An Introduction to the Art and Practice of Vertical Facilitation

WHITE PAPER

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Introduction

Organizations around the globe are struggling to adapt to an increasingly complex and turbulent social, economic, technological, and business environment—i.e. "VUCA"—whether they be banks, product development companies, or city councils.

Many are responding by embracing agility as a way of working—some with a primary orientation around operational agility (Agile software development methods such as Scrum and SAFe), others focusing on customer development agility (e.g., Lean Startup), while others are embracing a broader business agility.

In almost all of these cases, the prevailing notion of agility is concerned primarily with processes and practices, with systems and structures—a form of *outer agility*.

But, as seasoned agilists (of whatever stripe) are finding, the biggest challenges with agility revolve not so much around its outer aspects—its processes, practices, deliverables, and business outcomes—but around the sensemaking, communication, and relationship intelligence of an organization's people: its *inner* aspects.

This is where we find the characteristically human problems of resistance, conflict, communication breakdowns, broken promises, people going through the motions with little passion or conviction, deteriorating product quality, managers micro-managing—the world, that is, of mindset and culture—the world of *inner agility*.

"Inner agility" is essentially what we are referring to when we say things like "agile mindset" or "being agile", and the like.

In this domain of human performance, we want to better understand the inner capabilities that determine how people think; how they make sense of complex situations around them; the unexamined beliefs and values they hold, both individually and collectively; people's ability (or inability) to hold perspectives that are different from their own; their ability (or lack thereof) to relate with others in ways that leave those others empowered and enabled.

But, beyond merely understanding the nature of inner agility, we want to know how we might help ourselves and others grow those capabilities. Again, not from the *outside in*—the world of processes and structures or even behaviors. But rather from the *inside out*—the world of sensemaking and consciousness, and from there out into the world of relationships and, beyond that, out into the world of organizational environments.

Such a learning methodology must, necessarily, be one that is transformative, not just informative.

In this white paper, we introduce key ideas and distinctions related to the growing of such inner capabilities, which we call *Vertical Facilitation*.

First, we want to speak to what we mean by "inner growth", making a differentiation between *vertical* and *horizontal* growth, or learning.

Then, we dive into the unique qualities that characterize what *vertical learning* is, and, in particular, the necessarily *transformative* quality which such a manner of learning entails. It is our assertion if we are to grow our capacity for *inner agility*, we will need to get better at catalyzing *vertical learning*.

Finally, we provide a brief overview of one possible methodology for *vertical facilitation* and how might represent and model that methodology.

The Nature of Inner Growth

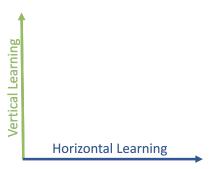
We begin by talking about *inner growth*. "Inner growth" refers to a quality of learning that equips the whole person—a learning process in which the learner is not merely left with a new skill or competence, but with an

enhanced ability to reason, to understand, to relate, and manage her or his emotional world.

Horizontal versus Vertical Learning

In order to be able to speak more rigorously about such a manner of learning—of such a manner of *inner growth*—we need to make a distinction between two realms in which inner growth can happen. In doing so, we will borrow terminology from the field of adult development and education—a field of psychological research that has gained significant traction in the world of leadership development.¹

Researchers sometimes visualize these growth realms as two distinct axes:



The horizontal axis of growth—horizontal learning—refers to the kind learning we ordinarily think of when we think of "learning": acquiring new skills or developing competency and know-how in some particular subject matter area. For instance, we learn a

¹ There exists a growing body of research that shows the benefits to

be gained by applying *vertical* learning distinctions and practices to leadership development. For a small sample, go to Center for Creative Leadership (ccl.org) and the recent collection of vertical leadership development chapters in the book *Maturing Leadership: How Adult Development Impacts Leadership,* edited by Jonathan Reams, 2020. There are also innumerable articles on the subject within the current business leadership literature—a sure indication that it is beginning to go "mainstream". Finally, there are the works of people like Robert Kegan, Lisa Lahey, William Torbert, Bill Joiner, and David Rooke, all of whom can be easily found with a google search.

new programming language or software tool; we learn how to communicate in a more affirming manner with others; we "learn the ropes" of a particular company, which means we learn the rules of thumb for how to function in an effective manner within that particular environment.

This kind of learning—*horizontal* learning—expands the range of our *skill* and *competency*.

But, at some point, if that expansion process is to continue, such a skill--such competency—calls for a more enhanced capacity for complex reasoning, a more refined ability to draw more nuanced inferences, or a greater sensitivity to the feelings and perspectives of others.

In order to learn a new programming language, for example, one has to develop in oneself an inner, mental capacity for what developmental psychologists call "formal operations"—the ability to think *abstractly*. Without this deeper inner capacity of mind, it would be difficult, if not impossible, to learn to develop software of the kind of complexity required in today's world.

Similarly, in order for one to become a therapist, one must develop in oneself an inner, emotional capacity for empathically sensing another's emotions, and an awareness of, and an ability to manage, one's own emotions. Without such a deeper, inner capacity, it's hard to imagine someone being effective in such an emotionally refined role.

This leads us to the other kind of inner growth: *vertical* growth, or *vertical* learning.

Vertical learning focuses on growing the complexity of our way of seeing the world: What we are able to notice, the nature of the meaning we are making from what we are noticing, our capacity for self-awareness (and self-management), and the range of actions that we can sensibly pursue (and those we can't), given all of this. It is through *vertical* learning that we adjust the lenses and filters which determine how we make sense of the world,

in order to allow us to take in the greater complexity around us. It is also through *vertical* learning, that we gain the quality of self-awareness, and other awareness, necessary for navigating the complex psychological landscape we so often find ourselves in.

Vertical learning has happened when someone is able to comprehend the bigger picture of a given task or activity. When someone is not merely able to carry out a complex task, but is able to do so with a degree of mastery, perhaps even *artistry*.

When a highly accomplished software developer, for instance, is willing to relinquish control over a code base for the sake of the learning of another, more junior developer. When a manager is truly able to hear another person, such that that person, in feeling genuinely heard, can let go of that particular gripe they've been harboring, perhaps for years. When an executive leader is able to integrate larger social, economic, and political forces into a strategic design and, in doing so, bring about a more comprehensive and sustaining design. When a therapist is able to see past their own projections in order to truly take in, and contribute to the development of, the psychological world of another.

Vertical Learning is Key to the Growing of 'Inner Agility'

Vertical learning is key to our inner growth, and hence our leadership capacity, in that it points to growth in the complexity of our meaning-making, and to the degree of environmental complexity that meaning-making is able to integrate and translate into effective action.

As the complexity of our inner meaning-making grows, so grows the complexity of the tasks we are able to undertake, and the task domains into which our skillful performance expands—the domain of our *Horizontal* learning. Research shows that our actions are correlated to the complexity of meaning-making from which they

derive: The more complex our meaning-making, the more capable and effective is our action.²

Vertical learning is, as such, key to growing human capacity more generally, and the capacity for <u>inner agility</u> specifically.

If we are to grow our capacity for inner agility, we will need to somehow work with the filters and lenses that determine how we make sense of the world. We will need somehow put them in front of ourselves as objects for us to look at, examine, even perhaps interrogate somewhat.

This calls for a very different kind of learning than the *skills acquisition* model we are accustomed to: We need to embrace a manner of learning empowers and enables us to examine the nature of the filters which determine how we see the world.

Only when we can see that which governs what and how we see things, can we shift our way of seeing. Only when we can *look* at the very meaning-making constructs we normally *look* through can we transform our capacity for right and intentionally leaderful impact in the world.

When we remove the source of our distortions, we alter those distortions, freeing ourselves to see the complexity around us, and to act accordingly.

² See David Rooke and William Torbert, "Organizational Transformation as a Function of CEO's Developmental Stage." Also, see theLeadershipCircle.com for studies that show an overwhelmingly strong correlate between greater complexity of mind and leadership performance, based on a study with a sample size in the 10s of thousands.

What is 'Vertical Facilitation'?

Vertical Facilitation is a manner of leaderfully interacting with others, usually over the course of time, in ways that deliberately catalyze *vertical* learning.

There are two parts to this term: "Vertical" and "Facilitation". Let's examine each in turn.

The 'Facilitation' part of Vertical Facilitation

Vertical Facilitation is a form of "facilitation" in a twofold sense. First, it is a form of "facilitation" in the sense that it is predicated upon a particular approach to the design of group events, such as meetings, off-sites, and leadership development programs.

Such events are designed in terms of activities, modes of interaction, and specific practices that are intended, not so much to drive to a specific pre-ordained goal, but to create an atmosphere, or an *environment*, in which such a goal could be most effectively realized. It is explicitly a *design* activity that is concerned with *how* a group is to work together, not so much *what* that group is coming together to do—concerned more with a groups *process* than its *content*.

Second, *Vertical Facilitation* is "facilitation" in the sense that the style of real-time interaction is at least as much concerned with the unfolding of individual and group processes as it is about impacting the unfolding of a specific content.

Like facilitation more generally, vertical facilitation is about "holding the container". It is about paying attention to the broad range of dynamics—whether individual, interpersonal, or systemic—that arises at any moment.

In a more explicit *workshop* or *program* context, in which learning objectives are core to the learning experience, that ability to "hold the container" still pertains. In fact, perhaps more so. In any kind of transformative (i.e. "vertical") learning workshop environment, a large part of the learning happens in the

very unfolding of the dynamics, interactions, and exchanges which happen within the social system—within that "container".

Vertical Facilitation sees group <u>process</u> and <u>content</u> as essentially fused.

The 'Vertical' part of Vertical Facilitation

Ok, we've just said something about the "facilitation" part of *vertical facilitation*. We now want to address the "vertical" part of *vertical facilitation*.

Here the intention is to foreground the meaning-making complexity on the basis of which a given group, and its individuals, operate. The underlying assumption here is that to the degree we can help people grow *vertically*—that is, grow the complexity of their *meaning-making*—we help them grow their capacity to bring a deep and powerful agility mindset into all that they do.

Their capacity, that is, to "Be Agile". Their capacity for inner agility.

In order to speak more deeply to the *Vertical* part of "Vertical Facilitation", we will need to dive more deeply into *adult development theory*, and more specifically into the notion of "Action Logics." ³

³ In the foregoing discussion, the particular strand of development theory I reference is based on the work of William Torbert and Susanne Cook-Greuter (whose work, in turn, continued that started by Jane Loevinger). "Action Logic" is term that was originally coined by Bill Torbert. For a thorough introduction to Action Logic and its application to organizational leadership and management, see Bill Torbert, Dalmar Fisher, and David Rooke, *Action Inquiry: The Secret of Timely and Transformative Leadership* (Berrett-Koehler Publishers, 2004). For an even more thorough description of the developmental psychology behind the notion of "Action Logic," see Susanne Cook-Greuter, "Nine Levels of Increasing Embrace in Ego Development: A Full-Spectrum Theory of Vertical Growth and Meaning-Making," retrievable on March 26, 2018 at:

Action Logic: The Deep Sensemaking Kernel

At the heart of our meaning-making—whether at the individual or collective level—is an internalized theory we hold to as it relates to our *action*: What constitutes right action in any given moment or situation; what manner of impact we wish to have; what aspects of the world as we understand we intend our actions to impact; how we perceive others as they relate to our actions; our perception of the relation between our actions and the effects it generates (or fails to generate).

"Action Logic" is the term that captures this inner orientation toward action. Our "Action Logic" is a kind of deep inner grammar that determines what we can notice, what we pay attention to, our understanding of cause-and-effect, or way of attuning to and comprehending emotions—both our own and others'.

It is the hidden realm that determines not only **what** we think, what we sense, what we experience; but **how** we think, **how** we sense, **how** we experience things.

When we delve deeper into the nature of this *how*, we might ask ourselves questions such as these:

- What's important to us? What are we committed to?
- What are the beliefs, worldviews, or assumptions that inform our thinking?
- What stories and narratives do we draw on, subliminally, to help us make sense of a given situation?

http://www.cook-greuter.com/Cook-Greuter%209%20levels%20paper%20 new%201.1'14%2097p%5B1%5D.pdf

- What is the nature of the metaphors that frame the ways in which we understand what's going on (Sensing)?
- What's the nature of the thinking that determines how we conceive which actions might be a best fit for a given situation (Responding)?
- In what ways do personal and *shared* histories determine what's possible and what isn't?

The answers to these questions reveal our internal *Action Logic*.

Our Action Logic governs the How of our thinking and our way of Making Sense at the level of the individual, at the level of relationships and at the level of the organization.

At the level of the individual (individual Action Logic), it constitutes one's internal meaning-making and the way in which that meaning-making determines how we view the world, how we view others, and how we view ourselves and our actions.

At the level of relationships (*relational* Action Logic), our Action Logic constitutes the shared assumptions, beliefs, and psychological interchange that determine the nature of our relationship and the patterns of interaction that characterize how we are *together*.

At the level of organizations (organizational Action Logic), our Action Logic constitutes the more widely shared assumptions, beliefs, and values that determine our community habits, interactions, and feelings of safety (or lack thereof), as well as the organizational structures, roles, and processes in which those assumptions, beliefs, and values come to be embodied. This is where organizational *culture* lives.

So, if in our understanding of *Vertical Facilitation*, we adopt the vocabulary of "Action Logics", we might say something like this:

Vertical Facilitation is the process by which we design environments, and manage the moment-by-moment interactions and exchanges that occur within a facilitated event or series of events (e.g. workshop, offsite, series of leadership team interventions, etc.). It does so in a manner that deliberately catalyzes the growth of complexity of an individual's and collective's Action Logic. From one of lesser complexity to one of greater complexity.

The Transformative Nature of Vertical Learning

It is important to understand what this kind of *vertical* shift entails, in terms of learning.

Before proceeding with this, I want to emphasize that within an actual vertical learning environment—such as a workshop or longitudinal team intervention—we always couple *vertical learning* with *horizontal learning*, as defined above. So, I want to be clear that, ultimately, *horizontal* and *vertical* learning co-arise in an actual *Vertical Facilitation* setting.

At the same time, however, if we are to clearly differentiate Vertical Facilitation from other learning modes, we need to pinpoint the difference between vertical learning and horizontal learning.

Most of the internalized models we have of "learning" comes from our understanding of how "horizontal" learning happens. Typically, when we think of learning, we think of it in terms of acquiring new skills, gaining new competencies, obtaining new levels and depths of expertise and know-how, and so on.

Such a learning is facilitated through the presentation of information, concepts, or of specific skills, combined with structured occasions for practice and, potentially, application to real-world contexts that are directly related to the subject matter at hand.

So, for instance, I might take a communication course in which I'm taught the active listening technique of saying

back what the other person just said. Or, I might take a conflict management course in which I'm taught a method for allowing two sides in a conflict to relate to their issue within the context of *polarity management*.

The learning which happens in such a context shows up in terms of specific practices and techniques which I remember, and then apply. Through repeated application, my memory of the various parts of the technique become increasingly ingrained. After a time, I might find myself being able to exercise that technique or practice with some degree of grace and ability.

This is the nature of the *remember-apply* horizontal learning paradigm, which most of us are most familiar with.

Vertical learning happens very differently: rather than acquiring new skills, gaining new competencies, obtaining new levels and depths of expertise and knowhow, and so on, vertical learning happens when there is a shift in *meaning-making* perspective according to which events and situations are filtered and organized. When there is a shift in the hold which internalized beliefs, assumptions, and emotional triggers have on us.

Such an *inner shift* is inherently **transformative**. That is, it constitutes an alteration of the very ground of understanding on the basis of which we perceive and act in the world.

The term "transformative learning" comes from a long research tradition referred to with the same term. Here's how Jack Mezirow, a leading figure in the transformative learning research establishment, defines it:

Transformative learning refers to the process by which we transform our taken-for-granted frames of reference (meaning perspectives, habits of mind, mind-sets) to make them more inclusive, discriminating, open, emotionally capable of change, and reflective so that they

may generate beliefs and opinions that will prove more true or justified to guide action.4

Such a mode of learning is facilitated, not through the remember-apply learning technology we are most accustomed to.5

Rather, it is facilitated through forms of dialogical, communicative and experiential learning methods that bring about, for the learner, a critical reflection on the beliefs, assumptions, commitments, and psychological strategies which otherwise lie beyond our conscious awareness. (We'll say below more about the conditions we believe manifest such a learning technology).

This results not in a set of techniques and practices to remember then apply, but rather in a shift in perspective in which the way in which situations, events, and conditions occur for the learner has shifted in some way. When such a manner of learning has happened, the learner finds themselves with a different level of capacity for dealing with situations and circumstances. What was once challenging becomes less so; new avenues for possibility open up, where few were seen previously; one's actions become better attuned to one's intentions; one finds oneself better at managing one's feelings.

All of this happens not out of remembering some set of techniques, but rather through the living of life within a newly generated meaning-making context of a world

⁵ I want to emphasize that the activities of vertical facilitation don't necessarily exclude "remember-apply" conceptual learning. We are making the differentiation between the traditional learning model, and the vertical learning model from which vertical facilitation builds, in order to understand the unique requirements of such a

learning model.

Critical Perspectives on a Theory in Progress (p. 7). Kindle Edition.

⁴ Jack Mezirow and Associates. Learning as Transformation:

view, and internal meaning-making framework, that has shifted.

A Framework for Vertical Facilitation

We have taken a somewhat deep dive into the nature of *vertical* learning, differentiated 'vertical' versus 'horizontal' learning, and talked a bit about the inherently *transformative* nature of vertical learning.

We now turn to the question that is at the heart of this white paper:

How might we design for, and facilitate, the transformative learning conditions required for vertical learning, as we're defining it here?

As we suggested above when we talked about "facilitation", one can think of vertical facilitation as both a matter of *environment design* and of a *manner of interaction*.

The field of *vertical facilitation*, as it is currently emerging for us, derives its ideas, techniques and practices from a conceptual and methodological architecture that activates two essential areas of competence and practice:

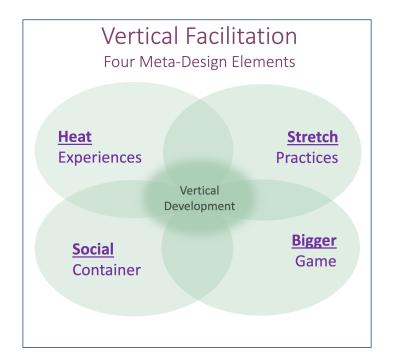


Let's take each of these areas in turn...

Design

The *design* part concerns how we stage a deliberately developmental event or series of events. What distinguishes the design of a transformative event (or intervention)—one that is *deliberately developmental*—from more standard facilitation is that we are specifically attuned to the transformative and developmental possibility which we seek to realize.

Such a design is oriented around four essential metadesign elements:



To say more, very briefly, about these meta-design elements:

Heat Experiences. are experiences which bring about what some researchers refer to as "disorienting dilemmas". A disorienting dilemma happens when one is presented with a situation or a moment in which the old sensemaking categories no longer work, but in which the new category being presented is as-yet unfamiliar. It's a 'dilemma' in that, in the current context being presented, the new category being posed

is at least logically *plausible*, and feels in some way compelling or inviting.

This might happen rhetorically, through the introduction of an idea or a thought that alters the way in which a person might otherwise understands or interprets a given situation or life event.

For instance, imagine that you are someone who believes that voicing your dissent in a meeting would brand you as "difficult" or "high maintenance". Now, imagine that, at some point, a moment arises in which the emotional energy of that feeling is really present for you. And, at that precise moment, someone points out to you the many times when your dissent (e.g. in this particular group context) actually *empowered* the group.

Such a moment would present just the sort of disorienting dilemma we're talking about here, because on the one hand you are faced with that very familiar feeling (perhaps of shame), and yet at the same time you are presented with very compelling evidence that goes counter to the habitual interpretation you fall into in the face of that familiar feeling.

At such a moment, one has a powerful existential choice you can make: you can choose to *not* fall into the usual interpretation. You can choose to see it how it really is.

Vertical facilitators are able to engender moments of disorienting dilemma, leaving people with just such an existential choice.

Heat experiences can only work when they are generated from a place of genuine love and respect—what one teacher of mine used to call "ruthless compassion". In addition, Heat Experiences can only work in the environment of all three of the other design elements.

Stretch Practices. Heat experiences are powerful. And yet, they generate insights (which can be felt somatically as much as they can experienced cognitively) that are *temporary*. *Developmental Stretch Practices* serve to cement those insights into the very fabric of your way of being—the solidify the new neural connections which that Heat experience initiated.

An example is when people who have not been well-exposed to professional coaching are taught the skill of Focused Listening, which is simply giving your presence and deep listening to another person, minus the agenda of trying to "help". At first, such a practice acts as a Heat experience. But, if practiced over the course of some time, one starts to become *skillful*, and that acquired skill acts to strengthen the neural connections established by the Heat experience.

Consequently, that practice has the effect of altering some aspect of a person's meaning-making in a way that is enduring and sustaining.

Stretch practices are a key element in any vertical learning environment. The introduction of such practices as part of the routine way of working within a vertical learning environment is a powerful way to catalyze deep developmental learning.

Social Container. The Social Container is key to developmental growth. When there is a social understanding that is capable of holding the transforming context at work in a given environment, the transformative work being done is strengthened, amplified.

The organizational psychologist Edgar Schein once pointed to (I can't remember where I saw this) the similarity between the kind of bond formed among those who experience a severe traumatizing event together (e.g. are imprisoned and tortured together) and those who experience the disorientations that arise—for different people at different moments—in any kind of transforming environment.

The emotional bonding that happens in such a group context itself empowers the kind profound risk-taking that is the very emotional container that deepens and accelerates developmental learning.

Moreover, the specific transformative insights which one person experiences within a social shared environment has the effect that leaves at least some other people experiencing, perhaps vicariously, that same transformative insight for themselves.

Bigger Game. "Bigger Game" refers to the nature of the commitment which people have to becoming bigger than their current sensemaking capacity makes available. By "bigger" I mean more *complex*, more *able* in the face of big challenges, better able to work together with others, better able to bring about greater *complexity* in the way that that think and in the way they experience their emotions.

Such a commitment is at once individually and collectively held. It is a quality of commitment that often calls for a level of integrity that is not common in groups. Think, for instance, of a professional basketball team, where the commitment to both individual and team performance sets an extremely high standard of integrity that infuses all aspects of the way in which both individuals and team operate.

A 'Bigger Game' has the effect of expanding the "head room" available for people to expand into new territories for themselves.... Which, of course, becomes a cause in itself as well as a further impetus—when combined with the other three elements—for developmental and transformative growth and learning.

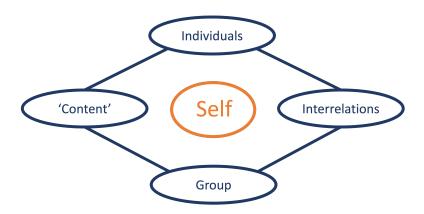
The four design elements, when incorporated in their totality, have a mutually synergizing effect that serves to powerfully amplify the catalyzing effects of each of the individual elements. When taken as a whole, the fusion of the individual elements is more like what happens when a molecule (e.g. H2O) is formed from the

assembly of individual atoms. Or, like the 4 legs of a table, in which minus one of the legs, the table becomes wobbly.

Facilitation

The *facilitation* part pertains to the real-time, present-inthe-moment goings-on which define the activity and spacious managing of group energy, interactions, and sensemaking (both individual and collective).

We sometimes think of this aspect of *vertical facilitation* as a kind of dashboard consisting of five dynamics we are necessarily paying attention to at each and every moment:



Individuals. Paying attention to what's happening with individuals, particularly in terms of the meaning-making structure that animates their speaking and action, and how I might dance with that in ways that bring developmental possibility to the foreground.

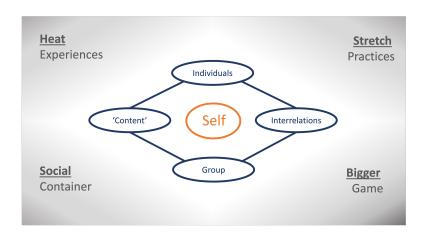
Interrelations. Paying attention to the manner of interactions between myself and others, and among and between others. What manner of individual and collective sensemaking is evidenced? What styles and patterns of interrelational and conversational stuckness and strength is there? What new skills and practices might best be introduced here & now?

Group. What are the group dynamics like? What is the "feeling" of this group? The energy? The field? How might I (a) reflect what I'm sensing back to the group and (b) help the group tune those dynamics and that energy toward greater wholeness and collaborative possibility?

'Content'. Paying attention to, and managing the delivery of whatever it is that constitutes the 'content' for this occasion, event, or intervention. How is it communicating and is it? What is the manner of shift a given content might bring at any given moment?

Self. At the heart of it is *Self*. What is triggering me as facilitator? Am I falling into unhelpful patterns and psychological strategies? What beliefs, assumptions, and compensatory psychological strategies am I engaging in? Am I *present*, attentive? Can I *own* whatever it is that going on? Can I leverage what is going on for the sake of the development of this group, these individuals?

The following graphic depicts an integrated view of the model:



The Vertical Facilitator gains the skill and capacity to situate themselves within the moment-by-moment goings-on and activities of a group through lens of this model.

Conclusion

Vertical Facilitation is both an art and a science. It also has a design ethos that is inherently *alchemical*.

Traditionally, alchemy is regarded as the art of *transmutation*--specifically, of creating conditions in which a "base" metal (such as lead) is transmuted into a "noble" metal (like gold).

Fundamental to the process of alchemy is the notion of a "crucible"—a container capable of withstanding the great heat necessary to forge the materials it is serving to transmute.

A key aspect of the design architecture called for by any form of Vertical Facilitation, is just such a Crucible.

Such a mode of working with people is, increasingly, a necessity in a VUCA world. Transformative learning is to 21st Century life what informational and conceptual learning was to 20th Century life.

For more information and leaning opportunities, visit www.verticalfacilitator.com