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**DIREKTORAT JENDRAL
PENDIDIKAN TINGGI**
Kementerian Pendidikan & Kebudayaan

Erasmus+ Capacity Building in Higher Education

Indonesian Higher Education Leadership Training the Trainers Program

Phase 2: PROJECT OF CHANGE: APPLYING ICM IN AN IMPACTFUL PROJECT THROUGH ACTION LEARNING SET

Facilitator

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PHASE 2
**PROJECT OF CHANGE: APPLYING ICM IN AN IMPACTFUL PROJECT
THROUGH ACTION LEARNING SET**
Module for Piloting Stage

Duration of delivery

Phase 2 consists of 24-hour activities, namely:

- 16 hours developing project proposal, and
- 8 hours coaching session.

Objectives of the sessions

After joining these sessions, participants should be able to:

- develop, present, and critically review an initiative project of change proposal, based on: (1) their institution's selected problem, and (2) their HELQS results;
- identify potential impact of implementing the proposed project in the level of individual (personal leadership competence), institutional (solving the selected problem), and national (dissemination).

Overview on the training material

Action learning set (ALS)

Action learning is a learning which facilitates its participants to explore and implement an action to solve their authentic problem and learn through a reflection of what they have done (Griffiths et al., 2008; Walia & Marks-Maran, 2014; Yeadon-Lee, 2013). If we conduct the action learning in a small group setting, then it would be called an action learning set (ALS). Many believed that ALS could promote leadership knowledge and skills (Walia & Marks-Maran, 2014; Yeadon-Lee, 2013), and collaborative leadership (Raelin, 2006), which involves everyone at all levels to participate in leadership process, including decision making.

According to the definition, there are two key features of ALS, solving an existing problem and learning through their and others' reflection. Each participant would present their problem to others. The others listen and skillfully question, not to tell the presenter what to do directly, but to provide different insight which may unlock their idea to solve the problem. During the reflection, each participant would learn from themselves and from others.

In leadership training program, a group of leaders could form a "set" to meet regularly and learn together through ALS. Each member of the group could raise a problem from their institution, while the others listen, question, and provide a different perspective. This session would be a good brainstorming and benchmarking discussion. The ALS is conducted during the implementation of the initiative project to address the unit problem. Besides, we would also use the Immunity to Change Methodology (ICM) as a framework to help the participants (leaders) figure out what makes them hard to make a change and what makes their initiative got resistance if it happens.

Notes: Recalling Phase 1 Module 6 Action Learning Set

Immunity to change methodology (ICM)

Kegan and Lahey (2009) explain the three adult mind stages related to immunity to change – the socialized mind which is much shaped by the external expectation, the self-authoring mind which could make an internal evaluation and choices about external expectation, and the self-transforming mind which could reflect their limit and more open to differences and changes. Each leader needs to grow up from the socialized mind into the self-transforming mind. The ICM framework facilitates the participants to set the objectives of the improvement they want to happen in their leadership capacity (personal), their organization, and the HEI sector in general, identify the actual behavior and the expected behavior (doing and not doing behavior), identifying hidden conflicting commitment and making assumption behind them, and testing the assumption. Implementing the ICM framework would help the leaders to have more open and agile attitudes to the changes both for their unit and themselves.

Notes: Recalling Supplement Module of Immunity to Change Methodology

Training scenario

In the ‘piloting stage’ program, we started by recalling the key features of ALS, the identified problems in the participant’s home institution, and the identified leadership competence which needs to be improved through the results of HELQS. In this program, ALS is conducted start from identifying the unit problem, leadership problem behind the unit problem, and the proposed initiatives. Then, the participants detailed the initiative in a form of structured proposal of a project of change, including the ICM. In the project proposal presentation, the participants present and discuss the detail of project to figure out how the project would address the unit problem and the personal leadership problem.

The proposed initiative project is then implemented in the participants’ home institution in 1 month (period between Phase 2 and Phase 3). Finally, we also scheduled the online coaching session which is conducted throughout the project.

Apperception to pre-requisite material

It is expected that the participants have done enough reflection, brainstorming, and benchmarking in the previous session (Phase 1 Module 6) resulted on:

- a. the identified problem(s) of the unit/organization;
- b. the possible cause(s) of the problem related to leadership;
- c. the potential initiative(s) to address the problem.

Critical reflection

We could take note that not all of participants could have got all of the pre-requisites in this stage. It could be understood since point a, b, and c above are the results of a critical reflection. Critical reflection is an effort to questions one’s beliefs and practices based on a set of criteria. Densten and Grey (2001) explained that critical reflection helps individual learn form their personal experiences. However, this is not easy as it will involve the leaders’ commitment to question their practice. A critical reflection could succeed if the participants have some attributes – open-mindedness, responsibility, and wholeheartedness (Dewey, as cited in Densten & Grey, 2001).

Open-mindedness is defined as a desire to listen not only from one side, looking at alternative views, and belief that even the firmest belief could be questioned. Responsibility is defined as a desire to seek the truth and apply the information gained into practice. Meanwhile, wholeheartedness is defined as attitude that individual perform to overcome fears and uncertainties to change in themselves (personal level), organization (institutional level), and society (national level). These attributes may be restricted in some persons due to the lack sense of involvement in their own learning. Therefore, if some participants could not yet succeed in identifying point a, b, and c above, then we could take some minutes to rediscussed it within the groups or small groups.

How to use Appendix 1 to formulate a good initiative

Consider to use worksheet at Appendix 1 to recall the identified problem and the proposed initiatives to address the problem. At Appendix 1, participants are invited to discuss within small group consist of 5 members to fill the blank cell with the significant problem encountered in their unit/institution. It could about resources, policies, environment, etc. If possible, please consider to identify the problem which – when it is addressed – could make impact for not only institution, but also for the leader (personal level) and for the HEI sector (national level).

At the next column, participants are invited to reflect on their leadership practice and try to figure out the leadership issues potentially cause the unit/institution problem. This step could be difficult for any leader to see what's wrong with them in organizing their unit/institution. Sometimes, one is probably trapped to blame others or system instead of seeing themselves. We have to appreciate it as a good starting point to reflect and find the truth. For example, a statement of “my staffs are less motivated” could probably means “I (leader) failed to motivate them”.

The next column is about the innovative ideas the participants could think to address their unit problem. The ideas could be resulted from brainstorming and benchmarking discussion in small group. A discussion in small group would guide the participants whenever they are clueless. The discussion could be in a form of leaderless group discussion (LGD).

Finally, the last column is an individual task. It should be noted that a participant has to select the best initiative by themselves. In fact, whatever the possible alternative solutions a leader got from many sources, at the end they have to decide which one is best for their unit/institution. Please take note that participants should consider the size of the change (initiatives). It could be small change, but worth to implement.

How to use Appendix 2 and Appendix 3 to implement the ICM

There are 4 columns in Appendix 2 and 3. First, participants are invited to identify the improvement goals in three levels related to the project initiatives. Second, they need to identify their doing and not yet doing behavior. Third, they need to identify their hidden conflicting commitment. And last, they need to make assumption and test them.

Using the HELQS pre-assessment results

We also could use the HELQS pre assessment results to provide clue on the identification of weakness (aspect to be improved) from the candidates.

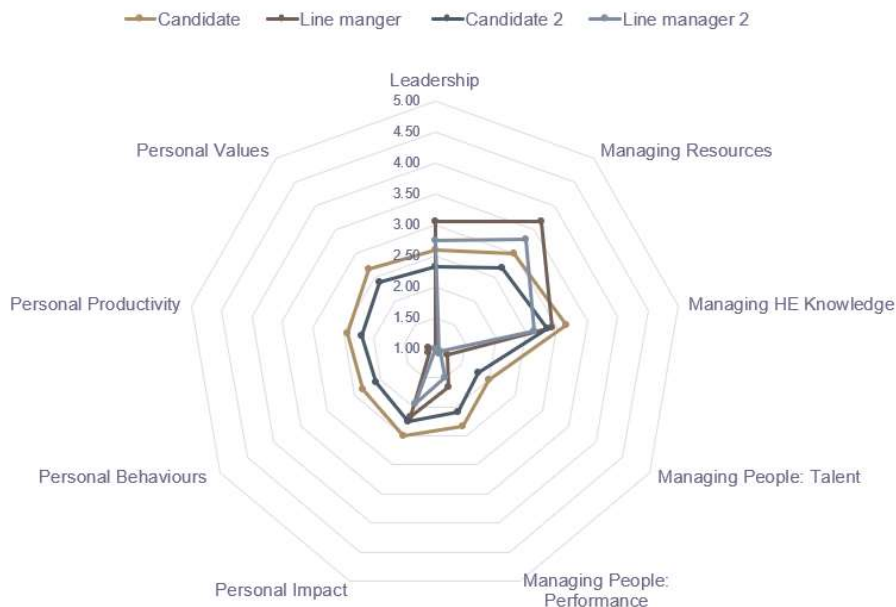


Figure 1. Sample result of HELQS (Dr. David Dawson presentation at RM 1 Day 1)

As seen in Figure 1, we could see the weakness of the candidate in the aspects of managing resources and HE knowledge (1 = good, 5 = not good). We could use it as a first clue to facilitate the trainee to develop the project.

Developing project proposal

A project proposal needs to be short but clear. The proposal will guide the participants to implement their initiatives and observe or measure the impact of it to the unit/institution or to themselves. Therefore, the proposal should follow a structure indicated in Appendix 4. The Appendix 4 also provide the sample proposal which aims to provide insight to what the proposal may look like.

In this session, we invite you to try making a short proposal based on the problems in your institution. This one would be a group task. One group consists of diverse participants. The group could select one case from one of the members of the group.

Proposal presentation and review

After making the proposal, at least the draft, we are going to make a classical presentation from each group.

Reflection, coaching, and take-home message

After presentation, a short reflection would be conducted to get free-form responses from participants.

- Is the project promising to address the institution problem?
- Is it possible that the leader reflects on their leadership practice from the project?

Learning Resources

1. Worksheet – Appendix 1, 2, and 3.
2. Sample project proposal – Appendix 4.
3. Power Point presentation slide – Appendix 5.

References

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- Griffiths, D., Ingle, J., Massey, A., & Pokorny, H. (2008). Learning (and staying) together beyond the classroom: experiences of action learning sets. *Investigations in university teaching and learning*, 5(1), 42-51.
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- Walia, S., & Marks-Maran, D. (2014). Leadership development through action learning sets: An evaluation study. *Nurse education in practice*, 14(6), 612-619.
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Appendix 1

WORKSHEET PROBLEM IDENTIFICATION AND PROPOSED PROJECT OF CHANGE INITIATIVE

Significant problem(s) in my unit/institution	Leadership issue(s) potentially cause the unit/institution problem	Innovative initiative(s) to solve the unit problem(s)	Selected (best) initiative to solve problem
<p><i>Example:</i> The MOEC demand each university to achieve 8 key performance indicators, one of them is the international recognition for research outputs [ideal condition]. To date, however, we lack of reputable international publication [fact 1]. Moreover, most of our research have a low technology readiness level. Therefore, it is still unready to be used in the society [fact 2].</p>	<p><i>Example:</i> To be honest, I am clueless in providing mentors to my staff who could guide them to do research well and then publish well. Moreover, I think they are less motivated to do the international publication due to the high cost it may charge.</p>	<p><i>Example:</i></p> <ul style="list-style-type: none"> - Developing network in research publication with HEI partners. - Building and applying reward and punishment system in research publication. - Providing training and assistance for the researchers to make a good article and publish them. 	<p><i>Example:</i> Providing training and assistance for the researchers to make a good article and publish them.</p>
<p>Note for trainer (what to observe and improve):</p>			
<p>the ability to identify organizational problem.</p>	<p>- the connection with HELQS results, how could the project</p>	<p>- whether there is a knowledge and skills can be acquired.</p>	<p>- realistic - potential impact</p>

	improve the weakness leadership aspect of the trainee.		
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Appendix 2

WORKSHEET

IMMUNITY TO CHANGE METHODOLOGY TOWARDS PERSONAL LEADERSHIP PRACTICES

Identifying improvement goal	Identifying actual vs expected behavior (doing and not doing)	Identifying hidden conflicting commitment	Identifying and testing assumption
<p><i>Example:</i> Personal</p> <ul style="list-style-type: none"> - Becoming a better leader by example to improve research publication performance. - Becoming a better motivator. - Becoming a people person in collaborating. 	<p><i>Example:</i> What I am doing/not doing Actual behavior currently doing</p> <ul style="list-style-type: none"> - Pursuing the research publication for myself first. - I teach a lot, rather than research. <p>Expected behavior but not yet doing</p> <ul style="list-style-type: none"> - Providing mentors to my staff who could guide them to do research well and then publish well. 	<p><i>Example:</i></p> <ul style="list-style-type: none"> - I believe in leading by giving example. I want my staff follow what I do, <i>on the other hand</i>, I must have been excellent in publication first. - I have to do a high-quality research before being able to publish any paper. <i>On the other hand</i>, I have a full schedule of teaching. 	<p><i>Why I got these conflicting commitments?</i> <i>Example of assumptions:</i></p> <ul style="list-style-type: none"> - If I am not excellent in research, I cannot give example, then my staff will not trust me and motivated to pursue theirs. <p><i>Example of testing the assumptions:</i></p> <ul style="list-style-type: none"> - If the example comes from expert outside my institution, will my staff become motivated?
<p>Note for trainer (what to observe and improve):</p>			

the connection with HELQS results, how could the trainees do a self-reflection to their weakness.	Openness, skills to connect facts.	Openness, skills to connect facts.	Challenging beliefs.
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Appendix 3

WORKSHEET IMMUNITY TO CHANGE METHODOLOGY TOWARDS PROJECT IMPACT

Identifying improvement goal	Identifying actual vs expected behavior (doing and not doing)	Identifying hidden conflicting commitment	Identifying and testing assumption
<p><i>Example:</i></p> <p>Organizational</p> <ul style="list-style-type: none"> - Reaching better achievement in international publication aspect of HEI key performance indicator. <p>National HEI sector</p> <ul style="list-style-type: none"> - Improving the international recognition to the HEI research outputs. 	<p><i>Example:</i></p> <p>What my staff doing/not doing</p> <p>Actual behavior currently doing</p> <ul style="list-style-type: none"> - Stuck with current research. <p>Expected behavior but not yet doing</p> <ul style="list-style-type: none"> - thinking out loud to look back at their previous research findings and find possible way to present the finding from different perspective; - willing to collaborate with international researchers. 	<p><i>Example:</i></p> <ul style="list-style-type: none"> - My staffs seem willing to publish their work in international journal, <i>on the other hand</i>, the cost hinder them while they have to allocate for another needs. - My staffs are willing to do good research, on the other hand, the teaching work load prevent them to do so. 	<p><i>Why I got these conflicting commitments?</i></p> <p><i>Example of assumptions:</i></p> <ul style="list-style-type: none"> - My staffs probably have no idea about waiver policy in publication. - The teaching workload prevent them to do good research. <p><i>Example of testing the assumptions:</i></p> <ul style="list-style-type: none"> - If I adjust the teaching workload, do they perform better?
Note for trainer (what to observe and improve):			

the connection with HELQS results, how could the trainees do a self-reflection to their weakness.	Openness, skills to connect facts.	Openness, skills to connect facts.	Challenging beliefs.
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Appendix 4

IMPLEMENTING TRAINING AND ASSISTANCE TO IMPROVE STAFF PERFORMANCE IN RESEARCH PUBLICATION AT MATHEMATICS EDUCATION DEPARTMENT OF UNIVERSITAS SUKAMAJU

SAMPLE*)
PROPOSAL OF PROJECT OF CHANGE

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2021**

*) Data in this sample proposal does not reflect the reality.

A. Project Background (Input Analysis)

The MOEC demand each university to achieve 8 key performance indicators, one of them is the international recognition for research outputs (MOEC, 2020). A-good research finding needs to be published in a reputable journals or conferences. It will ease the scientific community to access the findings, developing research collaboration, as well as use them to solve similar problems. This process will ensure the impact of the research conducted by our researchers.

Mathematics education department of Universitas Sukamaju has vision to be excellent in mathematics learning media and globally competitive. One of the efforts to reach the vision is accelerating the number of excellent research in mathematics learning media and its publication in high reputable journals or conferences.

To date, however, we lack of reputable international publication. One of the reputable indexing databases we could refer is the Scopus. Our researchers' performance, according to Sinta record (2021), is decreasing from 2019 as shown in Figure 1.



Figure 1. The number of publications recorded in Scopus databases

As we reflected, we could see some possible factors may affect the performance. First, most of our research have a low technology readiness level. Therefore, it is still unready to be used in the society. Second, the lack motivation to make a good article to be submitted in reputable journals. Third, the very high price charged by the journals for each published article. Our institution has already support with various research grants and training. However, we see this support is not enough for my department. The training needs to be improved with an assistance program to make sure the article is developed, submitted, and published well.

B. Planning for Initiative Implementation (Process)

This initiative will be tried out in four months, as shown in Table 1.

Table 1. Timeline for providing training and assistance to improve research publication

Activities	Months			
	1	2	3	4
Providing assistance to look back at findings of previous and current research done by internal researchers, figure out the unpublished data or the one which could be analyzed deeper.	X			
Initiating partnership to open opportunity for research and publication collaboration.	X			
Workshop on writing research article for international publication, inviting high reputable speaker to give insight, example, and motivation.		X		
Providing assistance and coaching clinic for article review and submission to journals/conferences.			X	
Workshop on developing research and publication roadmap to guide the future research and publication.				X

C. Managing the Project

1. Sourcing the project (Managing Resources)

Examples:

- Building network of researchers within university and with partner university.
- Providing mentors for international research publication.

2. Allocating candidates to project (Managing People)

Examples:

- Discussing and agreeing the target criteria of international research publication.
- Making diverse (expertise, unit) group consists of 5 trainees to do rounds of discussion during the ALS.

3. Generating communities in practice (Managing People)

- Mapping the candidates based on their interest, expertise, to reach the same goal.
- Learning from each other experiences.

4. Maintaining momentum

- Following the timeline of the project carefully.
- Clear target

D. Planning for Immunity to Change Methodology

1. Identifying Improvement Objectives

For personal level, the project is expected to help me figure out if I could be a good example in international publication and better motivating my researchers.

For institutional level, the training and assistance aim to help our researchers to optimize their research findings dissemination through international publication. It also

aims to figure out what makes them hard to publish their research in reputable journals/conferences.

For the HEI sector level, I hope it could improve the international recognition to the HEI research outputs.

2. *Identifying Actual and Expected Behavior*

a. In terms of my leadership practice

In fact, I always want to be the best in publication among my staffs. However, I expected to provide assistance to my staff to be better in international publication.

b. In terms of the initiatives project

During the training and assistance, we would observe and reflect if our staffs show the following behavior:

- showing effort to create good article;
- willingness to collaborate with partners;
- willingness to learn communicating in English.

We expect our researchers would show the following behavior.

- thinking out loud to look back at their previous research findings and find possible way to present the finding from different perspective;
- willing to collaborate with international researchers;
- do whatever it takes to use English (e.g. learn to better translate paper, learn to present paper in English, learn to communicate with international partners, etc.)

3. *Identifying Hidden Conflicting Commitment*

- I believe in leading by giving example. I want my staff follow what I do, on the other hand, I must have been excellent in publication first.
- have to do a high-quality research before being able to publish any paper. On the other hand, I have a full schedule of teaching.
- My staffs seem willing to publish their work in international journal, on the other hand, the cost hinder them while they have to allocate for another needs.
- My staffs are willing to do good research, on the other hand, the teaching work load prevent them to do so.

4. *Drawing and Testing Assumption*

If we found any unexpected behavior occurred during the implementation of this initiatives, we would think about what makes such behavior occurred by reflecting on the following questions.

- If I am not excellent in research, I cannot give example, then my staff will not trust me and motivated to pursue theirs.
- My staffs probably have no idea about waiver policy in publication.
- The teaching workload prevent them to do good research.

After drawing some assumptions, we test them by interviewing our researchers. The interview would involve at least three persons to make a source triangulation.

- If the example comes from expert outside my institution, will my staff become motivated?
- If I adjust the teaching workload, do they perform better

E. Potential Aspect of Leadership to be Reflected

Through this project, I hope I could reflect my practice on leadership in the following aspects.

- *leading by example*; Since I am a researcher, too, then I have to work hard together with them to improve my international publication.
- *becoming better motivator*; I would find out if I could motivate my staffs better, instead of only pushing them.
- *communicating with partners effectively*; I would find out if I could initiate good partnership to get mutual benefits.

F. Success Indicator

The project can be said successful if it meets the following indicators.

- *In my personal leadership aspect*, I hope I perform better in leading by example, becoming better motivator, and communicating with partners more effectively; Furthermore, my HELQS result is supposed to be better.
- *In the organization level*, I expect 80% of the staffs (researchers) could submit their articles to high reputable journals within 4 months. Furthermore, within a year, we could have seen the results of each submission.
- *In the HEI sector level*, we could disseminate the results of this training and assistance to broader network to create public awareness about international publication.

G. References

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