



# Guidelines and Instructions for the Preparation of Academic Staff Employment Security Status (ESS) Packets

The Employment Security Status (ESS) packet should be prepared and submitted as a single PDF file, bookmarked by heading. A full list of required documents can be found on pages two through three (2-3).

All questions regarding ESS policies, procedures, and submission instructions should be forwarded to the [Office of Faculty Affairs and Development](#). Please do not hesitate to reach out to us.

## Information about the Academic Staff Promotion Process

The ESS process for academic staff is set forth by the AAUP Collective Bargaining Agreement (CBA) (Article XXI). ESS is defined in the CBA as,

“Employment security status (ESS) is a contractual status granted by the University to members of the academic staff who have qualified through the Employment Security System. When a member of the academic staff receives employment security status, the terminal date of the bargaining-unit member’s appointment is eliminated... There is no right to receive ESS, but there is a right to fair consideration for ESS as prescribed in this Article.”

**Timeline For Requesting ESS:** Academic staff in the employment security system who have four (4) years of full-time service on the ESS clock, including credited prior service, must, upon application, be considered as candidates for ESS. A written request indicating the intention to apply for ESS should be made to the director/chair/dean no more than twelve (12) months, prior to the individual’s fifth (5th) anniversary of employment on the ESS clock.

Application instructions, including a list of materials, shall be provided by the director/chair/dean within ten (10) days of receipt of the written intention to apply for ESS. A complete ESS application should then be submitted to the director/chair/dean at least six (6) months, but no more than twelve (12) months, prior to the individual’s fifth (5th) anniversary of employment on the ESS clock.

**Basis for ESS Recommendations:** ESS shall be made on the basis of excellence in job performance; excellence in professional achievement is also required, but is given secondary weight. Excellence in scholarly achievement and/or service, at the option of the academic-staff member, will be considered but is not required.

**Factors:** Each unit (i.e., College, School, or division) that has academic staff in the employment security system shall delineate, as far as is practical and in a manner reflecting the particular mission and diverse characteristics of the School/College/division, those factors that will be considered in the evaluation of the candidate's qualifications with respect to the criteria in Section C of Article XXI in the AAUP collective bargaining agreement. The unit factors statement shall distinguish among job performance and professional achievement.

Applicants may submit evidence of job performance, professional achievement, scholarly achievement, and service that has not been specifically listed among the factors. Similarly, the appropriate committees and administrators may also consider evidence of job performance, professional achievement, scholarly achievement (at the option of the applicant), and service that has not been specifically listed under the factors.

### Documents to be included in the ESS Packet

Shown below is the order of the documentation that is required and what the bookmark headings should be. Please note this list of documents reflects the final packet that should be submitted to the Dean/Vice President.

\*Documents marked with an asterisk are also needed for academic staff promotion packets. Documents can be used for both promotion and ESS packets, as long as it is clearly mentioned that the candidate is requesting both promotion and ESS.

1. **Academic Staff ESS Cover Sheet. – To be linked once new site is launched.**
  - a. This form is located on our promotion and tenure webpage (*link needed*). Please make sure that all required information is filled in and check every item for accuracy.
2. **School/College Tenure and Promotion Committee's Written Recommendation.\***
  - a. In each unit (i.e., School, College, or division) that has academic staff in the employment security system or on the tenure track, the academic staff shall elect a committee of at least three (3) bargaining-unit members holding ESS or tenure. This ESS committee shall be responsible for evaluating candidates and for making employment security status recommendations. A two-thirds (2/3) affirmative vote of the membership of the committee shall be required for a recommendation for the granting of employment security status.
  - b. For academic staff with a joint appointment, the composition of the Promotion and ESS Committee will reflect the proportionality of that appointment, with the stipulation that the ESS home unit will never receive less than fifty percent (50%) representation on these committees.
  - c. In a unit with fewer than three (3) represented academic-staff members holding ESS or tenure, the dean/vice president shall possess the authority and functions of the unit ESS committee. In such units the dean/vice president shall schedule a meeting to consult with the academic staff members holding ESS or tenure when a candidate is being considered for employment security status prior to arriving at a positive or negative decision.
  - d. The recommendation must be signed by the elected representative of the Committee. **Note that signatures of all committee members are not required, and the committee's**

membership must not be listed in the recommendation. The Committee vote should not be mentioned in the recommendation. (Please avoid using jargon such as “The committee unanimously recommends...”)

3. **Director’s/Department Chair’s/Unit Head’s Written Recommendation.\***
  - a. Prior to making a positive or negative recommendation, the administrator shall hold a meeting to consult with the elected peer-group committee consisting of at least three (3) bargaining-unit academic-staff members who hold ESS or tenure.
  - b. In peer groups with fewer than three (3) academic-staff members holding ESS or tenure, the administrator shall schedule a meeting to consult with those members.
  - c. The elected peer-group committee or academic-staff members holding ESS or tenure shall review the candidate’s application packet.
  - d. **The candidate shall be notified of the recommendation after it has taken place.**
4. **Employee’s Personal Request Statement.\***
  - a. This statement might include information relating to the applicant’s career path of relevant and important information that is not included in one of the other sections.
5. **WSU Professional Record.\***
  - a. The template for the WSU Academic Staff Professional Record (*link needed*) is available on our personnel templates and instructions webpage (*link needed*). The professional record should be signed and dated by the applicant on the first page.
6. **Letters of Evaluations (*optional*).\***
  - a. Candidates may request and add letters of evaluations from colleagues to support their ESS request.
  - b. These letters may also be used for promotion packets. If the letters are used for both promotion and ESS packets, the evaluator should mention both actions in their letter.
  - c. **If the Letters of Evaluations are going to be used in both the candidate's ESS and promotion packet, the unit is responsible for soliciting the letter(s) to maintain confidentiality. The candidate should not have access to the recommendation letters if requesting promotion.**
7. **Performance Evaluations from the Previous Four (4) Years.**
8. **Evidence of Excellence in Job Performance.**
9. **School/College ESS Factors and Unit/Department ESS Factors (*if applicable*).**

### Procedures for Requesting ESS

A written request indicating the intention to apply for ESS should be made to the director/chair/dean no more than twelve (12) months, prior to the individual’s fifth (5th) anniversary of employment on the ESS clock.

Academic staff are required to submit the following materials to their department chair or immediate supervisor six (6) months prior to their fifth anniversary.

1. **Academic Staff ESS Cover Sheet.**
4. **Employee's Personal Request Statement.**
5. **WSU Professional Record.**
6. **Letters of Evaluations (*optional*).**
7. **Performance Evaluations from the Previous Four (4) Years.**
8. **Evidence of Excellence in Job Performance.**
9. **School/College ESS Factors and Unit/Department ESS Factors.**

**Once these documents have been submitted to the department, candidates should not have access to their packets going forward.** Units are responsible for establishing an internal timeline for applications to be reviewed by committees and administrators. Once all evaluations have been completed, the unit is responsible for compiling the remaining required documents for the final packet in the order provided on page two (2).

The application should be compiled as a single-page PDF containing bookmarks by each heading. The school/college/division is responsible for submitting all applications in their unit to their Dean/VP for final consideration.

After the Dean/VP has considered the application, the candidate should be notified immediately. A copy of the decision letter must be forwarded to the [Provost's Office of Faculty Affairs and Development](#).

### Appeal Procedures

Only an academic-staff member who has completed four (4) years of full-time service, including credited prior service, may initiate the appeal procedure described below. A candidate for employment security status may appeal one (1) time only.

#### **Appeal of the Dean/Vice President's Decision:**

If the dean/vice president does not recommend employment security status, the candidate may, within fifteen (15) days after written notice of the decision, request, in writing, reconsideration by the unit ESS committee and/or the dean/vice president. The candidate may, at their option, appear before the unit ESS committee. The candidate may bring with them a member of their unit holding tenure or employment security status.

#### **Appeal of the School/College/Division Committee Decision:**

In those Schools/Colleges/divisions without academic-staff unit ESS committees and where there is no recommendation for employment security status, the candidate may, within fifteen (15) days after written notice of the decision, request reconsideration by the dean/vice president and may, at their option, meet with the dean/vice president. The candidate may bring with them a member of the academic staff holding tenure or employment security status.

#### **Reconsideration by the Dean/Vice President or School/College/Division Committee:**

If after reconsideration the dean/vice president approves employment security status, the academic-staff member receives employment security status. If after reconsideration both the committee and the dean/vice president do not recommend employment security status, the

candidate does not receive employment security status. If after reconsideration the committee recommends employment security status by at least a two-thirds (2/3) affirmative vote of the membership of the committee and the dean/vice president reaffirms their negative recommendation, the candidate may, within fifteen (15) days, forward their application, along with supporting documents, to the Provost or their designee.

**Review by the Provost:**

The Provost or their designee will review only those cases referred to their office because of substantial disagreement at the level of the dean/vice president after the appeal procedure described above. Prior to arriving at a decision, the Provost will consult with the Association. If the Provost approves employment security status, the academic-staff member receives employment security status. If the Provost does not approve employment security status, the status is denied and the candidate's term appointment will not be renewed beyond the fifth (5th) year. The Provost's decision is final.