Transitions in Engineering Leadership: Interim to Permanent Deans and Chairs

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Abstract

This paper describes strategies for navigating leadership transitions within engineering departments, schools, and colleges. The challenge of transitions and best-practices are reviewed for (a) those seeking or thrust into interim leadership roles, (b) those becoming permanent leaders following an interim steward, and (c) administrators supporting these transitions. The paper describes key issues of these transition challenges, presents theories of organizational behavior and leadership germane to this situation, and summarizes existing literature in this space. A meta-analysis of the existing literature is described that uses a key-words/issues approach to identify the most impactful issues and strategies in this space to lead to more positive outcomes. The authors have served in multiple interim and permanent engineering education leadership roles across multiple institutions, and the paper concludes with a case-study summation of their lessons learned across these roles and responsibilities.

Introduction

We'll start this paper with a confession – we really wish that we had done this research and read this paper before serving as interim deans. With the average lifespan of a Dean being five years or less ([1], [2], [3]) it would seem prudent for those in the academy who are even contemplating serving in a leadership role to be more prepared to lead with little notice. A literature search for serving as an effective interim leader reveals many "anecdotal advice" style papers (and the current paper will lean into this at points), but a deeper dive is needed to tie actions to theory and use data-driven approaches. Furthermore, few papers in the literature provide advice on "what comes after," i.e. best practices on how the "permanent hire" can take the reins from an interim. We, the authors, combined have served in four different interim roles (Interim Associate Dean, and Interim Dean three times) across two different institutions (a state school with ~10,000 students, and a private faith-based institution with ~2,000 students). Furthermore, we form a unique author pair in that one of us has taken the reins as a permanent hire from the other who served as the successful Interim¹. The current paper connects several aspects of the Interim Dean puzzle: (1) it summarizes a theoretical framework of transitional leadership, (2) it provides a review of the pertinent advice papers, summarizing them with a data-driven treatment of their major themes, and (3) it provides advice from two former interims grounded in the aforementioned theoretical framework and including lessons learned on smoothly transitioning from an interim leader to an incoming permanent hire.

¹ "Wow, how did that go?" you may be wondering. We'll explain.

Transitional Leadership Theory

Most transitional leadership literature focuses on corporate transitions – corporate firms who have lost a CEO or other executive position and will thus often hire an outside entity to serve in a transitional role ([4], [5], [6], [7], [8], [9], [10]). In contrast, in academia, an Interim Dean or Chair is usually selected from the pool of available internal candidates – not an outsider but rather an insider. Thus it may seem that the transitional leadership literature may not have much to say for this common academic scenario. To the contrary, it has actually been enlightening to review these papers and academic interims could benefit from their insights. As a recent example, the work of Woods et al. [4] is summarized here. Among other aspects, Woods et al. do three key things: (1) summarize existing literature that outlines the types of transitional leaders and their roles, (2) provide a framework for transitional leadership, and (3) provide factors that are linked to successful interim leadership.

Woods et al. [4] assert there are two foundational interim leadership papers – Farquhar [5] and Goss & Bridson [6], and further assert the first paper focuses on functional contributions and the second on strategic context. Farquhar [5] discusses the potential of the transition period to do any or all of the following: (a) repair damage, (b) buffer between administrations, and (c) prepare the organization to accept and work with new leadership. Goss and Bridson [6] discuss the role of interim management within a broader HR strategy, contrast interim management with the role of consultants ("a consultant remains an outsider...whereas an interim manager is expected to act as an insider"), and provide a spectrum of types of interims and the potential for mis-match between the interim and the organization (see Figure 1).

Type of Interim Supply Side - Characteristics of individual Demand side - Organizational requirements MISMATCH Management Motive Capability Need Role Operational and supervisory Simple Instrumental stopgap Route to permanent job Managerial temp competencies OTENTIAL Formal High level functional specialism Best present option Functional stopgap Applied consultant

Strategic, entrepeneurial

competencies and executive

experience

Commitment to interim

management career

Sophisticated

Figure 1: Potential Mismatch of Interim vs. Organization [6]

Woods et al. [4] discuss three types of transitional leadership situations: Gap Management and Critical Vacancy, Crisis Management and Turnaround, and Change and Transition Management. Woods et al. [4] quote Mooney, Semadeni & Kesner [7] who discuss six roles for interims: (1) seat-warmers (placeholders), (2) groomers (tasked with preparing another internal candidate), (3) marketers (brought in to promote the organization, possibly for an acquisition scenario),

Transitional stopgap

Transformational leader

(4) fixers (turn around a poorly performing company), (5) the contender (operates as a permanent replacement and considered viable for the permanent role), and (6) the cleaner (charged with cleaning house). A common thread, regardless of role, is that the interim must maintain business momentum and continuity. Finally, a key contribution of the interim is to "receive and integrate the incoming executive into a new leadership role," because thorough handover is an incredibly important function.

Woods et al. [4] propose a framework for interims which was influenced by literature on job transition (e.g. [8]). The framework discusses phases of: preparation, entry, delivery, and exit (Figure 2). The phase of "preparation" involves understanding the assignment and scope, meeting key stakeholders, and defining terms. "Entry" involves making first contact with direct reports and others, and establishing credibility. "Delivery" can be split into post-entry, main delivery, and pre-exit, with all involving the core functions of the job. "Exit" includes knowledge transfer, ensuring legacy (potentially), and setup for the next career step for the interim leader.

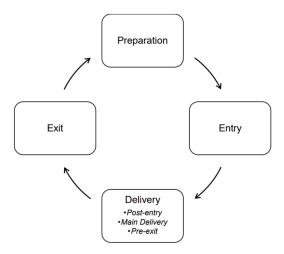


Figure 2: Framework for Interim Leaders (Woods et al. [4])

Finally, Woods et al. [4] give four factors influential to success of an interim leader: (1) personality traits (with conscientiousness highlighted based on calls to pertinent literature), (2) leadership approaches and styles (transformational leadership was highlighted based on the work of Tyssen et al. [11], (3) motivation (why pursue an interim role), and (4) competencies (including team-building, communication, motivating team members and emotional intelligence).

To contextualize the above insights to an academic context, departments, schools, and colleges, as well as interim candidates should consider the following aspects of filling an interim role:

(1) What is the biggest need? Where along the spectrum noted above is the organization along the leadership cycle – is the need crisis management and repairing damage, or is the need simply to prepare the organization for change after the departure of a beloved leader? (2) What type of interim leader is necessary? Will the interim play the role of seat warmer? Fixer? Contender?

(3) An interim candidate should be prepared to go through the life-cycle of the interim role, from entry to exit, and the interim's supervisor, colleagues, and network would be well served to be aware of and help facilitate success in each of these roles. (4) Candidates and organizations should consider the factors influential to success, with the organization selecting a candidate who has them and the candidate cultivating and emphasizing them.

Anecdotal Advice Literature

Many papers give anecdotal advice for interim Deans (e.g. [12], [13], [14], [15], [16]), usually from the perspective of someone who recently served in the role. Boyle et al. [13] provides a quality example of this genre (from the perspective of schools of pharmacy). Boyle et al. describe desirable characteristics of an interim dean as someone who: (1) is universally respected, (2) will result in the fewest downstream interim appointments, or (3) is a convener, negotiator, visionary, and collaborator. Further, Boyle et al. [13] discusses challenges (e.g. balancing applying for the open position with charting a course to allow a permanent Dean to transition in smoothly) and opportunities (with one prominent example being that the broader perspective gained by serving as interim may result in enhanced job performance and satisfaction upon returning to a previous role). Table 1 provides a summary of some of the most pertinent literature of this type.

• 5 Tips for Success in An Interim Role [12]

Listen, Learn, Embrace ambiguity, Fix the small things, Commit to the role

• The Leadership Mindset of an Interim Executive [14]

High IQ, High EQ, Independence, Embrace ambiguity, Action oriented, Low ego, Mental resilience, Apolitical

• Interim leadership is overlooked. Here are 4 tips on doing it effectively [17]

Avoid drama, Authority is limited – but not entirely, Clear understanding of options, Be enthusiastic and confident.

• Six ways companies use interim CEOs [7]

Keep the ship steady in operations, Navigate a sharp learning curve in knowledge and skills, Remember the human element in decision making

• Interim Leadership: Setting the Table for the Next Person [15]

- (1) Be strategic. It's not your place to set long-term strategy, but look toward a successful future for the organization.
- (2) Identify and handle acute needs.
- (3) Don't hesitate to make decisions of necessity (tip #2 above) and those important to value of the organization (tip #1).
- (4) Advocate in order to keep your unit "front of mind" in influential circles.
- (5) Actively participate in meetings and events. Contribute your expertise and wisdom to improve the community you're serving.
- (6) Enjoy your unique opportunity and the people, and learn from the experience.

• How to Establish Yourself as an Interim Leader [16]

No big changes, Keep moving forward, Bring calmness, (Learn to love) criticism, Develop a "trusting lens" (trust others to do a good job), Help others succeed

• Ad Interim: Performance [18]

Keep unit from feeling rudderless, Manage successive transitions in and out, Establish trust in working relationships and in the successor

• Stepping In: The Unique Challenges Faced by Interim Law Deans [19]

(1) Set priorities, (2) Communicate and manage expectations, (3) deal with budget and financial operations, (4) handle external relations, and (5) manage personnel issues. Advice is also given on interacting with faculty colleagues and the university at large as your role changes, and in listening yet trusting your own judgement.

To provide a useful and coherent take-away, we performed a "themes" analysis across ten of the works noted here ([4], [13], [15], [16], [17], [18], [19], [20], [21], [22]). Themes of advice for interim leaders common across these works are listed in Figure 3 as a histogram.

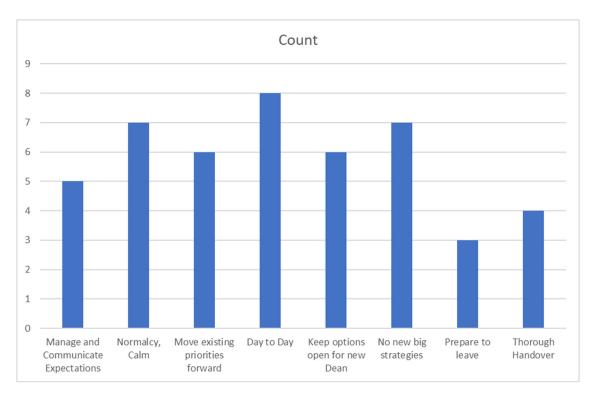


Figure 3: Themes of Advice for Interim Leaders -Frequency in 10 Selected Works on Leadership Transition

Below are points of elaboration on each of the themes above noted in the interim leadership literature. Manage and communicate expectations includes asking questions about the role, ensuring appropriate compensation, clearly agreeing on expectations with supervisors, and communicating with followers, subordinates and direct reports. Normalcy and calm includes reassuring all, projecting confidence, and creating/maintaining a positive work environment. Move existing priorities forward includes maintaining momentum on key projects, and ensuring existing key priorities are not lost in the transition. Day to day is doing the work – finances, appearances, tenure and promotion process and decisions, scheduling classes, representing across and beyond campus, and ensuring the unit remains a visible priority. Keep options open and no new big strategies are inter-related and have literal meaning. Prepare to leave is not mentioned as often but is quite critical with two aspects: (a) prepare the organization, and (b) prepare oneself. Preparing oneself to leave is often overlooked and is discussed later in this paper. Thorough handover is critical and discussed in more detail later in this paper.

If we link the interim priority themes noted in Figure 3 with the life-cycle of a transitional leader noted in Figure 2 (from Woods et al. [4]), interestingly, each of the items fits neatly and naturally into one of the life-cycle phases as shown in Table 2. This organization provides a good summary of the major functions of the interim Dean across the life-cycle of the role.

Table 2: Synthesis of the Transitional Leadership Life-cycle (from Fig. 2) with Leadership Literature Themes (from Fig. 3)

Interim	
Life-cycle Stage	Interim Priority (Leadership Literature Themes)
Preparation	Manage and communicate expectations
Entry	Normalcy; Calm
Delivery	
 post entry 	Move existing priorities forward
 main delivery 	Day to Day
• pre-exit	Keep options open for New Dean; No new big strategies
Exit	Prepare to leave; Thorough handover

Our Story and Lessons Learned

Each of us (the current authors) has served as an interim Dean or Associate Dean twice in the past, and recently one of us became the "permanent" Dean after the other served as an effective interim Dean (and now serves as the Associate Dean). Drawing from these experiences, we have divided our advice into tips for interim leaders (and those interested), for permanent Dean's stepping in, and for administrators navigating this process. The advice below for interim leaders is linked to the life-cycle stages in Table 2 above, thereby showing the relationship between the key literature findings above and the experience-based advice below. The life-cycle nature of the Interim role is one of the major take-aways from this paper, and we strongly recommend Interim candidates, permanent incomers, and administrators adopt this highly beneficial framework of life-cycle stages.

Advice for Interim Leaders

Initial Discussions (preparation stage, Table 2). Prior to formally accepting the interim role, know what you are getting into and clearly communicate expectations (both yours and the administration's). Of course, we can never fully know the future and paralysis by analysis must also be avoided. Don't let the elevating compliment of being invited overwhelm the need for early and clear discussion of the needs and challenges. This can avoid numerous headaches later, and reading a paper like this is a great start.

Character (entry and delivery stages). Two sides of character are highlighted here - confidence and humility. As an interim Dean, you were selected for the role for a reason. You may suffer from imposter syndrome at times, but you were the best available, and every leader before you was human too. On the other hand, a posture of humility both internally and externally is helpful and can be especially important during role switching (colleague-turned-boss, and then boss-turned-colleague). Interim leadership needs a sense of service, as the personal benefits may be less than the personal costs. In many cases interim leadership is healing work – transitions leave gaps that need mending and your combination of skills, knowledge and characteristics may have been selected to aid in this task.

Strategy (delivery stage). Like other authors, we highlight the importance of balancing "do no harm / do nothing" with approaches that move the organization forward. The interim role calls for both keeping the ship from sinking (temporary patches may be needed) along with keeping the ship sailing. When the new leader comes on board, he or she will need a well-maintained ship on voyage, not a dry-docked program. In our interim roles at separate institutions we both employed an interim version of preliminary strategic planning (idea generation and seeking, organization, and beginning consensus building) toward a much-needed new strategic plan. However, we each ultimately left these efforts in draft form as we transitioned out of the interim role. This built momentum and energy under interim leadership and gifted the incoming Dean freedom to chart the next course with the benefit of the clarifying thinking already performed. To summarize, a main interim goal is to set the stage for your successor (which could end up being you – more on this below).

The Role (delivery stage). Serving in an interim role comes with many peculiarities. For one, using influence over authority is particularly critical for interims. The amount of authority that you hold as an interim is likely ill-defined, but as an internal insider, your influence is hopefully high. It is also important to realize that many that you hope to lead will see you as only temporary and may be willing to wait out the transition period without fully engaging. This is likely not personal but rather a professional consideration of the role in which you are serving. A key to success in the role is in listening – pulling heavily on the advice from other senior leaders and colleagues as you may suddenly have high-impact decisions without the historical context. Across all venues, taking on a mantle of "the encourager" and "the calmer" will serve you well.

Candidacy (exit and preparation stages). Across our four combined interim appointments, the current authors applied for the permanent role twice and the other two times chose not to apply. Deciding and communicating your desire/plan for your future role is an important step for an interim. As you consider your own candidacy for the permanent position, you will want to avoid potential conflicts of interest related to promoting your own candidacy. Our advice is to apply if you are qualified and ready, but be aware that "a preference often exists within the academy that an external Dean be appointed [13]." With this in mind, consider well whether you can tolerate not being selected, both personally and professionally – some authors even recommend leaving the current organization after an unsuccessful bid for the permanent role [21]. Both of us were able to navigate staying after external candidates were hired, but this required humility and introspection.

Aftermath (exit stage). We each practiced and highly recommend always supporting the incoming Dean, even in private. It is simply too easy for a smooth transition to be marred by politics, and you will want to avoid this even if others attempt to induce you. Remember that if you applied for the permanent role and were not selected, grief and sadness are normal. It is best to express these emotions outside of the work realm if possible.

Advice for "Permanent" Deans

The Interim. It is important that you honor the interim. The interim Dean has served in the role for months or longer, built relationships and allies, and may have accomplished more than most realize. A posture of humility will allow you to understand the organizational trajectory and influence it for good. Typically, an incoming leader may seek to distance themselves from the interim, both the person and the policies. The interim was identified as talented and will have allies – is there room for a permanent leadership role for the interim? Finally, be sensitive to feelings of loss and grief from the interim – this is normal and sensitivity here will likely be helpful.

The Role. Having a listening posture may be the most valuable thing you do initially. You will need vast contextual information to make good decisions, so recommendations from trusted individuals will be essential until you've had time to digest context from individuals above, beside, and below in the organization chart. In this pursuit, investing heavily in relationship building will be a key to success. At the same time, a posture of optimism is not misplaced – your fresh perspective is valuable. Try to keep track of the issues you notice before they seem normal – there will be plenty of broken things that prior leaders did not have the time, skill or vision to fix. Your specific skills and strengths will benefit the organization.

The Debrief. Perhaps no activity is more critical between the interim and the permanent Dean than "the Debrief." This is the opportunity for the most direct and targeted knowledge transfer. We recommend that the debrief take place off campus in a neutral location without interruptions, and if possible be scheduled as a series of 2-5 meetings rather than one meeting. As part of this, ask the interim (if appropriate) what his or her future plans for the organization were, since they may be able to give you the most recent perspective and important ideas not yet implemented. This debrief should cover the topics noted in Table 3 at a minimum. Finally, the debrief can also be used to build trust between the two of you.

Table 3: Debrief Topics During Leadership Transition

- Personnel issues: competencies, strengths, challenges, gaps, opportunities
- Ongoing major / minor projects
- Budget
- Leadership Team (style, foci, future plans)
- Policies and procedures
- Culture
- Climate

Advice for Administrators

Selection. This paper gives strategies throughout for selecting an Interim, including qualities of an effective leader during transitions. A deep inventory of needs and challenges will help select

an interim leader based on current program needs. For example, does your program need healing? A leader with a particular skill set? A fixer? Someone who causes the least overall changing of roles? These types of questions help clarify a candidate's fit for the specific program needs and set the stage for communication.

Communication. Performing the needs inventory noted above equips administrators for clear communication with Interim candidates. A clear articulation of the needs and challenges and the perceived role the leader is expected to fill will help equip them to achieve the administration's vision.

Exit Phase. Finishing well with an intentional exit phase is important for the health of both the program and the interim leader. The excitement of hiring an incoming person, or hiring the Interim for the "permanent" role, can distract from the critical nature of the exit phase. Aid from administrators in facilitating this transition is an important investment.

Conclusions

This paper provides a blend of literature review and synthesis with best practices and advice from experienced interim Deans. We provide a synopsis of literature from both the theoretical framework of transitional leadership and a sampling from the plethora of interim Dean advice papers, while also providing the authors' own experiences regarding serving as an interim Dean. Key contributions of the paper include:

- 1. A model from CEO transition leadership (Fig. 2) was presented that captures key features of the interim role and shows strong agreement with themes in a sampling of interim Dean literature. Key features of the model include: preparation, entry, delivery and exit phases a useful framework for interim Deans to manage their own and stakeholder expectations, attitudes and preparation.
- 2. In preparing for an interim role, we recommend alignment of expectations and clear communication about the type of interim leadership needed is critical for success of all parties.
- 3. Based on experience, we give key insights for interims across five areas: Strategy (balance moving forward with leaving options open for a new Dean), Character (emphasizing the roles of both confidence and humility), Role (highlighting the importance of influence over authority, and the importance of being an encourager), Candidacy (being clear about the interim's candidacy for the permanent role), and Aftermath (discussing the difficulty of transitioning out of the interim role, the importance of supporting a new Dean in public and in private, and the normalcy of feelings of grief and sadness).
- 4. Also based on experience, we give important principles for newly arriving permanent Deans in three areas: the Interim (honor and consider a leadership role for the former interim Dean), the Role (stressing the importance of listening and relationship building),

and the Debrief (relating the critical nature of this key job function and how to perform it well).

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