



Proposal

Towards a sustainable APPEC

November 2020

Introduction

In 2019 we started the discussions towards a more sustainable APPEC. Aims and tasks were discussed and commented in the APPEC GA meetings in December 2019 and June 2020. After consultations of most involved APPEC members we are happy to present a full proposal towards a sustainable APPEC.

In this document we first summarise the earlier steps in 2019 and early 2020 (paragraphs 1-3) and then present the proposal and the draft composition of the workforce (paragraph 4).

1. Introduction and aims from Input document November 2019

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 distributed 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.

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.

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.

- 1) APPEC Chair.
- 2) 0.5 FTE ≤ General Secretary, leads the APPEC Workforce.
- 3) 0.5 FTE ≤ Contact person to the EU. This should be a person of experience.
- 4) 0.5 FTE ≤ Officer for international contacts.
- 5) 0.5 FTE ≤ Officer for industry contacts.
- 6) 0.75 FTE ≤ Officer for Network and Strategic Actions.
- 7) 0.5 FTE ≤ Officer responsible for outreach.
- 8) 0.5 FTE ≤ Secretary to support.

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.

2. Credible comments APPEC members December 2019

In the December 2019 meeting in Lisbon the GA all APPEC members gave their opinions on the written first thoughts document for a sustainable APPEC.

- In general there is strong support for stronger and effective coordination between the national agencies/research organisations via APPEC. Individual agencies are too weak to handle alone. With perspective to global developments (e.g. APIF, US, Asia) stronger European coordination is useful.
- However there is a delicate balance between autonomy of agencies and APPEC coordination. INFN, CNRS/CEA, STFC mentioned they have own people in Brussels for lobby, have contacts with industry on a national level and report and prioritize to their own Ministries.
- It was recommended to define more concrete and subtle the aims and tasks for APPEC taking into account this balancing act. This could lead to more specified tasks and accents in the organisation.
- The form of a sustainable APPEC could be distributed organisation but with stronger commitments of APPEC members to fulfil their contributions (in-kind personnel and in-cash contributions) and form together an effective team with all expertise that is needed. This needs further exploration.
- Most countries can live with bit higher contribution.
- The members that are committed in the present MoU to a Functional Center with 2-3 FTE each (Italy, France, Germany) feel committed to their MoU obligations.
- Netherlands and Czech Republic could contribute with some personal support to APPEC.
- Switzerland suggested to host the APPEC office at CERN.

3. Follow-up GA meeting June 2020

In the December 2019 meeting the GA discussed the proposal for a more sustainable APPEC. In general, there was strong support for stronger and effective coordination between the national agencies/research organisations via APPEC. With perspective to global developments (e.g. APIF, US, Asia) stronger European coordination is useful. It was recommended to define the aims and tasks in more detail. The form of a sustainable APPEC could be a strong central office or a more distributed organisation but with stronger commitments of APPEC members to fulfil their contributions (in-kind personnel and in-cash contributions) and form together an effective team with all expertise that is needed.

These next steps were discussed recently in the Joint Secretariat. The Corona crisis forced us all to work from home. From this experience we learn that it is possible to form a good working virtual team. Based on these experiences and the discussion, the GA decided to further develop a detailed plan for a distributed APPEC workforce, under the condition that persons involved are available for APPEC tasks.

This approach will be first discussed now in more detail with a small group of GA representatives of the most active partners in the APPEC workforce: DESY, CNRS, INFN, Nikhef/NWO and STFC. These further discussions will focus on aims, present and future commitments and the funding model, taking into account the credible comments of APPEC members in the December 2019 meeting.

The detailed plan should be ready for final discussion and approval in the next APPEC GA meeting in December.

4. Proposal for a sustainable APPEC – November 2020

After consultations of most involved APPEC members we made substantial progress in defining the tasks and the Workforce for a sustainable APPEC. We also collected the indicated commitments to contribute to the Workforce and have prepared a first division of tasks.

Tasks and seize of APPEC Work force

General criteria

- The minimum amount of FTEs to ensure the sustainable APPEC has been estimated as **at least 4 FTEs**;
- The workload should be distributed to not too many persons as this increases the need of coordination;
- A secretary to support the APPEC General Secretary and the APPEC Workforce is essential;
- All tasks can be distributed in other packages than the building blocks below, but it has to be ensured that some need more experience and political sensitivity than others.

Building blocks APPEC Work force

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 on an in-kind-contribution base.

2) **0.5 FTE ≤ General Secretary, leads the APPEC Workforce.**

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. Part of this workpower can be contributed as contact person to the EU, as he/she is experienced & independent.

- 3) **In total 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.
- APPEC should organise close contacts with the Brussels offices of the individual members and prevent contradicting messages. Major APPEC activities towards EU Commission need approval of the GA. Considering the experience needed by this person, this role could be covered by the General Secretary with part of his/ her working time.
- 4) **0.5 FTE** ≤ Officer for international contacts.
This person is the contact to the national funding bodies:
- 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
- 5) **0.5 FTE** ≤ Officer for industry contacts.
This person is the contact to the national funding and industry
- a) organize Technology Fora,
 - b) be the contact to industry,
 - c) sustain further collaborations with ECFA and NuPECC (e.g. Diversity Charter),
 - d) survey spin-offs and patents.
- 6) **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.
- 7) **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.
- 8) **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).

Commitments to a renewed and stronger APPEC Work force

In our consultations of the most involved APPEC members we also discussed the indications for the commitments to the renewed distributed Workforce. These are presented in the table. Of course other interested APPEC members are invited to contribute, and as you can read for some tasks additional effort is still needed.

Renewal of the funding model

We still think that there is a need for higher annual fees or a new model for contributions to APPEC. But we propose to postpone this discussion until next year and first focus on the enlargement of the workforce. For 2021 we have enough funds available.

5. Resolution for approval after discussion in the GA meeting on 9 December 2020

The GA takes note of the proposal for a sustainable APPEC with an adequate APPEC Workforce.

The GA endorses the aims, the general criteria and the set of tasks for the APPEC Workforce.

The APPEC GA appreciates the indicated commitments of APPEC members empower the APPEC Workforce for the coming years.

The APPEC GA encourages the APPEC members to indicate as soon as possible the available people for the APPEC Workforce.

The GA requests the General Secretary to implement a more detailed division of tasks and lead the renewed APPEC Workforce.

The APPEC GA also asks the General Secretary to prepare a renewed funding model for discussion in the GA in 2021.