chosen as the most suitable one for a successful future of APPEC.

Criteria to host the APPEC office

APPEC has to define and implement roadmaps, to create consensus, guarantee support to the Astroparticle Physics scientific community and represent its interests at the European and world wide level. For these reasons, the APPEC JS has to be composed by a certain amount of FTEs able to execute core tasks.

Following the central-office model, the General Secretary will head the APPEC central office and will be in charge for 5 years.

The APPEC central office will be hosted by a country which will cover about half of the costs (excluding the General Secretary) and also provide the rooms as in-kind contribution. The other half of the costs will have to be covered by corresponding contributions from the APPEC members.

In the following, the described core tasks to be executed by the required personnel in support to the activities of the APPEC General Assembly and its Chair are listed.

The minimum amount of FTEs to ensure the applicability of sustainable APPEC has been estimated as **at least 4 FTEs**.

1) **APPEC Chair.**

The APPEC Chair can belong to any of the countries represented in the General Assembly, which votes for him/her on a 2-year, not consecutively repeatable term. He/she has the *super-partes* role of coordinating the duties of the General Assembly and works exclusively on an in-kind-contribution base.

2) **0.5 FTE ≤ General Secretary or Director of the Joint APPEC Office.**

The General Secretary can belong to any of the countries represented in the General Assembly and would ensure at least 50% of time for the coordination of APPEC activities.

3) **0.5 FTE ≤ the contact person to the EU.**

This should be a person of experience, able to:

- a) regularly get in contact with the EU commission;
- b) lobby for the interests of ApP and APPEC.

Considering the experience needed by this person, this role could be covered by the General Secretary in the other 50% of his/her working time.

4) **1 FTE ≤ Officer for international and industry contacts.**

This person is the contact to the national funding bodies and industry and should:

- a) review proposals submitted to the attention of APPEC,
- b) support singular APPEC partners in applications to international calls,
- c) individuate program useful for specific ApP communities,
- d) advise them during proposal preparation,
- e) organize Technology Fora,
- f) be the contact to industry,
- g) sustain further collaborations with ECFA and NuPECC (e.g. Diversity Charter),
- h) survey spin-offs and patents.

5) **0.75 FTE ≤ Officer for Network and Strategic Actions:**

- a) contact person to national committees for Astroparticle Physics,
- b) adviser in their roadmap preparation and implementation,
- c) organizer of large strategic meetings (e.g. Town meeting)
- d) secretary of SAC helping on mandate, strategic and roadmap documents.

6) **0.75 FTE ≤ Officer responsible for outreach, including:**

- a) web presentation,
- b) newsletters, interviews, etc.,

- c) web pages of meetings,
- d) networking with outreach officers and groups from neighboring sectors.
- e) education.

7) **0.5 FTE ≤ Secretary to support:**

- a) the APPEC central office (if implemented),
- b) the General Assembly and SAC,
- c) in workshop/meetings organisation,
- d) in editing of roadmaps,
- e) in legal and financial issues of APPEC as legal entity (if needed).

Call for bids to host the APPEC central office

We invite the APPEC GA members to discuss this document with their funding agencies/institutions, so that at the next APPEC GA meeting on 03/12/2019 in Lisbon, we can conclude and approve the approach. If the central-office model is chosen, the criteria and the call for bids can be defined. Furthermore, we can informally identify interested countries that consider to prepare applications to host the APPEC office.

The deadline for the formal applications will be in spring 2020. Selection and decisions are planned for the GA meetings in spring 2020.

The bid will have to propose a detailed business plan, including:

1. A prospect analyzing the costs of sustainable APPEC:
 - a. the first year,
 - b. the second and third year,
 - c. the projection in the following 2-3 years.
2. The description of the proposed legal form suitable for sustainable APPEC including the time schedule (e.g. German gGmbH, Belgian AISBL or another suitable legal form, based in a country involved in APPEC);
3. The correspondent costs;
4. The number of FTEs dedicated to the different tasks;
5. The cost of each FTE, overheads and room space;
6. The division of the total costs between the host (at least 50% of FTEs for items 3) to 7), all overheads and room space) and the other APPEC partners through the common fund (50% of FTEs for items 3) to 7) and at least 0.5 FTE for item 2));
7. The APPEC income (partner fees, to be decided in agreement with the partners);

8. Foreseen APPEC costs (meetings, events, school supports, ... based on past APPEC management reports);
9. Unforeseen APPEC costs (depending on the chosen legal form, past APPEC management reports, etc.).

Alternative models equally able to support sustainable APPEC (including the Functional Center model APPEC is currently based on, but more efficient) will be also considered and evaluated.

Long-term ambitious APPEC

On a long term, APPEC could become more ambitious, extend these aims to the coordination of large international experiments and become the confident advisor for funding agencies, such as a “CERN for ApP”. APPEC could systematically support the partners in the initial steps towards the creation of a collaboration, through the way to the definition of the suitable governance, the construction of the infrastructures, up to the support during the operation of the facility.

These are further aims characterizing *ambitious APPEC*.

Additional 2-3 FTEs could be employed for:

- 1) a stronger lobby-activity at the European commission,
- 2) consulting large collaborations,
- 3) consulting about legal entities and governances,
- 4) supporting operation of large experiments,
- 5) assisting the contact person to the EU in his/her role.

But this is for the long term. Let's first make the step towards sustainable APPEC!