UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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Shane N. White

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May 9, 2018

SUSAN CARLSON, VICE PROVOST ACADEMIC PERSONNEL

Re: Endorsement of Proposed Revisions to APM 285 and 210-3

Dear Susan:

In February, following the second systemwide review of proposed revisions to the Lecturer with Security of Employment (LSOE) APM series, I asked a Council working group to discuss – and attempt to reconcile – the different perspectives expressed within the Senate comments generated during the review.

At its April 25, 2018 meeting, the Academic Council voted to support the working group's main proposal related to APM sections 285 and 210-3 – to replace the LSOE title series with a new series that includes a rank-and-step system parallel to the Professor Series, sabbatical privileges equivalent to the Professor Series, and increased expectations for teaching excellence and professional and/or scholarly achievement.

The vote is consistent with a motion passed by Council at its June 2017 meeting following the first sytemwide review, "to endorse the concept of a new title series to replace LSOE that includes rank and step, sabbatical privileges, a research requirement that emphasizes pedagogy but allows research in the underlying discipline, and precludes new hires in the LSOE series."

This recommendation is also largely consistent with the proposal circulated for second systemwide review in December; but, importantly, Council has recommended additional revisions to clarify that the *primary* responsibility of LSOE faculty is teaching and teaching-related tasks and their *secondary* responsibility is professional and/or scholarly activities, including creative activities, especially as they relate to pedagogy. The additional revisions also clarify that individuals in the LSOE series be evaluated for appointment and advancement primarily on teaching excellence, and that teaching is more highly weighted than professional and/or scholarly activity and service.

Council also voted to maintain the existing titles in the Lecturer with Security of Employment series, but to also allow discretion for individual campuses to use "Teaching Professor" as a campus-wide working title alternative to "LSOE".

Council believes strongly that LSOE faculty serve a vital role at the University and must be supported. We think these revisions will help promote equal and inclusive treatment of LSOEs,

enhance their recognition and respect within and outside of UC, as well as highlighting and clarifying contrasts between the scholarly expectations of the LSOE series and the duties of Unit 18 Lecturers.

Council is also sensitive to faculty concerns about how the new series could affect the professoriate and the UC mission – specifically, the potential for the new series to endanger the University's research mission by making it easier to increase the number of teaching faculty at the expense of research faculty, and the potential for women and members of underrepresented groups to be disproportionately recruited to the LSOE series, rather than to the regular series.

Council has agreed to assemble a group to monitor the use of the revised LSOE series and examine how well it becomes linked to the overall goals of the University, particularly those related to equity and diversity. We also recommend that campuses conduct an ongoing assessment of the balance of faculty members holding different titles, to reflect the expectations of a research university. I have also asked the Council working group to develop guidance to campuses to integrate LSOEs more fully into the fabric of departmental and campus community life.

The Senate greatly appreciates your efforts to modify the proposal in response to faculty feedback during these systemwide Senate reviews. Please do not hesitate to contact me if you have any questions.

Sincerely,

Shane N. White, Chair Academic Council

Encl.

Cc: Academic Council

Senate Director Baxter Senate Executive Directors

285-0 **Policy**¹

- a. Lecturer titles that have or lead to security of employment are faculty positions designed to meet the long-term instructional needs of the University that cannot be best fulfilled by an appointee in the professorial series (see APM - 220).
- b. A budgeted FTE must be allocated for any full-time appointment in this series. Should the Chancellor approve a less than 100 percent appointment, a portion of a budgeted FTE equal to the percent time appointment must be allocated. See APM - 285-16-b for more information on part-time appointments.

285-4 **Definition**

a. The Lecturer with Security of Employment (LSOE) series is used for appointees who are members of the faculty of an academic or professional college, school, division, department, or program of the University whose primary responsibility is teaching and teaching-related tasks and secondarily professional and/or scholarly activities, including creative activities, especially as they relate to instruction and pedagogy. The faculty in this series also have responsibility for University and public service.

¹ Faculty appointed into the LSOE series prior to 7/1/19 are eligible to be evaluated under the criteria in effect as of 7/26/02. All other provisions of this policy apply effective 7/1/18.

 An appointee in this series will regularly carry a heavier load of teaching than will appointees in the professorial series.

285-8 **Types of Appointments**

Acting titles may be used (see APM - 235).

- a. Titles in the Lecturer with Security of Employment series are:
 - (1) Lecturer with Potential for Security of Employment. This title is used for those that have not yet been conferred security of employment.
 - (2) Lecturer with Security of Employment.
 - (3) Senior Lecturer with Security of Employment.
- b. An *appointment* (as distinguished from a promotion or reappointment) occurs when a person is employed in one of the three ranks above, if the individual's immediately previous status was:
 - (1) not in the employ of the University;

- (2) in the employ of the University but not with a title in this series; or
- (3) in the employ of the University in the same title but at a different campus.
- c. A *promotion* is advancement from one rank to a higher rank within the LSOE series.
- d. A *merit increase* is advancement in salary rate and step without change of rank (see APM 610, Salary Increases).
- e. A *reappointment* is the renewal of a Lecturer with Potential for Security of Employment appointment immediately following the end date of a previous appointment (i.e., without a break in service). A reappointment may or may not be accompanied by a merit increase.

285-9 Criteria

 a. A candidate for appointment, reappointment, merit increase, or promotion in this series shall be evaluated by the following three criteria with teaching excellence being more highly weighted than the other two:

- (1) Teaching excellence: The demonstration and maintenance of teaching excellence is the primary criterion for the series.
- (2) Professional and/or scholarly achievement and activity, including creative activity.
- (3) University and public service.

These criteria are further explained in APM - 210-3, *Instructions to Review Committees That Advise on Actions Concerning the Lecturer with Security of Employment (LSOE) Series*.

b. Change of series

In cases when there has been a review of an Assistant Professor and the Chancellor has decided not to continue the individual's appointment in the professorial series, the individual may not subsequently be appointed on any campus to the LSOE series (or certain other titles) for a period of five years. (see APM - 133-0-a(3).)

Upon the recommendation of the department, and consistent with campus academic review processes, the Chancellor may appoint an Associate Professor or Professor to the Lecturer with Security of Employment or Senior Lecturer

with Security of Employment title. This change of series requires the written consent of the faculty member.

An appointee in the Lecturer with Security of Employment series may have a change of series into the professorial series, consistent with campus academic review processes and only upon satisfying recruitment compliance.

285-16 **Restrictions**

The following restrictions apply to the use of titles in this series:

- a. In order to maintain the University's mission for an appropriate balance between education, research, and service, the Chancellor, in consultation with the Academic Senate, may establish a cap on the number of appointments in this series. If so desired, a cap may be set for each school or department.
- Normally, an appointment to this series is for 100 percent service to the University.
- c. Security of employment may be granted only for an appointment at 51 percent or more time unless the Chancellor, whose authority may not be redelegated, approves the appointment by special exception.

d. An initial appointment at less than 100 percent but 51 percent or more time with a title in this series, or a subsequent permanent reduction in the percent time of an appointment, may be authorized under exceptional circumstances, provided the Chancellor specifically approves the arrangement as being in the best interests of the University based on the particular situation.

A memorandum of understanding between the Chancellor and the part-time appointee shall be signed by both parties, to clarify the following:

- (1) There are no implied rights to current or future full-time security of employment and the only security of employment granted with this appointment is at the agreed upon percentage; and
- (2) Workload expectations are based on the specified percentage of time of the appointment.
- e. Appointment and advancement of a part-time appointee shall depend on the quality of performance in teaching excellence, professional and/or scholarly achievement and activity, including achievement and activity in creative work, and service with teaching being more highly weighted than the other two.

 Expectations for the quantity of performance shall be based on the percentage of time of the appointment, but expectations of the quality are the same as 100% time. In all cases, when an appointee is considering a part-time appointment, or

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a temporary reduction in the percentage of time of an appointment, the terms of the appointment and the performance expectations shall be discussed by the dean, department chair, and the appointee at the outset and documented in a memorandum of understanding for advancement.

f. When there has been a review of a Lecturer with Potential for Security of Employment, Assistant Professor in the Professorial series, Assistant Professor in Residence, or Assistant Professor of Clinical (e.g., *Medicine*) and the Chancellor has decided not to continue the individual's appointment in that series, the individual may not be appointed on any campus to certain faculty titles for a period of five years as set forth in APM - 133, Appendix A and also APM - 133-0-a(3) and b(3).

285-17 Terms of Service

- a. Lecturer with Potential for Security of Employment
 - (1) Term of Appointment

Each appointment and reappointment is limited to a maximum term of two years with a specific end date. The total University service with this title in combination with certain other titles may not exceed eight years, in accordance with APM - 133-0-b.

(2) Appointment for Less Than Two Years

The appointment or reappointment of a Lecturer with Potential for Security of Employment may be for a period of less than two years only under the following circumstances:

- (a) An appointment or reappointment with an effective date other than July 1st shall end typically on the second June 30th following the appointment or reappointment.
- (b) A promotion or merit increase may become effective on July 1st before the end of a two-year term, but such advancement shall mark the beginning of a new term of appointment.
- (c) Consistent with the eight-year limit, a terminal appointment for a

 Lecturer with Potential for Security of Employment may be for a

 period of less than two years provided adequate notice has been given,

 per APM 285-17-a(4).
- (3) Advancement

An appointee holding the title Lecturer with Potential for Security of Employment is eligible for reappointment, merit increase, and promotion based on careful reviews of the appointee's progress and achievement, primarily in teaching excellence and secondarily in professional and/or scholarly achievement and activity, including creative activity, as well as service.

(4) Notice for Non-Renewal of Appointment

When an appointment as a Lecturer with Potential for Security of Employment is not to be renewed, written notice shall be given by the Chancellor prior to the expiration date in accordance with the schedule below.

- (a) With less than one year of service as a Lecturer with Potential for Security of Employment by the end of the current period of appointment: at least a four-month notice.
- (b) With at least one complete year of service and not more than two years of service as a Lecturer with Potential for Security of Employment by the end of the current period of appointment: at least a six-month notice.

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- (c) With more than two years of service as a Lecturer with Potential for Security of Employment by the end of the current period of appointment: at least a twelve-month notice.
- (5) Termination Before the End of the Appointment Period
 - (a) Lecturer with Potential for Security of Employment

Termination of the appointment of a Lecturer with Potential for Security of Employment before the expiration of the appointment shall be only for good cause, after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate, in accordance with Regents' Standing Order 103.10 and Senate Bylaws 336 or 337.

(b) Lecturer with Security of Employment and Senior Lecturer with Security of Employment

All appointments and promotions to the ranks of Lecturer with Security of Employment and Senior Lecturer with Security of Employment shall continue until terminated by resignation, retirement, or dismissal. An appointment with security of employment shall not be terminated except for good cause after the opportunity for a hearing before the properly constituted advisory committee

of the Academic Senate, in accordance with Regents' Standing Order 103.10 and Senate Bylaws 336 or 337.

285-18 **Salary**

The Office of the President publishes a salary scale for this series. The Lecturer with Security of Employment series will include three ranks and the same steps as the professorial series.

The Chancellor, after appropriate review, has authority to approve salaries up to and including the Indexed Compensation Level (ICL).

The Provost and Executive Vice President for Academic Affairs has authority to approve salaries exceeding the ICL threshold. See APM - 220-85-d.

285-19 Normal Periods of Service

The normal periods of service at rank and step in this series are shown in the published salary scales and are described below. Although these time periods indicate the usual intervals between advancements, they do not preclude more rapid advancement in the case of exceptional merit or more gradual advancement when warranted and if unrelated to a Lecturer with Potential for Security of Employment's eight-year limitation. Personnel reviews that are deferred due to stopping the clock

for reasons as defined in APM - 133-17-g, -h, and -i or a family accommodation as defined in APM - 760 should be treated procedurally in the same manner as personnel reviews conducted at the usual intervals. All evidence produced during the probationary period, including the period of the extension, counts in the evaluation of the candidate's review file. The file shall be evaluated without prejudice, without regard to the length of service at the Lecturer with Potential for Security of Employment rank, and so stated in the department chair's letter.

- (1) For a Lecturer with Potential for Security of Employment, the total period of University service in the title Lecturer with Potential for Security of Employment or in this and certain other titles (see APM 133-0) shall not exceed eight years, except as provided in APM 133-12. The normal period of service at a given step in this rank is two years.
- (2) For a Lecturer with Security of Employment, the normal period of service in this rank is six years. The normal period of service at step is two years in each of the first three steps. Service at Steps IV and V is three years in each step.
- (3) For a Senior Lecturer with Security of Employment, the normal period of service is three years at step in each of the first four steps. Service at Step V and above may be of indefinite duration. Advancement to Step VI usually will not occur after less than three years of service at Step V. This involves

an overall career review and will be granted on evidence of sustained and continuing excellence in each of the following three categories, with teaching excellence receiving primary weighting above the others: (1) extraordinary effectiveness and excellence in teaching and teaching-related tasks; (2) professional and/or scholarly achievement and activity; and (3) University and public service. Advancement from Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX, will usually not occur before three years, and will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.

Advancement to an Above-Scale rank involves an overall career review and is reserved only for the most highly accomplished faculty (1) whose work of sustained and continuing excellence has attained national or international recognition and broad acclaim reflective of its significant impact on education within the discipline; (2) whose contributions to University teaching and education outcomes are excellent; and (3) whose service is highly meritorious. Except in rare and compelling cases, advancement will not occur after less than four years at Step IX. Moreover, mere length of service and continued good performance at Step IX are not justification for further merit advancement. There must be demonstration of additional merit and distinction beyond the performance on which

advancement to Step IX was based. A merit advancement for a candidate already serving at above-scale must be justified by continuing evidence of accomplishment commensurate with this level. Continued good service is not an adequate justification. Intervals between such merit advances may be indefinite, and only in the most superior cases where there is strong and compelling evidence will advances at intervals shorter than four years be approved.

285-20 Conditions of Employment

- a. Lecturer with Potential for Security of Employment, Lecturer with Security of Employment, and Senior Lecturer with Security of Employment are members of the Academic Senate, per Regents' Standing Order 105.1(a).
- b. An appointee to this series may be assigned to teach courses at any level.
- c. An appointee with a title in this series is eligible to apply for sabbatical leave (see APM 740).

285-24 Authority

Authority to approve appointments, reappointments, merit increases, and promotions to titles in this series are as follows:

- Lecturer with Potential for Security of Employment
 The Chancellor, after appropriate review (see APM 220-82).
- Lecturer with Security of Employment
 The Chancellor, after appropriate review (see APM 220-85).
- Senior Lecturer with Security of Employment
 The Chancellor, after appropriate review (see APM 220-85).

285-80 **Review Procedures**

The Chancellor, in consultation with the Committee on Academic Personnel, may develop local review procedures for the Lecturer with Security of Employment series. Campus procedures for review and advancement shall be modeled on the general pattern of the review process for members of the professorial series (see APM - 220-80 and APM - 210-3).

285-95 Letters of Invitation and Notification

See APM - 220-95 for model language. The term "security of employment" shall be substituted for the term "tenure."

210-3 Instructions to Review Committees That Advise on Actions Concerning the Lecturer with Security of Employment Series¹

- a. The Bylaws of The Regents provide: "No political test shall ever be considered in the appointment and promotion of any faculty member or employee." This provision is pertinent to every stage in the process of considering appointments and advancements.
- b. The policies and procedures set forth above in APM 210-1-a, -b, -c, and -e shall govern the committee in the confidential conduct of its review and in the preparation of its report. The committee should refer to APM 285 for policies on the Lecturer with Security of Employment series.
- c. The review committee shall evaluate the candidate with respect to the proposed rank and duties considering the record of the candidate's performance in (1) Teaching excellence, (2) Professional and/or scholarly achievement and activity, including creative activity, and (3) University and public service.

¹ Faculty appointed in the LSOE series prior to 7/1/19 are eligible to be evaluated under the criteria in effect as of 7/26/02. All other provisions of this policy apply effective 7/1/18.

Superior intellectual attainment, as evidenced primarily in excellent teaching and secondarily in professional and/or scholarly achievement and activity, including achievement and activity in creative work, is an indispensable qualification for appointment or promotion to security of employment. This standard for appointees in the Lecturer with Security of Employment series is necessary for maintaining the quality of the University as an institution dedicated to education. The review committee must further evaluate whether the candidate has a record of excellence in teaching while engaging in a program of professional and/or scholarly or creative activity that is appropriate for this series.

The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. For faculty in this title series, these contributions to diversity and equal opportunity are most likely to be focused on teaching and learning and can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or teaching that is particularly sensitive to diverse populations. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved

populations, should be given due recognition in the teaching or service categories of the academic personnel process.

d. The candidate is expected to submit for the review file a presentation of his or her activity in all three areas of teaching excellence, professional and/or scholarly achievement and activity, and University and public service.
Evidence may be relevant to evaluation of achievement in more than one category and the review committee will assign the evidence to the appropriate category. Campus guidelines may include separate requirements, expectations, or guidelines for various schools or departments. The criteria set forth below are intended to serve as guides for minimum standards by which to evaluate the candidate, not to set boundaries to exclude other elements of performance that may be considered.

(1) **Teaching Excellence**

Clearly demonstrated evidence of excellent teaching is an essential criterion for appointment, advancement, or promotion. Faculty in the Lecturer with Security of Employment series are expected to maintain a continuous and current command of their disciplinary subjects. They should, among other things, demonstrate the ability to foster an inclusive, stimulating, and effective learning environment.

When evaluating the effectiveness of a candidate's teaching, the committee should consider the following objectives for individuals in this series: display evidence of continuous growth and mastery of the subject field; emphasize the connections between the relevant subject and other fields of study; foster an environment that supports student curiosity, independent evaluation of evidence, and capacity to reason; provide guidance, mentoring, and advising to students, teaching assistants, and other staff and faculty with teaching responsibilities; create an academic environment that facilitates active participation and learning by all students with a focus on developing effective strategies to advance learning by students in various underrepresented groups; contribute to the development and adoption of effective evidence-based pedagogical strategies including instructional units, materials, and resources; incorporate and promote significant curricular revisions informed by current pedagogical knowledge; and apply and advocate for effective teaching techniques.

The committee should attend to the variety of demands placed on the

Lecturer with Security of Employment series by the types of teaching called
for in various disciplines and at various levels and should evaluate the total
performance of the candidate with proper reference to assigned teaching
responsibilities. The committee should clearly indicate the sources of
evidence on which its appraisal of teaching excellence has been based. In
preparing its recommendation, the review committee should keep in mind

that the report is an important record of the candidate's teaching and serves as the basis for additional recommendations and the final decision.

It is the responsibility of the department chair to submit meaningful evaluation, accompanied by supporting evidence, of the candidate's teaching effectiveness.

The following is a broadly defined, non-exclusive list of evidence that may be presented concerning teaching excellence:

- (a) Peer review assessments from other faculty members based on knowledge in the candidate's field; class visitations; attendance at the candidate's lectures before professional societies or in public; or the performance of students who have studied with the candidate;
- (b) Evaluations or comments solicited from students in courses taught since the candidate's last review;
- (c) A term-by-term enumeration of the number and types of courses and tutorials taught since the candidate's last review including:
 - (i) the level of courses and tutorials taught;
 - (ii) the enrollments of courses and tutorials taught;

- (iii) the percentage of student course evaluations in relation to the total number of students in each course;
- (iv) brief explanations for unusual course loads;
- (d) Identification of any new courses taught or of previously-taught courses for which the candidate has substantially reorganized the approach or content;
- (e) Documentation of the introduction of new substantive developments in the field or of new and effective techniques of instruction, including techniques that meet the needs of students from groups that are underrepresented in the field of instruction;
- (f) Documentation of success as a positive role model or effective mentor for students at all levels, including those serving as teaching assistants;
- (g) Results from studies conducted to measure changes in student understanding of the subject material from the beginning to the end of the course;
- (h) Written testimony from former students on the impact and effectiveness of the candidate's teaching and mentorship;

- (i) Awards or other acknowledgements of excellent teaching;
- (j) A self-evaluation of the candidate's teaching.

Initial appointment to the Lecturer with Potential for Security of Employment title requires clear evidence of the potential for teaching excellence.

Appointment or promotion to the Lecturer with Security of Employment title requires clear documentation of consistent and sustained excellence in effective teaching. Under no circumstances will security of employment be conferred unless there is clear documentation of consistent and sustained excellence in teaching.

Appointment or promotion to the Senior Lecturer with Security of

Employment title requires evidence of consistent and sustained excellence in

effective teaching and demonstrated distinction in the special competencies

appropriate to teaching the particular subject.

(2) Professional and/or Scholarly Achievement and Activity

Clearly demonstrated evidence of professional and/or scholarly achievement and activity, including creative activity, is one of the criteria for appointment

or promotion. Professional and/or scholarly activities may be related to the underlying discipline itself or to pedagogy. Such activities should provide evidence of achievement, leadership, and/or influence on the campus or beyond. Certain administrative activities (e.g., of learning centers and teaching programs) and community outreach activities are also relevant, as would be presentations of seminars or lectures at other institutions or professional societies, or participation in scholarly activities (e.g., summer seminars) designed to enhance scholarly expertise in relevant fields. Other records of participation in intensive programs of study—in order to be a more effective teacher and scholar, with the goal of enhancing one's teaching and scholarly responsibilities—are also relevant evidence of professional and/or scholarly activity.

Creative activities count as relevant professional and/or scholarly activities in appropriate disciplines. In certain fields, such as art, architecture, dance, music, literature, and drama, an accomplished creation should receive consideration as an example of professional and/or scholarly achievement and activity. In evaluating creative activities, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression.

The following are broadly defined, non-exclusive examples of evidence that may be presented:

(a)	Do	ocumentation of the development of or contributions to:
	(i)	original materials designed to improve learning outcomes;
	(ii)	evidence-based design and evaluation of educational curricula or pedagogy;
	(iii)	administration and evaluation of a teaching program or a learning center;
	(iv)	systematic quality improvement programs and evaluation of their implementation;
	(v)	discipline-specific information systems;
	(vi)	development and evaluation of community outreach or community oriented programs.

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publications;

(b) First, senior, or collaborative authorship of scholarly or professional

- (c) Accomplished performance, including conducting and directing;
- (d) Accomplished artistic or literary creation;
- (e) Accepted invitations to present seminars or lectures at other institutions or before professional societies.

Initial appointment to the Lecturer with Potential for Security of Employment title requires evidence or promise of productive and creative contributions to professional and/or scholarly activity that would support excellent teaching.

Appointment or promotion to the Lecturer with Security of Employment title requires evidence of sustained professional and/or scholarly achievement and activity in support of excellent teaching.

Appointment or promotion to the Senior Lecturer with Security of Employment title requires evidence of consistent and sustained professional and/or scholarly achievement and activity and a profile of excellent teaching that have made the candidate a leader in the professional field and/or in education.

(3) University and Public Service

The review committee should evaluate the quantity and quality of service to the department, the campus, the University, and the public (whether to the local community, state, or nation). Service which is directly related to the candidate's professional expertise and achievement is of special relevance but so too is service in areas beyond those special capacities when the work done is of sufficiently high quality. Examples of service include: service related to the improvement of curricula or standards in elementary and secondary education; service on thesis and dissertation committees or on student-faculty committees and service to student organizations; participation in Academic Senate and campus committees and initiatives; and contributions furthering diversity and equal opportunity within the University through participation in recruitment, retention, and mentoring of scholars and students.

Initial appointment to the Lecturer with Potential for Security of Employment title requires evidence of the likelihood of participation in department activities and the potential for service to the campus.

Appointment or promotion to the Lecturer with Security of Employment title requires evidence of activity on committees within the professional field, department, school, campus, or University; or of service to the public in

areas directly related to the candidate's professional expertise and achievement.

Appointment or promotion to the Senior Lecturer with Security of

Employment title requires active participation on committees within the

professional field, department, school, campus, or University; or of service to
the public or profession in areas directly related to the candidate's

professional expertise and achievement.