

INTERNATIONAL NEGOTIATION

INTERNATIONAL PEACE AND CONFLICT RESOLUTION
SCHOOL OF INTERNATIONAL SERVICE
AMERICAN UNIVERSITY
FALL SEMESTER 2011
SIS 611-001

Fall 2011

La diplomatie est la police en grand costume.
-Napoleon, *Maxims*

Instructor: Dr. Anthony Wanis-St. John
Class meetings: Wednesdays, 5:30 pm to 8:00 pm
Classroom:

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COURSE OBJECTIVES, LEARNING OUTCOMES AND METHODOLOGY

'International negotiation' refers to the processes and methods by which international actors and agents attain their goals and pursue their interests through persuasion and (typically) non-violent engagement. However, in the international domain, coercion is often present in some form or another, and negotiators must use their skills not only to address violent conflicts, but often must do so when threats of violence or other coercive measures are directed against them or those they represent. Thus international negotiation is a strategic skill that integrates analytical, interpersonal, organizational, diplomatic and other knowledge and skill areas. It is one of the foundational tools of international conflict resolution: the use of bargaining analyses and skills by individuals, international organizations, NGOs and states to resolve international disputes and craft international agreements. While the critical issues of the contemporary world are often problems involving security (including the termination and prevention of war, genocide, terrorism), unilateral solutions to a security problem cannot be imposed by a humanitarian worker stopped at a checkpoint, a field commander facing an angry civilian population, top diplomats in the hallways of the UN or even heads of state and government. Inevitably, cooperative and collaborative outcomes are sought through negotiated change rather than further 'securitization'. In this course, we will focus a great deal on how international actors can negotiate and create cooperative, beneficial arrangements even in a context of conflict, distrust, betrayal and even war and violence. A wide variety of international negotiations are covered by the course materials, including terrorist incidents, ceasefires, treaties to end wars, establish

economic relations, and resolve crises. The special factors and problems that distinguish negotiations at the international level from those that are domestic or purely interpersonal are also addressed.

There are four learning outcomes for the course:

1. Understand the **origins of international negotiation and selected aspects of conflict resolution theory.**
2. Gain a deep understanding of **theories about the process and outcome of international negotiation.**
3. **Improve the learner's own negotiation skills** by practicing on simulations and cases.
4. Develop the learner's **ability to analyze** international conflicts and negotiations in order to develop accurate policy recommendations, negotiation strategies and tactical responses.

We will reach these goals using a combination of lecture presentations, seminar discussion, interactive negotiation exercises, and written papers. We will occasionally invite guests to speak on their field negotiation experiences in the military, humanitarian and diplomatic professions. We may use the Blackboard course website for occasional virtual classroom sessions, online negotiation sessions, opinion on controversial topics, submission of papers and commentary to students, and distribution of other materials.

Prof. Wanis-St. John has created a number of interactive negotiation simulations and exercises in order to maximize the participative learning and engagement of learners. These are supplied at no cost to the class. Such exercises are a 'negotiation laboratory' that brings the theories and concepts to life for learners, and bridges the gap between intellectual learning and practice. We will often have several versions of a single negotiation being conducted in parallel, which permits us to compare the process, dynamics and results across the group. Some negotiation exercises have a quantitative component, which facilitates benchmarking of performance. Learners are not be graded on the actual outcomes obtained in negotiations, only on the extent of engagement and participation.

Whether your career goals are in government service, international civil service, humanitarian and relief work, international business, NGO advocacy or any other sector, you will find that expertise in negotiation skills and analysis of international negotiations will be essential to your profession.

BASIS FOR GRADE

We all learn in different ways; some by reading, others by participating interactively, others by discussing, etc. or some combination of these. You will have a variety of ways to demonstrate and participate in your own learning. These activities help us achieve the learning outcomes:

KNOWLEDGEABLE PARTICIPATION (35%) in class discussion, interactive negotiations, other group and Blackboard-based activities. This is simple: **do all the readings!**

CASE STUDY POLICY MEMO (25%) is an exercise used for the midterm. The case is a fictionalized scenario that replicates the dynamics of an actual international political crisis. You take the perspective of someone who is on the negotiation support staff of an international diplomat. Your task is to write a professional, brief policy memorandum to your ‘superior’ explaining what you and your team should do when “actually conducting this negotiation” based on the lessons learned from the class, drawing heavily on the theories and concepts of conflict and cooperation, with full footnotes and bibliography.

ANALYTICAL PAPER (40%) which will comprise a comprehensive analysis of an international negotiation that has taken place. 14-16 pp.

- Cover page and Table of Contents
- The introduction will give an overview of the conflict, the negotiations and the theory or theories you will use to analyze them. This is where you will explain the purpose of your study and foreshadow any conclusions you draw. (1 p.)
- The next part of the paper is a very brief historical review of the international political negotiation you are analyzing. This is the background history and domestic, regional and global political context of your paper, as appropriate. (2 pp.)
- The central part of your paper is your original analysis of the international negotiation you are studying. You will be expected to apply the theoretical concepts and frameworks to the negotiation. This is “What, why and how” of the actual negotiations. (10 pp.)
- Additionally, you must include policy-relevant recommendations you formulate from your analysis. This part should answer the question: “What could or should the decisionmaker do or have done differently?” (3 pp.)
- Bibliography

Plagiarism of any kind will be cause for immediate failure and possible disciplinary action.

Papers must be properly formatted, fully referenced and contain a complete bibliography of works actually consulted. All papers should have a cover page and table of contents. Use Times font, 12 pt., 1” margins, double-spacing. Page count does not include cover page, table of contents and bibliography. All of these components must be in one single electronic file, preferably using Microsoft Word. If you do not use MS Word, kindly make sure your paper can be opened in that program or in Adobe Acrobat.

EMERGENCY PREPAREDNESS

In the event of a declared pandemic (influenza or other communicable disease), American University will implement a plan for meeting the needs of all members of the university community. Should the university close for a period of time, we are committed to ensuring that all aspects of our educational programs will be delivered to our students. This may include altering and extending the duration of the traditional term schedule to complete essential instruction in the traditional format and/or use of distance instructional methods. Specific strategies will vary depending on the format of the course and the timing of the emergency. Faculty will communicate class-specific information to students via AU e-mail and Blackboard, while students must inform faculty immediately of any absence due to illness.

Students are responsible for checking their AU e-mail regularly and keeping informed of emergencies. In the event of a declared pandemic or other emergency, students should refer to the AU Web site (www.prepared.american.edu) and the AU information line at (202) 885-1100 for university-wide information, contact faculty and dean’s office for course and school/college-specific information.

ACADEMIC INTEGRITY CODE

All students must adhere to the Academic Integrity Code (<http://www.american.edu/provost/registrar/regulations/reg80.cfm>). As the code states, "By enrolling at American University and then each semester when registering for classes, students acknowledge their commitment to the Code. As members of the academic community, students must become familiar with their rights and their responsibilities. In each course, they are responsible for knowing the requirements and restrictions regarding research and writing, examinations of whatever kind, collaborative work, the use of study aids, the appropriateness

of assistance, and other issues. Students are responsible for learning the conventions of documentation and acknowledgment of sources. American University expects students to complete all examinations, tests, papers, creative projects, and assignments of any kind according to the highest ethical standards, as set forth either explicitly or implicitly in this Code or by the direction of instructors."

COURSE STRUCTURE

Module I: From Ancient Times to the Present: Paradigms of International Conflict and Cooperation

Session	Topic	Texts	Exercises and Cases
8/31	Introduction to International Negotiation		Arm Exercise
9/7	Ancient and Classic Conceptions of Negotiation and Diplomacy	<p>Cohen, R. "All in the Family: Ancient Near East Diplomacy," <i>International Negotiation</i> vol. 1, no. 1 (1996)</p> <p>Hamilton, K. and Langhorne, R., <i>The Practice of Diplomacy</i> (London: Routledge, 1995), Ch. 1 "The Old World"</p> <p>Iklé, F. C. <i>How Nations Negotiate</i> (New York: Harper & Row, 1964, 1981 ed.) ix-58, 191-224</p> <p>de Callieres, F., <i>On the Manner of Negotiating with Princes</i> (available electronically through AU library catalogue) ch. XVI "Observations on the Ways of Negotiating"</p> <p>Shakespeare, William, <i>Hamlet Prince of Denmark</i>, excerpts, Act I: ii, 1-48; Act II: ii, 60-84, (instructions for ambassador to Norway)</p> <p>Maalouf, Amin, <i>The Crusades Through Arab Eyes</i> (Schocken Books), pp. 210-215 (negotiations between Salah al-Din and King Richard the Lionheart)</p>	
9/14	Conflict and Cooperation: International Negotiation in IR Theory	<p>Oye, K., "Explaining Cooperation Under Anarchy," <i>World Politics</i> vol. 38, no. 1 (1985)</p> <p>Axelrod, R., Keohane, R., "Achieving Cooperation Under</p>	PetroDiplomacy Exercise (to be distributed in class)

		<p>Anarchy,” <i>World Politics</i> vol. 38, no. 1 (Oct. 1985)</p> <p>Schelling, T. C., <i>The Strategy of Conflict</i> (Harvard University Press, 1980), Ch. 2</p>	
9/21	Overviews of International Negotiation Practice and Theory	<p>Hopmann, T., <i>The Negotiation Process and the Resolution of International Conflicts</i> (University of South Carolina Press, 1996), Ch. 6, “Problem-solving Models of Bilateral Negotiation”</p> <p>Druckman, D., “Negotiating in the International Context,” in Zartman and Rasmussen, eds., <i>Peacemaking in International Conflict</i> (USIP, 2007)</p>	

Module II:
Theory Applicable to International Negotiation

9/28	Negotiation Analytic Insights applicable to International Negotiation	Raiffa, H., Metcalfe, D. & Richardson, J., <i>Negotiation Analysis</i> , (Harvard University Press, 2003) Ch. 5 “Negotiation Analysis”	Afghanistan Demining (to be distributed in class)
10/5	Social, Cognitive and Political Psychological Insights on International Negotiation	Kelman, H., “Social Psychological Dimensions of International Conflict,” in Zartman and Rasmussen, eds., <i>Peacemaking in International Conflict</i> (USIP, 2007) Rose McDermott, “Prospect Theory and Negotiation,” in Rudolf Avenhaus and Gunnar Sjostedt, <i>Negotiated Risks: International Talks on Hazardous Issues</i> (Springer, 2009) Fisher, R. J., “Prenegotiation Problem-Solving Discussions,” in Stein, J. G., ed., <i>Getting to the Table</i> (Johns Hopkins, 1989)	
10/12	Domestic constraints, structural components of international negotiation	Putnam, R., “Diplomacy and Domestic Politics: The Logic of Two-Level Games” <i>International Organization</i> , vol. 42, no. 3 (1988): 428-460 Zartman, I. W., “The Structure of Negotiation,” in ed. Kremenjuk, V.A., <i>International Negotiation</i> (Jossey Bass, 2002), Ch. 5 Wanis-St. John, A. and C. Dupont, “Structural Dimensions of Negotiations that Do Not End in Agreement,” in <i>Unfinished Business: Saving International Negotiations from Failure</i> , Guy-Olivier Faure and Franz Cede, eds. (University of Georgia Press, 2011) [provided by instructor]	
10/19	The Asymmetric International	Waelchli, H. and Shah, D. “Crisis Negotiations Between	Melian Dialogue Exercise (in

	<p>Negotiation Table: Power and Negotiation</p>	<p>Unequals: Lessons from a Classic Dialogue” <i>Negotiation Journal</i> vol. 10, no. 2 (April 1994)</p> <p>Zartman, I. W. & Rubin, J. Z. , <i>Power and Negotiation</i> (University of Michigan, 2000) Chs. 1, 12</p> <p>Robinson, R. “Defusing the Exploding Offer: The Farpoint Gambit” <i>Negotiation Journal</i> vol. 11, no. 3 (July 1995)</p>	<p>class)</p>
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Module III:
International Applications and Problems

10/26	Ceasefire Negotiations, Peace vs. Justice, Forward vs. Backward Looking Negotiations Processes	<p>Smith, M. S., "Ceasefire" Beyond Intractability website: http://crinfo.beyondintractability.org/essay/cease-fire</p> <p>Touval, S. "Ethical Dilemmas in Mediation," <i>Negotiation Journal</i> vol. 11, no. 4 (Oct. 1995): 333-337</p> <p>Mahieu, S. "When Should Mediators Interrupt a Civil War? The Best Timing for a Ceasefire," <i>International Negotiation</i> vol. 12 (2007): 207-228</p>	<p>Lebanon-Israel 1996 Steven Erlanger, "No Formal Peace," <i>New York Times</i>, April 27, 1996 (Hezbollah-Israel ceasefire)</p> <p>Blum, G. <i>Islands of Agreement</i> (Harvard, 2007), ch. 4 "Israel and Lebanon: An Island of Agreement at Work"</p> <p>Lebanon-Israel 2006 Kofi Annan, <i>Report of the Secretary-General on the Implementation of UNSC 1701 (2006)</i>, August 18, 2006, S/2006/670, accessible at http://www.un.org/Docs/sc/sgrep06.htm</p> <p>"The Situation in the Middle East," UN Security Council Resolution 1701 (2006) S/Res/1701 (2006), August 11</p> <p>Russia-Georgia 2008 Andrew E. Kramer, "Peace Plan Offers Russia a Rationale to Advance," <i>New York Times</i>, August 14, 2008.</p> <p>**Mid-term distributed**</p>
11/2	Negotiations to End Internal and Ethnic Conflict	<p>Zartman, I.W., ed., <i>Elusive Peace: Negotiating An End to Civil Wars</i> (Brookings, 1995), Chs. 1, 13</p> <p>Stein, J. G. "Image, Identity and Conflict Resolution" in Crocker, C., Hampson, F. O., <i>Managing Global Chaos</i> (United States Institute of</p>	**Mid-term due**

		Peace, 1996) Zartman, I.W., “Negotiating Internal, Ethnic and Identity Conflicts in a Globalized World,” <i>International Negotiation</i> vol. 11, no. 2 (2006)	
11/9	Multilateral Negotiations and Diplomacy: Trade, Environment, Peacebuilding and other Collective Action Challenges	Raiffa, H., <i>Negotiation Analysis</i> , (Harvard University Press, 2003), Ch. 21 Lodge, J., “Negotiating the Single European Act in the European Community, in Zartman, I. W., ed., <i>International Multilateral Negotiation: Approaches to the Management of Complexity</i> (Jossey-Bass, 1994) Lang, W., “Lessons Drawn From Practice: Open Covenants, Openly Arrived At,” in Zartman, I. W., ed., <i>International Multilateral Negotiation: Approaches to the Management of Complexity</i> (Jossey-Bass, 1994)	Fair Development in Sri Lanka (to be distributed on Blackboard or in class)
11/16	International Crisis Negotiations: Threats and Promises, or Bargaining on Brink of Chaos	George, A., and W. E. Simons, “Findings and Conclusions,” in A. George and W. E. Simons, eds., <i>The Limits of Coercive Diplomacy</i> 2d. ed. (Westview Press, 1994) , pp. 267-293 Holsti, O. “Theories of Crisis Decision Making,” Chapter 5 in Paul Gordon Lauren, ed., <i>Diplomacy: New Approaches in History, Theory, and Policy</i> , (The Free Press, 1979) pp. 99-136. Snyder, Glenn H., and Diesing, P. <i>Conflict among nations: bargaining, decision making, and system structure in international crises</i> . Princeton, N.J.: Princeton University Press, 1977, ch. 3	Film <i>Thirteen Days</i>
11/30	Global Negotiation Failures (or at least very slow ‘successes’)	Wanis-St. John, A., “Nuclear Negotiations: Iran, the EU (and the US), in <i>Unfinished Business: Saving</i>	North Korea Six Party Talks (to be distributed in class)

		<p><i>International Negotiations from Failure</i>, Guy-Olivier Faure and Franz Cede, eds. (University of Georgia Press, 2011) [to be provided by instructor]</p> <p>Pritchard, C.L. <i>Failed Diplomacy: The Tragic Story of How North Korea Got the Bomb</i> (Brookings, 2007), chs. 1, 2, 11</p>	
12/7	Talking and Terror	<p>Zartman, I. W., "Negotiating with Terrorists," <i>International Negotiation</i> vol. 8, no. 3 (2003): 443-450</p> <p>Dolnik, A. "Contrasting Dynamics of Crisis Negotiations: Barricades versus Kidnapping Incidents," <i>International Negotiation</i> vol. 8 (2003): 495-526</p> <p>Dolnik, A., Pilch, R., "The Moscow Theater Hostage Crisis: The Perpetrators, their Tactics, and the Russian Response," <i>International Negotiation</i> vol. 8, no. 3 (2003): 577-611</p> <p>Adam Dolnik and Keith M. Fitzgerald, <i>Negotiating Hostage Crises With the New Terrorists</i> (Praeger Security International, 2008), Ch. 1 "New Terrorism and the Dynamics of Barricade Hostage Crises," and Ch. 6 "Negotiating With the New Terrorists"</p> <p><i>Optional reading:</i> Hayes, R. E., Kaminski, S. R., Beres, S. M., "Negotiating the Non-Negotiable: Dealing with Absolutist Terrorists," <i>International Negotiation</i> vol. 8, no. 3 (2003): 451-467</p>	Final papers due, to be posted on Blackboard