

Erasmus+ Capacity Building in Higher Education Indonesian Higher Education Leadership Piloting Leadership Development Program 2022

Module 4: Managing Change and Risks

Description	<ul style="list-style-type: none"> ▪ To describe the theoretical foundations of change management, and identify the range of change situations that organisations face; ▪ To describe the main theoretical foundations of change management; ▪ To describe how organizations can increase their degree of choice when undertaking change
Duration	4 hours
Training outcomes	<ul style="list-style-type: none"> ▪ Participants are expected to describe the main theoretical foundations of change management ▪ Participants are expected to describe how organizations can increase their degree of choice when undertaking change
Sequences	<ul style="list-style-type: none"> ▪ Presentation and Q&A (60 minutes) ▪ Group work 1 (50 minutes) ▪ Group work 2 (50 minutes) ▪ Self-assessment (30 minutes) ▪ Recap (20 minutes) ▪ Self-reflection/insight (30 minutes)
Self-assessment (30 minutes)	<ul style="list-style-type: none"> ▪ Method: Individual work ▪ Output <ul style="list-style-type: none"> - Individual score of self-assessment ▪ Material <ul style="list-style-type: none"> - Online form Questionnaire (see Worksheet 1) - WLAN/internet connection - Computer/laptop/tablet/smartphone ▪ Instruction <ul style="list-style-type: none"> - All participants need to prepare their own computer/laptop/tablet/ smartphone. - All participants need to connect with the WLAN. - Facilitator shows the link of the online questionnaire to all participants on the screen. - All participants need to log in with their own email to access the online questionnaire. - All participants fill out the online questionnaire and submit it when finished.

	<ul style="list-style-type: none"> ▪ Assignment <ul style="list-style-type: none"> - Fill out the online questionnaire through this link
<p>Case study (100 minutes)</p>	<ul style="list-style-type: none"> ▪ Method: Group discussion (4 groups) ▪ Output <ul style="list-style-type: none"> - Action plan to develop the positive work relations ▪ Material <ul style="list-style-type: none"> - Worksheet in Google Slide (see Worksheet 2) - WiFi/internet connection - Computer/laptop/tablet/smartphone ▪ Instruction <ul style="list-style-type: none"> - All participants will be divided into 4 groups randomly. - Each group will choose a person from the group member to note the discussion in a Google Slide worksheet. - Each group will discuss the assignments in the worksheet. - Facilitator will stop the discussion of all groups in the due time. ▪ Assignment <ul style="list-style-type: none"> - Focus on one case or problem to be discussed in group. - Explain about the problems and challenge of the case of actual leadership in higher education. - Evaluate the weakness and analyse why the cause and it should be improved based on the authentic leadership concept. - Conclude the lesson-learned from the case. - Describe a strategic/action plan to apply the authentic leadership in higher education based on the case study.
<p>Dissemination (XX minutes)</p>	<ul style="list-style-type: none"> ▪ Method: Group presentation (2 groups) ▪ Output <ul style="list-style-type: none"> - Action plan ▪ Material <ul style="list-style-type: none"> - WiFi/internet connection - Computer/laptop/tablet/smartphone - Projector or other online meeting application - Worksheet 2 in Google Slide ▪ Instruction <ul style="list-style-type: none"> - Each group select one representative to present the results of work-group discussion (XX minutes) - Other participants or facilitator may response or give any feedbacks or questions (XX minutes) ▪ Assignment

	- Present the results of group discussion about XXXX
Name of activity (xx minutes)	-
Name of activity (xx minutes)	-
Recap (20 minutes)	Facilitator will make a brief summary or highlighted insight from the training process.

Handout: Managing Change and Risks

Duration: 60 minutes, including discussion

Subtitle: Foundational Theories of Change: Begins with Leadership

Discussing the roles of academic leaders requires a comprehensive understanding of the underlying philosophies and theories surrounding the general concept of leadership in organizations. Jackson and Parry (2008) broadly define leadership as the mobilising of human, intellectual, and social capital and resources to achieve some desired future state. Leadership is examined as a dynamic, collective social process (Parry, 1998), which is multi-dimensional, with human interactions being the key to developing relationships within networks of influence (Fletcher, 2004). The multi-dimensionality of leadership arises from the view that it occurs during the complex interaction between people and social systems (Day, 2000). Leadership is no longer seen as a vertical process where a single leader is seen as the major source of influence that shapes a collective action. Instead, leadership is a distributed process where diverse individuals contribute to the mechanisms shaping collective action (van Ameijde, Nelson, Billsberry, & van Meurs, 2009, p. 765). Leadership has three dimensions: (i) the exercise of leadership requires both leaders and followers; (ii) the capacity to mobilise requires communication and interpersonal skills; and (iii) to lead requires actions towards goals (Jackson & Parry, 2008).

Academic Leadership

Work by Bolden et al. (2012) argues that leadership is both unique and universal in an academic context. Universities and other higher education institutions have similar organisational considerations (e.g., personnel, finance, etc.), yet, each has distinct purposes and outcomes. Thus, academic leadership needs to be examined in context, where perceptions of how and why one leads differ. Furthermore, it is also argued that the way academic leaders promote shared values and identity is very context-specific. Academic leadership is enacted in an open system that consists not only of the community, but also the institutional system and social culture (Leithwood, Anderson, Mascall, & Strauss, 2010), meaning that an academic leader's roles can be shaped by the constraints and opportunities extant in the educational institution and its environment.

Academic Leaders' In-role Behaviors

Academic leaders engage and involve all members of the academic learning community to create new goals and directions for development (Cocklin & Wilkinson, 2011). Achieving this developmental trajectory requires the synergy of all supporting structures (Scott et al., 2008). As part of this process, academic leaders perform roles and a host of activities to organise and allocate academic tasks and processes, as well as maintain structures for decision-making and ensure smooth operational arrangements with support agencies. These processes shape and inform a sense of purpose and objectives that are operationalized through a process of self-leadership (Bolden et al., 2012, p. 15). These in-role behaviors include:

1. Academic leaders' roles in institutional growth and competitiveness

- a. Academic leaders contribute towards providing good quality human resources for economic growth (Nguni, Slegers, & Denesen, 2006). Academic leaders are recognized as important drivers to develop human capital for economic growth and national competitiveness.
 - b. Academic leaders support the delivery of quality education that prepares students to become lifelong learners, technologically skilled for the workplace and daily life, and socially, politically, and culturally responsible citizens generally (Hallinger, 1998).
 - c. Academic leaders are necessary pillars supporting educational institutions to modernise the delivery of educational services and are considered essential components of reforms in the education sector (Barnett, 2012; Deem & Parker, 2007; Turnbull & Edwards, 2005). They need a clear sense of direction (Trocchia & Andrus, 2003).
 - d. Academic leaders must also be good facilitators so as to bring together all stakeholders at the institutional level to work together and create a sense of shared ownership of the guiding frameworks for reforms or change (Gano-Phillips, Barnett, Kelsch, & Hawthorne, 2011).
2. **Academic leaders' role in their institution's efforts to address changing contexts and multiple priorities** - The challenges and opportunities brought about by rapid economic development ushered in new demands from stakeholders that higher education must continuously improve with the times. We need academic leaders with the right mindset for:
- a. Creating a good balance between these competing forces is an important role for academic leaders; they are needed to help their institutions confront these challenges of increasing contextual complexities and globalising priorities (Bottery, 2006; Dean & Carol, 2006).
 - b. Resolving tensions that include the on-going tussle between key stakeholders like the academe, and its relationship with the industry, government, parents, and students. Mulford, 2009; Young, Petersen, & Short, 2002).
 - c. An academic leader who is a good monitor of updated information that is able to be consolidated from outside, and disseminated down the line.
 - d. Achieving a sense of order is the outcome of a coordinator's role that is brought about by effective planning that creates focus, direction, and energy (Filan & Seagren, 2003).
3. **Academic leaders' role in advancing the department's causes through proactive advocacy**
- a. Research has shown academic leaders who engage in 'advocacy,' that is, championing the cause of staff within and beyond the university, are perceived to be excellent leaders, and result in more productive departments (Bland et al., 2005).
 - b. Research also shows that academic leaders who channel staff voices to management create a positive influence on staff members' motivations, commitment and beliefs concerning the institution's support for employees' working conditions (Leithwood, Harris, & Hopkins, 2008).
 - c. Academic leader's support for the professional learning and development of staff, helping them build intellectual capacity, ultimately produces large

positive outcomes for students (Robinson et al., 2008).

4. **Academic leader's role in empowering their staff**

- a. Academics devote their time to empowering their followers through mentoring and coaching to increase their motivation and enhance self-worth and contribution (Jogulu & Ferkins, 2012).
- b. Academics devote their time to empowering their followers through mentoring and coaching to increase their motivation and enhance self-worth and contribution (Jogulu & Ferkins, 2012).

What are some of the enablers to academic leaders' roles that will help them navigate reforms and initiate change?

A. Structural context: The presence or absence of organisational resources

1. **Instrumental apparatus** - Academic leaders need material and non-material resources to sustain leadership and their interactions, for example, fiscal resources, facilities, and institutional policies. Resources that are difficult to obtain through formal organisational channels may be obtained through informal networks (Gillies, 2013).
2. **Leadership development** - There needs to be holistic approaches to enhance academic leaders' capabilities where they are given sufficient preparation prior to role assumption (Bush, 2010; Bush & Jackson, 2002), and, in the process of leading, also receive developmental interventions that enhance their skills and capabilities (Cafarella & Zinn, 1999; Smith, 2002).

B. People and interpersonal relationships: The influence of social positions and status

1. **Support of colleagues and top management** - Other important resources include responsive top management, the support of colleagues and, significantly, opportunities to develop academic leaders' capability, and build their confidence, skills, and competence as leaders. If academic leaders have access to resources, they experience a more elevated and favourable sense of identity salience and heightened self-belief in their capability to lead (Stets & Burke, 2000).
2. **Support of social networks (mentors)** - Social networks are formal and informal channels within and outside the institution as well as the shared sense of identity and purpose within and between groups. An academic leaders' role perception is facilitated by the presence of two elements: (a) 'social capital', the formal and informal networks that support role performance; and (b) 'social identity' formed when academic leaders share ideas and experiences with similar others, thus forming a sense of shared identity with others (Bolden et al., 2008; Murphy, 2003). For women aspiring to leadership, the support of same-gender sponsors in male-dominated environments enables them to access influential high-status people (Ely et al., 2011).
3. **Intellectual and psychosocial characteristics: The academic leader's self belief/self-efficacy** - Twombly (1998) found that a positive source of support for women academic leaders is the support of other women like themselves. This happens when there is a strong female presence in their unit or department. Having other women as peer support makes women leaders feel confident and strong-willed. This conclusion was drawn in a study of women leaders in Costa Rica (Twombly, 1998). Interactions with the same gender (females) with the biggest proportional representation in a unit

play a significant role in the development of a positive leaders' identity, because they lessen identity conflict in more male-dominated organisations (Karelaia & Guillen, 2012).

Topic 2: A Framework for Change in Higher Education

A. Understand some of the factors for the need for change:

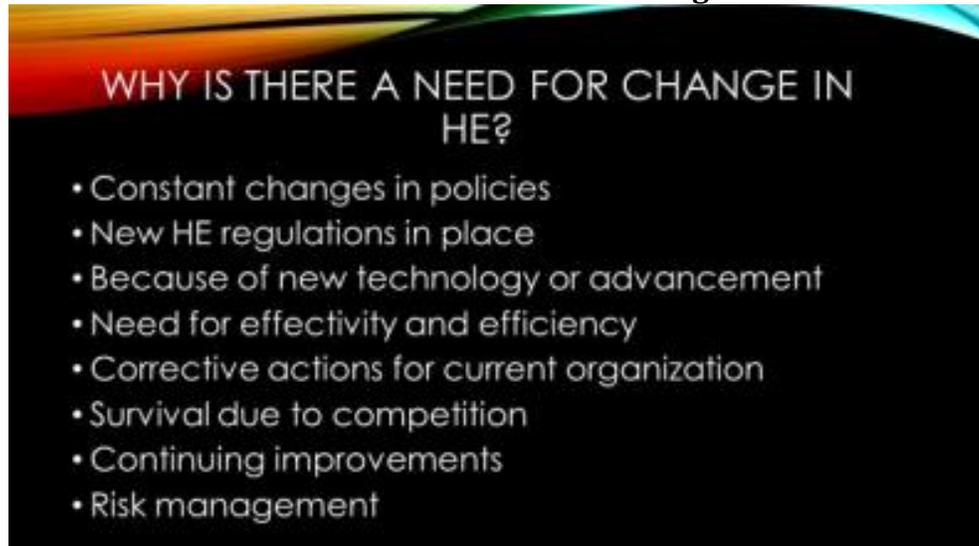


Fig. 1. The Need for Change in Higher Education

According to the research by Arquisola, (2016) some of the important reasons for the need for change revolve around:

1. The constant changes in higher education policies - The rapid changes in national education policies are regarded by majority of academic leaders as the foremost challenge they have to face, and one that puts a lot of pressure on their roles as academic; they lament the rapid speed of change in national education policies. They feel pressured to adapt to the successive changes in regulation. Everytime there is a change, they have to go into lengthy discussions or debates about which interests they should be accommodating due to the regulations, for example, about a new curriculum. They also have lengthy discussions about how to modify existing operations/systems to adapt to the changes, and survive the competition among top-ranking universities. Academic leaders agree that every change brings with it high costs in terms of time, effort, and energy, to influence the key stakeholders, e.g., colleagues, students, and parents. These rapid changes in national education policies, the continuing struggles and debates related to the new curriculum, and the lack of fiscal resources have made the life of academic leaders more challenging and complicated.
2. Regulatory mechanisms and continuing improvement - On top of that, academic leaders feel there is consistent pressure from national education to abide by quality control mechanisms, accreditation requirements, and research and publications, putting more administrative pressure on academic leaders. There are also student progress reports to be submitted, teaching rosters and scheduling, examinations to be organised, students' and lecturers' assessments to be undertaken, community engagement projects to be reviewed and endorsed, meetings to be attended, and so on. These workloads sit on top of the teaching workloads but are included in a leader's duties.
3. Rapid changes in technology - Rapid improvements in educational teaching methodology over the past decade has created an impetus for change in the way we

teach, and in the way lessons are delivered. New situations like the COVID-19 crisis made it necessary to deliver materials online, or create a framework for the delivery of classes in a hybrid (offline-online) system. Higher education and thus their academic leaders were forced to reposition their agenda from traditional to agile ways of delivering teaching and other educational services.

4. Anticipating risk or effective risk management – Volatile, uncertain, complicated, and ambiguous (VUCA) environments like the current age have made it important for higher education to create systems to anticipate future risks. Higher education need to be ready for potential risks that might be cause by contextual and environmental changes. There is a sense of readiness that must be in place at the operations level.

B. Role of HE Leaders in Change

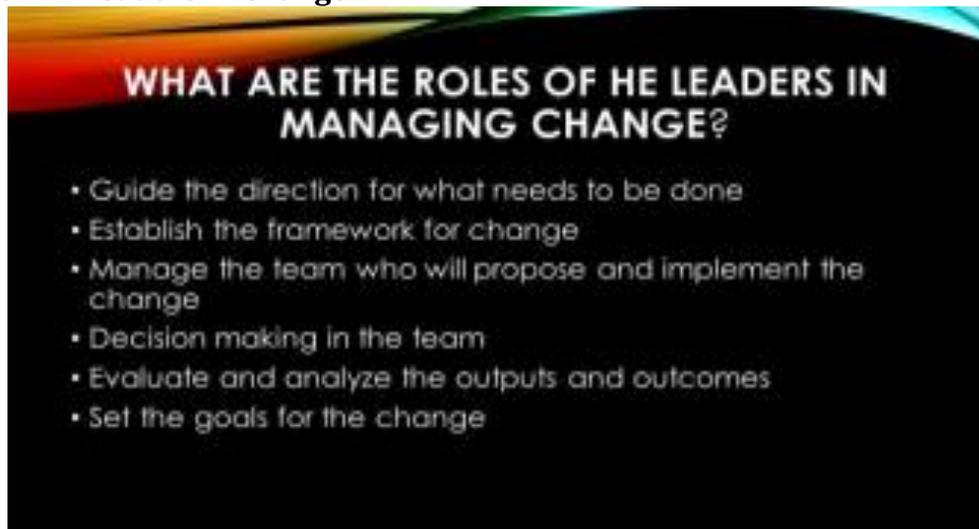


Fig. 2. Role of HE Leaders in Change

Higher education academic leaders must have a primal role in managing rapid changes in the sector. According to Arquisola, Zutshi, Rentschler, and Billsberry (2020), higher education's viability in the face of changing contextual conditions needs willful determination by top university leaders to keep their academic leaders well-informed of the changes, provide sufficient time for transitioning and buy-in to occur, and facilitate responsive two-way communication to trickle information to the bottom-line, and vice versa. Improved transparency and better two-way communication are needed between academic leaders and staff, with such channels facilitating meaningful conversations about employment policies and welfare condition brought about by the changes.

Academic leaders can set the goals for change, evaluate and analyze the outputs and outcomes, and create a tactical tam that can support academic leaders with quick decision making necessary during critical crisis times, for example. What is the academic leader's framework for change? Who should lead the implementation of this framework for change? What will be the indicators to determine whether this framework for change will succeed? Or how can academic leaders reduce the failures from occurring, or anticipate possible flaws that can disrupt the change?

C. Important Sub-systems in Managing Change in Higher Education

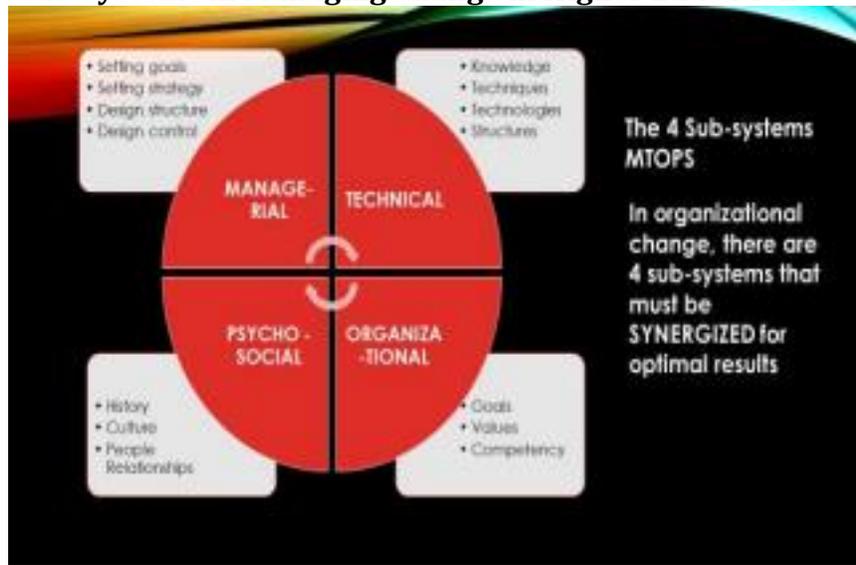


Fig. 3. Important Sub-systems in Managing Change in Higher Education

Guided by the framework proposed of Miller (1967 cited in Burnes, 2009), these four organisational sub-systems that could support higher education (HE) change efforts. These are:

- 1. Organisational goals and value systems** – This pertains to HE values it wishes to promote in order to attain them. Academic leaders must ensure that its goals and values are compatible not only with each other but also with the external and internal environment.
- 2. The technical sub-systems** – The specific combination of knowledge, techniques, and technologies which HE requires in order to function, for example, qualified and competent lectures with academic ranking, certifications, and industry experience; IT and Engineering laboratories, Accounting laboratories, Film laboratories; Software and Information systems units; training and development units, digital library, etc.
- 3. The psycho-social sub-systems** – This is HE organisational climate and culture. This also pertains to defined academic leaders' roles, values and norms that bind people in HE together. These sub-systems originate from the HE history, its vision and mission, as well as its technology and structures. To implement change, these sub-systems must not be weak, fragmented or disunited.
- 4. The managerial sub-systems** – Spanning the entire organisational structure, this is about the people at the top, middle and below who makes decisions for HE operations, viability, and sustainability. This is the sub-system that is responsible for directing HE structures to achieve agreed upon objectives. If the managerial sub-system fails, so does the organization.

D. Planned Change – Force Field Analysis, Action Research

Kurt Lewin (1940) popularized the term “planned change” as an organisation’s effort to develop and transform itself through several planned approach or processes, as opposite to unintended changes such as those that might come about by accident, by impulse or misunderstanding (Burnes, 2009, p. 328). Planned change involves individuals, teams and

organisational units to work hard together, to collaborate. Planned change is goal oriented and is a systematic process (Burnes, 2009, p. 329).

Lewin produced four (4) important change elements that are relevant to HE. Shown in Figure 5 below, these change processes are:

Lewin's 4 Most Important Work on Change	
1	Force-field analysis
2	Group dynamics
3	Action research
4	Three – step model

Fig 4. Kurt Lewin’s Planned Change

1) **Force field analysis** – Shown in Figure 5 below, in this analysis, it is important understand the “status quo” – the condition that is maintained to direct attention to the **group behavior**. It is necessary to “unfreeze” the forces restraining change such as group norms. In this framework, the status quo is maintained because the forces driving change are balanced with the forces restraining change. Individual behavior is a function of the group structures. If HE would like to change the behaviours of individuals, it must look into the group forces that either drive or restrain change. It is important to diminish those forces that prevent change from happening, helping set the foundation for new patterns of activity that will be transformative.

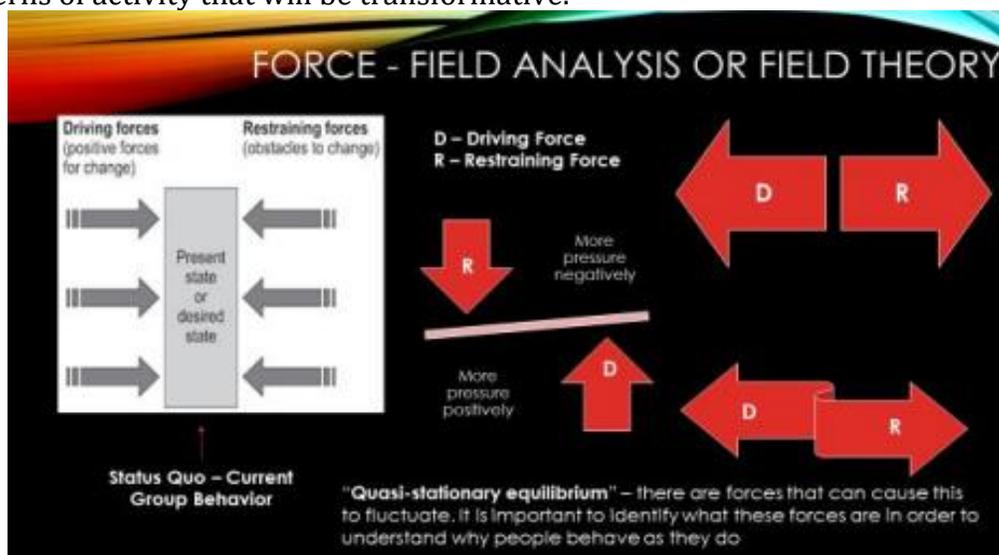


Fig 6. Force field analysis

2) Group dynamics – Similar to how force-field analysis sees groups, this element poses the following important consideration for any change effort to commence: a) What is it about the nature and characteristics of a particular group that causes it to respond (behave) as it does to the forces that drives it or restrains it? b) How can these forces in a group be changed in order to elicit a more desirable form of behaviour?

Under group dynamics, there are three elements that are being analysed:

- a) Group norms
- b) Group interactions
- c) Socialization process that creates disequilibrium of the group

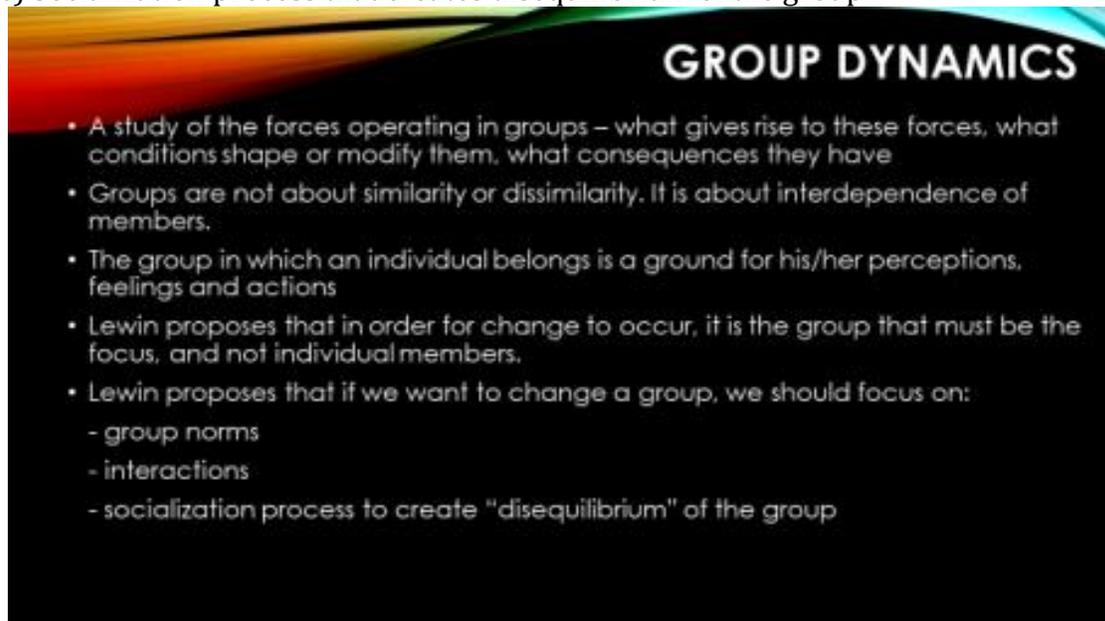


Fig 7. Group Dynamics

3) Action research – It is a two-pronged process which would allow groups in HE to address these questions:

- a) It emphasises that change requires action and is directed at achieving this. b) Successful action is based on analysing the situation, identifying all the possible alternative solutions and choosing the one most appropriate to the situation at hand

In answering the questions above, action research consists of a spiral of steps composed of planning, action, and fact-finding about the result of the action. Research leads to action, and action leads to evaluation and further research (Burnes, 2009 p. 336). Lewin hopes that with an understanding of the root causes of the problem, interventions can be formulated that will lead to changes in behaviour in groups and individuals.

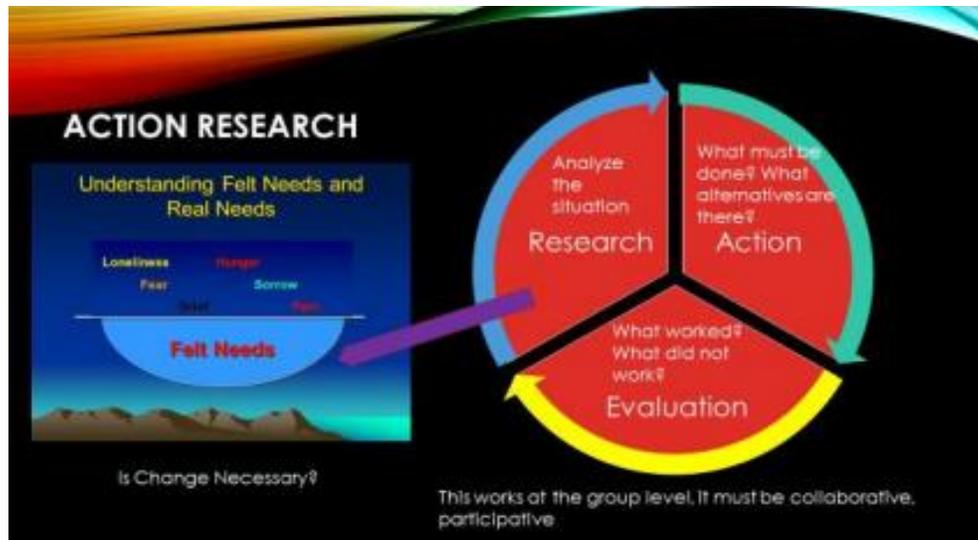


Fig 8. Action Research

Lewin's Three Step Model of Change

Lewin proposed that when organisations like HE start to become successful, there is bound to happen a period of inertia – a period of complacency. HE therefore will sacrifice adaptability and increase inertia. Lewin proposes therefore that it is important to ‘unfreeze’ this inertia, to destabilize it before any old behaviour can be discarded and new behavior can be successfully adopted.

Step 1. Unfreezing.

This is not easy. Groups must be willing to unlearn. Individuals in groups must be willing to understand that in order to change, the organisation must be “stirred up”. Unfreezing requires motivation for people to learn but this is not an end in itself. Unfreezing can only happen in an environment where is ‘psychological safety’ – a process where people can accept, yet feel safe from loss and humiliation before they can accept the change and reject old behaviours.

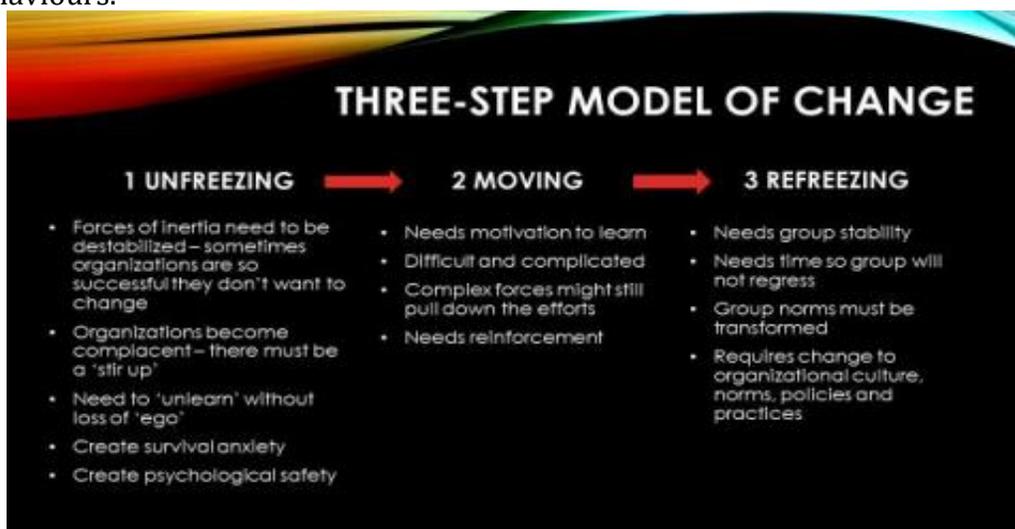


Fig 9. Three Step Model of Change

Step 2. Moving

This step requires reinforcement that HE can provide through a rewards or recognition system where people’s desire to unfreeze old behaviours is given attention. This is the step that is the product of action research: people realise that it old behaviors is less acceptable in the context of current changes and it is important to come up with more acceptable set of behaviours.

Step 3. Refreezing

This final step requires the group at the new period of equilibrium in order to ensure that the new behaviors are relatively safe from regression (or going back to the old ways). The new behaviour, according to Schein (1996) must be congruent or match with the environment that is being transformed. This is why Lewin says that individual change can only be successful if there is change in the group activity, group norms, and routines are transformed. This will also require change in organisational structures that may have caused or had become the resistance factor for change.

Coping Cycle to Change

Carnall (2003) proposed the “Coping Cycle” – a series of stages that people often go through when they are faced with change. These are the stages they often experience (Figure 10)

When faced with change, how do people cope?

Stage	Characteristics
Stage 1: Denial	People will deny or ignore the need for change
Stage 2: Defence	Once people realize that they cannot stop change, they will feel rejected and depressed. They will defend their past practices and behaviours
Stage 3: Discarding	People will realize they need to adjust to the change, so they will discard past behaviour because it is no longer suitable to the current condition.
Stage 4: Adapting	People realize that change may not be 100% successful but they will try to fit the new ways to fit with the existing people and circumstances
Stage 5: Internalizing	Change is now fully operational, and new ways or working and behaving have been developed. People now see change not as new – but as normal (new normal)

Fig. 10. Coping Cycles to Change

Stage 1 - Denial

Individuals often have difficulty to understand and accept significant changes. They will deny or ignore the need for change

Stage 2 - Defence

People will feel rejected or depressed if they realise that change has happened. They will defend their past practices and behaviours

Stage 3 - Discarding

If people realise that change cannot be avoided, yet it does not affect them and therefore they must adapt and adjust, then they will let go of their past behaviours. They realise that what worked in the past will not longer work in the present.

Stage 4 - Adaptation

People will realise that change may not be 100% successful but they will try to adjust and adapt with the new people and environments.

Stage 5 - Internalisation

People have adjusted to the change and now change is fully operational, or is beginning to work. New ways of working and behaving have been developed. People now see change not as new but as normal (new normal).

As shown in Figure 11 below, there is an alignment with Lewin's 3 Step Model of Change (1940) and Carnell's (2003) where people react differently to the change. There is also a fluctuation in people's self-esteem and performance as they go through the different cycles. Performance and self-esteem drop when people have to let go of their old ways to adapt with the new. Yet as people start to adapt the need for change, their performance becomes more positive and productive.



Fig 11. Reactions to Change

Summary of this Module

This module has presented important aspects of academic leadership that all academic leaders must be reminded about. Foremost are their roles and their contributions to institutional growth. The Module also discussed the different impetus to change and the different scholarly pursuits – theories – that are suitable to guide in understanding change. May this module offer clarity and understanding about how change should be handled effectively by academic leaders.

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