

**Designation Business Case Form**

Date of Submission	2021-02-05
Bargaining Unit/University	Athabasca University
Bargaining Unit Agent/Executive Officer (Name)	Dr. Matthew Prineas
Bargaining Unit Agent/Executive Officer (Position)	Provost & VP, Academic
Is this a Designation or an Except from Designation Business Case Submission	De-Designation
Is the position noted as an exempted position in the Designation as Academic Policy	No
If yes, the position or category of positions is NOT deemed an Academic. Proceed with completing the Designation Business Case Form.	<b>Proceed to Position Title</b>
If no, please proceed with completing the Designation Business Case Form	<b>Proceed to Position Title</b>
Position Title	Dean (FHSS, FST, FHD, FB, FGS)
# of Positions	5
# of Encumbered	5
Encumbered Position Number(s)	Numerous
# of Vacant	Choose an item.
Vacant Position Number(s)	Click or tap here to enter text.
Department/Faculty	FHSS, FHD, FST, FB, FGS
Position Bargaining Unit/Excluded	AUFA

**JUSTIFICATION FOR DESIGNATION:** To be completed by the Bargaining Unit Agent or Executive Officer as applicable.

The Designation Business Case must be fully supported and evidenced by completing the following:

- Describe the position for which Designation is proposed, include:  
 Brief outline of responsibilities (Attach Position Description, Specialized/Specific Responsibilities and Organization Chart)

Accountable to the Provost & Vice-President, Academic, the Dean will provide strategic, academic, and administrative leadership for the Faculty. The Dean is accountable for advancing the Faculty's foundational plan. As the senior-most representative of the Faculty, the Dean collaborates with leadership across the university to advance the University's overall strategic plans. The Dean is accountable for the Faculty's operational and fiscal management as well as overall supervision of staff.

**LEADERSHIP**

- Provide overall academic, strategic, and administrative leadership of the Faculty;
- Serve as Dean of the Faculty in accordance with (a) the responsibilities and duties laid out in the Post Secondary Learning Act (PSLA), (b) the policies and procedures of the University, and (c) any powers and duties assigned through delegated authority by the Provost and Vice President, Academic;
- Maintain the confidence of the Faculty;
- Provide leadership to and mobilize resources of the Faculty to achieve goals of Faculty foundational plan;

5. As the senior most representative of the Faculty, actively and constructively contribute to University Governance through General Faculties Council, Dean's Council, and other governance subcommittees;
6. As the senior most representative of the Faculty, actively and constructively contribute to University Leadership through the Provost and Vice President, Academic's leadership team and other administrative committees;
7. Work collaboratively with other Faculty Deans and other members of the Provost and Vice President, Academic's leadership team to achieve the goals of the University consistent with the University's values, commitments, foundations, and leadership principles;
8. Foster equity, diversity, inclusion, and fairness within the Faculty in representation, assignments, and resources;
9. In collaboration and consultation with members of the Faculty, develop and maintain a Faculty level plan that is consistent with the University's overall strategic plan and the University wide foundational plans;

#### STUDENTS & PROGRAMS

1. Accountable to the Provost and Vice President, Academic and the General Faculties Council for
  - a. the overall quality of course, programs, teaching methods, and methods of evaluation within the Faculty of Health Disciplines;
  - b. the planning, implementation, evaluation, review, and accreditation of undergraduate and graduate courses and programs offered by the Faculty in line with the Universities overall programming objectives;
  - c. the overall learning experience for students participating in the Faculty;
  - d. the prompt and effective management of student concerns in the Faculty;
2. Monitor and manage enrolment for the Faculty and collaborate with the Office of the Provost and VPA and University Relations to set enrolment targets;

#### RESEARCH & SCHOLARSHIP

1. Accountable to the Provost and Vice President, Academic and the General Faculties Council for
  - a. setting Faculty level standards of excellence in Research and Scholarship in consultation with members of the Faculty, General Faculties Council, other Deans of Faculty, the Provost and Vice President, Academic, and the President;
  - b. fostering and enabling research and scholarship in accordance with the standards of excellence for members of the Faculty in collaboration with the research support office;
  - c. promoting research and scholarship of the Faculty in collaboration with other Faculties and University support units;
2. Maintain contact with the Dean's discipline during the term of office;

#### SUPERVISION

1. Provide overall supervision for the Faculty, and direct supervision for positions reporting to the Dean;
2. Ensure an effective organizational structure and provide managerial oversight of the relations among and between the various units within the Faculty.

#### EXTERNAL RELATIONS

1. Represent the Faculty at external events;
2. In collaboration with University Relations, develop and execute Faculty level plans for fund development, alumni relations, communications, and other university relation activities;
3. Represent the Faculty externally with stakeholders such as government, business, local community, and alumni locally, regionally, nationally, and where appropriate, internationally;
4. Encourage positive faculty to external stakeholder relations;

#### ADMINISTRATION

1. In consultation with Governance and Leadership bodies within the Faculty, develop a resource plan for the administration of the Faculty in conjunction with the University's resource planning process;
2. Accountable to the Provost and Vice President, Academic for the expenditure of the Faculty's resource plan in keeping with the objectives for which that plan was developed;
3. Coordinate the administrative work of the Faculty, including delegation of duties;
4. Ensure compliance by the Faculty to the University and Faculty policies and standards;
5. In consultation with members of the Faculty, develop effective Faculty level guidelines and processes in conjunction with the University's overall policy framework;
6. Provide the final sign-off for recommendations for faculty annual assessments, other than meritorious awards;
7. In collaboration with Human Resources, develop workforce plans and recommend new faculty appointments and administrative roles to the Provost & Vice President, Academic in accordance with strategic goals set by the Faculty and the Faculty's Resource Plan.



2. How does the objective criteria (listed below) in the Designation as Academic Policy apply to this position(s)?  
Research and Scholarship, Teaching and Learning, Service to the University and Society, Terminal Credential(s)

The Employees' roles do not align with the definition of the role of an AU Academic. While the Employees are terminally-credentialed, they do not perform a combination of Research and Scholarship, Teaching and Learning and Service in their roles as Dean. They do not, for example, instruct or develop curriculum in their capacities as Deans. To the extent that the Employees are involved in the above-noted three items, it is in a managerial capacity, which does not fall in the scope of the definition under the policy.

3. Does this position engage in managerial responsibilities and is at risk for a real, potential, or perceived conflict of interest? If yes, please provide specific details below and the significance of any such conflict.

These Employees perform managerial functions, such that it gives rise to the potential for significant conflicts. They engage in a multitude of functions that give rise to this significant conflict, including but not limited to:

- a. They exercise supervisory responsibility over the staff in their respective faculties, including supervisors within the bargaining units.
- b. They are responsible for making decisions with respect to hiring, promotion, discipline and discharge, to the extent to matters are not expressly addressed in the Collective Agreement. Furthermore, they are also responsible for making effective recommendations regarding certain of these matters.
- c. They are significantly responsible for directing work within the faculty.
- d. They have significant discretion in exercising their functions within the faculties.
- e. They have an important role in the labour relations of the University.
- f. They have a significant role in policy setting that may significantly impact individuals within the faculty.

4. Does this position participate in the development of, or have regular access to information supporting the University management in its negotiation of collective agreements and the application and administration of the agreements and is at risk for a real, potential, or perceived conflict of interest? If yes, please provide specific details below.

N / A.

5. Provide details of the following as they pertain to the employee or group of employees (if applicable).
- a) History of collective bargaining with the University;
  - b) The nature of the functional relationship (if any) between the subject employee(s) and AU Academics (community of interest);
  - c) Presence of any conflicting goals in collective bargaining;

d) Impact on the employee or category of employees.

a) Deans were included into the faculty association Collective Agreement in 2011 in conjunction with the University transitioning to a Provostial model.

b) The Employees to some degree have a functional relationship with the AU Academics. They work together, in furtherance of common objectives with the AU Academics in their respective faculties. Their interests in many instances differ from those of the AU Academics, based on the managerial roles they occupy. They also do very different work as the lead managers in the faculties. That difference in roles and the particular relationship they have with the AU Academics give rise to conflicting goals in bargaining.

c) The goals of Deans in bargaining will likely conflict with those of the AU Academic. As managers who play a significant role in performance management, promotion, discipline and other matters, their interests will conflict in a significant way with those who they ultimately supervise. There are many other examples of conflicts or likely conflicts which can be raised through the process.

d) The impacts on the employees if they were to be exempted from designation as an Academic would be the following:

1. Loss of the Greivance Procedure as outlined in the LOU - Deans in the AUFA Collective Agreement.
2. Loss of Appeal process for with cause disciplinary action taken against the employee in their role as Dean - Article 7
3. Loss of access to \$500 Psychologist referral benefit.
4. No access to merit increments in their role as Dean (merit increment entitlement is restored upon end of tenure as Dean)

New impacts if they were to be deemed Exempted from Designation

1. No union dues paid to the Faculty Association during tenure as Dean.
3. Access to to the Employee Family Assistance Program (EFAP).

There will be no impact to UAPP eligibility or participation, Sick Leave, Vacation Accrual, amount or eligibilty for Professional Development Accrual, or Health and Dental Benefits. The Deans have a home Faculty position, which they would revert to and back into the Faculty Association at the end of their term as Dean and be covered by all relevant Articles of the Collective Agreement.

6. Additional relevant information to support the Designation Business Case.

7. Supporting Document Summary – Provide a list of supporting documents for consideration, if applicable and attach.

Designation as Academic Policy  
Designation as Academic Procedure  
Board/AUFA Collective Agreement  
Excluded Benefits Manual  
Draft Excluded Contract Template.  
Deans Job Descriptions (FB, FHSS, FST, FGS, FHD)

**SIGNATURES**

**Bargaining Unit Agent/Executive Officer**

I submit the above Designation Business Case for review, consultation (as required), and approval.

Bargaining Unit Agent/Executive Officer: Dr. Matt Prineas, Provost and VP Academic

Date: 2021-02-11



Bargaining Unit Agent/Executive Officer

**CHRO**

Human Resources has reviewed and consulted (where appropriate) and submits the Designation Business Case and all relevant documentation for review and consideration to the Executive Team.

Chief Human Resources Officer (or Designate): Charlene Polege

Date: Click or tap to enter a date.

  
X

Chief Human Resource Officer

**Executive Team**

Executive Team has been given the opportunity to review, discuss and submits the Designation Business Case to the Board Human Resources and Compensation Committee (HRCC) for review, consideration and approval.

Executive Team Representative: Charlene Polege

Date: Click or tap to enter a date.

  
X

Executive Team Representative

**HRCC**

The above Designation Business Case was reviewed, considered and is approved/denied as outlined.

HRCC committee representative: Tracey Maguire, Chair HRCC

Date: Click or tap to enter a date.

HRCC Decision: Choose an item.

  
X

Chair, HRCC