CCHN Facilitator Handbook
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**About this Handbook**  
This handbook serves as a guide to facilitators of CCHN peer workshops, in the form of a step-by-step approach to help workshop participants understand and apply the set of tools and methods developed by CCHN. The content of this handbook is drawn from the CCHN Field Manual on Frontline Humanitarian Negotiation (2nd edition).  
For more information on the CCHN and its mission, please visit [http://frontline-negotiations.org](http://frontline-negotiations.org)
About CCHN

- The Centre of Competence on Humanitarian Negotiation (CCHN) is a joint initiative of the World Food Programme (WFP), Médecins sans Frontières (MSF), Centre for Humanitarian Dialogue (HD), the United Nations High Commissioner for Refugees (UNHCR) and the International Committee of the Red Cross (ICRC). It was established in 2016 to enhance professional exchanges and peer learning among frontline humanitarian negotiators.

Workshop Content

- Introduction of the Facilitation Team

- Discussion about expectations: The workshop functions as a privileged space to bring colleagues together to reflect on humanitarian negotiations in complex environments and to learn from one another.

- What the workshop is/what it is not: The core goal of the workshop is to explore the challenges and dilemmas of current negotiation practices from the perspective of practitioners. CCHN does not aim to promote specific approaches to the challenges participants are facing, but to facilitate the sharing of negotiation experiences around field-tested methods and a set of tools to engage in humanitarian negotiation.

Methodology of the Workshop

- Build on the informal exchanges of experiences among peers.

- Propose tools to review negotiation experiences—not a training, as such.

- The success of the workshop depends on the level of engagement of participants in sharing their experience proactively and learning from one another.

Rules and Values of the Workshop

- Devices: CCHN events are screen-free workshops. Please make sure all electronic devices are put away and on silent mode.

- Confidentiality: Chatham House Rules apply; the objective is to learn from one another but not to be quoted. Decontextualize the stories shared as much as possible according to the circumstances.
ICEBREAKER

Duration: 15 min.

Objectives
- Participants get to know each other

Process

GAME

Instructions:
Participants in pair:
Each participant makes three statements about him-/ herself:
- 2 true facts
- 1 untrue fact (fake news)

Example: I studied architecture; I have four children; I used to run a restaurant (fake news)

The other participant in the pair must guess which fact of the three is the untrue one.

Alternatively:
Each participant presents the statements of the other person she/he paired with.
SESSION 1
Challenges and Dilemmas of Humanitarian Negotiation

Objectives
• Participants get to know their peers and discuss challenges and dilemmas
• Participants understand the difference between challenges and dilemmas and how to respond to each and identify the most suitable actions
• Participants learn about recurrent challenges and dilemmas based on CCHN research and identify enablers to address them

Introduction of the concepts – Help participants differentiate challenges and dilemmas

INSTRUCTIONS:
Explain the difference between the following:
Challenge: A fact that prevents you from negotiating as well as you would expect. We need to face these challenges, be aware of them, and try to define a long-term approach to find enablers and mitigation measures.

Dilemma: Two unsatisfying alternatives that require you to make a choice by weighing the costs/benefits of the two options. You need to make a decision, otherwise the operations stop.

ACTION POINTS:
• Draw 2 columns on your main flip chart and define:
  – A challenge
  – A dilemma
• Give examples from daily life:
Challenge: Not knowing the language of the counterpart.
Dilemma: Bringing a translator from outside the country or using a national staff person and exposing him/her to political/security pressure.

Exercise to identify and sort challenges/dilemmas

INSTRUCTIONS:
1. Each participant individually reflects and identifies a challenge and a dilemma she/he faced in a humanitarian negotiation. – 10 min
2. Each participant explains to the table her/his challenge and dilemma and explains how she/he overcame the situation (guided peer). – 20 min
3. Each table group briefly presents to the plenary three main challenges and/or dilemmas and three ways they have identified to overcome it. – 20 min

ACTION POINTS:
1 flip chart per table. Each group draws 2 columns on their flip chart:
  – Challenges
  – Dilemmas
Each participant writes down on a post-it ONE CHALLENGE, and, on a second post-it, ONE DILEMMA.
Each participant places each of the post-its under the appropriate column of the flip chart at their table.
Each table group chooses ONE rapporteur to the plenary.

Plenary discussion and presentation of the results of CCHN’s empirical work

INSTRUCTIONS:
Highlight the main results of the surveys:
• Most typical challenges: Dealing with difficult interlocutors and security constraints
• Recurrent dilemmas: Security rules vs. proximity of beneficiaries
• Most common ways to overcome:
  – Consult with colleagues
  – Most efficient enabler:
    Long-term presence
Help participants understand that the object of the negotiation (e.g., lack of access) or the distrust of the counterpart are not per se challenges of the negotiation. They relate to the objectives of the negotiation (seek access and build trust). Example of physicians dealing with sick patients can be used: sick patients are not per se a challenge for the physician but the raison d’être of the profession.
ACTION POINTS:
Refer to the handout with the three graphs on CCHN surveys in this Facilitator Handbook, *Annex 1: CCHN Overview of Challenges & Dilemmas* (below):

- Recurrent challenges of humanitarian negotiations
- Recurrent dilemmas
- How to overcome challenges?

Enabling factors

**Annex 1: CCHN Overview of Challenges & Dilemmas**

**Recurred challenges of humanitarian negotiations**

Source: CCHN Survey (2017), completed by 158 frontline staff and senior managers

<table>
<thead>
<tr>
<th>Challenge</th>
<th>Rarely (0%)</th>
<th>Sometimes (10%)</th>
<th>Regularity (20%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Difficult interlocutors</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Security constraints</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Perceived politicization</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Difficulty to identify and access the right counterpart</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lack of knowledge on influencing techniques</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Insufficient time to prepare</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Recurred dilemmas**

Source: CCHN Survey (2017)

<table>
<thead>
<tr>
<th>Dilemma</th>
<th>Rarely (0%)</th>
<th>Sometimes (10%)</th>
<th>Regularity (20%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Security rules vs. proximity with beneficiaries</td>
<td>10%</td>
<td>26%</td>
<td>64%</td>
</tr>
<tr>
<td>Denunciation/advocacy vs. silence</td>
<td>27%</td>
<td>28%</td>
<td>45%</td>
</tr>
<tr>
<td>Impartial assistance vs. conditional assistance</td>
<td>23%</td>
<td>36%</td>
<td>42%</td>
</tr>
<tr>
<td>Where to compromise when negotiating sensitive IHL and human rights issues</td>
<td>19%</td>
<td>40%</td>
<td>41%</td>
</tr>
<tr>
<td>Whether to engage with “controversial” stakeholders</td>
<td>40%</td>
<td>37%</td>
<td>23%</td>
</tr>
</tbody>
</table>
Annex 1: CCHN Overview of Challenges & Dilemmas

How to overcome challenges? Enabling factors
Source: CCHN Survey (2017), from 44 interviews with negotiators

- 45% Consult with colleagues
- 25% Define new strategy
- 12% Take more time to prepare
- 12% Use proxies to influence
- 6% Other

What is needed to improve negotiation skills?
Source: CCHN Survey (2017)

- Peer-to-peer support
- Mentoring/coaching
- Check list
- Guidelines & handbooks
- Peer review
- In-house induction training
- Inter-agency workshop
- E-learning
- Support hotline

[Bar chart showing percentages for each option]
SESSION 2

Planning Humanitarian Negotiation: the Naivasha Grid

**Objectives**

- Participants discuss and establish with their peers a negotiation framework/grid based on commonly used tools.
- Participants understand the logical framework, various components, steps and correlations of the Naivasha Grid based on CCHN research.

**Process**

**Introduction – Objectives and background**

Where does the Naivasha Grid come from:

The Grid was designed as a result of in-depth consultations among senior humanitarian negotiators to address four questions:

- How do we sort information about a context?
- What methods and tactics do we use?
- Why do we negotiate?
- What are our objectives and red lines?

**Exercise on the design of a process**

**INSTRUCTIONS:**

1. Participants reflect on how they plan a negotiation. They identify three tasks and order them along a timeline. – **5 min**
2. Then, participants play with the predesigned pieces to design their own grid. – **20 min**
3. Participants walk around to look at each group’s grid. – **5 min**

**ACTION POINTS:**

Facilitate an exchange of views about negotiation tasks using the table to order whatever tasks participants come up with.

Clear the table. Distribute the pieces of the Naivasha puzzle to each group. – **9 tasks**

Participants can draw additional tools/steps on post-its.

**Plenary discussion and introduction of the Naivasha**

**WHAT IT IS:**

The Grid is designed to reflect a common practice in terms of negotiation processes in humanitarian negotiations.

There is not one exhaustive grid, but it is important to present it to generate and frame the conversation.

**ACTION POINTS:**

Distribute Annex 2: The Naivasha Grid handout – one per participant

**HOW TO USE THE NAIVASHA GRID:**

The Naivasha Grid is:

- A planning tool to organize the work ahead of your negotiation
- An analytical tool to determine what might be blocking the negotiation process

Explain the distribution of the tasks between:

- Green section: The Negotiator – Core functions
- Yellow section: Negotiator’s Team – Support functions
- Red section: Framing and guidance of the mandator & institutional hierarchy of the organization.

Explain the relational and transactional stages.
Annex 2: The Naivasha Grid

Naivasha Grid: Planning a Negotiation Process

- Mission and strategic objectives
  - Identifying shared objectives
    - Analyze context
    - Analyze network of influence
  - Leveraging influence
    - Design scenario & bottom line
- Relational stage
- Transactional stage
- Institutional policies and red lines
- Engage in transaction
- Develop tactical Plan
- Identify own priorities & objectives
- Analyze interests & motives of counterpart
SESSION 3

Context Analysis: Facts & Norms

CCHN Field Manual on Frontline Humanitarian Negotiation, p. 46-84
SESSION 3

Context Analysis: Facts & Norms  
Duration: 90 min.

**Objectives**

- Participants develop a critical understanding of the negotiation environment in which they operate
- Participants understand the difference between negotiating facts and negotiating norms
- Participants understand the difference between proven vs. speculative facts and convergent vs. divergent norms

**Process**

**Help participants distinguish facts & norms**

On the importance of analyzing the context to:
- Develop a critical understanding of the negotiation environment
- Build relationships of trust with the relevant counterparts
- Exert the necessary influence on their positions and policies

**INSTRUCTIONS:**

- Distinguish:
  - What is a fact/what is a norm:
    - **Fact:** Something one can observe, speculate about; e.g., there are 30,000 refugees in the camp.
    - **Norm:** A desired behavior within a group/community: e.g., under international law refugees should be protected against forced return.

**ACTION POINTS:**

- On your main flip chart:
  - **Draw the table** for agreed/contested facts and convergent/divergent norms.
  - **Annex 3:** Sorting and Qualifying Facts and Norms Arising in a Negotiation Environment
  - Participants take 5 min to read the illustration in their Negotiator Handbook.
  - Alternatively, a newspaper article can be used (e.g., from The Guardian) that is closer to the interests of participants.

**STEP 1**

**Factual negotiation:**

- **Negotiating** a shared understanding among the parties on the technical and factual aspects of an operation – to address contested facts
- **Assuming** an existing convergence of views on the normative aspects of a situation – building on convergent norms

**Normative negotiation:**

- **Negotiating** a shared understanding on norms/desired behaviors among the parties – to address divergent norms
- **Assuming** an existing shared understanding on factual and technical aspects – building on agreed facts

**Write down** elements from the illustration for each column:

<table>
<thead>
<tr>
<th>FACTS</th>
<th>NORMS</th>
</tr>
</thead>
<tbody>
<tr>
<td>CONTESTED</td>
<td>AGREED</td>
</tr>
<tr>
<td>CONVERGENT</td>
<td>DIVERGENT</td>
</tr>
</tbody>
</table>
Exercise to sort and qualify facts & norms

**INSTRUCTIONS:**
- **Step 2:**
  - **40 min**
  - **In groups:**
    - One participant per group shares a story.
    - Other participants in the group identify agreed/contented facts and convergent/divergent norms - 20 min.
  - **Participants reflect** on suitable actions to address the issue - 20 min.

**ACTION POINTS:**
- 1 poster per table:
  - Each group receives a poster of facts & norms:
    - Agreed/contented facts
    - Convergent/divergent norms
  - Each participant writes down the facts and norms she/he identified from the story on the post-it (one post-it per issue)
  - Each participant places the post-it under the appropriate column of the poster.

Plenary discussion and elaboration on potential points of departure of a dialogue with counterparts

**Agreed facts** and **convergent norms** are potential points of departure of a dialogue with counterparts to build trust.

**In a factual negotiation:**
Aim to agree on facts through a discussion on evidence and expertise **while recognizing** the convergence of the parties on core norms.

E.g.: Counterpart disagrees on the number of refugees in the camp, while recognizing the right of access of the humanitarian organization to assist refugees.

**In a normative negotiation:**
Aim to agree on a desired behavior of the parties in the context **while recognizing core facts** of the context.

E.g.: Counterpart disagrees on the right of access of the humanitarian organization to assist refugees while recognizing the number of refugees in the camp.

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**Annex 3:** Sorting and Qualifying Facts and Norms Arising in a Negotiation Environment

<table>
<thead>
<tr>
<th>ISLAND OF AGREEMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CONTESTED FACTS</strong></td>
</tr>
<tr>
<td><strong>AGREED FACTS</strong></td>
</tr>
<tr>
<td><strong>CONVERGENT NORMS</strong></td>
</tr>
<tr>
<td><strong>DIVERGENT NORMS</strong></td>
</tr>
</tbody>
</table>

**Factual negotiation:**
Expanding factual understanding of the parties based on evidence.

**Normative negotiation:**
Expanding normative understanding of the parties based on a new consensus on applicable norms.
Annex 3.2: Facts and Norms – Illustration Explained

Providing Aid to Displaced Population in the No Man’s Land

A large number of displaced persons seeking refuge from armed violence in Country A have been blocked in the No Man’s Land between Country A and Country B.

Country B has denied access to its territory, arguing that the displaced persons have no right to enter its territory. Representatives of Country B doubt that there are many of them and are not sure about their precise location.

According to data collected by local NGOs, the nutritional situation in the makeshift camp has been deteriorating steadily over the past few days.

Humanitarian organizations are seeking access to the population in need from the territory of Country B. They call on the humanitarian obligations of Country B to allow immediate access across its border.

Country B is rejecting these appeals, arguing that: 1) numbers are exaggerated; 2) many of the displaced are in fact dangerous armed elements; and 3) assistance should come from the territory of Country A, which has the responsibility to provide for the needs of its nationals.

Due to the conflict situation, it is unlikely that humanitarian organizations will be able to access the population in need from Country A in the near future. While Country B recognizes the importance of humanitarian values, it intends to prioritize the security of its nationals.

One needs first to identify:

- **The agreed facts** (between the humanitarian negotiator and the counterpart)
- **The contested facts** (by any of the parties)
- **The convergent norms** (between the humanitarian negotiator and the counterpart)
- **The divergent norms** (by any of the parties)

A large number of displaced persons seeking refuge from armed violence in Country A have been blocked in a makeshift camp in the no man’s land between Country A and Country B.

Country B has denied access to its territory, arguing that the displaced persons have no right to enter its domain. Representatives of Country B doubt that there are many of them and are not sure about their precise location.

According to data collected by local NGOs, the nutritional situation in the makeshift camp has been deteriorating steadily over the past few days.

Humanitarian organizations are seeking access to the populations in need from the territory of Country B. They call on the humanitarian obligations of Country B under international law to allow immediate access across its border.

Country B is rejecting these appeals arguing that: 1) numbers are exaggerated; 2) many of the displaced are in fact dangerous armed elements; and 3) assistance should primarily come from the territory of Country A, which has the responsibility to provide for the needs of its nationals.

Due to the conflict situation, it is unlikely that humanitarian organizations will be able to access the populations in need from Country A in the near future. While Country B recognizes the importance of humanitarian values, it intends to prioritize the security of its nationals over the one of foreigners.
Annex 3.3: Facts and Norms Table – Illustration Explained

<table>
<thead>
<tr>
<th>ISLAND OF AGREEMENTS</th>
<th>CONTESTED FACTS</th>
<th>AGREED FACTS</th>
<th>CONVERGENT NORMS</th>
<th>DIVERGENT NORMS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Points to be clarified with factual evidence</td>
<td>Points of agreement to start the dialogue</td>
<td>Points to be underlined as convergent values</td>
<td>Points of divergence on norms to be negotiated</td>
<td></td>
</tr>
</tbody>
</table>

Factual negotiation: Expanding factual understanding of the parties based on evidence

Normative negotiation: Expanding normative understanding of the parties based on a new consensus on applicable norms.

Recognizing which areas of the conversation are most/least promising and which concrete issues will need to be negotiated with the counterpart.
Annex 3.3: Negotiating Norms

Negotiating norms can take several forms and also engage a number of facts.

For example:

A representative of the Committee Against Child Recruitment (CACR), an international NGO active in conflict zones, is negotiating the release of 250 vulnerable children recruited by an armed militia within the District. Under international law, children under 18 years of age should be exempt from being recruited into military service.

**Option 1:** The local commander argues that the dramatic situation of a siege imposed on the armed group has required the mobilization of the children of the community. Although it violates critical rules of IHL, such decision was seen as imperative under the circumstances to safeguard the city.

**Option 2:** The local commander argues that children, starting at puberty (around 12 years of age), must serve as armed fighters as a ritual of passage to adulthood and a duty toward their community when under threats by opponents.
Tactical decisions:
1. What is the humanitarian norm currently being promoted?
2. What is the global/local - social/legal character of this norm?
3. What is the norm of the counterpart and what is its position?
4. Are there parallel norms in favor of a shift of normative approach? Which one is the most favorable/accessible in the current discussion?
Leveraging Influence: Network Mapping

CCHN Field Manual on Frontline Humanitarian Negotiation, p. 250 - 276
SESSION 4

Leveraging Influence: Network Mapping

Objectives

- Participants are able to map the relationships between the counterpart and the actors of influence in a given context, and design tactical options accordingly

Process

STEP 1

Introduction – Present the practical steps to map the roles and interactions of stakeholders

INSTRUCTIONS 1:

Introduce the stakeholder mapping tool with the given example:

- Create the mapping tool to situate the role and perspective of humanitarian organizations and stakeholders.
- Assign the main counterpart in the center and all relevant stakeholders in their respective quadrants.

ACTION POINTS:

From the given example:

- Annex 4
- Participants take 5 minutes to read the illustration.
- Annex 4
- Draw on your main flip chart the two axes of the map.
- Annex 4.1
- Identify the counterpart and set him/her up at the crossroad of the two axes. Assign positions of influence to all stakeholders relative to the counterpart.
- Annex 4.2

INSTRUCTIONS 2:

Elaborate on tactical schemes and actions to leverage stakeholders’ influence per quadrant:

- Alliance
- Cooperation
- Coalition
- Mitigation

ACTION POINTS:

Write on your main flip chart the tactical schemes for each divide.
- Annex 4.3

INSTRUCTIONS 3:

Identify conducive connections among stakeholders to prioritize the mobilization of efforts:

Link the trustful relationships among the actors.

ACTION POINTS:

Draw on your main flip chart the arrows linking relationships between actors.
- Annex 4.4

INSTRUCTIONS 4:

Focus attention on actors with potential positive role.

ACTION POINTS:

Give examples from the negotiator’s priority listing table.
- Annex 4.5

Duration: 105 min.
Exercise to identify target and stakeholders, and prioritize efforts in influencing stakeholders

INSTRUCTIONS:
- In groups: One participant per group shares a story – 5 min
- Other participants in the group identify target and assign position of influence to all actors – 20 min
- Participants identify the conducive connections among stakeholders to prioritize efforts in influencing stakeholders – 10 min
- Participants list priority actors who have a potential positive role in the negotiation process – 15 min
- Debriefing - 15 min

ACTION POINTS:
- 1 flip chart per table.
- Each group defines the 2 axes of the map on their flip chart.
- All stakeholders are placed on the axes.
- Participants draw arrows linking trustful relationships among the actors.
- Participants fill in the priority listing table in their handout.
- Plenary discussion on outcomes of the exercise.

Annex 4: Example: Mapping the Network of Influence of the Governor of District A

The International Monitoring Network (IMN), an international NGO monitoring the treatment of detainees, is planning a negotiation regarding access to persons detained in the police stations in District A under the authority of its Governor, a prominent political leader in the region. This negotiation of access follows allegations of ill treatment of detainees in the immediate period after their arrest. While the Governor is known to maintain a strong grip on the justice and detention system in District A, there are numerous stakeholders at play in the context, including:

- Several international and local humanitarian and advocacy actors who have been voicing their concerns on the issue of ill treatment, including the ICRC, the Office of the United Nations High Commissioner for Human Rights, MSF, Human Rights Watch, Amnesty International, local journalists, a women’s association called Mothers of the Missing, as well as local networks of medical doctors, etc.

- Several international actors who have been supportive of the strong hand of the Governor in maintaining security and law and order. District A is a strategic geographic area for several countries. The International Military Alliance as well as the Special Forces of Country A have deployed troops in the District to counter terrorist actions. Foreign intelligence services are training local investigators. Diplomats of Country A and Country B are maintaining strong political support for the Governor.

- Many local actors involved who have been eager to maintain a strict legal and moral order and prevent the worsening of the security situation used as an excuse for foreign interventions. These include tribal leaders, religious leaders, local militias, prison staff, police commander, etc.

- Private actors such as family members, friends, political observers, and others who can play a critical role in the perception of the counterparts.

All these actors exert a degree of influence on the policies and decisions of the Governor in terms of access and transparency regarding the treatment of detainees in the police stations of District A. The negotiators from IMN will need to draw a map of the network of influence of these actors.
Annex 4.1: Axes of the Two-Dimensional Stakeholder Map

Horizontal axis: Distributing stakeholders based on their views on the issue of the negotiation from a transformative to conservative perspective relative to the perspective of the counterpart.

Vertical axis: Distributing stakeholders based on their characteristics from global to local actors relative to the perspective of the counterpart.

Annex 4.2: Identify Your Target and Assign Position of Influence to All the Stakeholders

Annex 4.3: Tactical Schemes to Engage with Stakeholders, Depending on Their Location on the Map
1. **Alliance**, with those in the same quadrant of the negotiator’s agency who have a lot to gain from the negotiation process, located in the Global/Transformative quadrant.

   **Actions may include:**
   
   i) Comparing notes on the allegations of ill treatment;
   
   ii) Identifying common norms of behavior for treatment of detainees in District A;
   
   iii) Coordinating the targeting and timing of humanitarian interventions;
   
   iv) Seeking a common plan for a review of the conditions of detention.

2. **Cooperation**, in the perception of the Governor, with those on the adjacent vertical quadrant across the Global/Local divide who may gain in terms of visits to the police station but also lose influence during the negotiation process, located in the Local/Conservative quadrant.

   **Actions may include:**
   
   i) Providing support to local organizations on their interventions (as compared to co-opting local actors in global interventions);
   
   ii) Providing technical assistance and training;
   
   iii) Providing funding support to develop the capacity of local organizations.

3. **Coalition**, in the perception of the Governor, with those on the adjacent horizontal quadrant across the Transformative/Conservative divide who may gain influence over the Governor but lose control over the presence of foreign observers in the negotiation process, located in the Global/Transformative quadrant.

   **Actions may include:**
   
   i) Participating in cultural and official events sponsored by the conservative/global stakeholders;
   
   ii) Establishing a dialogue on parallel issues;
   
   iii) Enhancing the collaboration on issues of interest to the conservative/global stakeholders.

4. **Mitigation** with those on the opposite quadrant across both divides, often referred to as the “spoilers,” who have nothing to gain from IMN’s access to police stations and carry a significant influence on the Governor, located in the Local/Conservative quadrant.

   **Actions may include:**
   
   i) Establishing dialogue with conservative and local actors for the purpose of understanding their concerns;
   
   ii) Providing support to technical projects (e.g., training, workshops) on issues of interest (e.g., forensic) in full view of the Governor;
   
   iii) Personalizing relationships away from institutional constraints so as to rebuild a more amenable image;
   
   iv) Developing a trustful relationship on the overarching humanitarian character of the mission of IMN in line with local values.
Annex 4.4: Identifying Conducive Connections – Prioritizing Efforts in Influencing Stakeholders

Building on the current stakeholder mapping, one may color code the stakeholders as:

A. Open and able to explain IMN interests and motives

Most able and open

Least able and open

B. Able to link up the trustful relationships among the actors

Annex 4.5: The IMN Negotiator’s Priority Listing Table – with Examples

<table>
<thead>
<tr>
<th>DESCRIPTION OF ACTORS AND ITS ABILITY TO EXPLAIN IMN DEMANDS</th>
<th>NUMBER OF DEGREES TO THE GOVERNOR</th>
<th>PERCEPTION OF IMN BY THE ACTOR</th>
<th>PROPOSED MEASURES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transformative Global - ALLIANCE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ICRC (most able)</td>
<td>3</td>
<td>- Slightly too transformative</td>
<td>- Slightly too global</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Seek synchronicity in interventions - Seek technical support and training to follow standard approach of ICRC</td>
</tr>
<tr>
<td>MSF (most able)</td>
<td>5</td>
<td>- Slightly too global</td>
<td>- Slightly too transformative</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Propose to join efforts in supporting the Medical Association</td>
</tr>
<tr>
<td>Transformative Local - COOPERATION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local Medical Association (able)</td>
<td>4</td>
<td>Too global</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Propose to organize a workshop on prison medical ethics in the local language</td>
</tr>
<tr>
<td>Mothers of the Missing (most able)</td>
<td>3</td>
<td>Too global</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Propose a dialogue on modalities of visits to detainees - Propose a workshop on cultural and religious ethics of prison conditions</td>
</tr>
<tr>
<td>Brother of the Governor (able)</td>
<td>1</td>
<td>- Way too global</td>
<td>- Way too transformative</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Try to establish a personal contact and seek a dialogue, e.g., using traders’ connection</td>
</tr>
<tr>
<td>Traders (least able)</td>
<td>2</td>
<td>Way too global</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Maintain good business relationships with local providers - Engage social and cultural activities</td>
</tr>
<tr>
<td>Conservative Global - COALITION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>International Military Alliance (able)</td>
<td>2</td>
<td>Way too transformative</td>
<td>Seek a dialogue on international norms regarding counter-terrorism</td>
</tr>
<tr>
<td>Conservative Local - MITIGATION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Religious leaders (able)</td>
<td>2</td>
<td>- Way too transformative</td>
<td>- Way too global</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Seek to establish a personal dialogue on ethical values of detention - Seek their participation at the workshop with the Mothers of the Missing</td>
</tr>
<tr>
<td>Police commander (least able)</td>
<td>1</td>
<td>- Way too transformative</td>
<td>- Way too global</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Seek to establish a personal dialogue and alleviate suspicions Seek his participation at the workshop with the Local Medical Association</td>
</tr>
<tr>
<td>Prison staff (least able)</td>
<td>2</td>
<td>- Way too transformative</td>
<td>- Way too global</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Seek to establish a professional dialogue and alleviate suspicions - Seek participation at the workshop with the Local Medical Association</td>
</tr>
</tbody>
</table>
SESSION 5

Typology of Humanitarian Negotiation

CCHN Field Manual on Frontline Humanitarian Negotiation, p. 106-136
SESSION 5

Typology of Humanitarian Negotiation

Objectives

- Participants are able to identify different approaches to humanitarian negotiations related to their type, and how to conduct each of them
- Participants understand ways to politicize/depoliticize a negotiation process to suit their objectives

Process

STEP 1

Determining the typology of the negotiation:

Political vs. Professional vs. Technical

INSTRUCTIONS:

- Define the three types of negotiation and opening questions of the counterpart:
  
  **A. Political** – Identity, values, and norms of the parties
  
  WHO ARE YOU/WHY ARE YOU HERE?

  **B. Professional** – Methods and operational standards of an organization
  
  HOW DO YOU INTEND TO OPERATE?

  **C. Technical** – Logistics and technical aspects of an operation
  
  WHAT/WHERE/WHEN/WITH WHOM?

  Each one implies a different negotiation tactic.

ACTION POINTS:

- On your main flip chart, draw the typology template.
  
  Annex 5

- Present the typology table in the Participant Handbook.
  
  Annex 5.1

- Participants take 5 min to read the illustration in their Handbook.
  
  Annex 5.2

- Give an example for each type from the illustration.
  
  Annex 5.3

STEP 2

Exercise to identify the typology of a negotiation

INSTRUCTIONS:

- In groups:
  
  One participant per group shares a story – 5 min

  Other participants in the group identify: – 40 min

  Step 1 – The type of negotiation
  
  Step 2 – The narrative of the organization
  
  Step 3 – Optimal level of negotiation and ways to move the discussion to that level

ACTION POINTS:

- In groups:
  
  Participants identify elements answering the questions provided in their Handbook.
  
  Annex 5.4

- One poster/group

  Participants write down elements on post-it and place it on the poster.

STEP 3

Plenary discussion and guidance on politicizing vs. depoliticizing a negotiation

INSTRUCTIONS:

Changing the type of a negotiation = politicizing or depoliticizing a process

**Politicalizing**: Moving the dialogue from technical to professional and political levels

**Depoliticizing**: Moving the dialogue from political to professional and technical levels

A negotiation tactic

The politicization of a negotiation can happen at any time and place. It is a negotiation tactic to change the level of a conversation according to where one party has more leverage.

Rather than breaking the negotiation, a party may opt to change the focus of the dialogue by changing the core question.

The tactic consists of moving or preventing the move between levels in a conscious and proactive manner.

SESSION 5 - Duration: 90 min.
There is a measles outbreak in Country A. You work for a small NGO, Health for Everyone (HfE), which specializes in vaccination campaigns and abides by humanitarian principles. You have received money from your donor to rapidly implement a vaccination campaign for children against the measles outbreak.

As a point of departure, you conducted a context analysis in which you learn that:

- Country A was under a harsh colonial regime for several decades and has become very cautious with the presence of foreign organizations in the country. Your donor being the former colonial power, suspicions of undercover intrusion via your NGO are present.

- The vaccination capabilities of the government are limited due to the lack of vaccines against measles. As a result, the government is unable to respond to the health crisis in a proper manner. The National Health Authority started a vaccination program against measles some weeks ago that falls short of WHO standards in this domain.

- Due to the difficult terrain, the vaccination campaign will require several small and mobile teams to go around conservative rural villages across the country involving several dozens of local staff as well as the collaboration of local community leaders.

Political questions:

- The Minister of Health of Country A is unaware of the work of HfE.

- As part of the conversation, she enquires about the mission of HfE and the reasons behind the presence of HfE in the country:

  - Who is HfE? What are its principles and mission? What has it been doing elsewhere? Etc.

  - Why is HfE offering its services in Country A? What are the triggers of this offer? What are the criteria for HfE to make an offer of services? What is the added value of HfE in the country? Etc.

It is important to seek an agreement on the shared value of the operation.
Professional questions:
Following an agreement with the Minister of Health on the profile of HfE, the Minister has sent you to the Director of the Health Department to further discuss your vaccination campaign project.

The Director of Health wants to know which standards you will use to conduct the vaccinations.

You explain to him that you are following the WHO standards for measles vaccination which provide for 2 drops per child.

The Director explains to you that the health authorities of Country A have been giving one drop per child for the last 20 years, which has been a regional standard.

- How should HfE operate?
- What are the professional standards HfE and the public health authorities can agree on?

Technical questions:
The Director of Health has agreed for you to proceed.
You have thus set up a vaccination clinic in the most affected areas.
You are meeting with the community leader to discuss the implementation of the first vaccination day.

The community leader starts the conversation by stating that there is actually no measles outbreak in the area.

A technical negotiation requires a technical dialogue. The technical negotiation is a privileged environment for humanitarian organizations because their representatives are presumably experts in their domain of intervention. It also deals with facts that can often be observed (e.g., sick children). Frontline negotiators should, as much as possible, stick to facts (e.g., bring in leaflets in the local language describing the symptoms of measles, discuss with the schoolteacher the prevalence of the symptoms among pupils, etc.) rather than venture to other levels.

Annex 5.2: Template and Questions to Apply the Typology Tool

<table>
<thead>
<tr>
<th>TYPE OF NEGOTIATION</th>
<th>ISSUES AT STAKE</th>
<th>TYPE OF APPROACH</th>
<th>LEVEL OF RISK</th>
</tr>
</thead>
<tbody>
<tr>
<td>A   Political</td>
<td>• Identity</td>
<td>&quot;Cut a deal&quot;</td>
<td>HIGH</td>
</tr>
<tr>
<td>• Values</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Principles</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Norms</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B   Professional</td>
<td>• Method</td>
<td>&quot;Build a consen-</td>
<td>AVERAGE</td>
</tr>
<tr>
<td>• Standard of</td>
<td>sus&quot; on method</td>
<td></td>
<td></td>
</tr>
<tr>
<td>operations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C   Technical</td>
<td>• Facts</td>
<td>&quot;Share informa-</td>
<td>LOW</td>
</tr>
<tr>
<td>• Data of the</td>
<td>tion &amp; expertise&quot;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>situation</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Step 1: Identify the type of negotiation
a) What is the issue at stake?
b) What is the question of the counterpart?
c) What is the type of negotiation?
d) What is the shared objective?

Step 2: Elaborate the narrative of the NGO/IO
a) What is the demand of the NGO/IO? How should it be formulated?
b) What is the space for a compromise?

Step 3: Change the type of negotiation
a) At which type/level of negotiation should the NGO/IO be negotiating for optimal outcome?
b) What are the questions and answers to prepare at that level?
c) How can one argue to move the discussion to that level?
SESSION 6

Understanding your Counterpart: the Negotiation Iceberg

CCHN Field Manual on Frontline Humanitarian Negotiation, p. 198-217
SESSION 6

Understanding your Counterpart: the Negotiation Iceberg

Objectives

- Participants understand the differences between the parties’ positions, relevant tactical interests, and underlying values.
- In a given negotiation situation, participants are able to prepare the iceberg of their counterpart as well as the one of their own organization, and reflect on a negotiation strategy to find common ground between the two positions.

Process

INSTRUCTIONS:

STEP 1: Present the analysis of the position, tactical interests, and motives of the counterpart.

- **Position**: WHAT is the position of the counterpart (explicit or implicit) on the particular issue?
- **Reasoning**: HOW did the counterpart get to that position? What is the logic/reasoning?
- **Values and motives**: WHY did the counterpart take such a position? Are there identity or power issues involved? What are the values and norms at stake?

ACTION POINTS:

- **Draw the iceberg template on your main flip chart.**
  - **Annex 6**
- **Identify with participants the potential issues for each of the iceberg levels.**
  - **Annex 6.2**

STEP 2: IN groups:

- One participant per group shares a precise negotiation situation – 5 min
- Other participants in the group identify position, interest, and motives of stakeholders: counterpart (1st) and organization (2nd) on two separate icebergs – 35 min

ACTION POINTS:

- **Participants use the template and checklist questions in the Handbook.**
  - **Annex 6.3-4**
- **Participants write down on their posters the positions/interests/values they identify from the story for the counterpart and for the organization.**

STEP 3: Plenary discussion and use of the tool to develop the tactical plan

How to approach issues from each level:

- **Position – Tier 1**
  - Sort issues that are easy to agree on, at low cost for the humanitarian organization but of benefit for the counterpart.

- **Reasoning – Tier 2**
  - Sort issues on which an agreement comes at cost for the counterpart and the humanitarian organization but can be used to establish the basis of a rational and fair distribution of costs/benefits of the agreement.

- **Values – Tier 3**
  - Sort issues that are more complex to address and harder to solve as they come at high cost for the humanitarian organization and possibly the counterpart—e.g., issues that are at the core of the conflict and often not actually negotiable. Such issues should be kept present but put aside at first.
Health for All’s Surgical Team Retained in a Labor Dispute

Nine staff members of Health for All (HfA), an international health NGO, have been prohibited by tribesmen from leaving their residence in District A for almost a week following a disagreement between HfA and the guards of the local HfA hospital. This dispute follows plans of HfA to close the hospital due to decreasing war surgery needs in the region. The guards, who belong to an important tribe in the region, claim that the hospital should remain open and their compensation be paid as there are still considerable emergency health needs in the region.

The guards, supported by tribal representatives, further argue that they put their lives at risk for several years to maintain the access of patients and staff to the hospital during an especially violent conflict. Some guards even lost their life in this process and others sustained long-term disabilities. Families of the guards wounded or killed during the conflict further request long-term monetary compensation for the loss of income before HfA pulls out of District A.

For now, the hospital is barely operational, with several emergency needs left unattended. Tribal leaders are increasingly concerned about the health situation in District A and insist that the hospital remain open. Families of patients have been complaining about the lack of services in the hospital.

The tribal leaders have agreed to meet with HfA representatives to look for a practical solution. The government has refrained from intervening in what they see as a private labor dispute. The army and police have only a limited presence and control over the situation in District A and would not intervene without the support of the tribal chiefs.
**Annex 6.2: Illustration Explained – Identify Positions, Interests, and Values**

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>POTENTIAL ISSUES</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>WHAT</strong> do the tribal leaders and the guards want? What are their explicit/implicit positions?</td>
<td>POSITIONS AT THE NEGOTIATION TABLE</td>
</tr>
<tr>
<td></td>
<td>• Explicit: Tribal leaders insist on keeping the hospital fully operational.</td>
</tr>
<tr>
<td></td>
<td>• Explicit: The guards want to maintain their employment.</td>
</tr>
<tr>
<td></td>
<td>• Explicit: Families of wounded and deceased guards want to be properly compensated.</td>
</tr>
<tr>
<td></td>
<td>• Implicit: Detained staff will be released only when guarantees on the above are provided.</td>
</tr>
<tr>
<td></td>
<td>• Implicit: In the meantime, emergency needs should be addressed by HfA.</td>
</tr>
<tr>
<td><strong>HOW</strong> did the tribal leaders get to those positions? <strong>HOW</strong> are the tribal leaders planning to proceed?</td>
<td>TACTICAL REASONING</td>
</tr>
<tr>
<td></td>
<td>• The detention of HfA staff has been triggered by the unexpected announcement of the closing of the hospital by HfA.</td>
</tr>
<tr>
<td></td>
<td>• Guards and tribal leaders were not consulted in this process. This lack of consultation questions the authority of the tribal leaders and the professional role of the guards.</td>
</tr>
<tr>
<td></td>
<td>• Both want their voice to be heard loud and clear by those who make such decisions. Detaining staff is the best way to get heard.</td>
</tr>
<tr>
<td><strong>WHY</strong> do the tribal leaders take such positions? What are their inner motives and values?</td>
<td>INNER VALUES AND MOTIVES</td>
</tr>
<tr>
<td></td>
<td>There are several values and motives at play in this context:</td>
</tr>
<tr>
<td></td>
<td>• In view of the rampant unemployment in District A, the only way the guards are to maintain their economic and social status is to ensure that they keep their jobs at the HfA hospital.</td>
</tr>
<tr>
<td></td>
<td>• The tribal leaders further see this dispute as an opportunity to gain/improve their reputation and that of their tribe within the community.</td>
</tr>
<tr>
<td></td>
<td>• There is a sense of inequity in the community regarding the position of HfA leaving disabled guards and destitute families of deceased guards to cope by themselves.</td>
</tr>
<tr>
<td></td>
<td>• Contrary to HfA statements, the health situation in District A is raising serious fears and the local HfA hospital is the only health provider still operating in District A.</td>
</tr>
</tbody>
</table>

**Annex 6.3: The Iceberg Template for One’s Own Organization**

Diagram showing三层结构，包括Position of Organization、Tactical Reasoning和Motives, Values, and Identity。
### Annex 6.4: The Iceberg Checklist

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>POTENTIAL ISSUES</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>WHAT</strong> does the counterpart want? <strong>What</strong> are its explicit and implicit positions?</td>
<td><strong>POSITIONS:</strong></td>
</tr>
<tr>
<td><strong>HOW</strong> did the counterpart get to those positions? <strong>HOW</strong> is the counterpart planning to proceed?</td>
<td><strong>TACTICAL REASONING:</strong></td>
</tr>
<tr>
<td><strong>WHY</strong> does the counterpart take such positions? <strong>What</strong> are the inner motives and values?</td>
<td><strong>INNER VALUES AND MOTIVES:</strong></td>
</tr>
</tbody>
</table>

**What is the position?**
- a) What is the authority of the agent?
- b) What is the clarity of the position?
- c) What is the context of the communication?

**What is the reasoning behind the position?**
- a) What is/are the logical argument(s)?
- b) What are the premises of this reasoning?
- c) What is the logical connection/conclusion?

**What are the values and norms behind the position?**
- a) What are the moral, cultural, or religious values?
- b) What is the level of sensitivity for the counterparts?
- c) What is the level of risk for the agency involved?
Identifying the Specific Objectives & Priorities of your Negotiation

CCHN Field Manual on Frontline Humanitarian Negotiation, p. 218-249
SESSION 7
Identifying the Specific Objectives & Priorities of your Negotiation

Objectives

- Participants are able to identify the Common Shared Space (CSS) of the negotiation to develop their tactical plan accordingly
- Participants reflect on the mandate received from their organization and build their own position, based on the organization’s norms and values

Process

STEP 1
Introduction - Objectives and methods of Common Shared Space (CSS)

Common Shared Space

Definition: The space in which parties are willing to find a compromise. It involves:
- Communication of the respective positions of the parties (P) and (P’)
- Ability to explain one’s rationale and values and norms of the position
- Recognition of the distance between two sets of positions/methods/values as an opportunity of dialogue

Method:
- Build the iceberg of one’s position starting from the organization’s values and motives
- Identify potential areas of agreement at the three levels of the iceberg, starting from the shared values
- Identify converging and diverging aspects at each level

Duration: 90 min.

STEP 2
Exercise to identify CSS as a space of negotiation

INSTRUCTIONS:
- Identify potential areas of agreement at the three levels of the iceberg, starting from the shared values.
- Identify options, including converging and diverging elements at each level.
- Carry on privileged conversation on convergent aspects of the CSS and see how expectations on divergent aspects can be addressed in a second step.

ACTION POINTS:
- In groups: Build on the CSS template in their Handbook.
- And going back to their previous icebergs, participants determine:
  - Potential shared values
  - Potential shared reasoning
  - Potential shared positions
- Determine convergent and divergent elements for each.

Duration: 90 min.

STEP 3
Plenary discussion and application of the tool to inform the tactical plan

Setting the CSS of the negotiation informs the tactical planning of the organization that will allow bridging the gap between the interests and the motives of the parties to the negotiation.

The determination of the limitations in the range of options will allow humanitarian negotiators to consider their bottom lines and red lines, presented in the next session.
1. Analyze and translate core values, methods, and position of your agency

<table>
<thead>
<tr>
<th>PRINCIPLES AND VALUES</th>
<th>TRANSLATED INTO SHARED VOCABULARY ADAPTED TO THE CONTEXT</th>
</tr>
</thead>
<tbody>
<tr>
<td>&quot;HUMANITY&quot;</td>
<td></td>
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<tr>
<td>&quot;IMPARTIALITY&quot;</td>
<td></td>
</tr>
<tr>
<td>&quot;NEUTRALITY&quot;</td>
<td></td>
</tr>
<tr>
<td>&quot;INDEPENDENCE&quot;</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>TACTICAL REASONINGS</th>
<th>TRANSLATED INTO SHARED VOCABULARY ADAPTED TO THE CONTEXT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistance</td>
<td></td>
</tr>
<tr>
<td>Protection</td>
<td></td>
</tr>
<tr>
<td>Evidence-based</td>
<td></td>
</tr>
</tbody>
</table>
2. Identify potential shared values, tactical reasoning, and methods, as well as positions with the counterpart

### POTENTIAL SHARED VALUES

<table>
<thead>
<tr>
<th>CONVERGENT ELEMENTS</th>
<th>DIVERGENT ELEMENTS</th>
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### POTENTIAL SHARED REASONING AND METHODS

<table>
<thead>
<tr>
<th>CONVERGENT ELEMENTS</th>
<th>DIVERGENT ELEMENTS</th>
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</table>

3. Based on the above, draft the starting position of your organization in clear, understandable, and open terms
Designing Scenarios and Identifying Bottom Lines

CCHN Field Manual on Frontline Humanitarian Negotiation, p. 277-310
Designing Scenarios and Identifying Bottom Lines

**Objectives**

- Participants know how to evaluate the benefits and risks associated with a particular outcome of a humanitarian negotiation.
- Participants understand the risk/benefit analysis as a dynamic planning process to draw their bottom lines; they are able to discuss the elasticity of this analysis and how it is influenced by the overall environment.

**Introduction - Setting limits on the scope of options: Red lines and bottom lines**

**INSTRUCTIONS:**

Distinguish the red line (from the mandate) and the bottom line (from the risk/benefit analysis).

**Red line:** Outer limits of the possible scope of agreement set the mandate of the negotiator informed by institutional policies. These lines cannot be crossed at the cost of breaching one or more of these normative frameworks.

**Bottom line:** Tactical tool at the disposal of the negotiator to maximize the benefit of the conversation between the parties and limit the scenario to a specific range of options. Bottom lines are under the control of the negotiator.

**ACTION POINTS:**

Draw on your main flip chart the red line/bottom line template. Annex 8

Explain each element of the template: A-B-C and CSS space.

Participants take 5 minutes to read the illustration in their Handbook. Annex 8.1

Give examples from the given illustration. Annex 8.2

**Process**

**STEP 1**

**Exercise to identify red lines, bottom lines, and the CSO space**

**INSTRUCTIONS:**

**In groups:**

Participants identify the starting positions of both counterparts: ideal outcomes.

Participants identify red lines based on their mandate.

Participants identify the CSS by type of negotiation.

Participants identify the shared benefits of the negotiation.

Participants identify the sources of risks of compromises and the rising degree of risks associated with greater compromises.

**ACTION POINTS:**

From the given illustration in their Handbook:

Participants identify counterparts’ ideal outcome, red lines, CSO, and bottom lines and fill in the handout. Annex 8.3

**STEP 2**

**Plenary discussion and introduction of the preliminary script for the negotiator**

Present the preliminary script for the negotiator to prepare the first messages and encounters:

**Tier 1:** High-benefit solutions easily agreeable for the humanitarian side, more at risk of compromise for the counterpart.

**Tier 2:** Issues on which an agreement comes at an equivalent risk/benefit for the counterpart and the humanitarian organization—more demanding issues for the humanitarian side but greater shared benefits.

**Tier 3:** Issues that are more complex to address and harder to solve for the humanitarian side. Rising risk of the compromises. These will require a more in-depth process—postpone some issues (bottom line of the humanitarian side).
**Annex 8: Distinguishing a Red Line and Bottom Lines in Designing a Tactical Plan**

**STEP 1:**
Setting the ideal outcomes on both sides of the negotiation

**STEP 2:**
Evaluate the shared benefit of potential compromises

---

**Ideal outcome**

<table>
<thead>
<tr>
<th>IDEAL OUTCOME OF YOUR ORGANIZATION (A)</th>
<th>IDEAL OUTCOME OF COUNTERPART (A')</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Point of maximum shared benefit of the negotiation

Your Organization

Your Counterpart

**Tiers**

1: Easy to agree for your organization

2: More demanding, yet with the highest level of shared benefit (best outcome of the negotiation)

3: Harder to agree & diminishing impact (low benefit/high risk)
Step 1: Identify the current red lines by sources of institutional policies and extract the appropriate red lines for the negotiator.

Step 2: Define the red lines for the negotiation with the main counterparts and stakeholders and prepare a regular conversation with the negotiator, negotiation team, and mandator.

### Annex 8.2: Setting Red Lines Based on the Mandate

<table>
<thead>
<tr>
<th>SOURCES OF RED LINES</th>
<th>INSTITUTIONAL POLICY</th>
<th>RED LINES OF THE MANDATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>National laws</td>
<td></td>
<td></td>
</tr>
<tr>
<td>International law</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Identify the Institutional Red Lines

<table>
<thead>
<tr>
<th>Sources of Red Lines</th>
<th>Institutional Policy</th>
<th>Red Lines of the Mandate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Humanitarian principles</td>
<td>Humanity:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Impartiality:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Neutrality:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Independence:</td>
<td></td>
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<tr>
<td>Duty of care</td>
<td></td>
<td></td>
</tr>
<tr>
<td>“Do no harm”</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Security protocol</td>
<td></td>
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</tr>
</tbody>
</table>

## Identify the Professional Red Lines

<table>
<thead>
<tr>
<th>Sources of Red Lines</th>
<th>Institutional Policy</th>
<th>Red Lines of the Mandate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional standards of the domain of intervention</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional aid standards</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional negotiation standards</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
IDENTIFY MORAL AND ETHICAL RED LINES

<table>
<thead>
<tr>
<th>SOURCES OF RED LINES</th>
<th>INSTITUTIONAL POLICY</th>
<th>RED LINES OF THE MANDATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicable ethical standard</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reputational risk</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

APPLY THE RED LINES TO THE COUNTERPART AND OTHER STAKEHOLDERS OF THE NEGOTIATION

<table>
<thead>
<tr>
<th>COUNTERPARTS AND STAKEHOLDERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>ISSUES BEING NEGOTIATED</td>
</tr>
<tr>
<td></td>
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</tbody>
</table>
**Annex 8.3: Illustration of Red Lines and Bottom Lines Explained**

**FwB Is Required to Pay Local Laborers In Kind in the Distribution of Aid to the Refugee Camp**

Food Without Borders (FWB) is planning to distribute food rations to an IDP camp in District A. The authorities of the camp require that FWB hire local security guards to assist in the distribution of the food rations. The authorities argue that the work required from the guards goes beyond their security functions. Compensation is therefore due to these guards as for any other day laborers. The authorities of the camp will not allow anyone else to work for FWB. The security guards want food rations as compensation for their work. Payment in cash is hardly feasible in the region and food rations are becoming the only acceptable currency. As a humanitarian organization, FWB is committed to provide humanitarian assistance to people most in need. The guards and their families are not part of the IDP population targeted by FWB.

**Possible scenarios with the CSS (D + E + F):**

**D** - More principled approach on humanitarian side, but at the cost of the relationship with P': Security guards take part in the distribution only as observers; requires instructions from hierarchy of the counterpart.

**E** - Trusted space between B and B' is a shared space of open dialogue: Security guards can take part in the distribution; their families can receive additional rations to the extent they are food insecure.

**F** - More demanding space for humanitarian organization: Camp authorities require that the food rations be distributed to the families of the guards by handing it over directly to the guards as a form of payment; requires instructions from hierarchy of humanitarian organization.

**For P - FWB**

**A - Ideal outcome**: All food rations are distributed to the affected refugee population based strictly on their nutritional needs, and FWB can hire the day laborers of their choice.

**B - Bottom line**: Food rations could be delivered to people in need even though they are not refugees from the camp and probably not those most in need, if this distribution can facilitate access to refugees most in need.

**C - Red line**: Food rations should never be distributed to people not in need.

**For P’ - Camp authorities**

**A’ - Ideal outcome**: FWB to hand over the distribution of the food to the camp guards and let them manage the process against a payment in food rations.

**B’ - Bottom line**: Allow FWB to manage the distribution in the camps but only through the hiring of local security guards in the camp. Any compromise below this point will require a consultation with the camp commander.

**C’ - Red line**: Having no form of control over the food distribution in the camp and being unable to share some benefits with the security guards.
Legitimacy of the Negotiator

CCHN Field Manual on Frontline Humanitarian Negotiation, p. 90-105
SESSION 9
Legitimacy of the Negotiator

Objectives

- Participants understand the sources of legitimacy of the negotiator in the eyes of the counterpart
- Participants know how to calibrate the different components of a negotiator’s sources of authority and legitimacy

Process

STEP 1
Present the sources of legitimacy of the negotiator

INSTRUCTIONS:
Present the five sources of legitimacy in frontline negotiation.

ACTION POINTS:
Refer to the template in Negotiator Handbook. Annex 9

In each group:
Participants assess the most and least conducive features as per the template in their Handbook.
Participants identify measures to enhance the legitimacy of the negotiator.

STEP 2
Exercise to assess and adjust your profile

INSTRUCTIONS:
One participant per group shares a precise negotiation situation. – 5 min
Participants in the group identify the most/least conducive features of the legitimacy template for the negotiation process.

ACTION POINTS:
Participants assess the most and least conducive features as per the template in their Handbook.
Participants identify measures to enhance the legitimacy of the negotiator.

Annex 9: The Sources of Legitimacy of the Negotiator
General and Specific Terms of the Mandate of the Negotiator

CCHN Field Manual on Frontline Humanitarian Negotiation, p. 319-331
SESSION 10

General and Specific Terms of the Mandate of the Negotiator

Objectives

- Participants identify and understand the general and specific terms of the mandate of the negotiator
- Participants know how to elaborate the mandate of the negotiator

Process

Exercise to identify the general and specific terms of the mandate of the negotiator

Instructions:

In groups:

One participant per group shares a precise negotiation situation or uses the HfA case. – 5 min

Participants in the group identify the general and specific terms of the mandate of the negotiator. – 35 min

Action points:

In each group:

Participants assess the case and define the terms.

SPECIFICATIONS OF A MANDATE TO NEGOTIATE
(To be developed in a dialogue between the mandator and the negotiator)

<table>
<thead>
<tr>
<th>SPECIFICATIONS OF THE MANDATE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Context</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Object</td>
<td>•</td>
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<tr>
<td>Time period</td>
<td></td>
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<tr>
<td></td>
<td></td>
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<tr>
<td>Counterparts</td>
<td>•</td>
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<tr>
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<td>•</td>
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<td></td>
<td>•</td>
</tr>
<tr>
<td>Designation of the negotiator</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Reporting line</td>
<td></td>
</tr>
</tbody>
</table>
GENERAL TERMS OF THE MANDATE (CONFIDENTIAL)
(To be developed in a dialogue between the mandator and the negotiator)

<table>
<thead>
<tr>
<th>TERMS OF THE MISSION OF YOUR ORGANIZATION</th>
<th>STRATEGIC OBJECTIVES SPECIFIC TO THE OPERATIONAL CONTEXT</th>
<th>GENERAL TERMS OF THE MANDATE OF THE NEGOTIATOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bottom of iceberg: WHO are you?</td>
<td>Bottom of iceberg: WHY are you here?</td>
<td>General goals of the negotiation in line with the mission and strategic objectives.</td>
</tr>
<tr>
<td>Key values:</td>
<td>About the role of your organization:</td>
<td>2.</td>
</tr>
<tr>
<td>Key professional and ethical standards:</td>
<td>About its methods of work:</td>
<td>3.</td>
</tr>
</tbody>
</table>

SPECIFIC TERMS OF THE MANDATE (CONFIDENTIAL)
(To be developed in a dialogue between the mandator and the negotiator)

<table>
<thead>
<tr>
<th>FACTUAL AND NORMATIVE TRIGGERS OF THE MANDATE</th>
<th>SPECIFIC TERMS OF THE MANDATE OF THE NEGOTIATOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relevant facts (contested/uncontested):</td>
<td>1.</td>
</tr>
<tr>
<td>•</td>
<td>2.</td>
</tr>
<tr>
<td>•</td>
<td>3.</td>
</tr>
<tr>
<td>•</td>
<td>4.</td>
</tr>
<tr>
<td>Relevant norms (convergent/ divergent):</td>
<td>5.</td>
</tr>
<tr>
<td>•</td>
<td>6.</td>
</tr>
<tr>
<td>•</td>
<td></td>
</tr>
</tbody>
</table>
Health for All’s Surgical Team Retained in a Labor Dispute

Nine staff members of Health for All (HfA), an international health NGO, have been prohibited by tribesmen from leaving their residence in District A for almost a week following a disagreement between HfA and the guards of the local HfA hospital. This dispute follows plans of HfA to close the hospital due to decreasing war surgery needs in the region. The guards, who belong to an important tribe in the region, claim that the hospital should remain open and their compensation be paid as there are still considerable emergency health needs in the region. The guards, supported by tribal representatives, further argue that they put their lives at risk for several years to maintain the access of patients and staff to the hospital during an especially violent conflict. Some of the guards even lost their life in this process and others sustained long-term disabilities. Families of the guards wounded or killed during the conflict further request long-term monetary compensation for the loss of income before HfA pulls out of District A.

For now, the hospital is barely operational, with several emergency needs left unattended. The tribal leaders have agreed to meet with HfA representatives to look for a solution. The government has refrained from intervening in what they see as a private labor dispute. The army and police have only a limited presence and control over the situation in District A and would not intervene without the support of the tribal chiefs.

<table>
<thead>
<tr>
<th>CORE VALUES AND MISSION OF HFA</th>
<th>STRATEGIC OBJECTIVES OF HFA</th>
<th>GENERAL TERMS OF THE MANDATE OF THE NEGOTIATOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>- HfA is a humanitarian organization. It operates under a set of principles (neutrality, impartiality, proximity, etc.).</td>
<td>- In the particular context, it appears that there are segments of the populations deprived of access to essential surgical care services. This context falls within the mandate of HfA as long as these needs are present.</td>
<td>1) The negotiator is mandated to find an agreement on the safe presence and access of HfA in District A.</td>
</tr>
<tr>
<td>- It aims to ensure equitable access to health care to ALL, with special attention to the most vulnerable. It aims to complement existing services, public and private.</td>
<td>- HfA can provide health services with the condition that the security of its staff, premises, and operations is guaranteed.</td>
<td>2) While it may have to assume certain risks, it is important that HfA attempts to restore essential services of the hospital in this context.</td>
</tr>
<tr>
<td>- It is an ethical organization committed to respect medical ethics and privacy of patients. It is bound by the human rights of patients.</td>
<td>- Security guarantees are the product of a trustful relationship with all the parties concerned. Such a relationship also implies that HfA maintains good standing with the community, particularly in dealing with patients and the local staff of the hospital.</td>
<td>3) It is critical that HfA is presented as an organization that is close to the community and aware of its responsibilities with respect to health care as well as an employer.</td>
</tr>
<tr>
<td>- It is a transparent, well-managed, and diligent employer keen to maintain good relationships with the people and communities it serves.</td>
<td>- While it has limited resources, it strives to do its best to ensure the continuity of access to health care as long as there are needs falling within its mandate.</td>
<td></td>
</tr>
</tbody>
</table>
### FACTUAL AND NORMATIVE TRIGGERS OF THE MANDATE IN COUNTRY A

- Nine staff members have been prevented from leaving their residence.
- Tribesmen are surrounding the residence and allow only water and food in.
- The functions of the hospital have been severely affected by these measures.
- Guards are seeking compensation for possible unemployment as well as injury and loss of life as a result of the planned closure of the hospital.

### SPECIFIC TERMS OF THE MANDATE OF THE NEGOTIATOR

1. HfA should insist on the prompt release of all the HfA staff.
2. Tribal leaders must, in the meantime, guarantee the safety and well-being of HfA staff.
3. HfA will want to scale down its surgical activities in the region and hand over the hospital to a third party, including transferring obligations toward the guards and their families.
4. HfA may have to reschedule these attempts so as to allow proper consultation and the designation of a third party.
5. Meanwhile, HfA should undertake consultation to rebuild trust with the community.
NOTES

SESSION 11

Public Communication

CCHN Field Manual on Frontline Humanitarian Negotiation, p. 332-339
SESSION 11

Public Communication

Duration: 40 min.

Objectives

- Provide a template to facilitate a discussion between the mandator, the support team, and the negotiator around the distribution of responsibilities regarding institutional communication about the operation.

Process

Exercise on Setting the Terms of the External Communication About the Negotiations.

Instructions:

In groups:

Per group, on the drawing of the iceberg analysis of your organization, elaborate a public description of the activities of the organization in the country, and the relevance of its engagement with the counterpart.

Action points:

In each group:

Participants discuss and define a public communication based on the case discussed in the iceberg.

Setting the Terms of the External Communication About the Negotiation

INSTRUCTIONS:

On the drawing of the iceberg analysis of your organization, elaborate a public description of the activities of the organization in the country and the relevance of its engagement with the counterpart. This statement should address:

- WHY does your organization wish to operate in the particular context? What are its inner principles, motives, and values? What are the needs justifying this operation?

- HOW does the organization intend to operate? What problems are we trying to address? What professional tools and methods do we plan to implement? What are the difficulties encountered?

- As a result, WHAT are your specific expectations in the particular negotiation? What is our offer of service? What are the terms under which the organization is ready to operate as a point of departure of the negotiation (i.e., best-case scenario of an agreement)?

Distribute responsibilities of external communication around the negotiation process among:

- The frontline negotiator
- The head of the local office
- The senior management and country director
- The Communication Department at HQ

Communication roles should be carefully reviewed and assigned so as to ensure proper internal control over the messaging of the organization. Messages coming from any part of the organization are inherently part of the negotiation process.
Consider the varying degrees of attention as well as sensitivity of information from the local level to national and international audiences (see attached template).

<table>
<thead>
<tr>
<th>ELEMENTS OF COMMUNICATION</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>WHO</strong> are you? What values define your organization as a humanitarian organization?</td>
<td>CORE MISSION:</td>
</tr>
<tr>
<td><strong>WHY</strong> does your organization want to operate in this context?</td>
<td>•</td>
</tr>
<tr>
<td><strong>HOW</strong> does your organization operate? What are the specific methods?</td>
<td>HOW YOU WORK:</td>
</tr>
<tr>
<td><strong>WHAT</strong> does your organization want out of this negotiation? What is its starting position? How does it want to communicate this position?</td>
<td>ABOUT THE NEGOTIATION PROCESS:</td>
</tr>
</tbody>
</table>
DISTRIBUTE RESPONSIBILITIES FOR COMMUNICATION AROUND THE NEGOTIATION

<table>
<thead>
<tr>
<th>EXPECTED DEMAND FOR INFORMATION</th>
<th>LOW</th>
<th>MID</th>
<th>HIGH</th>
<th>AGREED RESPONSE AND DISTRIBUTION OF RESPONSIBILITIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level of attention locally</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Level of attention nationally</td>
<td></td>
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<td></td>
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<tr>
<td>Level of attention internationally</td>
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<tr>
<td>Level of attention from donors and other international actors</td>
<td></td>
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<td></td>
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<tr>
<td>Level of attention of other stakeholders (family of staff)</td>
<td></td>
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</tbody>
</table>
SESSION 12

Knowing your Conflict-Handling Style
SESSION 12

Knowing your Conflict-Handling Style

Objectives

- Participants get familiar with the five different negotiation styles
- Participants determine their own naturally dominant styles

Process

**STEP 1**

**Present the concept of negotiation style**

**INSTRUCTIONS:**
Introduce the importance of better knowing yourself and your conflict-handling style to:
- Assess yourself
- Assess how your style affects your negotiation

**ACTION POINTS:**
- **In pairs:**
  - Participants share 2 stories:
    - One when they handled a conflict well
    - One when they handled a conflict badly
  - Participants reflect on what it says about their negotiating style.

**STEP 2**

**Thomas-Kilmann Self-Assessment Test**

**INSTRUCTIONS:**
Participants read and fill in the Thomas-Kilmann Conflict Mode Instrument (TKI) self-assessment test to determine their negotiation style.
- **Distribute self-assessment test.**

**ACTION POINTS:**
- Competing – Collaborating – Compromising – Avoiding – Accommodating.
- Participants can have several naturally dominant styles.
- There is not a wrong or a correct style.

**STEP 3**

**Discuss the five negotiation styles**

**INSTRUCTIONS:**
Present the five negotiation styles and their implications for the negotiation process.

**ACTION POINTS:**
- Discuss the most appropriate style depending on the context of the negotiation – tactical choice to apply one style or another depending on the negotiation strategy:
  - What/how much is at stake?
  - How much power/influence do I have?
  - What is the relationship worth?
  - How interdependent am I to the counterpart?

**STEP 4**

**Individual reflection and group discussion**

**INSTRUCTIONS:**
Participants reflect on a case and what they would do differently had they known their style.

**ACTION POINTS:**
- **Individually:**
  - Participants take 10 min to reflect on their natural style and what they could have done differently in a particular situation from the past.
- **In pairs:**
  - Relating to the experience shared in Step 1, what style could they have applied and what could they do better in the future?
### Annex 10.1: Thomas-Kilmann Model Explained

#### When to use Different Styles?

<table>
<thead>
<tr>
<th>Competing</th>
<th>Collaborating</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>High</strong></td>
<td><strong>High</strong></td>
</tr>
<tr>
<td>- Quick, decisive action needed</td>
<td>- Both sets of concerns too important to be compromised</td>
</tr>
<tr>
<td>- Important but unpopular issues are at stake and where there isn't &quot;right&quot; way</td>
<td>- Needs insights from different perspectives</td>
</tr>
<tr>
<td>- Trivial issues</td>
<td>- Increases others' commitment to solutions</td>
</tr>
<tr>
<td>- No chance of getting what you want</td>
<td>- Long-term major issues</td>
</tr>
<tr>
<td>- Potential risk of confrontation outweigh benefits of resolution</td>
<td>- Other better places to resolve the issue</td>
</tr>
<tr>
<td>- Other better places to resolve the issue</td>
<td>- When in the wrong</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Avoiding</th>
<th>Compromising</th>
<th>Accommodating</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Low</strong></td>
<td><strong>High</strong></td>
<td><strong>High</strong></td>
</tr>
<tr>
<td>- Concern for Own Agenda</td>
<td>- Concern for Other's Agenda</td>
<td>- Concern for Other’s Agenda</td>
</tr>
<tr>
<td>- Expediency</td>
<td>- Back-up competing/collaborating</td>
<td>- To limit damage of continued conflict</td>
</tr>
<tr>
<td>- Expediency</td>
<td>- Back-up competing/collaborating</td>
<td>- To bank favors</td>
</tr>
<tr>
<td>- Trivial issues</td>
<td>- Concern for Own Agenda</td>
<td>- When in the wrong</td>
</tr>
<tr>
<td>- No chance of getting what you want</td>
<td>- Concern for Own Agenda</td>
<td>- Long-term major issues</td>
</tr>
<tr>
<td>- Potential risk of confrontation outweigh benefits of resolution</td>
<td>- Concern for Own Agenda</td>
<td>- Two equally strong parties committed to mutually exclusive goals</td>
</tr>
<tr>
<td>- Other better places to resolve the issue</td>
<td>- Concern for Own Agenda</td>
<td>- Expediency</td>
</tr>
<tr>
<td>- Issue much more important to other party</td>
<td>- Concern for Own Agenda</td>
<td>- To bank favors</td>
</tr>
<tr>
<td>- Concern for Own Agenda</td>
<td>- Concern for Own Agenda</td>
<td>- When in the wrong</td>
</tr>
</tbody>
</table>
SESSION 13

Planning for the Transaction

CCHN Field Manual on Frontline Humanitarian Negotiation, p. 152-188
SESSION 13

Planning for the Transaction

Duration: 105 min.

Objectives

- Participants understand how to clarify the terms of a transaction between parties and transform CSS into a series of reciprocal commitments.
- Participants are able to create a conducive environment for the transaction and to foresee the quality and the success of a negotiation process.

Process

STEP 1

Present the criteria for clarifying the terms of an agreement

INSTRUCTIONS:
List the criteria for setting clear commitments and a proper implementation of the agreement.

ACTION POINTS:
Participants take five minutes to read the illustration in their Handbook.
Annex 11.1
Give examples of proper/improper terms based on the illustration.
Annex 11

STEP 2

Introduce the checklist for creating a conducive environment for the transaction

INSTRUCTIONS:
Present the checklist to prepare, conduct, and debrief a transaction meeting.

ACTION POINTS:
In groups:
Participants discuss the questions in their checklist and how they would envisage the meeting from the previous illustration.
Annex 11.2

STEP 3

Dealing with difficult interlocutors – De-escalation

INSTRUCTIONS:
Distinguish assertiveness and aggressiveness, to be read in their cultural context:
- Assertive behavior: May help to communicate a position using rational reasoning as a vehicle.
- Aggressive behavior: Aims to impose a position leveraging an emotion.

ACTION POINTS:
Present the six steps for de-escalation in the Negotiator Handbook.
Annex 11.3
Give examples for each step from the illustration.
Annex 11.4

STEP 4

Simulation exercise to apply the 6 steps of de-escalation

1. Simulation:
In groups of 3: 2 negotiators – 1 observer
Distribute the simulation instructions to each group of 3 participants
Participants rotate over three rounds (each participant plays the three roles) – 15 minutes/round
The negotiator:
- Listens to the counterparts’ concerns
- Applies the 6 steps to de-escalate the situation

2. Debriefing
Annex 13: Criteria for Clarifying the Terms of the Transaction – Illustration Explained

Negotiating Access to an IDP Camp under the Control of an Armed Militia

Food Without Borders (FWB), an international NGO, is seeking access to an IDP camp controlled by an armed militia under the supervision of the state military in Country A. FWB has been negotiating its access to the camp for several weeks with the leadership of the armed militia and the military commander in the capital overseeing its activities in the region. In recent days, it appears that the parties (FWB, militia commander, military representative in the capital) are ready to plan a convoy of trucks carrying FWB assistance to the IDPs in the camp. Representatives of the parties sit down at a meeting in the capital. What should the proposed terms of the transaction be?

<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>PROPER TERMS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Express parties’ commitments clearly</td>
<td>FWB’s proposed terms to include:</td>
</tr>
<tr>
<td></td>
<td>- The number of trucks</td>
</tr>
<tr>
<td></td>
<td>- The description of the cargo</td>
</tr>
<tr>
<td></td>
<td>- The schedule of movement</td>
</tr>
<tr>
<td></td>
<td>- The predefined routes</td>
</tr>
<tr>
<td></td>
<td>- The profiles and names of drivers</td>
</tr>
<tr>
<td></td>
<td>- Detailed modalities of distribution</td>
</tr>
<tr>
<td></td>
<td>- Defined target population</td>
</tr>
<tr>
<td></td>
<td>In exchange for:</td>
</tr>
<tr>
<td></td>
<td>Armed militia’s and military’s commitment to:</td>
</tr>
<tr>
<td></td>
<td>- Stipulate route and time of access on a map of the territory under their control</td>
</tr>
<tr>
<td></td>
<td>- Guarantee the safe passage and security of staff</td>
</tr>
<tr>
<td></td>
<td>- Specify modalities of crossing checkpoints manned by the militia</td>
</tr>
<tr>
<td></td>
<td>- Refrain from interference</td>
</tr>
<tr>
<td></td>
<td>- Detail responsible parties in the field (names and phone numbers)</td>
</tr>
</tbody>
</table>

The parties agree:
- On a direct communication link with people of authority in case of divergence during the operation;
- On a practical process of resolution under the circumstances to ensure a) the safety of FWB staff, and b) the implementation of the operation; and,
- In case of continued divergence, to suspend the operation without further escalation or reprisals and convene a meeting to discuss the situation and possible solutions.

4. Set a process to handle potential divergence

FWB’s tasks:
1. FWB will send a notification on the number of trucks, cargo, dates, and route on Day 1.
2. FWB will confirm day and time of the convoy with the local commander on T-1 day.
3. FWB will inform the convoy of the entry into the territory and confirms the route.
4. Convoy crosses checkpoints and proceeds to deliver assistance
5. The convoy leaves the camp through the same route or as otherwise agreed with the local commander.

Military/militia’s tasks:
2. Military/militia will receive notification, share information in the field, and provide authorization within four days.
4. The local commander will confirm within 3 hours that the convoy can proceed.
6. The local commander informs checkpoints.
8. The local commander is present at the delivery site and observes without interference.
CHECKLIST TO PREPARE, CONDUCT, AND DEBRIEF A TRANSACTION MEETING

<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>PROPER TERMS</th>
</tr>
</thead>
</table>
| 5. Recognize the power relationship in the field and the relevant degree of responsibility | Military and armed militias agree:  
- To guarantee the safety and security of the operation throughout the period;  
- To ensure that every member of the militia operating along the route of the convoy will be aware of this operation and of the authorization of FWB to operate without interference; and,  
- To take full responsibility in case of a security incident involving the militia or other parties.  
FWB agrees:  
- To ensure the strict neutral and impartial character of its delivery of assistance; and,  
- To ensure that its staff and contracted drivers will not engage in activities unrelated to the transport and distribution of humanitarian aid. |

Annex 11.2: Checklist to Prepare, Conduct, and Debrief a Transaction Meeting

<table>
<thead>
<tr>
<th>CHECKLIST TO PREPARE, CONDUCT, AND DEBRIEF A TRANSACTION MEETING</th>
<th>Preparing for the meeting</th>
</tr>
</thead>
</table>
| | - Do I understand the stakes for all the parties?  
- Who will be the people participating in the meeting?  
- Where will they come from?  
- What information do I have about them?  
- What do the counterparts know about me? Is this information conducive to a positive meeting?  
- What should I expect from the discussion?  
- What are the points of convergence/divergence between the parties?  
- Did I prepare an agenda for the meeting?  
- Did I share this agenda?  
- Did I consider the physical setting for the meeting?  
- Did I consider specific timing (early/late in day) or other cultural elements?  
- Did I prepare, brief, and rehearse with my translator (if there is one)?  
- Did I prepare a short and a long version of my presentation in case the meeting is not as long as expected?  
- Did I prepare facts/evidence and eventually bring supporting reports/analysis?  
- Do I know the protocol? |
**CHECKLIST TO PREPARE, CONDUCT, AND DEBRIEF A TRANSACTION MEETING**

**Proposed terms of the agreement**
- What are the proposed terms of our operation?
- What are the movable pieces/options (bottom lines) in terms of time, geography, priority, standards?
- What are the points of no flexibility/red lines around these options?
- Can I construct an argument around flexible vs. non-flexible points?
- Can I formulate benefits for the counterparts?
- Do I have an action plan ready?

**Power structure of counterparts**
- Who is in charge on the other side?
- Who will the negotiators report to?
- What flexibility will they have?
- How do they perceive our own power relationships (internal and external to our organization)?
- What are the expected limits imposed by external powers on the meeting?
- Will negotiating on a particular issue impact the power relationships? If so, how?

**At the meeting**
- Who is in the room?
- Who is talking?
- Who are the deciders?
- Who are the diverters?

**List of the points of the counterparts**
- Can we list the points made by the counterparts?
- Do we understand these points?
- Were we available to discuss these points on their own terms?
- How was my/our body language in this situation?

**Common shared objectives**
- Can we describe our institutional objectives as common shared objectives?
- Are we able to insert any convergence of norms, facts, or objectives in our position?
- Were we able to raise options to be discussed when confronted with resistance on the proposed terms of the exchange?

**Agreeing on next steps**
- Are we able to present clear next steps to move forward?
- What are the agreed results of the meeting?
SITUATION
Food Without Borders (FWB) has been late in delivering much-needed assistance to an IDP camp. Camp leaders are becoming restless in their conversations with FWB. The delivery will take another two weeks due to supply chain constraints.

COMMUNITY REPRESENTATIVE: “FWB can no longer be trusted. You live in nice hotels in the capital, we are left with nothing here. This is unacceptable. When is the assistance coming?”

FWB REPRESENTATIVE:
• PAUSE AND PARAPHRASE “I hear you: there is an issue of trust. The situation is dire. You find it hard to accept. You need to know when the next delivery will take place. Am I right?”
• REFORMULATE “FWB needs to find ways to be more predictable in its delivery and move its assistance more quickly. Am I right?”
• CAPTURE EMOTIONS AND SET ASIDE “I see that it is a very difficult and frustrating situation for your community.”
• REFRAME CONVERSATION “We need to work together in finding a solution. We are committed to provide the best efforts. We need your help, too.”
• QUESTIONS OPEN: “How can we improve the timing of the delivery in your view?” CLOSE: “Will this be sufficient?”
OPEN: “What can we do together as next steps?”
• DISCUSS OPTIONS “This is clear. Here is what we propose: ...”
WHAT NOT TO SAY AND DO IN ACTIVE LISTENING: Counter argue:
“I disagree. Here is why …”
“No. This is not true.”
“Let me explain to you why ...”
“This is because ...” Pretend to understand when you do not:
“I understand your situation.”
“Thank you for your explanation.”
Apologize:
“I am sorry.”
“I apologize for ...”
“We will do better next time.”

Model inspired by the work of ADN Group, L’agence des négociateurs, Paris
SESSION 14

Working on Scenarios
SESSION 14

Working on Scenarios

**Objectives**

- Participants experience and discuss the inherent dilemma of an impactful humanitarian response vs. maintaining a principled humanitarian response

**Rules of the game**

Each group represents a humanitarian organization trying to negotiate access with a military group in control of territory and population (the counterpart).

At the beginning of the game, each group receives the scenario, as well as a list of 5 compromise options regarding diversion of assistance and two principles cards.

**Instructions:**

- Hand out the prisoner’s dilemma illustration and instructions to all groups.
- Hand out specific instructions for each group representing an organization.

**The 5 options are:**

1. No compromise at all.
2. Give 5% of assistance to the commander at the checkpoint to ensure that militants will not use coercion to seek life-saving food from the affected populations.
3. Give 25% of assistance to the commander for “special case allocations” once the organization leaves.
4. Let the commander select and gather the beneficiaries in advance of the distribution.
5. Hand over all the assistance to the commander.

All groups start with 0 impact token and two principles cards. The group who will win the game is the one who has received **most impact tokens** by his counterpart, while at the same time retaining **at least one principle card** at the end.

<table>
<thead>
<tr>
<th>INSTRUCTIONS</th>
<th>TIMING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Explain the scenario and assign each group an organization and a mandate.</td>
<td>5 min</td>
</tr>
<tr>
<td>Stress the importance that food gets to the populations, otherwise people will actually die from starvation (one impact token actually represents 10,000 lives).</td>
<td></td>
</tr>
<tr>
<td>Explain that humanitarian organizations unable to provide assistance in the best circumstances will have to leave the country.</td>
<td></td>
</tr>
<tr>
<td>This is a <strong>competitive game</strong>: the team that ends with the <strong>largest number of impact tokens</strong> while still having retained a <strong>minimum of one principle card</strong> WINS (i.e., will stay in the country to provide assistance).</td>
<td></td>
</tr>
<tr>
<td>NOTE: <strong>Groups are not allowed to trade cards or tokens.</strong> They can, however, make alliances in deciding which options they will select.</td>
<td></td>
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</tbody>
</table>

**First round:**

Each group receives a list of the 5 compromise options. **Without speaking with other groups or their counterpart,** each group must choose one option among the 5 possible compromises and present it to the counterpart.

**The counterpart will select two groups and give them for a deal a series of tokens and take a compromise card, depending on the level of compromise (see distribution table on instruction sheet).**

**If all groups make no compromise, the instructors select two of the groups and give them the tokens and give them a card. NO EXPLANATION FOR THE CRITERIA OF THE SELECTION SHOULD BE GIVEN TO THE PARTICIPANTS. They need to figure it out by themselves.**
**INSTRUCTIONS**

<table>
<thead>
<tr>
<th><strong>Second round:</strong></th>
<th><strong>TIMING</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>The same model applies.</td>
<td>20 min</td>
</tr>
<tr>
<td>However, each group has the opportunity to <strong>talk to other organizations for a given period</strong> (5 minutes) if they wish. They might go for alliances, cooperation, and mitigation in trying to influence their interlocutor. After this period of exchange, they return to their table and decide what to do. They have to choose again one of the compromise cards to negotiate it with their counterpart. The distribution of tokens and cards follows the instruction sheet table. If a group ends with 0 principles cards left because they compromised too much, the group can no longer offer a compromise, which would make them lose a card that they no longer have. In other words, you can only compromise based on the principle cards you have in your hands.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Third round:</strong></th>
<th><strong>10 min</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>The same model applies. However, groups <strong>cannot talk to each other</strong> to know which tactic to adopt. They have to choose again one of the compromise cards to negotiate it with their counterpart.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Last round:</strong></th>
<th><strong>20 min</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>The same model applies. However, groups have the opportunity to talk again to each other. Instructors may opt to double the rewards and costs of the deal.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Debriefing and explanation of results.</strong></th>
<th><strong>20 min</strong></th>
</tr>
</thead>
</table>

**NOTES**

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Annex 13: O.R.I.D.* Questioning

O.R.I.D. (Objective, Reflective, Interpretive, Decisional method) is a very helpful conversation process, on a one-to-one basis or with a group of people, to work on cooperative mode. It enables individuals to ask questions to make the most out of the wisdom and experience of others.

**OBJECTIVE Questions (What?)**
Used to draw out the facts and observe data about an event, an issue, etc. Allows for clarification of different perspectives of observable reality.

Some examples:
- What are the facts? What do you know about (…)?
- What have you observed? Heard? Seen?
- Who is concerned? How many persons?
- What is the situation? What are the key elements?
- What are the norms? What is at stake?
- What are your objectives?
- Etc.

**REFLECTIVE Questions**
Questions to call forth immediate personal reaction, an internal response, sometimes feelings, hidden images, and associations with the facts. Whenever we encounter an external reality (data/objective) we experience an internal response.

Some examples:
- What are you most concerned about (…)?
- Do you recall any similar situation (experience, etc.)?
- What surprised/confused/angered you in this situation?
- What are the reasons for (…. )?
- Why is it a problem for you?
- Etc.

**INTERPRETIVE Questions (So What?)**
Consider the meaning, values, significance, and implications.

Some examples:
- What does it mean for us in our context/environment/challenge/dilemma?
- How does that affect our work/us/others?
- What other implications do you see on (…)?
- What can we conclude from this situation?
- How does it relate to any theory, models, concept?
- Etc.

**DECISIONAL Questions (Now What?)**
Questions to elicit resolution, enable the group/person to make decisions about the future.

Some examples:
- How could we prevent these problems from happening?
- How could we manage problems that are inevitable?
- What if (…..) was left out? What would happen?
- What would it take for things to change?
- What could you do differently? Are there any other ways? What alternatives are there?
- What needs to be done? Who can make a difference?
- What if you would explore (…)? How does that sound?

* “The O.R.I.D. method was developed by Laura Spencer of the Institute of Cultural Affairs (USA) and is based on the Kolb Experiential Learning Model (Kolb, 1984). Laura Spencer is the author of the book, Winning Through Participation (1989), which details the O.R.I.D. method. The method was further developed by Brian Stanfield in his book, The Art of Focused Conversation (2000)."
CCHN Toolkit on Frontline Humanitarian Negotiation

The CCHN Field Manual on Frontline Humanitarian Negotiation proposes a comprehensive and systematic method to conduct humanitarian negotiation. It offers a set of practical tools drawn from field practices and a step-by-step pathway to plan and implement negotiation processes in a structured and customized manner.

The CCHN Field Manual on Frontline Humanitarian Negotiation is available online and for download at no cost. A hard cover print version can be purchased at www.frontline-negotiations.org.

The CCHN Negotiator Handbook offers the collection of updated CCHN tools for direct use in current negotiation processes. It outlines how to apply each tool of the CCHN Field Manual with background guidance and step-by-step instructions. All tools are provided in full-page printable format in addition to the supporting information so that frontline negotiators, the support team and mandators can use and share the tools in their everyday work. The CCHN Negotiator Handbook also serves as the point of reference for participants during the CCHN Peer Workshop.

The CCHN Negotiator Handbook is available for download at no cost online. Printed copies can be purchased at www.frontline-negotiations.org.

The CCHN Case Studies present the application of the negotiation tools of the CCHN Field Manual to real-life situations from the field that have been synthesized and decontextualized for the purpose of the exercise and maintaining confidentiality. Each case study takes the reader through a negotiation process, illustrating the implementation of key tools at the different stages of the process.

Case studies are available online for members of the CCHN's global community of frontline negotiators. Access information will be shared separately.

The CCHN Facilitator Handbook provides all the necessary information and references to facilitate a peer workshop on humanitarian negotiation with colleagues. It accompanies CCHN Facilitators as they build their own capacity to present and use CCHN tools and methods. The CCHN offers regular training sessions to CCHN members to become a certified CCHN Facilitator.

The CCHN Facilitator Handbook is available online for members of the CCHN's global community of frontline negotiators. Printed copies can also be purchased at www.frontline-negotiations.org.

Designed for note-taking during meetings, the CCHN Negotiator Notebook includes key fact sheets related to humanitarian negotiation and templates from the CCHN Field Manual. With the Negotiator Notebook, users have the essential negotiation tools and concepts always at their fingertips.

The CCHN Negotiator Notebook is available only in a printed format. It can be purchased at www.frontline-negotiations.org.

CCHN Connect is a community-powered online forum on humanitarian negotiation. It provides a platform for humanitarian professionals to discuss challenges and dilemmas of humanitarian negotiations and connect with peers from around the world. The forum is packed full of interviews with frontline negotiators, blog series, research papers and more.

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