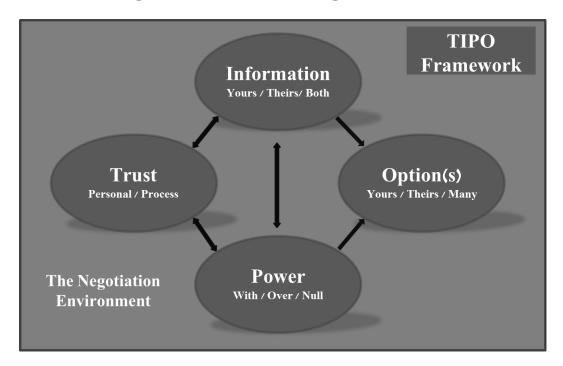
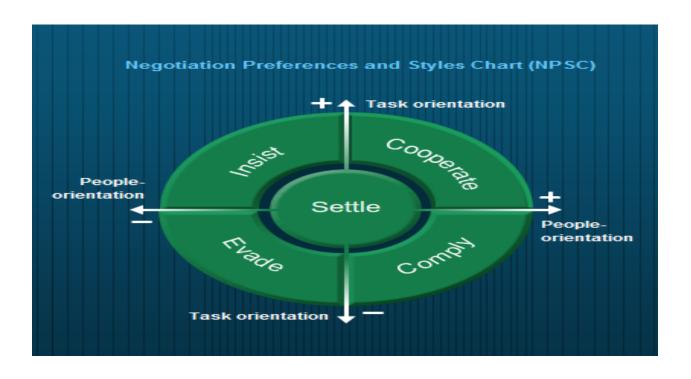
TIPO / Negotiation Planning Worksheet/Guide





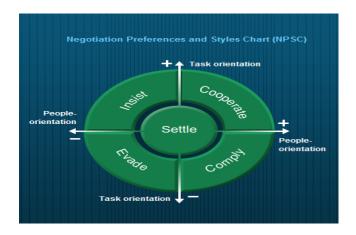
	TIPO / Negotiatin	g Planning Worksheet
TIPO Process		
Trust Is there a need for trust? What types of trust do I value / the opposite value (personal versus process)? How can trust be built?	My trust in the Opposite	The Opposite's trust in me
Information	Information I have	Information the opposite might have
Do I have enough information to advocate for solution? What are my assumptions? Can the opposite help me validate the assumptions into facts? What can I do to help the opposite value my information as valid? What can the opposite do to increase my trust in their information?		information the opposite inight have
Power	Types of Power I have	Types of power my opposite has
What types of power do I have that the opposite values (expert, reward, coerce, referent, position, official)? Will I use power over or power with the opposite? What type of power does the opposite possess that I value?		
Options	What should I seek? Advocate for a	What might my opposite seek? Advocate
Am I advocating for a single solution or seeking among multiple options for a solution? What is my opposite aiming to do?	single option? Seek the development of multiple options?	for a single option? Seek the development of multiple options?
Strategy Selection	From the above insights, what might be the most appropriate NPSC strategy to begin the negotiations?	From the above insights, what might be the most appropriate NPSC strategy for my opposite to use?

Negotiating Process  Evade / Insist / Settle / Comply / Cooperate		
Position (WHAT do I think I/They want?)  Aspiration Point (What might the best possible outcome be for me? Rationally Bounded)  Reservation Point (What's the minimum I would accept? Rationally Bounded)		
Prioritized Interests  (Critical Thinking: Why do I want the above outcome? How important are each of the interests? Part of this will be developing assumptions to be tested during the negotiation)		
Best Alternative to a Negotiated Agreement (BATNAs) (Critical Thinking: What can I /they do if we don't reach an agreement?) Worst Alternative to a Negotiated Agreement (WATNAs) (What might be the worst option I / they might have to execute?)		

Agenda	
1. Trust building?	
2. Pre-emptive	
concessions?	
3. Who opens?	
4. Common interests?	
5. Options presented as full	
proposal or incremental?	
6. Reciprocity?	
7. What is "off limits"?	
8. What must be discussed?	
9. Who should attend?	
10. Where should the	
meeting be?	
11. How should the setting	
be arranged?	
12. What are the	
expectations for hospitality?	
13. What is the expectation	
for the meeting?	
14. How much time should	
be set aside?	
15. Will recorders /	
interpreters be needed?	
	I
Cultural Perspectives	
(Use High/Low Culture	
Contrast Tools)	
Define Success?	
Expectation Management?	
Who has Authority?	
Consensus?	
Resources?	
Risk?	
Face?	
Agreement Style? Communications?	
Post-Negotiation	
Expectations?	
Ехресішіонз:	
	<u> </u>

	<b>Execution Process</b>
Developing a Zone of Possible Agreement (ZOPA) The range of possible solutions from your reservation point to the opposite's reservation point. Try to define this zone after interests are explored and assumptions validated / rejected.  Options for Mutual Gain  (Divergent Thinking: Create ideas that satisfy as many interests of both parties as possible – this process is brainstorming and non-judgmental. Continue to test assumptions with Active Listening as well as using Critical Thinking questions)	
Objective Criteria (Using convergent thinking, find the industry standard, historical data, or, for the military context, the option that best meets the priority needs established in the exploration of each sides' interest)	

#### A Guide to the AF Cooperative Negotiating Strategy (CNS)



#### Introduction

In the US, we have accepted (almost as biblical) the CNS as the salvation to our preference for a more aggressive Insist strategy. CNS is one of several explanations for an integrative, rather than distributive approach to problem-solving. One of the first to present this concept were Fischer and Ury in their groundbreaking work "Getting to Yes". Their model is the Interest-Based Negotiations (IBN) model. Similar to IBN, CNS involves multiple, integrated, and usually linear processes; how to extract interests from positions, develop and use BATNAs and adjusting these pieces of information as negotiation planning moves into actual negotiations. The goal of CNS is to put problems on the table and resolve them in a direct manner. This style matches our low-context culture; simple, direct, legal, finite.

In 2005, the Air Force adopting IBN as a starting point for developing a core leadership competency in negotiating. This is reflected in the both the Air Force's Institutional Competencies List and AF Doctrine Document DD 1-1. In support of this competency development, the NCE has developed negotiation guides (short and long versions). These guides are useful as a planning and execution tool when leaders engage in negotiations. This guide builds on and goes beyond the business-based IBN model and adapts many of the concepts to the military context – resulting in the Negotiating Styles and Preferences Chart (NPSC) and specifically the CNS. CNS is but one of five strategies within the NPSC, and each strategy has strengths and weaknesses. One size does not fit all contexts. There are limits to when and where CNS should be applied. When planning a negotiation, CNS is a good place to start. However, leaders should always be adaptive and continuously assess what modifications / accommodations /adjustments might be needed when dealing with a different situation. In short, worldviews vary, and so should negotiating styles. This guide should help you plan, observe, and adapt.

Part I below is a synopsis of CNS. Part II is a series of questions / topics within the actual guide to help you prepare and execute a negotiation.

#### Part I: Cooperative Negotiating Strategy Synopsis

Every day Air Force personnel negotiate with co-workers, supervisors, subordinates, business partners, coalition warfighters, non-governmental organizations, etc. The AF CNS guide should help increase the chances for success by organizing the thinking / preparation processes as well helping to guide the thought process during the actual execution. Anecdotally, if you ask a DOD professional to describe his/her theory on negotiations, they will usually tell

you a "war story." This is instructive, because the response highlights a fundamental assumption made about negotiations; that negotiating is highly dependent on context and very individual in nature. In the extreme, some leaders believe that negotiations are so situation dependent, that they can't be planned in advance. For example, a person might profess one negotiating strategy when "negotiating" with a spouse; but, you will likely receive a different answer if you asked the same person about negotiating a similar situation in a professional context. However, many leaders in negotiation (academicians and practitioners) agree that well-defined negotiation tools and methods can be built into all negotiation processes regardless of context, thereby improving and systematizing one's ability to negotiate in a variety of situations. Instead of viewing negotiations as highly idiosyncratic and situational, a more useful approach is to treat negotiations as a learned competence capable of systematic application and knowledge management. Hence, the AF CNS guide serves as a tool to advance this idea and develop this skill set.

During the 1970s and 1980s, Professors Robert Ury and Roger Fisher set out to understand the methodologies employed by highly effective negotiators. After years of research by a multidisciplinary team, they developed the IBN model focusing on developing win/win, or integrative, solutions. This approach stands in stark contrast to the positional (distributive) strategy employed by many – a model that encourages win/lose outcomes.

While IBN is extremely valuable, it is not without its critics. Many have commented on the need for both sides to agree to follow the IBN strategy. However, experience demonstrates that while this is not necessarily so, a good negotiator needs to be skilled in all five strategies found in the NPSC strategy, and *adapt to the environment as needed*.

The CNS is an effective tool that permits users to break down complex negotiations into a distinct and manageable set of separately identifiable components. It helps people organize their thinking about negotiations in a structured manner, and allows them to better understand, prepare, conduct, and evaluate negotiations of *all types*.

A recent White Paper entitled "Negotiation as a Business Process," published by Vantage Partners, a leading provider of negotiation training, states:

Most experienced negotiators affirm that the quality of preparation directly translates into both the quality of the ultimate deal as well as the efficiency of the overall negotiation process. Leaving negotiators to determine for themselves how to prepare is usually ineffective—most will default to simply thinking about what they want to get and what they are willing to give up. In the face of many pressing priorities, negotiators often do not devote sufficient time to preparation, and even if they do, most focus on one or two elements of the negotiation, losing sight of the many elements that need consideration, if not investigation.

The difference between IBN and CNS is that CNS has been adapted to address needs found within the military environment, just as IBN is more adept at handling environments such as business. IBN works well in business transactions, where products are tangible and outcomes are more easily measured. In the military, products, like security, are often difficult to envision as well as measure. Thus CNS gives DOD professionals a reference / baseline for negotiation preparation within the military context. To highlight, key CNS features are:

o CNS Changes Negotiation from a Contest to a Search for Solutions.

CNS requires negotiators to treat disputes and issues as problems to be solved rather than a contest of wills between the parties and their positions. This can be difficult in the military context, as the person across the table may have been a violent antagonist a short while ago. Although feelings of fear, anger, resentment are perhaps normal in this situation, this is not the first time in history that former antagonists have respected each other enough that at the end of hostilities, they worked to treat each other with respect. You don't have to like the person you are negotiating with, but you need to respect them. Respect helps engender trust, which helps open up communications channels so that interest may be shared and used to develop solution. Searching for solutions together shifts the negotiation dynamic away from an Insist strategy, where concessions by the weaker side to the stronger side are expected. Key in the military context is finding ways for leaders to properly identify what the problem really is all about. It is one thing to say in the business world that you need to negotiate the delivery date of a shipment of parts. It is quite another matter for two leaders, who at one time may have been antagonists in a conflict, to see eye to eye on a matter such as "security", or criminal activity, etc.

#### o CNS Focuses on Underlying Interests.

CNS sees the other party's position not as an ending point or goal to be contested, but as a starting point to help understand their interests. CNS recognizes that parties' underlying interests are what is really at the heart of their dispute. Interests are the desires, values, concerns, fears and limitations that motivate the parties and stand behind their posturing about their positions. CNS gets at the "why" behind the positions (the what). It requires each party to focus on their own interests AND to focus on uncovering and understanding the opposing party's interests. In the military context, this digging for interest is fruitful only after parties have established some type of trust, either through pre-existing relationships and history, or through deliberate trust-building measures. Another key when developing and defining each party's interests is to prioritize those interests. What is the *most* important to the *least* important for each side to get out of the negotiation? This prioritization will be useful when the end of the negotiation requires the selection of a solution (from all the options developed).

#### • CNS Searches for Solutions Based on Differences.

CNS recognizes that parties have differing interests, priorities, preferences, and organizational needs. Having differences is not bad; in fact, it can be the basis for a solution. For example, in a scheduling situation where one troop prefers night work whereas another prefers the day shift, this difference can result in a schedule that works for both parties. The *key* is to unearth those interests *before* developing solutions. In short, before publishing the schedule, a few questions about what the troops' interests are might be beneficial. By uncovering these varying interests and preferences, parties can better search for solutions that satisfy the priority needs of each party. The search for options changes negotiation from a pattern of concessions to a genuine search to solve the problem and find the best solution to meet the parties' differing interests.

### • CNS Recognizes that Information Sharing and Communication Are at the Heart of Problem Solving.

CNS rests on a foundation that includes communication skills and information sharing regarding perceptions of events, interests, priorities and possible options to enhance the parties' search for viable solutions. It requires clear and determined efforts to express views,

perceptions and interests, and to also actively listen and attend to what the other party has to say regarding their views and interests. In CNS, information sharing is in sharp contrast to the tendency to withhold and manipulate information that characterizes the Insist strategy.

#### o CNS Focuses on Expanding Solution Options (Expanding the "Pie").

The Insist strategy sees negotiation as a football game and seeks a win-lose outcome ("what I gain on the field, you lose.") This creates a battle of wills. In contrast, CNS allows parties to conceptually sit side-by-side to search for value-creating opportunities based on their differences. By focusing on expanding the solution field and creating as much value as possible, the division of the expanded pie becomes more reasoned and logical, rather than simply being a result of manipulation and hard-ball negotiation tactics. Another consideration in today's complex military environment is that a leader's span of control is often greater than their span of expertise. It is tough to come up with an answer when there is more information available than can be absorbed. A secondary consideration is that even if a leader had all the information to make a decision, the other leader sitting on the other side of the negotiating table is likely not to have the same interpretation of the same information. Worldviews should be considered. For example, what the West considers as "security" may not be universally translated.

Another perspective on the integrative process is one many leaders use regularly, i.e. brainstorming. The only difference in CNS is that you are brainstorming not just with your team, but with the other side and their team as well.

#### o CNS Focuses on a practical Method to Selecting the Solution.

Once the integrative process of developing options is complete, there must be a return to the distributive process of agreeably carving up the resources in the final deal. Which option to select (of the potential many ideas on the table) can become problematic in the military environment because so few "industry standards" exist (i.e. blue book, industry standards, legal precedent, etc.)? The AF NCE suggests that parties agree to select the option that best meets the top interest(s) of the negotiating parties. This has the secondary benefit of getting parties to reveal and prioritize their interest(s) earlier in the negotiation, since they'll be using those interests to select the best option to execute.

#### o CNS uses Best Alternative to a Negotiated Agreement (BATNA) as a Motivator.

The BATNA is what you or the other party would do (having both the will and ability), on their own, if negotiations failed. In the military context, BATNAs are sometimes seen as a return to coercive measures to get the job done. Unlike the car buyer, whose BATNA may be to leave the current car dealership and walk next door to a better offer, the military leader's mission orders usually don't allow them the flexibility as to which town to provide security for or what location to deliver power and supplies to. How those mission orders are executed can become a BATNA item. For example, determining the physical distribution of aid can rest with the US Commander (a BATNA) if the negotiating counterpart refuses to work towards a workable solution. This is something the US Commander can use to motivate both himself and the counterpart to negotiate more earnestly. First, the US Commander probably would like to get some buy-in on a solution to the problem, since the solution will most likely involve the

counterpart's people. Second, the counterpart doesn't want to be seen by his /her people as weak by not being part of how the aid was distributed.

#### **PART II: AF Negotiation Guide**

Below is a negotiations planning guide. Although you can use this guide to prepare for a negotiation using any of the five NPSC strategies, the CNS strategy seems to best leverage all the major features of integrative negotiations and is recommended as a starting point. You can always adjust the strategy later in the planning and / or execution as conditions warrant.

Within the guide, each major event (Position, Interests, BATNA), is followed by a series of critical thinking questions that you need to consider when planning to negotiate. Not all the questions must be answered, nor can be answered, since the situation will vary from one negotiation to the next. However, there are some overarching themes. First, after reading each question, evaluate if it is of value to your situation. If it is, the second question should be "Do I have the time, resources, and ability to gather an answer that may improve my negotiations planning?" If the answer is yes, then the question should be answered. Third, not only should you be planning for your side, but you should also devote serious effort to planning "their side". You may be making informed guesses, but it will help you anticipate potential issues and plan for action that will either turn it to an advantage to your side or at least minimize its effect on your side. Additionally, there are questions concerning stakeholder(s) and power relationships that represent Cohen's Interest Map (IM) concept. Steven Cohen's book, Negotiating Skills for Managers, is available at e-books through AUL; http://www.au.af.mil/au/aul/db4.htm

Negotiation Strategy Guide  Assessing the Negotiation Context: Planning		
	Your Side	Other Party (Opposite)
Position: What do you want?  Aspiration Point: What is the best you could hope for"  Reservation Point: What is the least you are willing to accept?	- What is "our" position? Is the position unique to a single organization, or must the scope of the position include other organizations (other stakeholders)? - Is this a new situation or the continuation of another situation? - Are there any "in force" agreements? - What does your organization / chain of command / team want to have happen? - What is the rationale for this position?	- What is the other party's position(s)? - Do they present any "in-force" agreement to support their position? -Do they see it as a new situation or the continuation of another situation? - Is there precedent / tradition? - What does the other party's chain of authority look like? What do you think they will desire as their "best position"? - Rationale for the position?

<b>Interests</b>	&
Prioritie	S

<u>Why</u> do I want outcome above?

How important is each interest?

Which is the most important, least important, etc.?

- List (and prioritize) what the your interests are in this case (and what is the context / situation / conditions / environment BEHIND the position that creates the position)
- 1. From your perspective, what are the overarching issues? What are other stakeholders' (if any) overarching issues?
- 2. From your perspective, what are issues specific to this region outside of this individual case (economic, political, cultural, etc.)?
- List (and prioritize) what the other party's interests are in this case (what is the context / situation / conditions / environment BEHIND the position that creates the position)
- 1. From their perspective, what are the overarching issues? What do they think ours might be?(avoid mirror imaging, strive to put issues in their context)
- 2. From their perspective, what are issues specific to the other main party to the negotiations (and / or other interested parties with power) outside of this individual case (economic, political, cultural, etc.)? What are their issues? Why might they be interested in the negotiations?
- 3. From a your perspective, what are issues specific to this individual case (for example: SOFA, laws, existing contracts / agreements, maximize a gain or minimize a loss, political issues, economics, tradition, etc.)? Do you see this as an individual case or part of a larger situation?
- 4. Identify your stakeholders. What are the stakeholder's positions and interests? What are their relationships with the other parties and with each other? Who has power, why and how can it be affected?
- 5. Are there any interrelations between issues? (For example, if I execute an economic policy in response to this case, what will the effect be on other elements of my relationship with their government? Might other parties (i.e. stakeholders) relationships change (how and why?)
- 6. What does your side want the situation to be AFTER the negotiations conclude (what is/are the long-term interest(s))? Do all stakeholders share the same long-term goal?

- 3. From their perspective, what are issues specific to this individual case (for example: SOFA, laws, existing contracts / agreements, maximize a gain or minimize a loss, political issues, economics, tradition, etc.)? What might their perceptions be of ours? Does the other party see this as an individual case or part of a larger situation?
- 4. Identify their potential stakeholders. What are their positions and interests? What are their relationships with your parties and with each other? Who has power, why and how can it be affected?
- 5. What does the other party see as the interrelations between issues? (For example, if they execute an action within their legal system, what might be the effect on other elements of their relationship with your stakeholders?)
- 6. What do you think they want the situation to be AFTER the negotiations conclude (what is/are their perceptions of long-term interest(s))?

## Interests & Priorities (continued)

# BATNAs (Best Alternative to a Negotiated Agreement)

What do I have the will and the resources to do if I don't reach an agreement with the other party?

What might they do?

- BATNA: an action that may be pursued by your side without any consultation or agreement by the other party.
- Determine your "unilaterally executable options" if you "leave the table"
- Within each option, what is /are the desired response(s) from the other party?
- Within each option, what action by the other party might trigger this event?
- Within each option, how might your stakeholders respond?
- Within each option, what are some possible 2<sup>nd</sup>, 3<sup>rd</sup> order effects that are undesirable to your position?
- Within each option, how will executing the option affect your long-term relationship with the other party? With your stakeholders?
- Within each option, how much does the other party know about the option? How much power / ability do they have to weaken your BATNA options?

- A BATNA may also be pursued by the other party without any consultation or agreement by you.
- Estimate the other party's "unilaterally executable options" if they "leave the table"
- Within each option, what is /are the desired response(s) they might want from you
- Can they impact a stakeholder that can, in turn, exert influence on your BATNA?
- Within each option, what action by you might trigger this event?
- Within each option, how might their stakeholders respond? How might your stakeholders respond?
- Within each option, what are some possible 2<sup>nd</sup>, 3<sup>rd</sup> order effects that are undesirable to their position? To their stakeholder's position? To your position? To your stakeholder's position?
- Within each option, how will executing the option affect their long-term relationship with you? With your stakeholders?
- Within each option, how much do you know of the details? How much power/ ability do you have to weaken their BATNA options?

#### Objective Criteria

What criteria can parties agree to as objective measures of merit for each option?

History,
precedent, third
party standards,
industry
standards, law,
tradition, etc.

Where are possible sources for objective criteria?

- a. Within the respective parties' constructs (civil, criminal, social, political, economic, etc.)? What is the relevant law
- b. Within the region? might there be regional criteria to consider? Other examples within the region (especially if the example is of a regional power that the countries both respect)
  - c. Within bilateral documents / agreements? (SOFA, etc.)
- d. Within regional documents / agreements? (Might there be a regional / coalition agreement?
  - e. Within international agreements / agreements?
  - f. Is there any precedent? (Where has this happened before?)
- g. Does the culture consider "golden rule" type criteria "do unto others...."? Is there other "quid pro quo" criterion that is part of the social fabric and / or custom? How is it enforced?
- h. For the military context, a potential tool to help select the best idea from all the ideas is to see which idea best supports the top interest(s) of BOTH sides equitably (not necessarily equally)

#### **AGENDA**

What might the most appropriate approach? Going beyond "full proposal" or "issue at a time", consider:

- -- Broaden/Narrow Should you add or subtract issues from the table help to create a common interest?
- -- Are there automatic de-railers? How might you avoid them?
- -- What will you opening statement e (the "first 90 seconds"? What do you expect the other party's "first 90 seconds" to be?
- -- Who should go first? What should go first? An easy issue (trust building?) or a hard issue?

Execution Processes		
ZOPA	- Identify your Zone of Possible Agreement (ZOPA). From the least you'll accept to the best you can possibly hope to get, this establishes your ZOPA. How does this change during your negotiations? Gather information & identify the ZOPA Test assumptions and motives Learn from your counterpart. Listen carefully Be prepared to learn/modify as facts are unveiled Understanding priorities and why the priorities are the way they are Brainstorming – is the other party amenable to brainstorming?	
Options for Mutual Gain	<ul> <li>Satisfying as many interests of both parties as possible</li> <li>Where might your interests and the interests of the other side coincide?</li> <li>Are there areas of mutual agreement?</li> <li>What actions (or combination of actions) might support the attainment of these mutual interests?</li> <li>How might these actions be coordinated? Verified?</li> </ul>	
At the Table	- Managing the process at the table Managing your team — who will lead the discussion (one or many)? Who do you think will lead their discussion (one or many on their party?) Sequencing — How do you want to sequentially organize your negotiation? Who records the proceedings? In what language (both)? Written record or audio/video? Shaping perceptions Structuring the deal — is there a need for interim summaries / agreements?	
Away from the Table	Closure  - Managing the process away from the table - How do you call an "intermission"? - How do you manage communication with the stakeholders during negotiations?	
Impasse	- Overcoming Impasse Cause of impasse? Positions? No ability to see common ground? Need to move to distributive style? Influence of third party power Mediation? Change negotiator(s)? Change location (perception of time court advantage?) Change timing of certain events? Take a recess Defer issues that don't require agreement now Build incentives Reframe issues to play to interests	

	Post-Negotiation: Evaluation
Goal is to self- assess for future skills improvement	- Outcomes: Compare against entire range of outcomes – What is the best you can hope to achieve vs. What is your "walk away" point?  - Compare outcome to BATNA
	<ul> <li>What transpired during the negotiations that followed the plan? Were the initial assessments / perceptions accurate?</li> <li>What changes were you able to accommodate and why?</li> <li>What changes were unanticipated? Could they have been foreseen with a modification in the planning process?</li> </ul>
Can also act as a tool for mentoring others on negotiations	<ul> <li>Do you anticipate a good basis for follow-on negotiations should problems arise in execution? If so why, If not, why not?</li> <li>What lessons can you extract from this negotiation to help mentor others? Successes failures, insights, etc.</li> </ul>