Introduction to Negotiation Theory and Practice – MLD 225

Robert Wilkinson
Spring 2017

Lectures: Mondays and Wednesdays, 1:15 – 2:30 PM, Room: Littauer 230
Simulation/Case Study Sessions: Mondays, 4:15 – 6:00 PM

“Let us never negotiate out of fear. But let us never fear to negotiate.” – John F. Kennedy

Course Description

Negotiation is an essential, ongoing process that is part of our everyday lives. It is a skill that we can study, practice and improve upon. This course will provide students with the fundamental principles, theory and practice of the field of negotiation.

This course is intended to be a balance of theory and practice, and draws on the classic negotiation literature, as well as more recent work. We will use the case study method, active negotiation simulations, group work and lectures to bring the conceptual material to life, as well as to build students’ personal negotiation skills. We are also lucky to have a few guest lecturers who will visit our class, all of whom are all world-class thought leaders and practitioners in the world of negotiation.

We will analyse and unpack some of the core concepts in negotiation, such as creating vs. claiming value, establishing objective criteria, managing principle-agent issues in negotiation, dealing with difficult tactics, managing emotions, multiparty negotiations, and others. And yes, this material applies to our personal lives as well, because we are all negotiators!

A strong emphasis will be placed in this course on:

1. An international outlook on negotiation;
2. A multisectoral approach, with elements from the public, private and non-profit worlds; and
3. A leadership and management perspective, drawing from experience and literature in this domain.

There are no pre-requisites for this course.
By the end of this class, students will be able to:

- Understand the structural and theoretical underpinnings of negotiation strategies and approaches.
- Learn and apply the methods, skills and strategies of leading negotiators in complex, global environments.
- Reflect on your own personal negotiation style, strengths and areas for development.
- Gain and build confidence as a negotiator.

**Teaching Team:**

**Faculty:** Rob Wilkinson  
Office: Rubenstein 118  
Direct Line: 857-636-9188  
Email: Robert_Wilkinson@hks.harvard.edu  
Skype: robwilkinson1  
Office Hours: Wed, 3:30 – 5:30 PM, & also by appointment, Skype or phone

**Course Assistants:** Malini Bose  
Email: Malini_Bose@hks18.harvard.edu  
Office Hours: Tue, 12 – 1 PM, Taubman Study Carrel 1

Vincent Lowney  
Email: Vincent_Lowney@hks18.harvard.edu  
Office Hours: Fri, 9 – 10 AM, Room L384A

**Faculty Assistant:** Stacy Hannell  
Email: Stacy_Hannell@hks.harvard.edu  
Phone: (617-496-1477)

**Course Logistics and Organization**

There will be **3 sessions per week**: 2 lectures week, on Mondays and Wednesdays from 1:15 – 2:30 PM, and one extended activity session on Mondays from 4:15 to 6:00 PM for longer case study analyses, simulation activities or guest speakers. All sessions are mandatory. The Monday sessions, on occasion, may run a little bit longer (such as the first one, which is the Oil Pricing exercise) or may end a bit earlier, depending on the activity. For Case Study analysis sessions, please bring the case with you, either on your device, or as a printout, as we will be working with it during the session.

This class is **potentially open to both cross-registrants and auditors**, depending on space. Priority will go to Kennedy School students, and a judgment will be made on available slots once registration is finalized.
Auditors will be required to attend all sessions, participate in all simulations and complete any additional work or project activities. The only difference between an auditor and a student taking the class for credit is that they do not need to submit a mid-term or final paper. Otherwise, all requirements are the same.

**I use Canvas for the basic administration of most aspects of this course.** Readings, assignments and grades will all be done electronically. The only exception is email, as I prefer not to use the email function on Canvas. The best way to contact me is to email me directly at Robert_Wilkinson@hks.harvard.edu and this way I don’t have to be on the Canvas site to respond promptly.

Also, I try to make myself available to speak to students right after most lecture sessions. I only ask that we try to meet directly outside of the lecture hall, rather than gathering at the podium, out of respect for the next professor who will need to set up for their class.

I also strongly encourage you to reach out to either of the two Course Assistants who work closely with me on all elements of this course. They will be happy to meet in office hours and by appointment, to discuss any aspect of the class content, assignments, logistics, etc.

Excused absences, in rare circumstances, may be granted by the professor, for urgent situations, such as a family emergency or health issue. Weddings, job interviews, conferences, work trips, etc., will be considered unexcused absences. In either case, you must inform the Course Assistants if you will be missing a session. The Course Assistants put a lot of effort into organizing the discussion groups in lecture, group activities and simulation exercises. An unexpected absence, excused or not, can cause significant disruption to the smooth running of a lecture or simulation activity.

**Course Assignments**

Grading for this course will be assessed in the following manner:

1. **Participation: 20%**. Negotiation is a practical skill, which, although guided by theory, requires direct and active engagement. This includes being physically and mentally present for class at all times and providing contributions to class discussion. **Attendance for all sessions is mandatory.** Missing sessions or arriving late will significantly affect your participation grade.

In addition, you will be asked to write an occasional individual reflection paper of 250 - 500 words, that will be written on any aspect of the negotiation content covered at that point in the course. You will upload these papers on the “Quizzes” function on Canvas. These papers can be a reflection on the readings, class discussion, a simulation exercise, case study, guest speaker, or any other element of negotiation theory or practice addressed that week. **The individual paper will not be graded.** However, you will receive participation credit for submitting the assignment and for covering relevant content. The goal of this exercise it to encourage you to reflect more deeply and significantly about an insight, observation, question or aspect of negotiation theory and/or practice, and to
articulate these insights in writing. There will likely not be more than 4 of these papers this term.

2. **Mid-term Paper: 35%**. You will submit a mid-term paper of between 750 - 1000 words, but **no more than 1000 words**. You will select a specific, real-world and ongoing or future negotiation issue and apply the analytical frameworks discussed thus far in the course to provide a detailed negotiation analysis of your negotiation. Detailed instructions for this paper will be provided.

3. **Final Paper: 45%**. You will submit a final paper of 1,250 to 1,750 words, but **no more than 1,750 words**. Building on the same negotiation case as used for your Mid-term paper, you will act as an advisor and provide a set of recommendations to one actor in the negotiation, based on the negotiation theory learned in the course thus far. Detailed instructions for this paper will be provided.

Do not exceed the maximum word count for written assignments. If you do, your grade will be reduced accordingly. **Being able to advance your argument in a short space is challenging and yet crucial, especially in this field.**

**Paper Guidelines**

Papers must be submitted via the assignment submission tool on Canvas. You should use the dropbox on Canvas for this purpose.

Papers submitted after the deadline will not be accepted, unless there is prior agreement from the professor. The document name of the paper should include the names of all authors, whether the paper is group or individual, and the assignment number, e.g. “Joan Smith MLD 225 – Mid-term Paper” or “Gatari – MLD 225 – Final Paper.” This helps us keep track of your papers. Please put your name on the assignment document itself, as well as in the file name. Also, please number the pages in your assignment to make it easier to refer to a specific part of the document.

All papers should be no longer than the explicit word limit, preferably with 1.5-spacing and 12-point font. The word limits do not include footnotes, references or the bibliography. Do not exceed the maximum words indicated, or your grade will be reduced accordingly. Feel free to use sub-headings and bullet points to organize and communicate your ideas most effectively. Use proper citations as needed. **Footnotes are preferable to endnotes.** Finally, please make sure to watch your grammar, because it can negatively affect the power and impact of your arguments, and at worst, can make it difficult to fully capture the nuance of your analysis.

A “**Grading Criteria**” handout is available on Canvas, to give you a sense of what I am looking for in your papers. This document also includes a grading scale to give you an idea of my thinking on grading.

Note that the Mid-Term and Final Papers provide you with an opportunity to demonstrate your ability to grapple with some key intellectual dilemmas we’ve covered in the reading, class discussion and lectures. I do not want to see a litany of references that are specific to your topic. You are not strictly limited to only using the documents from the syllabus, however I would like to see you draw heavily from the readings from the syllabus (either from the required or optional), clearly quoting and referencing your citations. I would like most citations to be from material
covered in this class. A note on the content of these papers: the assignment should be a vehicle for me to understand that you have internalized and understood the concepts we have covered in the readings and lectures. Therefore, please do not go into great detail about your region, topic or case. I will not be impressed by your demonstration of specific knowledge on your negotiation topic, but rather your understanding of negotiation theory and practice. Therefore, please do not provide numerous external references to the specifics of your particularly negotiation case.

To be clear, I want the assignments to serve as a tool for you to demonstrate your mastery of the concepts covered in the course, and not your mastery on the specific negotiation case. Therefore, please look to apply negotiation theory to your case.

**Academic Integrity**

As members of this academic community, Kennedy School students will be held to high standards of academic integrity. All expectations are outlined in detail in the student handbook. The basic ideas behind these policies are summed up by University of Chicago professor, Charles Lipson, as the “bedrock” principles of academic honesty:

- When you say you did the work yourself, you actually did it.
- When you rely on someone else’s work, you cite it.
- When you use their words, you quote them accurately, and you cite them too.
- When you present research materials, you present them fairly and truthfully.

This is true whether the research involves data, documents, or the writings of other scholars.

**Violations of HKS’ academic integrity policy are taken seriously, with consequences up to and including expulsion from the University.** For more detail, refer to: http://www.hks.harvard.edu/degrees/registrar/procedures/integrity

**Other Expectations**

- I expect you to do all of the reading before class. I pay careful attention to the amount of reading I assign each week, and will try not give you more than 150 pages per week (and more often less). This should be a manageable amount for a graduate school course, and I expect you to come to class prepared to discuss the readings in detail. I strongly recommend that you get an early start on reading the Case Studies (i.e. the cases on Northern Ireland, Aceh, North Korea, Bosnia, and the US-Singapore Free Trade Agreement). These are very rich cases, which allow us to explore negotiation theory and practice in a variety of ways. These insights can only be gleaned with close and careful reading of the cases, which is hard to do at the last minute.

- I expect you to be on time for class. It is disruptive and disrespectful of everyone else’s time if you wander in late to class. Also, I often make important announcements in the beginning of lecture, which will affect your ability to execute the necessary tasks for this course.

- I have decided to allow laptop usage in class. However, I expect you to be mentally in the class while you are physically in class—do not surf the Internet, leave comments on your
friends’ Facebook pages, etc. It is disrespectful to the professor and to other students. If you think it isn’t obvious when you are doing something unrelated to class, you’d be mistaken. It is obvious both to the professor and the other students, and is a significant distraction. If laptop use does become a problem, I will have to disallow use during class time.

- It is explicitly forbidden to record any part of this class without the instructors’ permission. There are often students who will not feel comfortable, or participate in the same manner, if they are being recorded. Even if such permission is granted, which is unusual, you may not distribute such recordings without the instructor’s permission.

- We expect you to let us know in advance if you have to miss class or a deadline. Class participation is a very important component of the learning. There is also a good deal of logistical preparation required for this course, which is significantly disrupted if students do not attend, unannounced. Unexcused absences will be penalized.

- You are responsible for checking announcements on Canvas every week for: 1) updates on the reading and 2) specific questions or any updates on tasks.
**Calendar:**

[Note: calendar is potentially subject to minor changes, especially in light of guest speakers’ schedules]

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<thead>
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<th>Session No.</th>
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<th>Topic</th>
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<td>1.</td>
<td>Jan 23 –</td>
<td>• Course Introduction and Expectations</td>
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<tr>
<td></td>
<td>Monday Lecture</td>
<td>• Introduction to Negotiation Fundamentals</td>
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<td>2.</td>
<td>Jan 23 –</td>
<td>• Simulation: <em>Oil Pricing</em></td>
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<td>Monday Case,</td>
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<td>or Simulation</td>
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<td>Activity</td>
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<td>3.</td>
<td>Jan 25</td>
<td>• Distributive vs. Integrative Framework</td>
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<td>• <em>Email negotiation: conducted outside of class, due Feb 1</em></td>
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<td>4.</td>
<td>Jan 30</td>
<td>• Pre-Negotiation and Stakeholder Analysis</td>
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<td>5.</td>
<td>Jan 30 – Case/Sim</td>
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<td>6.</td>
<td>Feb 1</td>
<td>• Technology and Asynchronous Negotiation</td>
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<td>Guest Lecturer – Dr. Joshua Weiss, Senior Fellow at the Harvard</td>
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<td>Negotiation Project</td>
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<td>• <em>Email negotiation will be reviewed in class</em></td>
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<td>7.</td>
<td>Feb 6</td>
<td>• Simulation: <em>Bakra Beverage</em></td>
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<td>8.</td>
<td>Feb 6 – Case/Sim</td>
<td>• Case Study Analysis: <em>Aceh Peace Talks and Martti Ahtisaari</em></td>
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<td>9.</td>
<td>Feb 8</td>
<td>• Preparation and Strategy: 3D Negotiation</td>
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<td>10.</td>
<td>Feb 13</td>
<td>• Difficult Conversations</td>
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<td>Feb 13 – Case/Sim</td>
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<td>12.</td>
<td>Feb 15</td>
<td>• Psychological and Cognitive Processes in Negotiation</td>
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<td>13.</td>
<td>Feb 20</td>
<td>• <em>No Sessions this Monday (Holiday – President’s Day)</em></td>
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<td>Feb 22</td>
<td>• Simulation: <em>The Axis Affair</em></td>
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<td>Feb 27</td>
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<td>Emotions in Negotiation</td>
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<td>Feb 27-</td>
<td>Case/Sim</td>
<td>Difficult Tactics in Negotiation (Dealing with the “Hard Bargainer”)</td>
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<td>Mar 1</td>
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<td>Culture and Negotiation</td>
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<td>Mar 6</td>
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<td>Simulation: <em>MedLee</em></td>
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<td>Mar 6-</td>
<td>Case/Sim</td>
<td>Sarada Peri, Former Special Assistant and Senior Presidential Speechwriter for President Barack Obama</td>
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<td>Mar 8</td>
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<td>Case Study Analysis: <em>George Mitchell in Northern Ireland</em></td>
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<td>Mar 20</td>
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<td>Simulation: <em>Pulchra-Veritas</em></td>
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<td>Mar 20-</td>
<td>Case/Sim</td>
<td>Case Study Analysis: <em>Negotiating an End to the War in Bosnia</em></td>
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<td>Mar 22</td>
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<td>Gender and Negotiation</td>
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<td>Mar 27</td>
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<td>Internal Dimensions of Negotiation</td>
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<td>Mar 27-</td>
<td>Case/Sim</td>
<td>Guest Lecturer – Dr. Elizabeth Rayer, Partner - Enterprise Learning Practice Leader, Vantage Partners; Senior Advisor and Trainer to Fortune 500 Executives, globally.</td>
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<td>Mar 29</td>
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<td>Multi-Party Negotiation and Consensus Building</td>
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<td>Apr 3</td>
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<td>Asymmetrical Power in Negotiations</td>
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<td>Apr 3-</td>
<td>Case/Sim</td>
<td>3-Party Coalition Simulation</td>
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<td>Apr 5</td>
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<td>Case Study Analysis: <em>Negotiating the North Korean Nuclear Crisis</em></td>
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*Spring Break – No Classes*
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<tr>
<td>29. Apr 10</td>
<td></td>
<td>• Leadership and Negotiation</td>
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<tr>
<td>30. Apr 10</td>
<td>Case/Sim</td>
<td>• The Ecuador/Peru Peace Process in Focus</td>
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<td>Guest Lecturer – Former President of Ecuador, Jamil Mahuad, Nobel</td>
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<td>Peace Prize Nominee</td>
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<td>31. Apr 12</td>
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<td>• The Lead Negotiators of the South Africa Peace Process: Video</td>
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<td>Analysis</td>
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<td>32. Apr 17</td>
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<td>34. Apr 19</td>
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<td>• Sealing the Deal</td>
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<td>35. Apr 24</td>
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<td>• Case Study Analysis: Tommy Koh and the Singapore Free Trade</td>
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<td>Agreement</td>
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<td>36. Apr 24</td>
<td>Case/Sim</td>
<td>• Simulation: ENCO</td>
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Final Paper Due: Friday, April 28, by 5:00 PM

Required Books:


In addition, all students are to read the assigned materials on the reading list below before each class session. As mentioned above, I strongly recommend that you get a head start on reading.
the Case Studies. They are interesting and fun, but there is a lot contained within them, so get started early!
Class Sessions:

Session 1: January 23 (Monday Lecture) – Course Introduction and Expectations; Introduction to Negotiation Fundamentals

Required Reading [50 pages]:


Optional Reading [10 pages]:


Session 2: January 23 (Monday Activity) – Simulation Exercise

Simulation: *Oil Pricing Exercise*

Session 3: January 25 – Distributive vs. Integrative Framework

Required Reading [46 pages]:


Optional Reading [14 pages]:


Session 4: January 30 – Pre-Negotiation and Stakeholder Analysis

Required Reading [61 pages]:

- Luttwak, E.N. “*Give War a Chance.*” Foreign Affairs, Vol. 78, No. 4 (July/August 1999): 36-44. [8 pages]
Optional Reading:


Session 5: January 30 – Simulation Exercise
Simulation: Parker-Gibson

Session 6: February 1 – Technology and Asynchronous Negotiation. Guest Lecturer: Dr. Joshua Weiss, Senior Fellow at the Harvard Negotiation Project, Program Director for Bay Path’s Master of Science in Leadership and Negotiation and the co-founder of the Global Negotiation Initiative at the Program on Negotiation at Harvard Law School.

Required Reading: NOTE – DO NOT READ UNTIL AFTER YOU HAVE COMPLETED THE OUT OF CLASS, EMAIL NEGOTIATION [64 pages]:


- Putnam, Robert D. "Diplomacy and Domestic Politics: The Logic of Two-Level Games" International Organization 42, no. 3 (June 1988): 427-60. [33 pages]

Optional Reading:


Session 7: February 6 – Simulation Exercise
Simulation: Bakra Beverage
Required Reading [9 pages]:


Optional Reading:

- Deepak Malhotra, Max H. Bazerman. Negotiation Genius: How to Overcome Obstacles and Achieve Brilliant Results at the Bargaining Table and Beyond. Bantam Dell Publishing Group, 2008, Chapter 3. [19 pages]

Session 8: February 6 – Case Study Analysis

Required Reading [33 pages]:


Session 9: February 8 – Preparation and Strategy: 3D Negotiation

Required Reading [35 pages]:


Optional Reading:


Session 10: February 13 – Difficult Conversations

Required Reading [53 pages]:


Session 11: February 13 – Simulation Exercise

Simulation: Casino

Session 12: February 15 – Psychological and Cognitive Processes in Negotiation

Required Reading [35 pages]:
• Noah J. Goldstein, Steve J. Martin and Robert B. Cialdini. Simon and Schuster, Yes! 50 Scientifically Proven Ways to be Persuasive. 2008, Chps 7, 26, 31, 34, 35, 43. [17 pages]

• Malhotra & Bazerman. Negotiation Genius: How to Overcome Obstacles and Achieve Brilliant Results at the Bargaining Table and Beyond. Bantam Dell Publishing Group, 2008, Chapter 4 and 5. [18 pages]

Optional Reading:

February 20: No Sessions this Monday (Holiday – President’s Day)

Session 13: February 22 – Simulation Exercise
Simulation: The Axis Affair

Mid-Term Paper: Due Friday, Feb 24th, by 5:00 PM

Session 14: February 27 – Emotions in Negotiation. Guest Lecturer: Professor Daniel Shapiro, Founder and Director of the Harvard International Negotiation Program, Faculty at Harvard Medical School and Author of “Negotiating the Non-Negotiable”

Required Reading [43 pages]:


Session 15: February 27 – Difficult Tactics in Negotiation (Dealing with the “Hard Bargainer”)

Required Reading [32 pages]:

Optional Reading:
• Voss, C. Never Split The Difference, Negotiating As If Your Life Depended On It, HarperBusiness, 2016, Chps. 1-2

• Fisher, R., Ury, W.L., & Patton, B. Getting to Yes: Negotiating Agreement Without Giving
Session 16: March 1 – Culture and Negotiation

Required Reading [38 pages]:


Optional Reading:


Note: There is no required reading for Monday, March 6. Please begin reading and prepping for Wednesday’s Case Study on Northern Ireland

Session 17: March 6 – Simulation Exercise

Simulation: MedLee

Session 18: March 6 – Guest Lecturer, Sarada Peri, Former Special Assistant and Senior Presidential Speechwriter for President Barack Obama

Session 19: March 8 - Case Study Analysis

Required Reading [47 pages]:


Spring Break – No Classes

Session 20: March 20 – Simulation Exercise
Simulation: *Pulchra-Veritas*

**Session 21: March 20 – Case Study Analysis**

*Required Reading [30 pages]:*


**Session 22: March 22 - Gender and Negotiation**

*Required Reading [30 pages]:*

- Curhan & Overbeck, *Making a Positive Impression in a Negotiation: Gender Differences in Response to Impression Motivation*, Volume 1, Number 2, Pages 179 – 193. [14 pages]

*Optional Reading:*

- Kolb, D, *Negotiation Theory Looking Through the Glass of Gender*, ICAR Occasional Paper 9, George Mason University, 1994. [26 pages]
- Liswood, L, *The Loudest Duck: Moving Beyond Diversity*, Wiley 2009, Chp 1

**Session 23: March 27 – Internal Dimensions of Negotiation**

*Required Reading [47 pages]:*


*Optional Reading:*

Session 24: March 27 – Guest Lecturer – Dr. Elizabeth Rayer, Partner - Enterprise Learning Practice Leader, Vantage Partners; Senior Negotiation Advisor/Trainer to Fortune 500 Executives.

Session 25: Mar 29 – Multiparty Negotiation and Consensus Building

Required Reading [31 pages]:


Optional Reading:


Session 26: April 3 – Asymmetrical Power in Negotiations

Required Reading [30 pages]:


Optional Reading:


Session 27: April 3 – Multiparty Negotiation

Simulation: 3-Party Coalition

Required Reading [15 pages]:

Optional Reading:


Session 28: April 5 – Case Study Analysis

Required Reading [66 pages]:


Session 29: April 10 – Leadership and Negotiation

Required Reading [50 pages]:


Optional Reading:

- Matz, D., When the Mediator Gets Tough, Negotiation Journal, 2008 [8 pages]

Session 30: April 10 – The Ecuador/Peru Peace Agreement in Focus. Guest Lecturer – Former President of Ecuador, Jamil Mahuad, Nobel Peace Prize Nominee

Session 31: April 12 – The Lead Negotiators of the South Africa Peace Process

Video Case Study Analysis

Required Reading [40 pages]:
Session 32: April 17 – Principle-Agent Theory

Required Reading [28 pages]:


Optional Reading:


Session 33: April 17 – Principle-Agent Theory in Action: Role Play

Video Analysis:  Principle-Agent Role Play

Required Reading [23 pages]:


Optional Reading:


Session 34: April 19 – Sealing the Deal

Required Reading [47 pages]:

Optional Reading:

- Babbitt, Dale, Ganson et. al., *Imagine Coexistence – Findings and Recommendations for UNHCR*, Fletcher School of Law and Diplomacy, Medford, MA, 2002, [56 pages]

Session 35: April 24 – Case Study Analysis

Required Reading [14 pages]:

*Case Study Analysis*: Tommy Koh And The United States-Singapore Free Trade Agreement, Great Negotiator Case Study Series

Session 36: April 24 – Simulation Exercise

Simulation: ENCO

Required Reading [11 pages]:


Optional Reading:


**Final Paper Due: Friday, April 28, by 5:00 PM**
Bibliography and Further Learning on Negotiation, Conflict, Leadership and Management:

Negotiation:


- Salacuse, J., Seven Secrets for Negotiating with Government: How to Deal with Local, State, National, or Foreign Governments--and Come Out Ahead, AMACOM, 2008


- Shapiro, D. Negotiating the Nonnegotiable: How to Resolve Your Most Emotionally Charged Conflicts, Viking, 2016


• Stone D. & Heen, S., *Thanks For The Feedback*, Viking, 2014
• Ury, W., *Getting To Yes With Yourself (and Other Worthy Opponents)*, HarperCollins Publishers, 2015
• Voss, C. *Never Split The Difference, Negotiating As If Your Life Depended On It*, HarperBusiness, 2016

**Conflict Resolution:**

• Weinstein, J., *The Structure of Rebel Organizations*, World Bank Conflict Prevention and Reconstruction Unit, Newsletter 4, Rebel Orgs, 2002
• World Bank, Social Development Department, *Toward a Conflict-Sensitive Poverty Reduction Strategy*, Washington DC, 2005


**Management, Leadership & Decision Sciences:**


• James MacGregor Burns, Leadership, Harper Perennial Modern Classics, 1978, 2010


