Political Advocacy and Leadership

A Multi-Media Course
by
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1.2. Goal
To give students with little or no knowledge or experience in political advocacy and leadership the necessary concepts and skills to participate successfully in the political process.

1.3. Target Group
MPP Students

1.4. Prerequisites
Knowledge of the English language

1.5. Expectations
- Attendance
- Organization of an individual project
- Several written reports including scientific analysis
1.6. Learning Process

- Readings
- Lectures
- Discussion
- Project organization
- Interrelation of the above

1.7. Grading

- 20% class discussion and simulations
- 20% project performance
- 60% analytic quality of the written reports

1.8. Basic Literature (Textbooks)

- Goldberg, Sander and Rogers (1999): Dispute Resolution
- Heifetz (1994): Leadership Without Easy Answers

2. Definitions

- 2.1. Political Advocacy
- 2.2. Polity, Policy and Politics
- 2.3. Von der Gablentz on the Political Process
- 2.4. Fijalkowski on the Political Process
- 2.5. Machiavelli on the Political Process
- 2.6. Weber on Power
- 2.7. Management by Objectives (MBO)
- 2.8. Bennis on Leadership
- 2.9. Heifetz on Leadership
- 2.10. Leadership as a Combination of Morality and Power
2.1. Political Advocacy

Political advocacy is communication whose purpose is to promote a policy position, a set of ideas or an opinion. Political advocacy communications can also expressly call for the election or defeat of a candidate for office. Political advocacy may be engaged in by advocacy organizations, corporations, business groups, trade associations, labor unions, (wealthy) individuals, political parties, or other non-profit organizations.

Clark

2.2. Polity, Policy and Politics

Three faces of “Politik”:

- Polity - Institutions
- Policy – Content
- Politics - Process

2.3. Von der Gablentz on the Political Process

“Fight for the right order”

Fight (politics) for the right (policy) order (polity)

2.4. Fijalkowski on the Political Process

“Transformation of interests to law”

Transformation (politics) of interests (policy) to law (polity)
2.5. Machiavelli on the Political Process

“The process of coming to power, staying in power and making the best use of power”

- Coming to power (politics)
- Staying in power (polity)
- Making the best use of power (policy)

2.6. Weber on Power

“Power is the chance to implement the own will against resistance independent on the basis of this chance.”

2.7. Management by Objectives (MBO)

A participative goal-setting process that enables the manager or supervisor to construct and communicate the goals of the department to each subordinate. At the same time, the subordinate is able to formulate personal goals and influence the department's goals.

Clark

2.8. Bennis on Leadership

“Managers are people who do things right, while leaders are people who do the right thing.”
2.9. Heifetz on Leadership

“Leadership is adaptive work [...].
Adaptive work is closing the gap between different values or between values and reality.”

2.10. Leadership as a Combination of Morality and Power

Nur zwei Tugenden gibt’s,
O wären sie immer vereinigt,
Immer die Güte auch groß,
Immer die Größe auch gut!

Schiller

3. Course Project

3.1. Introduction
3.2. Missing Democracies
3.3. Concept of an Idea
3.4. Structure of the GDE
3.5. Purpose of the GDE
3.6. Global Democracy Experiment
3.7. Welcome to the Global Democracy
3.8. The Login
3.9. Welcome Page
3.10. Finding the Way through the GDE
3.11. Future Votes
3.12. Current Votes
3.13. Past Votes / Program
3.14. Profile

3.15. General Assembly
3.16. Discussions
3.17. Outlook
3.18. Motto
3.1. Introduction
- The notion of world community is an unquestionable reality today.
- We are faced with problems that no single government can control on its own.
- We need stronger multilateral cooperation.
- Should states be the sole actors in the international sphere?

3.2. Missing Democracies
- Many nations are still not democratic.
- There is no international institution with significant democratic participation.
- The Global Democracy Experiment has been set up to serve as a basis for an international democratic process.

3.3. Concept of an Idea
- The GDE is an internet-based simulation of a global democracy.
- The GDE is an efficient direct democracy process with no time and space constraints.
- Via the internet the GDE provides unlimited opportunities to collect support for proposals.
- The system can be applied to local, national and international democracies.

3.4. Structure of the GDE
- **Global Democracy Powers**
  - Government
    - President & Ministers, elected by the participants, implement the program.
  - Parliament
    - 50 members suggest future votes, discuss petitions.
  - Court
    - 10 judges settle disputes, act upon request of the participants.

- **Global Democracy Votes**
  - Current Votes
    - Say yes or no to 10 votes each week.
  - Future Votes
    - Suggest future votes, select 5 from a list.
  - Past Votes
    - See what happened with past votes.

- **Global Democracy Institutions**
  - Program
    - See what the participants decided.
  - General Assembly
    - See the profiles of all participants.
  - Discussions
    - Discuss petitions.
3.5. Purpose of the GDE

- Mobilize citizens to participate in a global democracy.
- Promote awareness for global governance.
- Give citizens tools for expressing their opinions.
- Select and elect representatives from different areas.
- Become a real political voice in the international sphere.
- Above all, to promote the causes of freedom, human rights and peace around the world.

3.6. Global Democracy Experiment

A first version of the Global Democracy Experiment can be visited on the internet:

www.tgde.org

3.7. Welcome to the Global Democracy

Welcome to the future of global democracy!

3.8. The Login

You are already a user? Please login here:

Log in

You are a new user?

Register

Guest account

I lost my password?

Check the password

Was your neighbor?

Password
3.17. Outlook

The project www.tgde.org is still in its infancy.

For the short term the following actions are on the top of the agenda:

- Promoting the GDE among politically active people.
- Build the foundations for links between the GDE and non-virtual democratic institutions.
- Invite experts to contribute to the discussion concerning specific issues.
- Build an updated version of the GDE software.

3.18. Motto

Think global! Act global!

Join the global Democracy Experiment

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4. Project Management:
The Organizing Model (Ganz)

4. 1. Interests
4. 2. Power
4. 3. Leadership
4. 4. Strategy
4. 5. Motivation
4. 6. Relationship
4. 7. Integration / Understanding
4. 8. Action
4. 9. Campaigns
4.10. Organizations
4.1. Interests

4.1.1. Needs and Interests

4.1.2. Map of Actors

4.1.3. Kinds of Resources

4.1.4. Conflicts of Interest
4.1.4. Conflicts of Interest

Difference (Exchange)

Common (Cooperation)

Conflict (Struggle)

4.2. Power

4.2.1. Power Equation

4.2.2. Interdependency

4.2.3. Dependency / Domination

4.2.4. Three Levels of Power

4.2.5. Constituency and Other Actors
4.2.3. Dependency / Domination

4.2.4. Three Levels of Power

4.2.5. Constituency and Other Actors

4.3. Leadership

4.3.1. What Leadership Is: Relationship
4.3.2. How Leadership Works: Networks
4.3.3. The Leadership Circle
4.3.4. What Leadership Does
4.3.1. What Leadership Is: Relationship

Leaders

Interests

Resources

Followers

Interests

Resources

4.3.2. How Leadership Works: Networks

4.3.3. The Leadership Cycle

Identify

Recruit

Develop

4.3.4. What Leadership Does

Disorganization
Reactive
Passive
Confused
Inactive
Organization
Takes Initiative
Participates
United
Accept Responsibility

Strategize
Motivate
Build Relationships
Interpret
Mobilize
United
Understanding
Action

Mobilize

Accept Responsibility
4.4. Strategy

4.4.1. Planning

4.4.2. Strategy and Tactics

4.4.3. Strategic Planning

4.4.4. Power Imbalance

4.4.5. Strategic Leverage

4.4.6. Elements of Strategy
4.4.4. Power Imbalance

- Resources
- Interests

Power imbalance: Dependency / domination

4.4.5. Strategic Leverage

- Resources
- Interests
- Strategy

Strategic leverage

4.4.6. Elements of Strategy

- Targeting
- Tactics
- Timing

4.5. Motivation

4.5.1. Breaking the Motivational Loop
4.5.2. Breaking the Belief Barriers
4.5.1. Breaking the Motivational Loop

Why We Don't Always Act in Our Best Interests

Past Experience \[\rightarrow\] Old Action

"Facts" \[\rightarrow\] Beliefs \[\rightarrow\] Perceived Facts

Organizer \[\rightarrow\] New Experience \[\rightarrow\] New Action

Breaking the Motivational Loop

4.5.2. Breaking the Belief Barriers

We're in it together

All by myself

You can make a difference

Self-doubt

Inertia

Urgency

Apathy

Fear

Anger

Hope

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4.6. Relationship

4.6.1. Relationships and Community

4.6.2. Relationship Building

4.6.3. Relationship Building Tactics I

4.6.4. Relationship Building Tactics II

4.6.5. Relationship Building Tactics III

4.6.6. The Relational World I

4.6.7. The Relational World II

4.6.8. The Relational World III

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4.6.1. Relationships and Community

Exchanges

Interests

Roles

Resources

Two Views of Relationships

Shared Identity

Two Views of Community

1. Interests

2. Resources

3. Roles

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4.6.2. Relationship Building

Attention → Interest → Exploration (Ask-Answer) → Exchange → Commitment

4.6.3. Relationship Building Tactics I

One on One Meeting

4.6.4. Relationship Building Tactics II

House Meeting

4.6.5. Relationship Building Tactics III

Emergency Meeting
4.6.6. The Relational World I

- Strong Ties
- Weak Ties

4.6.7. The Relational World II

- Informal Relationships
- Formal Relationships

4.6.8. The Relational World III

- Informal Relationships
- Private Relationships
- Public Relationships

4.7. Integration / Understanding

- 4.7.1. Framing Understanding
- 4.7.2. Two Ways of Interpreting Understanding
- 4.7.3. Telling New Stories
- 4.7.4. Story Telling
4.7.1. Framing Understanding

Framing Understanding

Experience → Action
Symbols → Frames → Understanding
Relationships

Breaking the Motivational Loop

4.7.2. Interpreting Understanding

Two Ways of Interpreting Understanding

Deliberation (analytic)
Critical Reflection on Experience
Cognitive
Choice

Narrative Interpretation of Experience
Affective
Meaning

Shared Understanding

4.7.3. Telling New Stories

Person
Community
World

4.7.4. Story Telling

Climax
Resolution
Crisis
Conflict

The Unexpected
The Antagonist

Beginning
Middle
End
4.8. Action

4.8.1. Action Program
4.8.2. Goals of an Action Program
4.8.3. Resources of an Action Program

4.8.1. Action Program

Mobilize Resources
Deploy Resources

4.8.2. Goals of an Action Program

Economic – Political – Legal
Disruption
Persuasion

STEPS
Collaboration
Support Building
Starting-Up

4.8.3. Resources of an Action Program

Goals

Inside
Outside

$ People

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4.9. Campaigns

4.9.1. Campaign Phases

4.9.2. Campaign Rhythm

4.10. Organizations

4.10.1. Organization

4.10.2. What Organizations Do

4.10.3. Organizing as Leadership
4.10.1. Organization

Celebrate

Deepen Responsibility
Widen Participation

COMMUNITY IN ACTION:
ORGANIZATION

Diversity As an Asset
Widen Participation

Act

Meet

4.10.2. What Organizations Do

1. Meet
   - Planning
   - Deciding
   - Evaluating

2. Celebrate
   - Interpretation
   - Recognition
   - Community Building

3. Act
   - Shared Commitment
   - Shared Action
   - Shared Success

4.10.3. Organizing as Leadership

- Understand own power
- Respect own beliefs
- Respect for work
- Respect for self
- Face the dilemmas
- Desire to win
- Deciding

5. An Introduction to Leadership Theory

5.1. Introduction
5.2. Theoretical Approaches to Leadership
5.3. Transformational Leadership Measures
5.4. Other Aspects of Leadership Theory
5.5. Conclusion
5.6. Appendix
5.1. Introduction

Basic Text:

5.2. Theoretical Approaches to Leadership

5.2.1. Great Man / Great Person Approach
5.2.2. Behavioral Approach
5.2.3. Transactional Leadership
5.2.4. Transformational Leadership

5.2.1. Great Man / Great Person Approach

Traits of great leaders:
- Intelligence
- Energy
- Public speaking

Problem:
- No significant scientific proof

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5.2.2. Behavioral Approach

- Task accomplishment
- Interpersonal relations

Problem:
- No significant scientific proof

Similar:
- Situational approach

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5.2.3. Transational Leadership

- Leadership as good management
- The “twentieth-century school of leadership” (Rost)
- Economic model of leadership and self-interest
- Leadership for the 21st century: transformational and follower-centered (Rost)

5.2.4. Transformational Leadership

- Distinction between managers and leaders

  Definition:
  Engaging with others in such a way that leaders and followers raise one another to higher levels of motivation and morality (Burns)

  “Both leader and followers – as well as the social system in which they function – are transformed.” (Sashkin and Rosenbach)

5.3. Transformational Leadership Measures

5.3.1. MLQ
- MLQ: Multi-Factor Leadership Questionnaire (Bass & Avolio)
  - Transactional leadership
    - Contingent-reward
    - Management by exception
      - passive
      - active
  - Transformational leadership
    - Charisma
    - Individual consideration
    - Intellectual stimulation
    - Inspiration

5.3.2. LPI
5.3.3. TLP
5.3.4. LQ
5.3.2. LPI

LPI: Leadership Practices Inventory (Kouzes & Posner)

- Challenging the process
  - Search for opportunities
  - Experiment and take risks

- Inspiring a shared vision
  - Envision the future

- Enlist others

- Enabling others to act
  - Foster collaboration
  - Strengthen others

- Modeling the way
  - Set the example

- Encouraging the heart
  - Recognize contributions
  - Celebrate accomplishments

5.3.3. TLP

TLP: The Leadership Profile (Sashkin & Rosenbach)

- Transactional leadership
  - Capable management
  - Reward equity

- Transformational leadership behaviors
  - Communication leadership
  - Credible leadership
  - Caring leadership
  - Creative leadership

- Transformational leadership characteristics
  - Confident leadership
  - Follower-centered leadership
  - Visionary leadership
  - Principled leadership

5.3.4. LQ (Tenbergen)

Leadership = morality x power

\[ LQ = \text{stage of the moral development according to Kohlberg} \]

1. Kienbaum’s soft skills test

The possibility of negative leadership

5.4. Other Aspects of Leadership Theory

5.4.1. Paradoxes of Leadership

5.4.2. Culture

5.4.3. Vision
5.4.1. Paradoxes of Leadership

1. Making them think they can do it is more important than I can do it
2. Power need can lead to positive and negative leadership
3. Follower vision is more important than leader vision

5.4.2. Culture

- Task of the leader: Shaping the organization's culture
- Culture building
  - Adaptation
  - Goal achievement
  - Coordination
  - Shared values and beliefs

5.4.3. Vision

Definition of having a vision

Not only “to come up with an image of an ideal future condition and then explain it to others and convince them to do what’s necessary to attain the vision”, but also to help followers expand and improve their own vision.

5.5. Conclusion

- Transactional and transformational leadership
- Independent dimensions, not ends of a continuum
- You can exercise one, the other, both or neither
5.6. Appendix: Leadership Competencies
(Heifetz)

5.6. Abilities: Temperament and Skills

5.6.1. Reflection and Analysis

- To step back, observe the fray, and interpret political and organizational dynamics in real time
- Process and strategic thinking
- Thinking in time; gathering an organizational and issue history
- Reasoning up and down levels of abstraction

5.6.1.2. Distinguishing Self from Role

- Insight into one’s own patterns of response to social forces: the tuning of one’s own harp-strings
- Diagnosing the responses of the social environment as a function of one’s role

5.6.1. Abilities: Temperament and Skills

5.6.1.1. Reflection and Analysis

5.6.1.2. Distinguishing Self from Role

5.6.2. Knowledge

5.6.3. Values

5.6.1.1. Reflection and Analysis

5.6.1.2. Distinguishing Self from Role
5.6.1.3. Listening

- Using one's own cognitive and affective responses as evidence
- Allowing silence and distinguishing the different implications of silence
- Listening musically as well as analytically
- Identifying the problem that underlies current symptoms of distress: the underside of issues (hearing the song beneath the words)

5.6.1.4. Speaking

- Stay with one's audience
- Make each word count
- Allow for silence

5.6.1.5. Managing Boundaries

- Personal
- Functional
- Authority

5.6.1.6. Using Authority

- The ability to gain authority
- The ability to receive and take authority
- The ability to relate with those in authority
- Decision making
5.6.1.7. Forming and Using Partnerships

- To get perspective, i.e., to “get on the balcony”
- For emotional support
- As sources of information
- In coalitions
- To draw fire
- Distinguishing confidants and allies

5.6.1.8. Orchestrating Conflict and Diversity

- Identifying the relevant community of interests
- Holding steady
- Managing the holding environment

5.6.1.9. Inspiration

- Identifying where people find meaning in their lives
- Finding the connection between people’s specific tasks and overall purposes
- Speaking musically
- Being moved, yet contained

5.6.1.10. Creativity and Curiosity

- Radical naivety: investigating the assumed
- Critical thinking: a questioning attitude
- Improvisation: the capacity for mid-course correction
5.6.11. Courage and Stamina: The Ability to Generate and Take the Heat

- Ability to engage people’s attention
- Willingness to lose: to be attacked, isolated, and even to die
- Ability to speak up beyond one’s authorization
- Capacity for ambiguity, confusion, frustration, and conflict

5.6.12. Compassion and Empathy

- Respect for the coping mechanisms of people and social system
- Respect for the diversity of voices
- The capacity to stay with one’s audience

5.6.13. Managing One’s Hungers: Grandiosity, Sexuality, and Other Vulnerabilities

- Being able to control one’s desire for martyrdom or idealization
- Being able to accept repeated failure
- Being able to let people become independent
- Giving up the idea of the heroic lone warrior
- Containing the sexual dynamics associated with power

5.6.2. Knowledge

5.6.2.1. Self and Context Analysis
5.6.2.2. An Interpretive Framework for Social System Processes
5.6.2.3. Substantive Knowledge of the Issues and Processes of One’s Particular Social
5.6.2.4. A Framework for Intervention
5.6.2.1. Self and Context Analysis

- Analyzing the conflicts and the confluence of individuals in context

5.6.2.2. An Interpretive Framework for Social System Processes

- Dynamics of authority and power
- Responses to disequilibrium
- Patterns of work avoidance
- Dynamics of adaptation: problem-defining and problem-solving
- Indicators of timing and pacing: punctuations of process

5.6.2.3. Substantive Knowledge of the Issues and Processes of One's Particular Social System

- The history of its problems, prior adaptations, values, and structure of authority
- Current trends, external stresses, internal capacity, values, system of authorizations

5.6.2.4. A Framework for Intervention

- Disciplined attention
- Orchestrating multi-party conflict
- Regulating disequilibrium
- Placing and developing responsibility
- Protecting voices of leadership without authority
5.6.3. Values

5.6.3.1. Increasing the Adaptive Capacity of the Social System

5.6.3.2. A Passion for Wisdom

5.6.3.3. A Self-examined Set of Values

5.6.3.4. Reasoning for the Moral Dilemmas of Leadership

5.6.3.1. Increasing the Adaptive Capacity of the Social System

- Resiliency
- Value-generating capacity

5.6.3.2. A Passion for Wisdom

- Curiosity, a willingness to discover error, to say “I don’t know”, to raise questions against organizational or political resistance

5.6.3.3. A Self-examined Set of Values

- The capacity to distinguish and integrate personal aspiration and personal ambition: the meshing of individual desires with caring for people
5.6.3.4. Reasoning for the Moral Dilemmas of Leadership

- Why lead? Why take the risk?
- Who's responsible? – Guardianship versus civic engagement
- The normative implications of the idea "adaptive work"
- The case for and against integrating diverse voices
- The case for and against regulating disequilibrium by scapegoating, deception, and squashing dissent
- Strategy versus manipulation

6. Negotiation

6.1. Introduction: The Basic Concepts

6.1.1. Definition of Negotiation

What is negotiation?

- Joint decision-making

6.1.2. Relevance of Negotiation

6.1.3. The Harvard Negotiation Concept

6.1.4. Negotiation Styles

6.1.5. Hard and Soft Negotiation

6.1.6. Creating and Claiming Value

6.1.7. ZOPA and BATNA

6.1.8. Trading on Differences

6.1.9. Win-Win
### 6.1.2. Relevance of Negotiation

**Why are negotiations so important?**

- Everybody negotiates every day

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### 6.1.3. The Harvard Negotiation Concept

**How should one negotiate?**

- Oriented on Principles (Harvard Negotiation Project)

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### 6.1.4. Negotiation Styles

**Soft versus hard:**

- **Soft negotiation:** focus on integrative aspect
- **Hard negotiation:** focus on distributive aspect

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### 6.1.5. Hard and Soft Negotiation

<table>
<thead>
<tr>
<th>Soft Bargaining?</th>
<th>Hard Bargaining?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participants are friends</td>
<td>Participants are adversaries.</td>
</tr>
<tr>
<td>The goal is to negotiate.</td>
<td>The goal is to win at all costs.</td>
</tr>
<tr>
<td>Make concessions to establish a relationship.</td>
<td>Demand concessions as a condition of the relationship.</td>
</tr>
<tr>
<td>Be soft on the people and hard on the problem.</td>
<td>Be hard on the people and soft on the problem.</td>
</tr>
<tr>
<td>Trust others.</td>
<td>Insist on facts.</td>
</tr>
<tr>
<td>Change your position easily.</td>
<td>Dig into your position.</td>
</tr>
<tr>
<td>Make offers.</td>
<td>Make threats.</td>
</tr>
<tr>
<td>Work to your benefit line.</td>
<td>Move to your benefit line.</td>
</tr>
<tr>
<td>Accept one-sided losses to reach agreement.</td>
<td>Demand one-sided gains as the price of agreement.</td>
</tr>
<tr>
<td>Search for the single answer: the one you will accept.</td>
<td>Search for the single answer: the one they will accept.</td>
</tr>
<tr>
<td>Maintain an agreement.</td>
<td>Insist on your position.</td>
</tr>
<tr>
<td>Try to avoid a contest of wills.</td>
<td>Try to win a contest of wills.</td>
</tr>
<tr>
<td>Yield to pressure.</td>
<td>Apply pressure.</td>
</tr>
</tbody>
</table>

*Source: Fisher and Ury (1991), p. 8*
6.1.6. Creating and Claiming Value

- Claiming value: divide the pie
- Creating value: expand the pie

6.1.7. ZOPA and BATNA

- ZOPA: zone of possible agreement
- BATNA: best alternative to negotiated agreement

6.1.8. Trading on Differences

- The orange example: skin or fruit?
- The why-question (Fisher and Ury)
- Trading on differences (Lax and Sebenius)

6.1.9. Win-Win

“Behind opposed positions lie shared and compatible interests, as well as conflicting ones. We tend to assume that because the other side’s positions are opposed to ours, their interests must also be opposed. If we have an interest in defending ourselves, then they must want to attack us.

In many negotiations, however, a close examination of the underlying interests will reveal the existence of many more interests that are shared or compatible than ones that are opposed.”

Fisher and Ury
6.2. Does Principled Negotiation Ignore the Distributive Aspects of Negotiation?

6.2.1. Principled Negotiating

- **Reason and be open to reasons; yield to principle not pressure.**
- **Apply pressure.** Yield to pressure.
- **Try to reach a result based on standards independent of will.**
- **Try to win a contest of wills.** Try to avoid a contest of wills.
- **INSIST ON OBJECTIVE CRITERIA.** Insist on your position. Insist on agreement.
- **Develop mutual options to choose from; decide later.**
- **Search for the single answer: the one you will accept.**
- **Search for the single answer: the one they will accept.**
- **INVENT OPTIONS FOR MUTUAL GAIN.** Demand one-sided gains as the price of agreement.
- **Accept one-sided losses to reach agreement.**
- **Avoid having a bottom line.** Mislead as to your bottom line. Disclose your bottom line.
- **Explore interests.** Make threats. Make offers.
- **FOCUS ON INTERESTS NOT POSITION.** Dig into your position. Change your position easily. Proceed independent of trust. Distrust others. Trust others.
- **BE SOFT ON THE PEOPLE, HARD ON THE PROBLEM.**
- **SEPERATE PEOPLE FROM THE PROBLEM.**
- **The goal is wise outcome reached efficiently and amicably.**
- **The goal is victory.** The goal is agreement.
- **Participants are problem solvers.** Participants are adversaries. Participants are friends.

6.2.2. Too “soft”?

"...the book’s emphasis upon mutually profitable adjustment, on the ‘problem solving’ aspect of bargaining, is also the book’s weakness. It is a weakness because emphasis of this aspect of bargaining is done to almost total exclusion of the other aspect of bargaining, ‘distributional bargaining’, where one for me is minus one for you..."

White

6.2.3. Hard against Soft

- **Hard beats soft because soft accepts all demands to reach an agreement.**
- **Hard and hard cannot reach agreement because they do not want to give in.**
- **Soft and soft reach a mutual acceptable agreement.**
6.3. Principled Negotiation and the Negotiator's Dilemma

6.3.1. The Negotiator's Dilemma

Best case: I claim the value the other party creates
Second best case: We both create value
Third best case: We both claim value
Worst case: The other side claims the value I create

6.3.2. Prisoner's Dilemma

P = 1, P = 1
Punishment for mutual defection
T = 5, S = 0
Temptation to defect and sucker's payoff
R = 3, R = 3
Reward for mutual cooperation
S = 0, T = 5
Sucker's payoff and temptation to defect

R: reward  S: sucker  T: temptation  P: punishment

Row player 1: cooperate (soft, creating value)
Row player 2: defect (hard, claiming value)

Column player 1: cooperate (soft, creating value)

Column player 2: defect (hard, claiming value)

Axelrod's computer tournaments
The evolution of cooperation
The easiest system won

6.3.3. Applied Prisoner's Dilemma

Dr. Rasmus Tenbergen
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6.3.4. The Winner

Tit-for-Tat:

- Start with cooperation
- Mirror counterpart's move from previous round

6.3.5. The Successful Negotiator

- Be nice
- Don't be envious
- Don't be too complex
- Be provocative AND able to forgive

6.3.6. The Challenger: Pavlov

Win stay, lose shift

6.3.7. Defense

- Is the “Harvard-Concept” naive?
- In defense of principled negotiation
- Escalation and the spiral theory
6.4. In Defense of Principled Negotiation

6.4.1. Why People do not Cooperate

6.4.2. Creating or Claiming Value?

6.4.3. Misperception

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6.4.1. Why People do not Cooperate (Ury)

1. They are afraid
2. They don’t know better
3. They don’t see what’s in it for them
4. They think they can win

---

6.4.2. Creating or Claiming Value?

Create or claim?

They create

They claim

Why?

They think they can win
(Pavlov)

They don’t see what’s in it for them

They don’t know better

They are afraid

CREATE! (Getting to Yes) (Tit-for-tat)

CLAIM! (Tit-for-tat)

CREATE! (Getting Past No)

CREATE! (Getting Past No)

---

6.4.3. Misperception (Dixit & Nalebuff)

Round:

Player 1:

Player 2:

C C C D C D D D D

Misperception

Misperception

C cooperation

D: defection
6.5. Conclusion / Recommendation

- Conditional openness (Lax and Sebenius)
- A “hardened” version of the “Harvard-Concept”
- “conditional principled negotiation” (Tenbergen)

6.6. Appendix 1: Contents of a More Detailed Learning Process

6.6.1. Principled Negotiation

The Harvard Concept of Principled Negotiation

- Everyone is a negotiator, every day. The Harvard concept of principled negotiation offers a method to optimize negotiations (defined as collective decision-making).
- Participants learn the skills of principled negotiation to apply them successfully to their own negotiations.
- Participants learn to identify “win-win options” and to overcome obstacles to agreement.

6.6.2. Concepts

Basic concepts of negotiation:

- Introduction to decision analysis
- The importance of the BATNA (Best Alternative to Negotiated Agreement)
- The evolution of cooperation in a competitive environment
- Creating and claiming value
6.6.3. The Harvard Approach

- Hard and soft negotiation styles
- Distinguishing between positions and interests
- Objective criteria in negotiations
- How to expand the pie
- Simulations of different negotiation situations

6.6.4. Structure

- Basics and simulation of different case studies are based on material of the Harvard Project on Negotiation.
- Reflections on individual negotiations and preparation of individual case studies.
- Simulation and analysis of prepared case studies including feedback and individual coaching.
- Participants get a detailed documentation of the seminar material.

6.7. Appendix 2: Common Mistakes in Negotiation (Sebenius)

6.7.1. The Effective Negotiator

Could you be a more effective negotiator?

“Like many executives, you know a lot about negotiating. But still you fall prey to a set of common errors. The best defence is staying focused on the right problem to solve.”

Sebenius: “Six Habits of Merely Effective Negotiators”
How does one become a brilliant negotiator?

First, you must learn to solve the right negotiation problem.

“Understanding your counterpart's interests and shaping the decision so the other side agrees for its own reasons is the key to jointly creating and claiming sustainable value from a negotiation.”

To do this, ensure that you are aware of and do not make the following common mistakes of many negotiators.

6.7.2. How to Become One

6.7.3. Mistake 1

Neglecting the other side’s problem

In order to negotiate effectively, you must understand your own interests and no-deal options. However, understanding and addressing your counterpart's problem as a means to solving your own, is just as important. "If you want to change someone’s mind, you should first learn where that person’s mind is."

6.7.4. Mistake 2

Letting price bulldoze other interests

Negotiators who only pay attention to price turn potentially positive deals into negative ones. It is important to acknowledge that economics are not everything in negotiations – there are a number of competing interests. Learn how such factors as: the importance of the relationship, the social contract, the process and the interests of the full set of players, play a part in your negotiations.

6.7.5. Mistake 3

Letting positions drive out interests

“Interests are underlying concerns that would be affected by a solution.” An effective negotiation process is the reconciliation of underlying interests. Through joint problem solving, you should be able to meet both parties’ sets of interest, and thus, make a mutually beneficial deal.
6.7.6. Mistake 4

Searching too hard for common ground

When negotiating, people often become caught up in finding common ground, however, the most frequently overlooked sources of value arise from differences among the parties. Differences of interest or priority can open the door to finding different elements and giving each party what it values most, at the least cost to the other. "While common ground helps, differences drive deals."

6.7.7. Mistake 5

Neglecting BATNAs

A BATNA is the course of action a party would take if the proposed deal were not possible. BATNAs set the threshold that any acceptable agreement must exceed. A strong BATNA is a necessary negotiation tool, and can serve as leverage to improve the deal. However, it is crucial to assess both your BATNA and the other party’s BATNA as well.

6.7.8. Mistake 6

Failing to correct for skewed vision

Even if you avoid the above five problems, a negotiation can go horribly wrong if you make one of the following errors:

- Self-serving role bias – where one gets too committed to his / her own point of view.
- Partisan perceptions – the inability to see biased perceptions, both on your side and the other side.
- To prepare effectively for negotiation, one must undertake competitive research and reality-test their views with independent parties to ensure the elimination of biased vision.

7. Conflict Management and Mediation

7.  1. Definition of Mediation
7.  2. Resolving Disputes Continuum
7.  3. Outline of the Mediation Process (Patton)
7.  4. Advantages of Mediation
7.  5. Goals of Mediation
7.  6. Principled Negotiation Process
7.  7. Goals of the Opening Statement
7.  8. Elements of the Opening Statement
7.  9. Goals of the Joint Session
7.10. Techniques
7.11. Purposes for Caucusing
7.12. Closure and Drafting
7.1. Definition of Mediation

Mediation is a process in which a neutral third party assists two or more disputants to reach a voluntary, negotiated settlement of their differences.

Lewis and Singer

7.2. Resolving Disputes Continuum

- Negotiation
- Mediation
- Adjudication
- Violence

7.3. Outline of the Mediation Process (Patton)

- Advantages of mediation
- Goals of mediation
- Principled negotiation process
- Goals of the opening statement
- Elements of the opening statement
- Goals of the joint session
- Techniques
- Purposes for caucusing
- Closure and drafting

7.4. Advantages of Mediation

- More time
- More participation
- More accommodation of emotional needs
- More flexibility of relief
- More ownership
- Better and sooner compliance
7.5. Goals of Mediation

- To help the parties separate relationship from substance
- To elucidate their interests
- To focus their attention on options that take into account both sides’ interests
- To develop independent objective standards for choosing among such options

7.6. Principled Negotiation Process

- Setting the rules
- Controlling the agenda
- Serving as an example

7.7. Goals of the Opening Statement

- Establish your credibility
- Set the parties' expectations
- Put people at ease
- Assess ownership of and responsibility for the process and its success on the parties
- Set the ground rules

7.8. Elements of the Opening Statement

- Introduction
- Explanation of the process (voluntary, your role, advantages, confidentiality)
- Ground rules (plaintiff first, no interruption, confidential notes, private meetings)
- Status of any agreement (if yes, binding, if no judge will start from scratch)
- Questions
7.9. Goals of the Joint Session

- Get out the facts
- Discuss options
- Adjust the relationship between the parties
- Make proposals
- Reach agreement
- Put your role and ground rules into practice

7.10. Techniques

- Use eye contact
- Make them know you are listening (repeat important aspects)
- Ask questions
- Ask the "why question"
- Do not let go until you get an answer to your question

7.11. Purposes for Caucusing

- To generate options without commitment
- To get information that they will only tell you confidentially
- To ask tough questions without compromising your sense of impartiality
- To ask questions the answer to which you do not want the other party to hear
- To explore BATNA’s and vulnerabilities
- To translate the concerns of one side to the other
- To educate a party
- To try out possible solutions

7.12. Closure and Drafting

- Do not procrastinate: write it down and get it signed
- Avoid premature optimism
- Give the parties ownership
- Rather than writing out agreements, focus on immediate implementation
- Get as much implementation as you can at the time of the agreement
- Make the agreement as forward-looking as possible
- Be persistent
8. Persuasion

8.1. Definition of Persuasion (Orren)
8.2. Selected Principles of Persuasion (Orren)
8.3. The Psychology of Persuasion (Cialdini)

8.1. Definition of Persuasion (Orren)
An attempt to evoke a change in the attitude and/or behavior of someone

8.2. Selected Principles of Persuasion (Orren)
Know the audience and its predispositions, logos/ethos/pathos, contrast, conformity, reciprocation, authority, association, consistency, scarcity, specificity, clarity, similarity, storytelling, analogies, counter-intuitive sources and arguments, repetition, salience, active vs. passive audience, humor, three faces of an issue: position, performance, valence, turning negatives into positives/positives into negatives, four types of attitude change: conversion, reinforcement, activation and de-activation, personalizing, listening, feedback and empathy, know thyself

8.3. The Psychology of Persuasion (Cialdini)
- Reciprocation
- Commitment and consistency
- Social proof
- Liking
- Authority
- Scarcity
9. Political Consulting

9.1. Communication Theory: Sending a Message (Watzlawick)

9.2. Three Ways to Win an Election (Edwards)

9.3. Option Memorandum

9.1. Communication Theory: Sending a Message (Watzlawick)

Sender — Message — Receiver
sends — receives

9.2. Three Ways to Win an Election (Edwards)

1. Because people like what you do (you)
2. Because people dislike what your opponent does (him/her)
3. Because you do something people want you to do (they)

How to find out? Opinion Polls!

9.3. Option Memorandum

Basic Elements of an Option Memorandum

1. Description of the problem
2. Short summary of the solution
3. Description of options
4. Development of criteria to evaluate the options
5. Pros and cons of the options according to these criteria
6. Recommendation of one option
10. Debriefing

- Summary of the theoretical concepts
- Final analysis of the course project
- Outlook
- Questions
- Feedback

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