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One fact stands out in my 20 years of studying new faculty: Almost all the failures and miseries of these new hires is owed to misunderstandings about effective ways of working and socializing. Never, in my close observations of over a thousand novice professors, did I see someone falter for reasons of inexpertise in his or her area of scholarship. Or from lack of desire. Instead, the most telling mistakes were easily correctable problems such as not understanding how to moderate student incivilities in classrooms, not knowing how to manage enough writing for publication in modest amounts of time, and not learning how to elicit effective collegial support. Something else marked the career beginnings of new hires who would struggle and suffer: The immoderation and excessive-ness with which they worked – with far more misdirection, busyness, and disruptive distress than for their successful peers who simplified their work and their lives.

(Boice, 2000, pp. 1-2)
DEVELOPING, INITIATING AND ASSESSING SUCCESSFUL TRANSITION PROGRAMS

Based on the TLAT report findings (wwwCtl.ualberta.ca), the way mentoring is conducted in institutions of higher education in Canada, including the University of Alberta, needs to be rethought. Specifically, based on both the Canada-wide survey responses as well as the semi-structured interviews at the UofA, one-on-one mentoring relationships may hinder new academics rather than help them. In particular, both sets of data reveal issues such as ongoing problems of discrimination, lack of preparation for tenure and promotion, problematic matching and grooming.

Although there are many factors contributing to problems in mentoring relationships, one aspect seems to be dominant: the transition for new faculty into academia has been bundled into one activity: mentoring -- with one person responsible for all the transition activities for new faculty. Of course, assuming that one person has expertise in all areas is an optimistic assumption. Based on the findings of the TLAT mentoring report, it would seem more reasonable to conclude that what new faculty need is a transition program -- of which providing advice by experienced faculty members (or mentors) is only one of many resources required (and available) to support new academics. In keeping with the recommendations of the TLAT committee, it is recommended that Departments and/or Faculties provide a transition program to their new academics.

This manual provides a guide for transitioning new academics to the University of Alberta that will prepare them for successful academic careers.
The faculty members are any university’s most important assets. Faculty members determine the university’s research, teaching, and service to the community. As such, one of the most important – if not the most important – responsibility that a head of an academic unit has is to hire new faculty, followed by providing assistance, support, and opportunities to develop their career, and to see them through to tenure.

An effective first step to fulfill this responsibility is to initiate a program to assist new faculty in transitioning into their new responsibilities of teaching, service, and research. Because it is at the localized unit level that the new faculty member will live, it is at this level that the transition programs are most effective. Effective transition programs will fit the culture and environment of the unit in which the new faculty member resides. Therefore, in addition to the unit heads, experienced and senior faculty must also be involved in the design and implementation of an effective transition program.

Nevertheless, although the local unit will have the greatest impact on initiating effective programs, the broader culture of the faculty (for departmentalized Faculty) and university policies and values will also affect what transition programs do and what new faculty members need to learn. Thus, while these programs should reside within the units, there is a need to provide formal institutional support and resources for the programs.

Equally important is to establish meaningful recognition for those who participate in these programs. Done right, involvement in these programs will take time that faculty would otherwise be devoting to other duties.
The first challenge in initiating a program is to define the purposes. In this regard, questions that need to be asked, and answered, include:

What are the key reasons for developing the program?

Whom will the program serve (e.g., faculty coming into their first academic appointment? Or also faculty migrating from positions at other universities?)

How will it benefit new faculty?

Each unit has its own ethos and structures, and the shape of each transition program will necessarily be different in every unit.

Prior to initiating the transition program, it is also important to define the new faculty pool.

Who are the prospective new faculty?

What specific characteristics or needs should new faculty have?

Should there be any eligibility requirements?

An essential objective of a transition program is to provide new faculty with information and initial career planning consultation. As such, the program should include the following kinds of activities:

- Sharing of formal and informal rules
- Introduction to academic culture
- Introduction to faculty and staff
- Information about staff resources
- Setting goals for career development
- Advice on issues of teaching, research, promotion, tenure, and service

Once the purpose(s) has been determined, then the goals need to be identified. This is essential in initiating a successful program. Once the goals have been identified, it is then possible to maintain a focused and effective effort. The goals in any program should include, at a minimum, a concern for each faculty member’s development and support opportunities.

In addition to establishing the purpose and goals, the program should also consider how to:

- Communicate to new faculty about guidelines and policies within the University and unit (Faculty and/or Department)
- Identify, support and train the experienced faculty members who will be assisting and/or overseeing the transition of new faculty
- Evaluate and modify the effectiveness of the transition program
Activities that form parts of the program should continue until the new faculty member achieves tenure and promotion. During this time, there should be frequent contact for guidance at agreed upon intervals, perhaps totaling 1-2 hours per month.

As mentioned, how a transition program should be shaped in specific terms will depend on the culture and needs of each unit. Nevertheless, the majority of new faculty members will have had little experience with the obligations required of academic professionals, such as service commitments and teaching responsibilities – regardless of their unit.

On the teaching front, most new faculty members may experience some (or all!) of the following problems:

- Required to teach a course with a lack of expertise in subject matter
- Over-preparation of course materials
- Over-reliance on lecture methods
- Teach above or below the level of the students
- Lack of coherence between the course objectives and the material presented
- Inundating students with too much information and assignments
- Reluctance to ask for help with teaching
- Lack of awareness of how the course is going prior to a summative evaluation (e.g., the end-of-course evaluation and/or the USRIs)

On the service side, most new faculty members will need help with the following:

- Identifying service activities to participate in that will facilitate a better understanding of the unit and/or institution, or that will benefit their career at this early stage
Committed too much time or not enough time to service obligations

Understanding the expectations regarding service and its role in the promotion and tenure process

Knowing when (and how) to say no – and not to say no – to service requests

How to negotiate service loads effectively

The remaining areas that new faculty need help with is research and, by extension, publishing. Consistent with the research literature on academic development (e.g., Sorcinelli, 1994), new faculty at the University of Alberta expressed that they need more help with their programs of research. Specific examples of where help is needed include:

How to develop a research agenda

How to identify and secure funding opportunities, including complete information on grants that are available, guidelines and due dates (e.g., NSERC, SSHRC, CIHR, CFI, Killam, TLEF, travel grants, Faculty-specific sources, Foundations)

A pool of advisors to review grant proposals (e.g., commentary on early drafts of applications)

Examples of successful grants to review

How and where to publish, and which conferences to attend and/or present
Identification of the resources necessary must be done to ensure sustainability of the program. Before identifying the specific resources, though, it is essential to understand that there needs to be a commitment to time, energy, interest and enthusiasm for this process – from the unit head, from the advisors, from new faculty, and from the institution.

Once this has been established, identification of resources needed for implementing and sustaining the transition program involves addressing these important questions:

- What are the necessary resources (e.g., staffing, support services, space, supplies, operating budget, etc.)
- Who will assume responsibility for securing the necessary resources (e.g., unit or department and/or faculty?)
- Will the resources be temporary or permanent? (If temporary, can the program generate funds to ensure sustainability?)

Second, visible support from senior administration needs to be in place. Important questions that need to be addressed here are:

- What should this support look like?
- Who must be involved?
- What would they be doing?
- Who are the current champions of the initiative?

Finally, identification of ways to recognize and reward the advisors for their time, efforts, and commitment to the transition program is clearly important.

- How should this service be rewarded? (e.g., Inclusion in merit assessment? Another form of recognition?)
- Should all participants be recognized?
- Who will select those to be rewarded?
NEW FACULTY ADVISOR SELECTION

TRIAD SUPPORT

Having multiple and diverse supports for new and early faculty provides a number of important advantages. For example, new and early faculty members will have wider access to allies and alliances, as well as access to social and professional networks. Additionally, when several experienced academics are involved in the transition process the support functions for new and early faculty can be shared – relieving the pressure for a few experienced faculty mentors to carry the entire load.

When support is provided for new faculty by at least three experienced faculty members who have complimentary strengths and skills in teaching, research and service, it takes the pressure off unit heads to find ‘perfect’ mentors, as well as taking the pressure off the mentors who often feel burdened with the task of being superior on all fronts.

Successful transition programs require a pool of carefully selected experienced and trained faculty to draw from as new faculty advisors. In particular, the creation of an advisor pool with accomplished faculty members who have complimentary areas of expertise in teaching, services and research is needed.

How advisors are chosen, and by whom, is amongst the most difficult, and most important, actions in implementing and sustaining effective transition programs. (Who should do the selecting of the advisors will be covered in the following section).

New faculty advisors have two main roles: experts and role models. In this regard, it needs to be kept in mind, when selecting the advisors, that effective advisors will have the knowledge, the credibility, the experience, and the willingness to guide new faculty. Questions that should be answered when selecting advisors for the new faculty transition program include: who should serve in these roles? – and, equally important, who should not serve in these roles? For example:

Are the potential advisors accessible?

Are they respected among professional peers – both within the institution and outside the institution? Do they have professional contacts that may be of benefit to new faculty members?

What specific characters should advisors have? For example:

Can they give useful feedback in a constructive and caring manner? Can they serve as a sponsor or advocate?

Can they foster growth and independence?

Can they encourage new faculty members to develop within their own terms?
NEW FACULTY ADVISOR SELECTION

Other important questions include:

How will advisors be recruited?

How will they be selected?

What does it mean to be part of the new faculty advisor pool?

Should the pool be replenished and or refreshed? If so, how and when?

It cannot be stressed enough that care needs to be taken in creating a pool of new faculty advisors to draw from. While there are many benefits to transition programs, there can also be many difficulties encountered when inappropriate individuals are selected as advisors – or when advisors are not provided with a training session to the advisory process.

There are a variety of ways that advisors can be selected. Each option has advantages and disadvantages.

One way to create the advisor pool is to have unit heads select experienced and suitable faculty with each having expertise in one of teaching, research and service. The advantage of having unit heads select the advisor triad is that they are legitimatized and generally rewarded in terms of time allocation and recognition. The disadvantage is that some choices may be unsatisfactory and new faculty may feel the advisors are imposed upon them. More often than not, however, unit heads select faculty who are underutilized – rather than on their skills and knowledge of the faculty and/or unit ethos and culture.

Another way to select advisors is to have them self-select – or volunteer. The advantage of self-selection is that those who volunteer are willing (or at least more willing than some assigned advisors) and, hence, more likely to be committed. The disadvantage to self-selection, however, is that it is difficult to hold volunteers accountable for doing a poor job and, more importantly, it is doubtful that this option enables the selection of the best advisors.
NEW FACULTY ADVISOR SELECTION

Each selection process has its pros and cons, and each approach may be differently suitable for the different kinds of transition programs. Ultimately, though, the success of a transition program rests on senior administrative support. As such, if one option must be selected, the first option (in particular, selection from the unit heads) provides the greatest contribution in terms of facilitating a successful transition program.

Of course, many individuals believe that natural and spontaneous one-to-one relationships result in the most effective interactions for new faculty. It is possible for units to create community and encourage the development of spontaneous one-to-one type relationships through the development of unit-wide social opportunities such as faculty lunch programs and informal gatherings. When attempting to foster spontaneous one-to-one relationships it is important that senior faculty members are open to the opportunity and that new faculty feel comfortable in engaging them in discussions about their potential role as an advisor.

It must be noted, though, that natural and spontaneous one-to-one relationships will develop, as they always have, for a fortunate few. Moreover, it is important to be aware that when an experienced and a new faculty member engage in a relationship linked to academic and career development, they leave the realm of personal and move to institutional. As such, the responsibility also moves to the institution to ensure all new faculty members have access to the same opportunity. This issue has been recognized by many universities since the 1980s (Wunsch, 1994). Targeted structured transition programs with well-defined goals and activities ensure that all new faculty members will benefit from such relationships (vs. traditional spontaneous one-to-one mentoring).

Perhaps most importantly, the TLAT report findings (www.ctl.ualberta.ca) revealed that the way mentoring is conducted in institutions of higher education in Canada, including the University of Alberta, needs to be rethought. Specifically, based on both the Canada-wide survey responses as well as the semi-structured interviews at the UofA, one-on-one mentoring relationships tend to hinder new academics rather than help them. In particular, both sets of data reveal issues such as ongoing problems of discrimination, lack of preparation for tenure and promotion, problematic matching, and grooming mentoring.
In a broad and general view, the advisors’ role is to instruct and facilitate the intellectual and career development of new faculty members. The resources that help new faculty enjoy a quick start in their academic careers are few: socioemotional support and clear, ongoing communications. The unit head must decide, up front, what the role of the advisors should be.

A number of authors have provided specific descriptions of the roles, activities, and functions of advisors (e.g., Zuckerman, 1970; Levinson et al., 1978; Daloz, 1986; Kram, 1986). In general, the descriptions include a host and guide, a teacher, a coach, a sponsor, a role model, a protector, a trusted counsellor, or a friend. Effective advisors are familiar with the institution, positive about their positions, productive as teachers, scholars and institutional citizens, aware of the challenges presented to new faculty and, above all, good listeners.

Identification of the roles and responsibilities of the advisors need to be determined. The following questions should be answered:

What are the specific responsibilities?

What are the appropriate roles for the advisors?

Will there be mutual accountability – and if so, what will mutual accountability mean?

What should the duration of the relationship be? [e.g., one year or until tenure is achieved?]

What should be the minimum and maximum required time commitments?

What training and education opportunities are available to new faculty advisors?

One of the most important roles of advisors is to pass on tacit knowledge (or information that might not make it into the unit transition agenda) to new faculty. New faculty often have questions about unspoken procedures or relationships within the unit. Both administrators and advisors need to be aware of these ‘unspoken rules’ in order to better address the new faculty member’s concerns and needs. Examples of questions that new faculty need to know, but may feel uncomfortable asking include:

Who are good contact people to go to with problems or questions?

What can be expected from support staff?

What are the responsibilities of support staff and unit personnel?

What conferences should be attended?

What conferences are valued most on the annual report? What kind of financial support is there for travel?

Where and what should be published?

Are there certain journals that are valued more than others within the unit?

How visible should one be in the unit?

How is working at home viewed?
ADVISOR TRAINING

Ensuring the success of transition programs will also entail advisor training and educational opportunities. To determine what kind of advising skills are needed, the following kinds of questions will need to be addressed:

What kind of training is needed?
And, who will do the training?

Are there institutional resources that may contribute to the development of the program?

Are there any faculty members currently in this role?

As mentioned, experienced and senior faculty members are the most suitable choice for the role of advisor. Unfortunately, they are also usually already very busy people. However, it must be stressed that to ensure an effective program advisors must be informed about the transition process – including an overview of what needs to be learned, how it is to be learned, and the context in which it is to be used.

Accordingly, advisors need both the time and opportunities to learn how to be an effective advisor. In particular, advisors need opportunities to:

Critically examine their beliefs about teaching and learning to teach, research approaches, and what they consider to be valuable contributions to service

Connect their practice as advisors to new faculty members’ learning

Discuss dilemmas and problems that typically arise in the course of helping new faculty

These opportunities, which can be provided through workshop-type sessions, contribute to creating a culture of supporting new faculty. An additional outcome of the training sessions for advisors is the development of a community in which advisors continue to work and support each other through the sharing of ideas and practices amongst each other with respect to advising new faculty.
It is also important to recognize that facilitation of advising skills is not enough; the new faculty member has a role in facilitating effective transition programs as well. An effective way to acknowledge the commitments by the new and senior faculty members is by constructing an unofficial understanding of the goals. Such an understanding would outline the commitments of the advisors and new faculty members, including such aspects as relationship goals, confidentiality requirements and scheduling of meeting times.

This kind of understanding can be tailored to include any aspect of the transition process that the participants feel is important. By constructing an understanding of the goals together, advisors and new faculty members have some assurance of a stable and mutually beneficial program.

Examples of statements that might be included in the understanding of the goals are:

Our goals are____________________________________________

We will meet every__________between the hours of_____and _____

We will begin and end on time

We will participate actively in the relationship

We will respect other’s expertise and experience

We will put interruptions aside during meetings

We will answer other’s emails in a timely fashion

We will make an effort to openly discuss any challenges in the transition process

If we miss a meeting we will provide an explanation of the absence

We agree not to disclose conversations without permission from the other parties

It is acceptable for one of us to ‘drop by’ another’s office for short consultations outside of our regular meeting times
Ongoing assessment and evaluation is necessary in order to identify the areas in which the program is progressing well, and what areas need improvement. In this respect, the following kinds of questions need to be addressed.

What constitutes progress? Success?
How will accountability be fostered?
How will the feedback process be monitored?
Should targets be set for the next few years? If yes, what might they be?

Of everything that has been written about developing new faculty, probably the sketchiest area is about how the processes can be monitored effectively, and how quality-assurance can be brought into the initiatives. It is, of course, even more difficult to expect advisors to be willing to be accountable if they are taking part voluntarily and on a goodwill-only basis.

However, effective transition programs, like any other pursuit, require reflective practice. Following are suggested questions for use by administrators and advisors to evaluate the effectiveness of the program:

Overall, what was the advising process like?
What wisdom did the new faculty gain from this program?
What can we learn about being effective advising in each of the areas of teaching, research and service?
What issues and/or dilemmas occurred in the advising process?
What lessons can be learned from this experience?
What went particularly well during the meetings?
Was there effective communication?
What learning challenges emerged?
What logistical challenges affected the process?
Were there external factors, such as time and access, that affected the interactions?
What strategies could improve the quality of the transition program?
The following principles of good practice emerged from nearly two decades of research on new and early-career faculty (Sorcinelli, 2000) and are based on the 14th inquiry into practical ideas and fresh thinking about new career paths and imaginative employment arrangements, sponsored by the American Association for Higher Education (Rice, Sorcinelli, & Austin, 2000). The report suggests that the intellectual, social and resource support from senior administrators are critical to attracting, developing and retaining faculty on tenure track.

Out of this report emerged ten principles of good practice for supporting new and early career faculty. The purpose of these principles is to help higher education institutions to improve the life of faculty on tenure track.

**Improving Tenure Processes**

1. Good practice communicates expectations for performance
2. Good practice gives feedback on progress
3. Good practice enhances collegial review processes
4. Good practice creates flexible timelines for tenure

Note: good practice gives new and early faculty protection from pressures to engage in service and community activities that can derail the needed development of teaching, research and publishing skills in the crucial first three or four years in a tenure track position. For example some units give lighter teaching and service loads in the first few years of tenure track positions – and greater encouragement and support, both through resource allocation and psychological support.

**Encouraging Collegial Relations**

5. Good practice encourages advising by senior faculty
6. Good practice extends advising and feedback to graduate students aspiring to be faculty members
7. Good practice recognizes the department chair as a career sponsor

**Easing Stresses of Time and Balance**

8. Good practice supports teaching, particularly at the undergraduate level
9. Good practice supports scholarly development
10. Good practice fosters a balance between professional and personal life. (Sorcinelli, 2000, p. 26)
SUGGESTED ACTIVITIES AND EXAMPLES FOR INITIATING A TRANSITION PROGRAM
The reasons for developing this program are to:

1. 
2. 
3. 

This program will be designed to serve:

1. 
2. 

This program will benefit the participants by:

1. 
2. 
3. 
4. 
5.
The prospective new faculty will be (e.g., New & Early Faculty, CAS:T):

1. 
2. 
3. 

The specific characteristics or needs new faculty should have are (e.g., first faculty appointment at the UofA, first faculty appointment since graduation):

1. 
2. 
3. 

The eligibility requirements are (e.g., tenured, tenure track):

1. 
2. 
3. 
4.
The program will include the following activities:

1.

2.

3.

4.

5.

6.
1. Resources to ensure sustainability include (e.g., staffing, support services, space, supplies, operating budget):

2. Resources will be provided by the unit (e.g., faculty/department).

3. The transition program advisors will be rewarded for their time and commitment by (e.g., merit assessment)
Advisors will have the following characteristics:

1. 
2. 
3. 
4. 

Selections will be made by ...? (e.g., unit/department chair):

1. 
2. 
3. 
4.
ROLES AND RESPONSIBILITIES
(INITIATING A TRANSITION PROGRAM)

1. The role of each advisor is ...

2. The specific responsibilities of each advisor includes ...

3. The role of the unit head (department chair/associate dean/dean) is ...

4. The duration of the program will be ...

5. The minimum time commitment is ...

6. Accountability for the program will be with ...

7. Training (orientations/workshops) opportunities for the advisors will be provided by ...

8. Other?
Checklist for supporting new faculty before arrival:

___ Information about Edmonton and Area

___ (Where necessary) immigration information, SIN, Health Care

___ Institutional information (e.g., values, mission, strategic plan, history, traditions, etc.)

___ Hardware, software and email that will be provided and installed prior to arrival

___ Office assignment (e.g., location, furniture, etc.)

___ Other?
ASSISTING NEW FACULTY UPON ARRIVAL
(TRANSITION ACTIVITIES)

Checklist for supporting new faculty upon arrival:

___ Information on unit personnel and responsibilities

___ Information on the unit (department and/or faculty), and university organization and committees

___ Information on new faculty orientations provided by the university

___ Tour of the library, the bookstore, the micro store, food courts, and other university facilities.

___ Teaching information (e.g., courses to be taught, suggested book lists, contact information with other faculty members who have previously taught the course, good courses to teach, guidelines and policies for grading, office hours, course outline and syllabi examples, teaching resources, examination procedures, final exam schedules, teaching awards, teaching evaluations, teaching workshops, typical problems that arise and how to deal with them, etc.)

___ Service information (e.g., what counts as service, likely service assignments, how much time is expected, which committees are valued, which committees should be turned down, etc.)

___ Research information (e.g., unit priorities, available travel funds, research funding available to new faculty members, etc.)

___ Information on professional development opportunities at the University (e.g., grant writing workshops, local conferences, listservs, newsletters, teaching workshops, etc.)

___ Other?
ASSISTING IN CAREER DEVELOPMENT
(TRANSITION ACTIVITIES)

Checklist for supporting new faculty in their career development:

____ Communication of expectations for performance

____ Regular and constructive feedback on progress in the areas of teaching, research and service. For example, feedback on research, teaching and service will be provided (weekly / bimonthly / monthly)

____ Information on tenure and promotion workshops provided by the Faculty Association

____ Discussion of practical information on the unit’s requirements for promotion and tenure (e.g., how and what to collect and maintain as tenure related documents or teaching dossiers, when to apply for tenure, etc.)

____ Discussion of the politics of promotion and tenure (e.g., criteria used to assess the quality of the materials that are provided for tenure, how publications are counted, types of publications valued by the unit, how the quality of teaching will be evaluated, letters of support, how professional activities are counted and measured, weighting of each teaching, research, and service, etc.)

____ Information on professional development opportunities at the University (e.g., grant writing workshops, local conferences, listservs, newsletters, etc.)

____ Assistance with the development of a long-term research and writing plan
Checklist for supporting new faculty in their collegial relations:

____  Discussion of the culture of the university and unit (faculty, and/or department)

____  Identification of institutional and unit (faculty and/or departmental) support resources for teaching and research

____  Assistance in building a network of junior and senior colleagues within the unit (department and/or faculty) and university

____  Discussion of the social and political dynamics of the unit (department and/or faculty) and university

____  Creation of opportunities for collaborations between new and senior faculty members in an area of shared interests (e.g., collaborative unit presentations, team teaching, collaborative grant applications, etc.)

____  An overview of “who’s who” in the department (e.g., who has political impact who doesn’t, the history of significant faculty members within the department, etc.)
Checklist for supporting new faculty in easing stress:

____ Assistance with scholarly development (e.g., assistance with accessing an expanded network of professional contacts – both inside and outside the university)

____ Resource identification for the development of effective teaching strategies

____ How to deal with excessive student demands

____ Assistance with classroom problems (e.g., poor evaluations, discipline, preparation, etc.)

____ Assistance with finding a balance between personal and professional life

____ Identification of high pay-off activities – and how to reduce, eliminate, or delegate low pay-off activities

____ Negotiating unit (department and/or faculty) politics
The first goal of the program is ...

   Its effectiveness will be assessed by ...

The second goal of the program is ...

   Its effectiveness will be assessed by ...

The third goal of the program is ...

   Its effectiveness will be assessed by ...
At the end of one year (3 months/6 months) a feedback form will be sent to advisors and new faculty members to determine the ongoing effectiveness of the program.

Questions that might be asked are:

- Is the time well spent?
- What (if any) challenges emerged?
- Are the forms of communication effective? (email, telephone, meetings)
- What external factors affected the process?
- What is going well in the transition sessions?
- Identify three ways to improve the quality of the time spent on the transition program.

1.

2.

3.


Holton, S. A. (1995, Summer). What do faculty really want? The Department Chair, 6, 8-12.


