CCHN Negotiator Handbook

TABLE OF CONTENTS

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.

For more information on the CCHN and its mission, please visit
http://frontline-negotiations.org
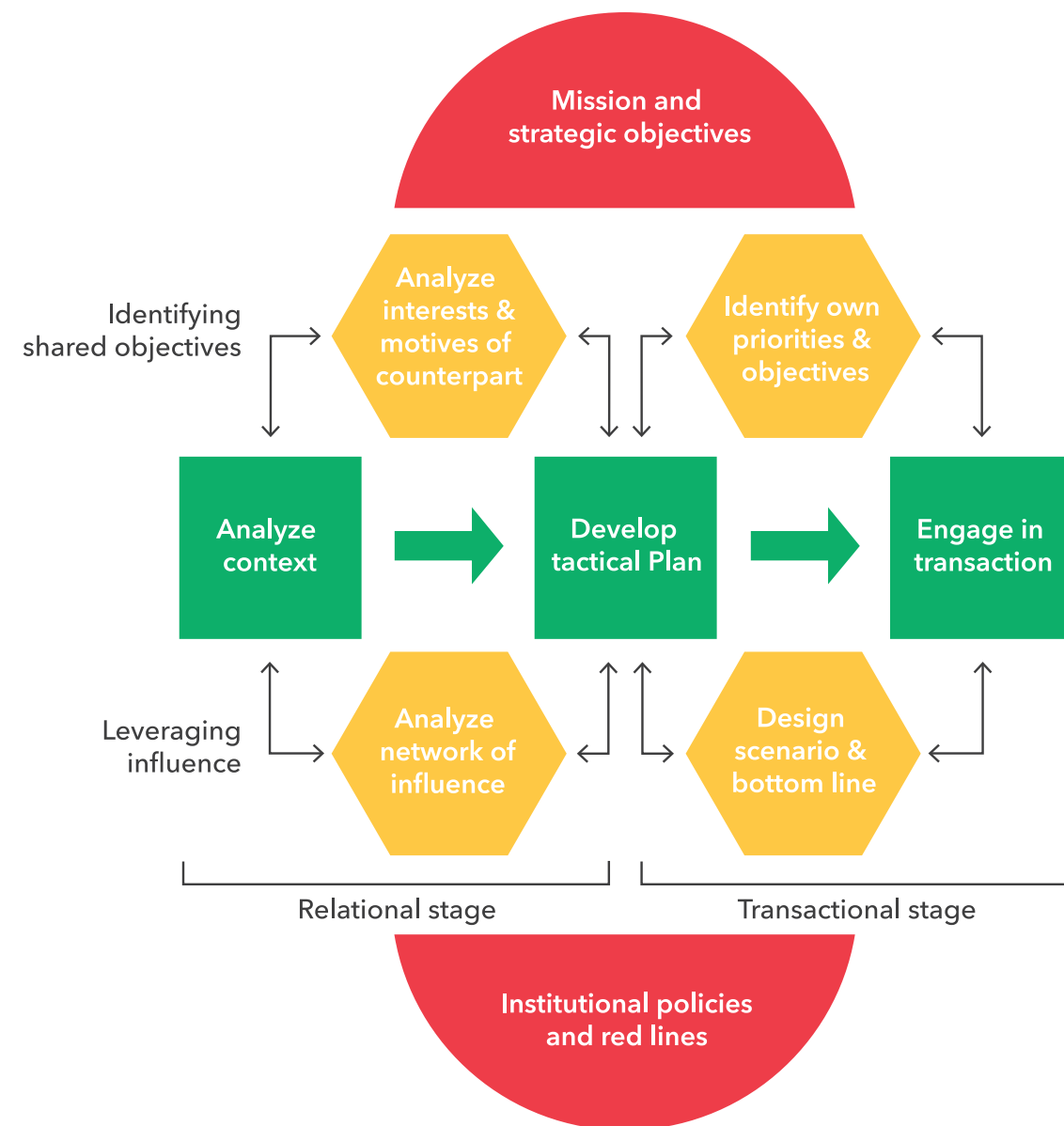
The Naivasha Grid :

The **Naivasha Grid** confirms the leading role of the frontline negotiator in the negotiation process defined along the **Green Pathway**. This role is supported in an intermittent manner by the negotiation team which includes the frontline negotiator along the **Yellow Pathway**, implying a critical dialogue between frontline negotiators and colleagues. The whole negotiation process is framed by the mandator, along the **Red Pathway** in terms of strategic objectives and red lines informed by institutional policies.

MORE INFORMATION :

Please consult pages 29-31 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at : **www.frontline-negotiations.org**

Tool 1: Gathering Quality Information About the Context

Objective of the CCHN tool:

The gathering of quality information represents an important point of leverage in a complex negotiation and is a good investment in terms of time and resources. This tool will help the negotiator identify the elements of information that will offer the best traction at the initial stage of the process.

Instructions:

STEP 1

List the key elements of information to open the negotiation process

STEP 2

Provide a nominal value to each element of information under a series of four criteria described as follows:

1. The **knowledge of the source** of the information in the eyes of the counterpart (e.g. data collected by the local clinic);
2. The **integrity of the "chain of custody"**, i.e. all intermediaries are trusted and shared the same standards of authenticity and quality (e.g. local church);
3. The **clarity of the information** presented, i.e. with the least amount of ambiguities and vagueness; and,
4. The **information has been corroborated** by an independent third party.

Each element of information should be assigned a degree of quality from 0 point (low quality) to 3 points (high quality) for a maximum total of 12 points (4 criteria X 3 points) (see the attached table).

STEP 3

Identify elements that may benefit from further inquiries as to strengthen their traction in the negotiation.

STEP 4

Identify the most (> 6 points) vs. least (< 6 points) relevant information for the upcoming negotiation.

FOR MORE INFORMATION:

Please consult pages 48-63 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at: **www.frontline-negotiations.org**

Measuring the quality and traction of information

Scale : 0 = Poor quality, 1 = Limited quality, 2 = Good quality, 3 = Excellent quality

ELEMENTS OF INFORMATION	SOURCE OF INFORMATION	CHAIN OF CUSTODY	CLARITY OF THE IN-FORMATION	CORROBORATED BY 3RD PARTY	TOTAL MAX. 12 UNITS

Tool 2 : Drawing the Island of Agreement

Objective of the CCHN tool :

Help the negotiator distinguish the initial space of agreements and disagreements of a humanitarian negotiation building on the coincidence of views between the parties about the facts of the situation and the applicable norms.

Instructions :

STEP 1
Sort on the attached table all the relevant elements of information of the humanitarian situation in the eyes of both parties (context, issues, geography, relevant cultural aspects, power relationships, etc.);

STEP 2
Within these elements identify the facts of the case (things one can see, observe) from the norms (defining an expected behavior);

STEP 3

Determine the agreed vs. contested nature of the facts identified, and the convergence vs. divergent character of the norms identified in the eyes of the parties to the negotiation;

STEP 4

Transcribe the key elements in the appropriate columns of the attached template.

STEP 5

Formulate the key messages connecting agreed facts and convergent norms to open and maintain a dialogue with the counterparts; Identify priority areas of engagement around contested facts and divergent norms.

FOR MORE INFORMATION :

Please consult pages 64-84 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at : **www.frontline-negotiations.org**

CONTESTED FACTS	ISLAND OF AGREEMENTS		DIVERGENT NORMS
	AGREED FACTS	CONVERGENT NORMS	
Points to be **clarified** with factual evidence	Points of agreement to **start the dialogue**	Points to be **underlined** as convergent values	Points of divergence on norms to be **negotiated**

⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨ ⟨　　　　**⟩ ⟩ ⟩ ⟩ ⟩ ⟩ ⟩ ⟩ ⟩ ⟩ ⟩**

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.

Tool 3 : Fostering Legitimacy and Building Trust

Objective of the CCHN tools :

Building trust with a counterpart and considering questions of legitimacy are essential parts of the relational element to humanitarian negotiations. These tools provide straightforward strategies to enhance the legitimacy of the humanitarian negotiation process and of the negotiator and build the trust of the counterpart.

Instructions :

STEP 1

Draw a critical analysis of their sources of legitimacy in terms of the humanitarian organization, the negotiation objectives, and of the negotiator, using both tools attached;

STEP 2

Ascertain for each of these sources the degree of clarity of the messages, adaptability of the strategies and tactics, as well as predictability of behaviors and attitudes in the negotiation process;

STEP 3

Unpack notions and legal norms such as "humanitarian principles" to ensure that the counterparts have understood the meaning of this concept within the given context;

STEP 4

Enhance the angles of legitimacy of the negotiators by analyzing the critical sources in the context (for e.g. level of education/ experience vs. mandate vs. local connection vs. adaptability vs. gender/age/ religion, etc.). It is important to select the most conducive characteristics and focus to them in the communication about oneself.
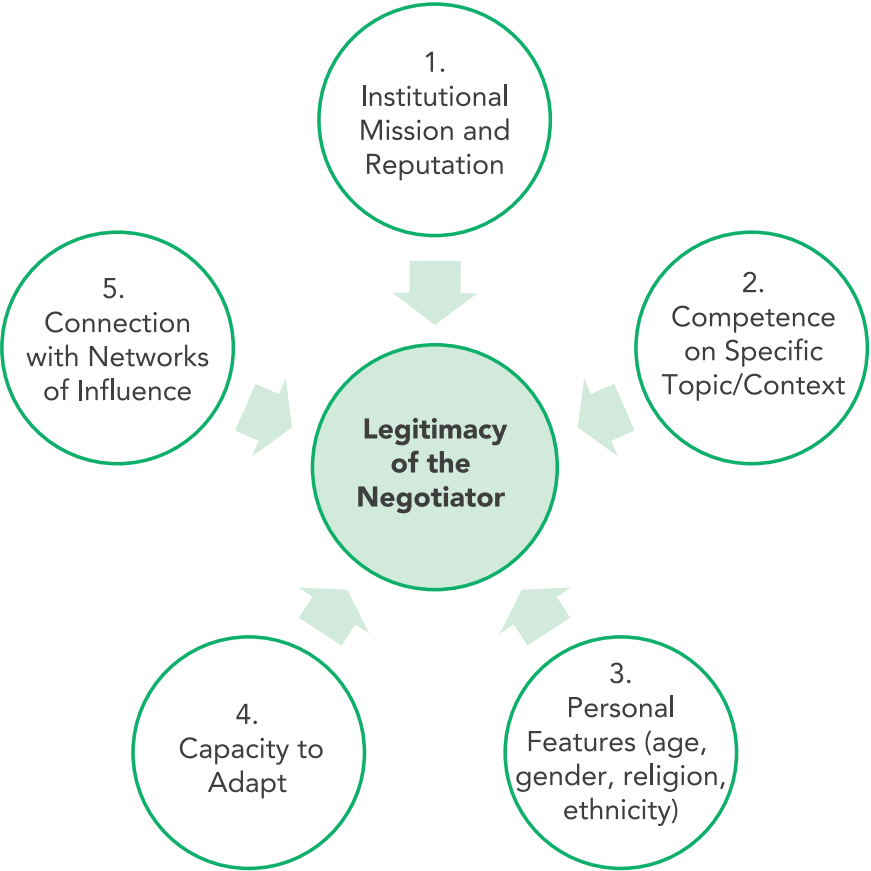
FOR MORE INFORMATION :

Please consult pages 90-105 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at : **www.frontline-negotiations.org**

Identifying the sources of legitimacy in a humanitarian negotiation

SOURCES OF LEGITIMACY	INDICATORS OF TRUST		
	CLARITY	ADAPTABILITY	PREDICTABILITY
Organization			
Objectives of the negotiation			
Negotiator			

1. Institutional Mission and Reputation
5. Connection with Networks of Influence
2. Competence on Specific Topic/Context
Legitimacy of the Negotiator
4. Capacity to Adapt
3. Personal Features (age, gender, religion, ethnicity)

1. Assets/Liabilities :

2. Assets/Liabilities :

3. Assets/Liabilities :

4. Assets/Liabilities :

5. Assets/Liabilities :

Specific to the perspective of a particular counterpart and context:

Aspects that are the most conducive to enhance legitimacy (strongest assets):

Aspects that are the least conducive to enhance legitimacy (strongest liabilities):

Measures to be taken to enhance the legitimacy of the negotiator:

a)

b)

c)

Tool 4: Determining the Typology of a Humanitarian Negotiation

Objective of the CCHN tools:
Provide a process to identify the type of negotiation one is engaged in and adapt the tactic in the primary response. Provide a process to strategically and intentionally politicize or depoliticize the negotiation with the counterpart.

Instructions:

STEP 1

Determine the importance of establishing and maintaining a relationship with the counterpart beyond specific transactions. More dependent the organization will be on the counterpart for the implementation of the agreement, particularly in terms of security guarantees, more relevant the use of the typology tool in humanitarian negotiation.

STEP 2

From the entry point of the dialogue determine the type of relationship the counterpart is establishing using the main question raised:

– "Who are you and why you are here?" → leads to a political relationship

– "How do you intend to operate?" → leads to a professional relationship

– **"What do you need to operate, where, when and with whom ?"** → **leads to a technical relationship.**

Using the grid attached, develop the relevant tactic to take the lead of the conversation either by negotiating at the entry level, or alternatively move the discussion up or down the ladder where you and your organization have the best leverage.

- In a political negotiation, try to cut a deal on the political visibility and values of the operation;
- In a professional negotiation, try to build a consensus on the operating standard of your organization among the local professionals;
- In a technical negotiation, try to assert your expertise and knowledge of the context while building ownership on the side of the counterpart.

Discuss with your team and managers on the risk mitigation measures for each of the levels; understanding that the more political the negotiation becomes, the more preventive measures must be implemented to manage the possible political implications.

FOR MORE INFORMATION :

Please consult pages 106-136 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at : **www.frontline-negotiations.org**

Ascertaining the Type of Negotiation

	MAIN FOCUS OF THE NEGOTIATION	ISSUES AT STAKE	COMMON SHARED OBJECTIVE (CSO)	TYPE OF APPROACH	LEVEL OF RISK
A	Political	Identity/values/ principles/norms Q : **Who** are you ? **Why** are you here ?	Sharing values	Cut a deal around specific shared values and ignore the others	HIGH
B	Professional	Method/standard of operations Q : **How** will you work ?	Sharing professional standards	Build consensus on method among local professionals	AVERAGE
C	Technical	Operational arrangements based on facts/ data of the situation Q : **What** will you do ? When/Where/With Whom will you work?	Shared understanding on the practical arrangements in terms of location, timing, resources needed, logistics, etc.	Share information and expertise on the situation and proposed methods	LOW

Tactical decisions :

1. At what level the counterpart is entering into the negotiation ?
2. What are his/her expectations ?
3. At what level should I enter into the negotiation ?
4. What are my expectations
5. What type of arguments, tactics and expertise I should bring forward in the discussion ?

	MAIN FOCUS OF THE NEGOTIATION	ISSUES AT STAKE	COMMON SHARED OBJECTIVE (CSO)	TYPE OF APPROACH	LEVEL OF RISK
A	Political	Identity/values/ principles/norms			HIGH
B	Professional	Method/standard of operations			AVERAGE
C	Technical	Operational arrangements based on facts/ data of the situation			LOW

Tool 5 : Drawing the Pathway of a Normative Negotiation

Objective of the CCHN tools :

Provide a simple tool to analyse a normative negotiation

and suggest options for a dialogue with the counterpart.

Instructions :

STEP 1

Determine if the object of the negotiation is more factual or normative (see the tools pertaining to the Island of Agreement)

STEP 2

If the object is factual, refers to the section on gathering quality information. If the object of the negotiation is more normative, isolate the norms and specify the divergence.

STEP 3

Draw a diagram (see attached) on the tension between the main norms based on their formal character (legal vs. social / global vs. local) and situate each norm.

STEP 4

Consider using the various legal arguments to bridge the gap between the two norms. Options include :

– Discuss inconsistencies within the quadrant of the counterpart applying a competing norm within this quadrant;

– Discuss contradiction across the global or local quadrants (e.g. competing national law);

– Discuss the moral character of the counterpart's position from a global or local perspective; and finally,

– Try to convince the counterpart to comply with the divergent norm (least likely to succeed).
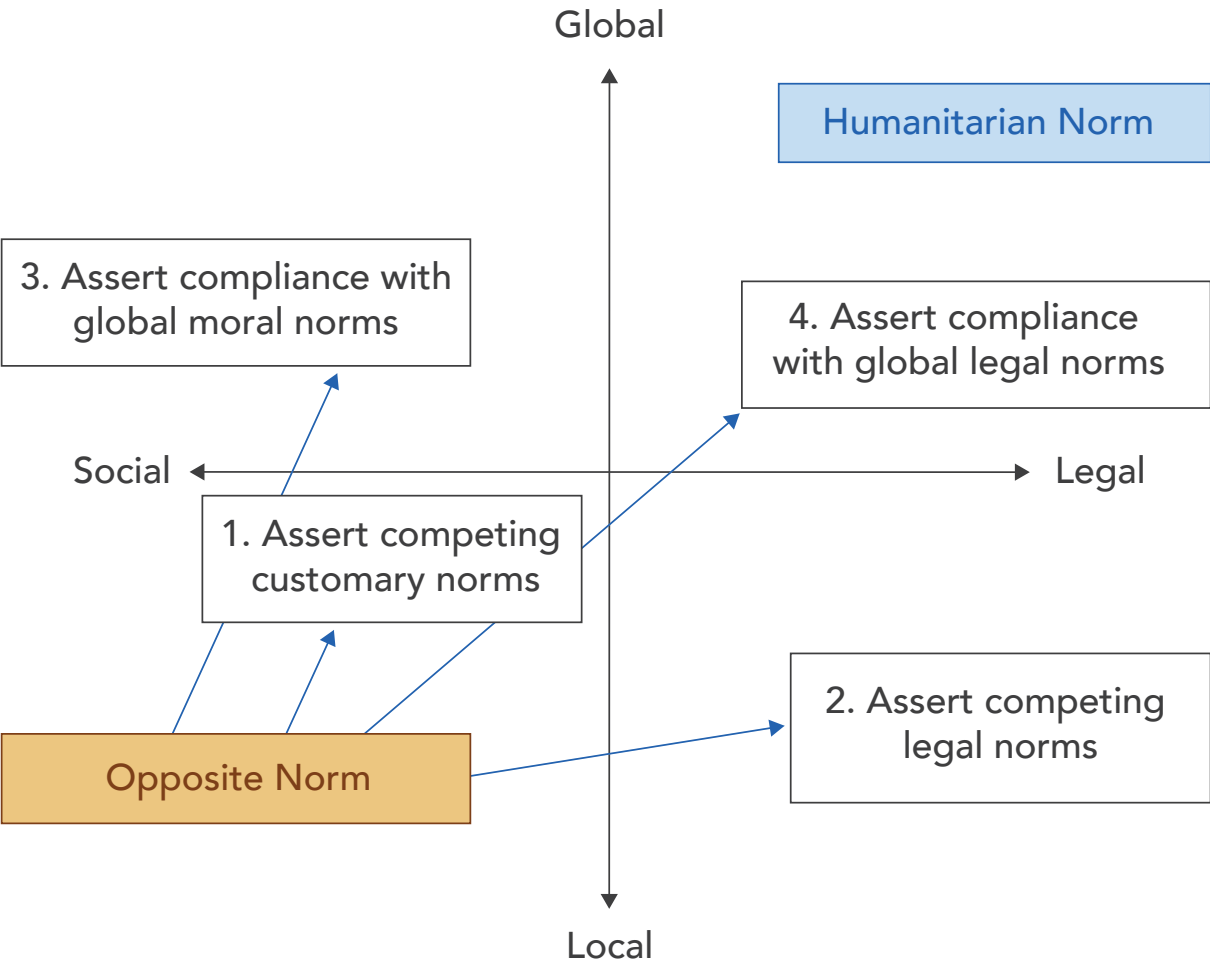
STEP 5

Identify potential logical arguments to help move the discussion from emotional/ political positions to more amenable discussions on logic using a fortiori, a contrario and a priori reasoning.

FOR MORE INFORMATION :

Please consult pages 137-151 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at : **www.frontline-negotiations.org**

Identifying a pathway of a normative dialogue

Global

Humanitarian Norm

3. Assert compliance with global moral norms

4. Assert compliance with global legal norms

Social

Legal

1. Assert competing customary norms

2. Assert competing legal norms

Opposite Norm

Local

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 ?

Global

Social

Legal

Local
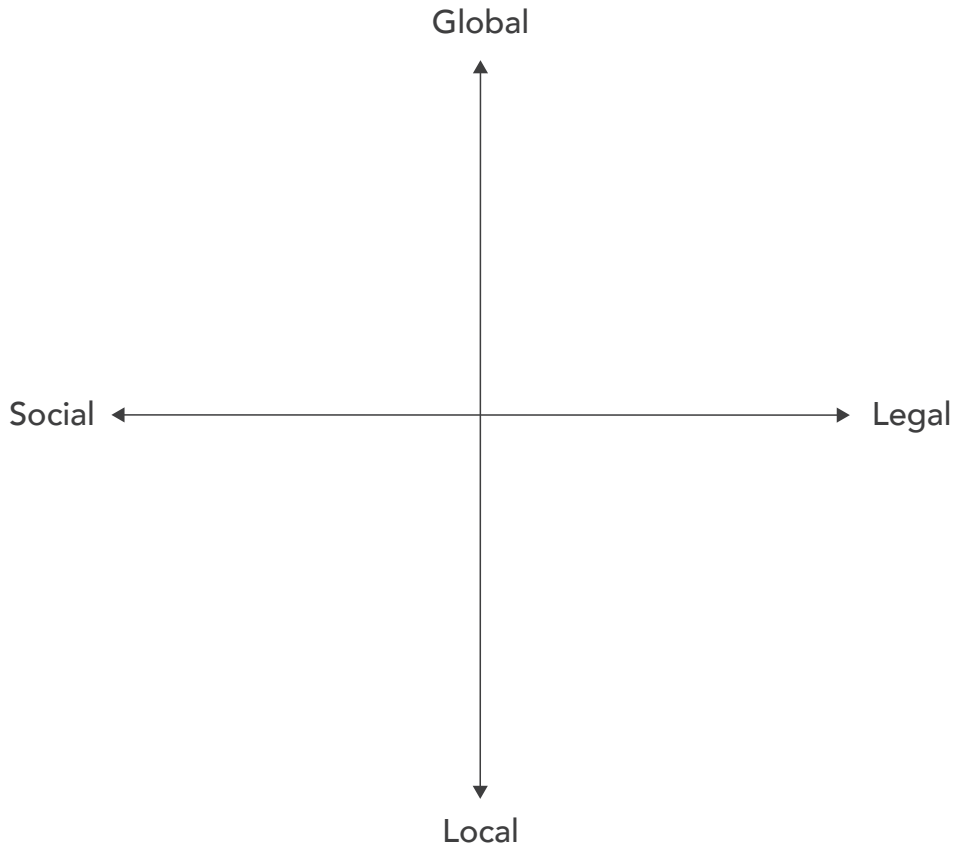
Tool 6 : Creating a Conducive Environment for the Transaction

Objective of the CCHN tools :
Provide a short checklist to help frontline negotiators review their plan for the transaction aimed at ensuring their best efforts in creating a conducive environment for the transaction.

Instructions :

STEP 1

Identify the key stakeholders on both sides of the table, in particular using the stakeholder mapping tool on page 57;

STEP 2

Using the checklist attached, ensure that :

- **The meeting is prepared carefully**, discussing and at times agreeing in advance on potential points of tension, and building as much as possible on the points of convergence and previous positive experiences.

- **The focus remains on the people involved** (at the desk, in the room, outside the room) and assessing their relationship in terms of authority and influence and identifying those who are diverting attention from the ones who are deciders.

- **The transaction remains a moment of dialogue** rather than a moment of resolution.

- **Maintianing the trust with the counterparts** throughout the transactional stage.

- **Listening carefully to the counterparts** and taking their points into account.

- **Letting the counterparts take the initiative** to find a coherent set of steps and explain their views or reservations on the proposed terms of the agreement.

- **Actively perceiving**, which is more important than actively persuading.

- **Seeking to create shared value** before trying to claim benefits

- **Finding ways to bring up options** rather than solutions

- **Being transparent about red lines**

- **Always formulating, at the end of the meeting, a set of steps to move the discussion or the operation forward**.

- **Thanking the counterparts for their attention and consideration**.

FOR MORE INFORMATION :

Please consult pages 156-167 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at : **www.frontline-negotiations.org**

CHECKLIST TO PREPARE, CONDUCT, AND DEBRIEF A TRANSACTION MEETING

Preparing for the meeting	– 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 ?
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 ?

CHECKLIST TO PREPARE, CONDUCT, AND DEBRIEF A TRANSACTION MEETING

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 ?

Tool 7: Clarifying the Terms of the Transaction

Objective of the CCHN tools:
Provide a set of criteria to ensure the clarity of the transaction and maximize the efficiency of the implementation of any agreement.

Instructions:

STEP 1
Identify the risks of misunderstandings or misinterpretations by the counterpart or its organization in the implementation of the proposed agreement.

STEP 2
Along the list of criteria attached, elaborate the mitigation measures to ensure the best possible outcome in the implementation of the negotiated agreement.

STEP 3
In particular, pay a specific attention to setting up a "negotiator's hotline", to address possible misunderstanding in the implementation phase of the agreement as to maintain the spirit of the agreement as long as possible and avoid escalating tensions between the parties in case of one failing to deliver on its commitments. Recognize the fact that implementing a humanitarian agreement in a conflict zone is <u>always a challenge</u>.

STEP 4
Be ready to defend the agreement against detractors on both sides who may take umbrage with this agreement. Even if the negotiators share a sense of purpose and accomplishment at the transactional phase of the process, their organizations and political environments will undoubtedly feel less excited about the results of the humanitarian negotiation which question entitlements and power relationships on both sides.

STEP 5
Prepare mitigation measures for the time the counterpart will fail to deliver on its commitments as a means to re-establish its dominance and satisfy its constituency. Maintain by all means the relationship with the counterpart and refrain from taking sides around disagreements in the implementation phase.

Criteria to ensure the proper implementation of a humanitarian agreement

CRITERIA	PROPER TERMS
1. Express parties' commitments clearly	Proposed terms to include : **In exchange for :** Counterparts' commitments to :

CRITERIA	PROPER TERMS	
2. Define the roles and tasks of the parties; and, **3. Recognize their connection as required by the circumstances.**	Parties to the agreement orchestrate their interactions based on the circumstances	
	Humanitarian organization will :	**Counterpart will :**
	1.	2.
	3.	4.
	5.	6.
	7.	8.
	9.	
4. Recognize the power relationship in the field and the varying degree of responsibility for the implementation.	The parties agree :	
5. Recognize the power relationship in the field and the varying degree of responsibility for the implementation.	Counterparts agree : **Humanitarian organization agrees :**	

Tool 8 : Addressing the Human Elements of the Transaction

Objective of the CCHN tools :

Provide the negotiator with several strategies that can be implemented to reduce tension and de-escalate difficult situations when negotiating with counterparts.

Instructions :

STEP 1
Identify the risks of emotional display in a tense meeting by making an analysis of the level of frustration of the counterpart in the object or circumstances of the negotiation.

STEP 2
Seek information on the contentious issue(s) before the meeting and prepare to address these emotions.

STEP 3
Distinguish assertiveness in a negotiation (i.e. clear message as a demonstration of a strong will) from aggressivity (declared hostility or explicit anger as an emotion in the conversation.) Main-

tain decorum in responding to assertive points and refrain from responding to aggressive points as much as possible. If one needs to respond, for example in rectifying a erroneous fact, maintain a calm attitude about the counter-argument.

STEP 4
Use the de-escalation tool attached to recapture the decorum of a conversation. Be cognizant that a negotiation can only take place if both parties reason with each other. Loading and leveraging emotions in a negotiation from sadness, anger, frustration to joyfulness or delight are unconducive to an efficient agreement. There are times to display and share emotions. There are other times to negotiate and find an agreeable and practical solutions to a problem.

FOR MORE INFORMATION :

Please consult pages 178-192 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at : **www.frontline-negotiations.org**

De-escalation Protocol
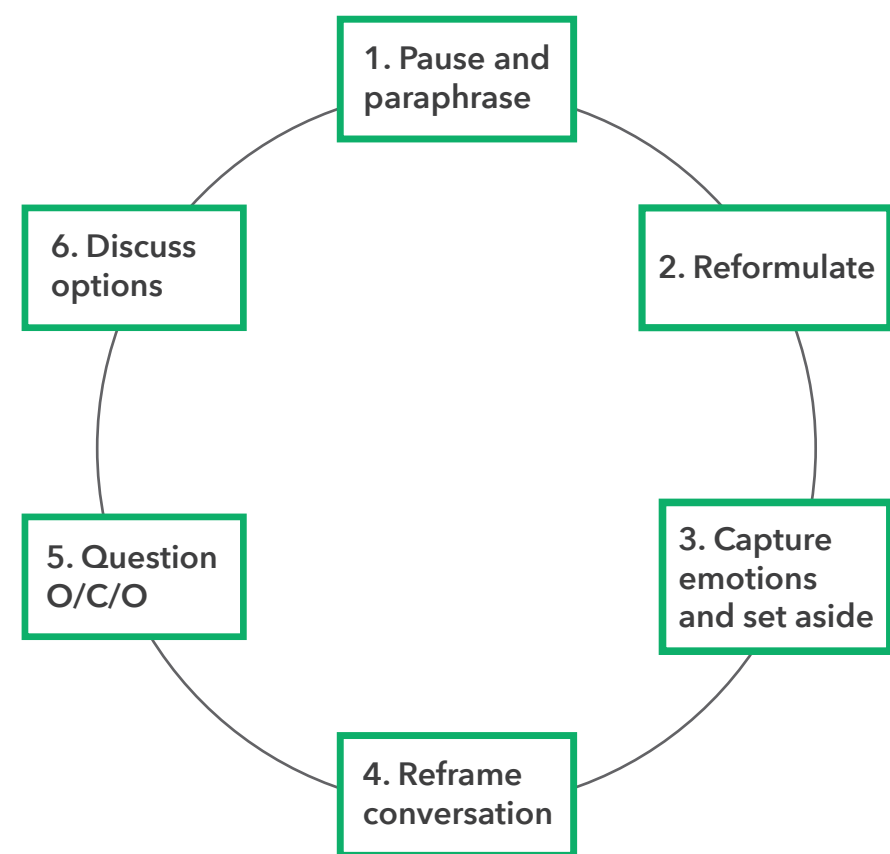
Step 1: Initiate a pause in the conversation and acknowledge the emotion without getting emotionally involved
It is important to recapture some control over the conversation. Escalation is driven by an intent of the counterpart to increase the tension as a tool to frame the exchange within the counterpart's emotion with the expectation of an escalated response in return. By pausing the conversation (up to 7 seconds, depending on culture), the weaker/aggressed party has a chance to easily disarm an escalation process as a method and start to address the emotion.

Step 2: Reformulate the emotional statement so you can address the core issue
The next step is about extracting the issue from the emotion and bringing the counterpart into a space of dialogue and ultimately into a process of de-escalation.

Step 3: Capture the emotion to put it aside
The next step is about sidelining the emotion as one opens an avenue to a new dialogue and to a potential collaboration.

Step 4: Reframe the conversation
The next step is to reframe the conversation without the emotion, offering the counterpart the opportunity to express his/her concerns in a pragmatic manner.

Step 5: Present a series of open/close/open questions
The next step is to let the counterpart identify options as a scale of possibilities to relaunch the conversation through a sequence of open/close/open questions. The answers to these questions are not yet options to be negotiated, but rather options to help rationalize the issues from the perspective of the counterpart, away from the original emotion.

Step 6: Set the terms of the discussion around one or several of these proposals
As a final step of the de-escalation process, one may reset the terms of the dialogue around the most amenable aspects of the proposed options so the dialogue can be launched on a new, unemotional, basis.

Tool 9: Analyzing the Position of the Counterpart

Objective of the CCHN tools:
Provide a simple tool to explore and discern the tactical reasoning and inner values behind the position of the counterpart.

Instructions:

STEP 1

Gather information about the position of the counterparts and evaluate its clarity and authority

- What is the **level of authority granted by the counterpart**, community or group to the particular interlocutor? What is the level of explicit representation?

- What is the **level of clarity** of the position of the interlocutor?

- How **predictable** is the timing, location and format of the communication?

STEP 2

Identify the rationale of the counterparts behind the position

- **How** did the counterpart reach such position?

- What is the **reasoning** behind the position?

- What is the **logic** of the position?

- What professional standards or culture are at play?

- What is not being overtly communicated?

STEP 3

Elucidate the values and motives underpinning the position of the counterpart

- **Why** the counterpart took such position?

- What are the **inner values** and motives?

- What are the **fears and hopes** of the counterpart?

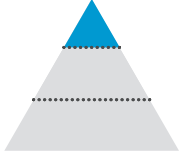- What role is their **identity** (personal, institutional) playing here?
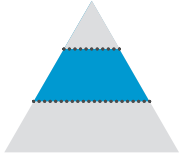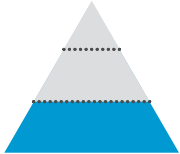
FOR MORE INFORMATION :

Please consult pages 198-217 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at: **www.frontline-negotiations.org**

Iceberg Analysis of the Counterpart

Position of counterpart

Tactical reasoning

Motives, values and identity

1 2 3
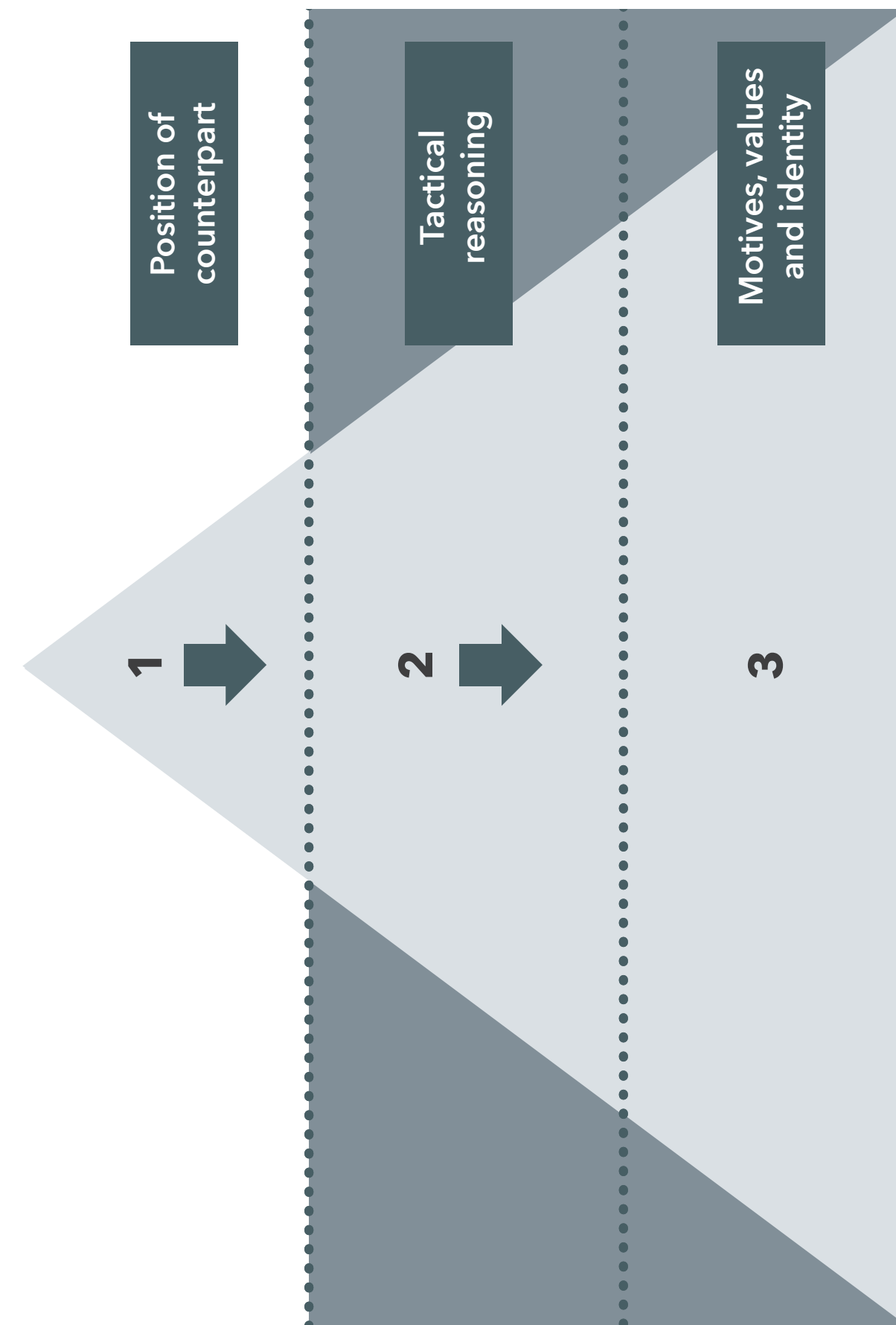
QUESTIONS	POTENTIAL ISSUES
WHAT does the counterpart want? What are the explicit/ implicit positions?	POSITIONS:
HOW did the counterpart get to those positions? **HOW** are the counterpart planning to proceed?	TACTICAL REASONING:
WHY does the counterpart take such positions? What are the inner motives and values?	VALUES AND MOTIVES:

Tool 10: Identification of Own Priorities and Objectives

Objective of the CCHN tools:

Provide a tool to build a cogent argument to explain the position of the humanitarian organization at the negotiation table starting from its values and motives and tactical reasoning. Doing so, the negotiator will be able to open a common space for exploring potential shared values, tactical reasoning on methods and options for an agreement.

Instructions:

STEP 1

Build the iceberg of your <u>own</u> position starting from the organization's values and motives (the reverse process of the counterpart's iceberg)

STEP 2

Motives, Values and Identity:

– What are the **inner values** and motives of the organization? What are its fears and hopes? How can these values and principles be **unpacked and translated** to become palatable to the counterpart?

Tactical Reasoning :

– How can the negotiator explain **in lay terms** how the organization intends to operate and apply these values in the context ?

Position of Organization :

– What is the position of the organization in the negotiation ? Can it be communicated in **clear and predictable** terms for the counterpart ?
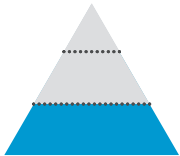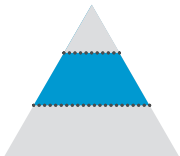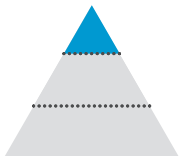
FOR MORE INFORMATION :

Please consult pages 220-229 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at : **www.frontline-negotiations.org**

Iceberg Analysis of your Organization

Position of Organization

Tactical reasoning

Motives, values and identity

3

2

1
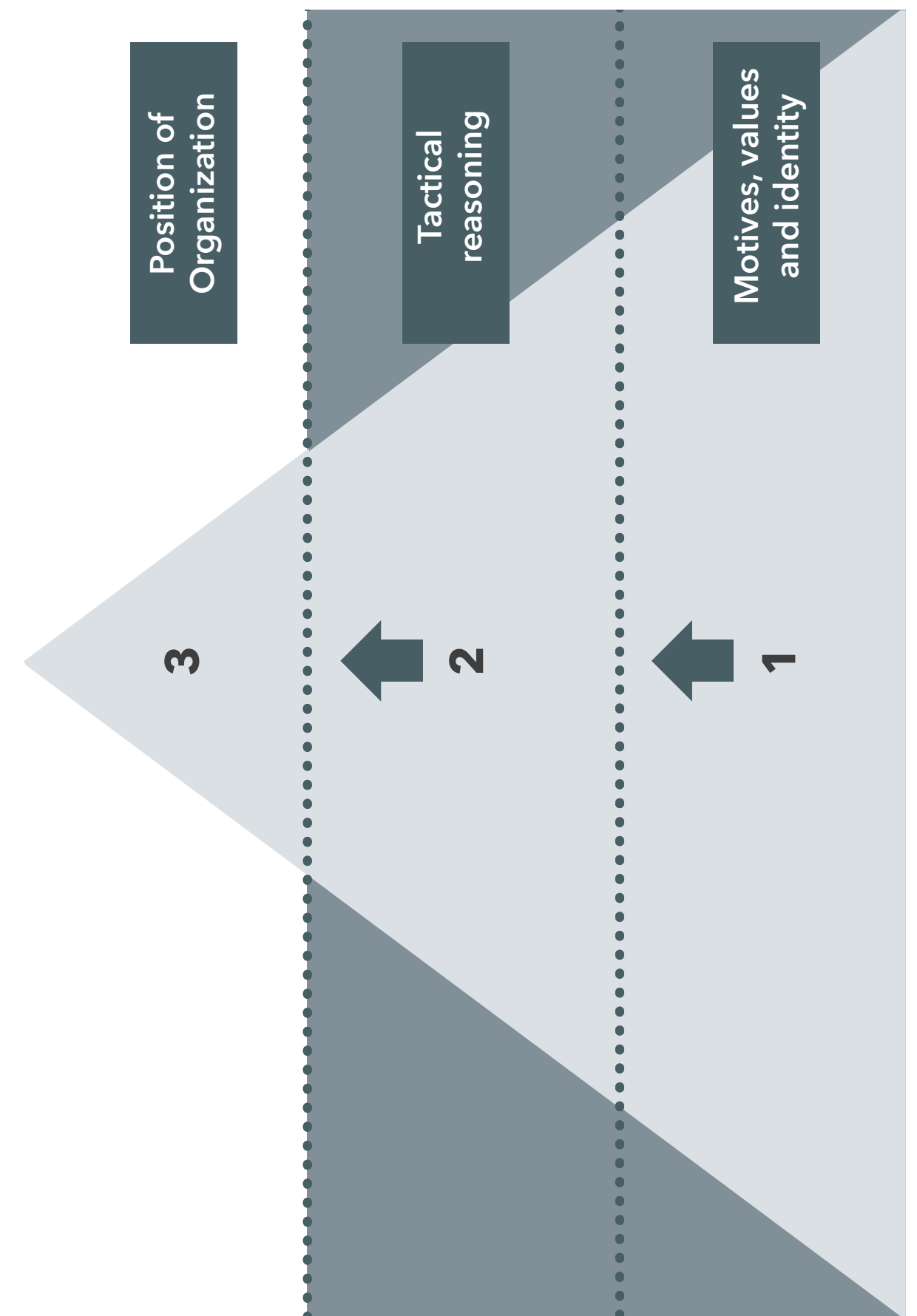
QUESTIONS	POTENTIAL ISSUES
WHO is your organization? What values define it as a humanitarian organization? **WHY does it** want to operate in this context?	VALUES AND MOTIVES:
HOW does your organization intend to operate? What are the specific methods?	TACTICAL REASONING:
WHAT does your organization want out of this negotiation? Under what terms does it wish to operate?	POSITIONS:

Tool 11: Exploring the Common Shared Space

Objective of the CCHN tools:
Provide a tool to build a cogent argument to explain the position of the humanitarian organization at the negotiation table starting from its values and motives and tactical reasoning. Doing so, the negotiator will be able to open a common space for a genuine dialogue with the counterpart.

Instructions:

STEP 1

Build the iceberg of the counterpart starting from the position communicated and interpreting the tactical reasoning and inner value (See **Yellow** Section Analysis of interests and motives).

STEP 2

Build the iceberg of one's own position starting from the organization's values and motives, explaining the methods and reasoning based on these values and ending with a position to be communicated to the counterpart (See **Yellow** Section Identification of own priorities and objectives).

Draw the Common Shared Space in between the two icebergs using the attached template, identifying the potential shared values, tactical reasoning and positions. Be aware of the need to "unpack" and translate core values and methods into a vocabulary that is palatable for the counterpart and inquire about the position, tactical reasoning and values of the counterpart as to find points of agreement and similarities in thinking.
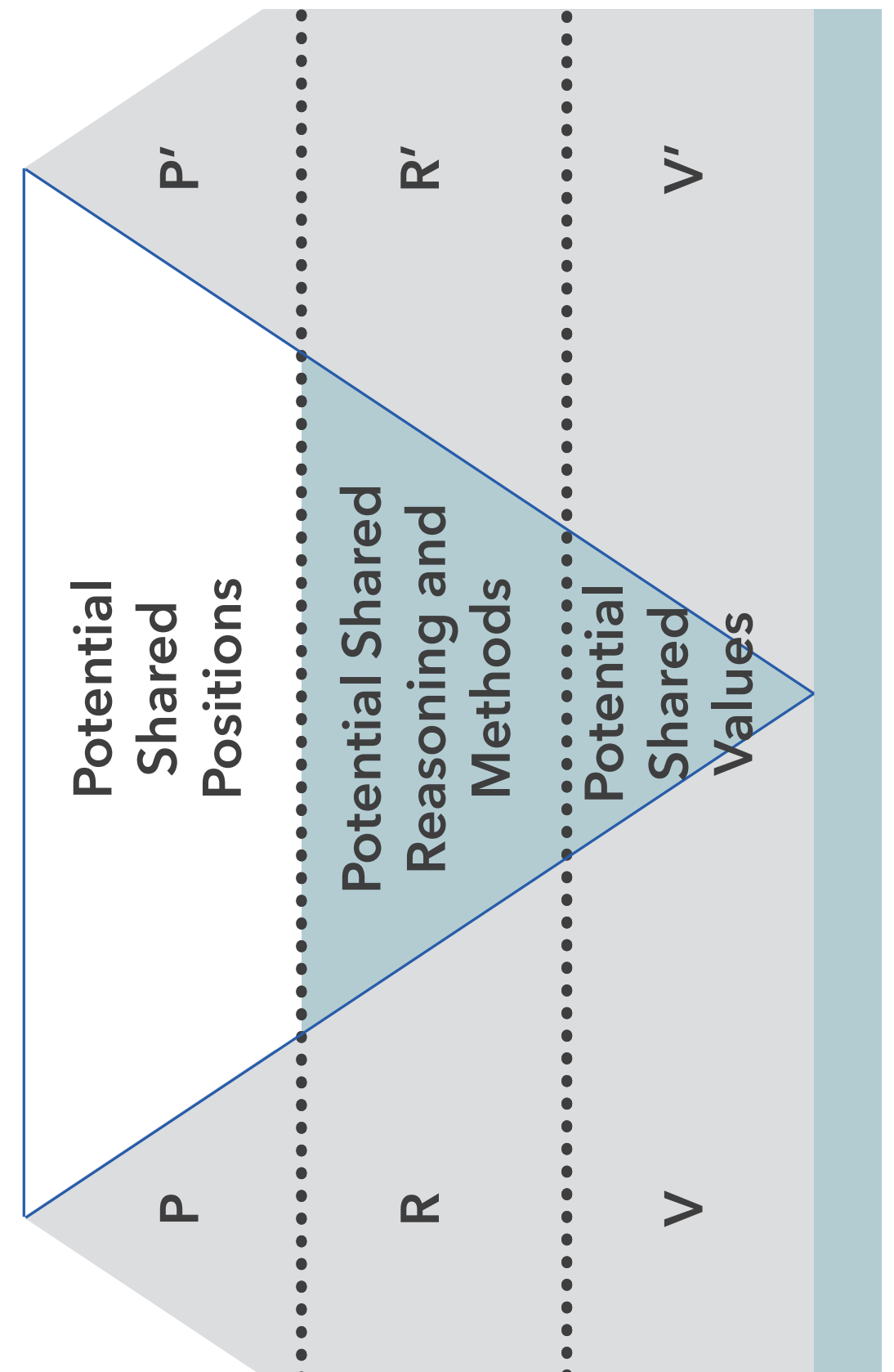
FOR MORE INFORMATION :

Please consult pages 230-249 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at : **www.frontline-negotiations.org**

Common Shared Space of the Negotiation

Search area for :

P'

R'

V'

Potential Shared Positions

Potential Shared Reasoning and Methods

Potential Shared Values

P

R

V

1. Unpack and translate core values, methods and position of your agency

PRINCIPLES AND VALUES	TRANSLATED INTO SHARED VOCABULARY ADAPTED TO THE CONTEXT
"HUMANITY"	
"IMPARTIALITY"	
"NEUTRALITY"	
"INDEPENDENCE"	

TACTICAL REASONINGS	TRANSLATED INTO SHARED VOCABULARY ADAPTED TO THE CONTEXT
Assistance	
Protection	
Evidence-based	

2. Identify potential shared values, tactical reasoning and methods as well as positions with the counterpart:

VALUES AND MOTIVES:

CONVERGENT ELEMENTS	DIVERGENT ELEMENTS

POTENTIAL SHARED REASONING AND METHODS:

CONVERGENT ELEMENTS	DIVERGENT ELEMENTS

POTENTIAL SHARED POSITIONS:

POTENTIAL AREAS OF AGREEMENT	POTENTIAL AREAS OF DISAGREEMENT

3. Based on the above, drafting the starting position of your organization in clear, understandable and open terms:

Tool 12: Network Mapping and Leveraging Influence Among Stakeholders

Objective of the CCHN tools:

Provide a simple mapping tool to analyze the network of influence around the counterparts over their policies relevant to the negotiation. This mapping tool should be used to facilitate a conversation with the members of the negotiation team, especially national staff, to determine the best tactics to influence the counterparts in favor of the demands of the humanitarian organizations.

This tool is relevant for exploring a single counterpart/interlocutor while analyzing the stakeholders from their perspective on a single issue.

Instructions:

STEP 1
Define the axes of the two-dimensional stakeholder map by putting the counterpart at the crossroads of the two axes.

STEP 2
Define the location of the stakeholders on both the horizontal axis based on their position regarding the policy being negotiated, and vertical axis regarding their identity in the eyes of the counterpart.

STEP

3

Engage with the stakeholders in the four quadrants of the map in order to prepare the negotiation and mobilize positive influences based on the attached template involving:

1. Build **Alliances** with those in the same quadrant of the negotiator's agency who have a lot to gain from the humanitarian negotiation process;

2. **Cooperate** with those on the adjacent vertical quadrant across the Global/Local divide who may gain regarding the change of policy but will object to the globalization/ localization of the agenda;

3. Build a **Coalition** with those on the adjacent horizontal quadrant across the Transformative/Conservative divide as to build a rapport among those who share an identity;

4. **Mitigate** the influence of those on the opposite quadrant across both divides, often referred to as the "spoilers," who have nothing to gain from a change of policy.

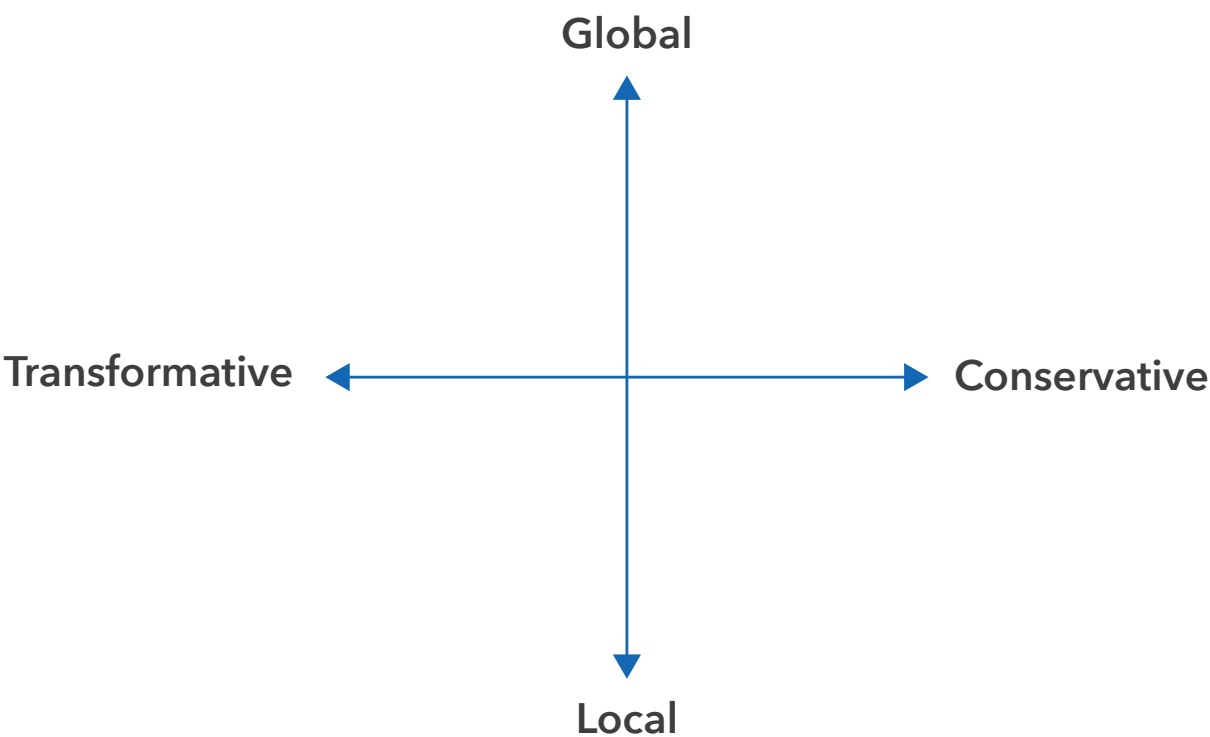**STEP**

4

Prioritize efforts in influencing stakeholders by assessing the linkages between the stakeholders on the map and the most effective avenues to leverage influence.

FOR MORE INFORMATION :

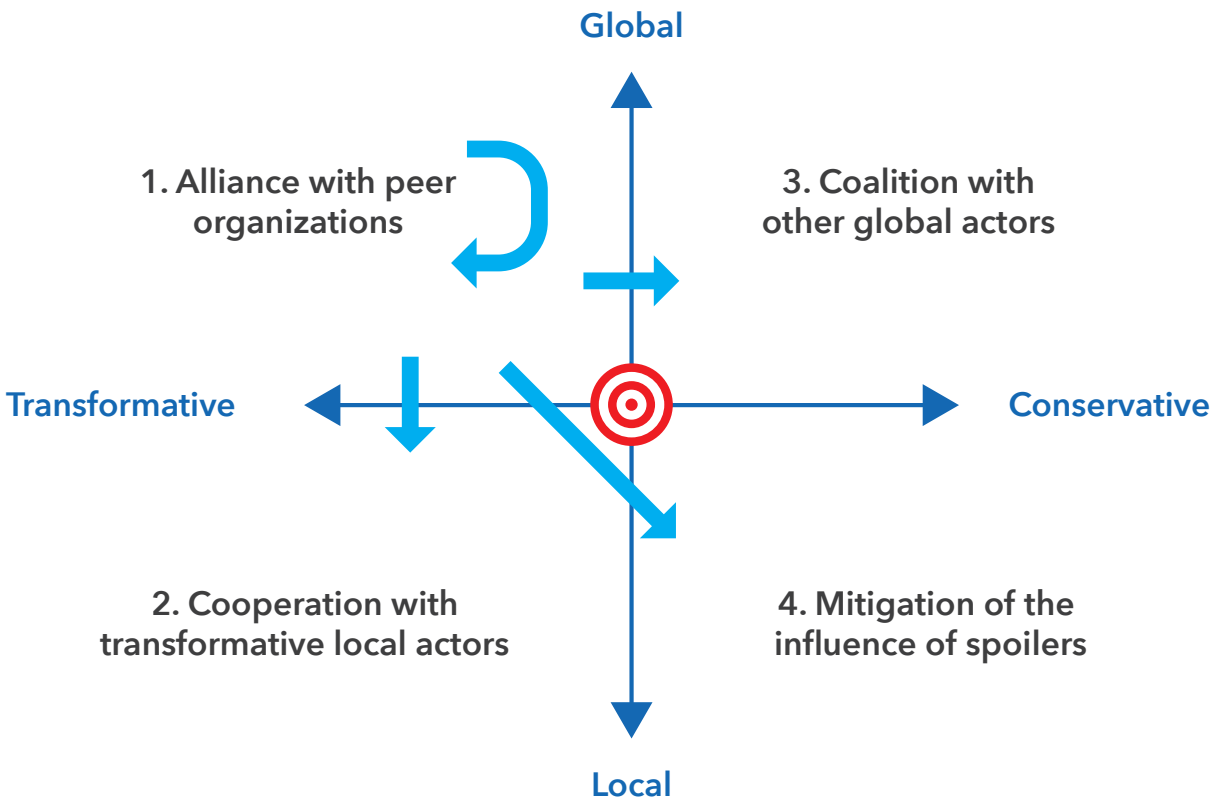Please consult pages 250-276 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at : **www.frontline-negotiations.org**

Mapping the Network of Influence

Global

Transformative ← → Conservative

Local

Engage with Stakeholders

Global

1. Alliance with peer organizations

3. Coalition with other global actors

Transformative ← → Conservative

2. Cooperation with transformative local actors

4. Mitigation of the influence of spoilers

Local

TYPE OF ENGAGEMENT	PROPOSED ACTIONS
ALLIANCE	-
COOPERATION	
COALITION	
MITIGATION	

Prioritize Efforts in Influencing Stakeholders

DESCRIPTION OF ACTOR	NUMBER OF DEGREES TO THE COUNTERPART	PERCEPTION OF YOUR ORGANIZATION BY THE STAKEHOLDER	PROPOSED MEASURES
Transformative Global – ALLIANCE			
Transformative Local – COOPERATION			
Conservative Global – COALITION			
Conservative Local – MITIGATION			

Tool 13 : Identifying the Shared Benefit of the Negotiation *

Objective of the CCHN tools :
Provide a set of practical tools to frame the discussion with the counterparts in terms options for compromises, bottom line and red line. It further provides simple insights in determining the best possible outcome of the discussion based on the shared benefit for both parties.

Instructions :

STEP 1
Lay down the ideal position of each party for the respective parties (P vs. P'). These translate into the 'ideal' outcomes for each party (**A**).

STEP 2
Evaluate the shared benefit of potential compromises and sort them in the eyes of one's own agency in terms of easy to agree, more demanding yet maximizing the outcomes of the negotiation, and harder to agree with diminishing outcome of the negotiation.

STEP 3

Measuring the compounded risks for each potential compromise based on the sources of risks and their institutional policies (see **Red** Section)

STEP 4

Identify ones' own bottom line and red line using the attached template.

STEP 5

**Identify the space for optimal outcomes of the negotiation of both parties.**

```
┌············································┐
:                                         :
:  FOR MORE INFORMATION :                 :
:                                         :
:  Please consult pages 277-287 of the    :
:  CCHN Field Manual                      :
:  on Frontline Humanitarian Negotiation. :
:                                         :
:  Copies of the template in PDF format   :
:  can be found at :                      :
:  www.frontline-negotiations.org         :
:                                         :
└············································┘
```
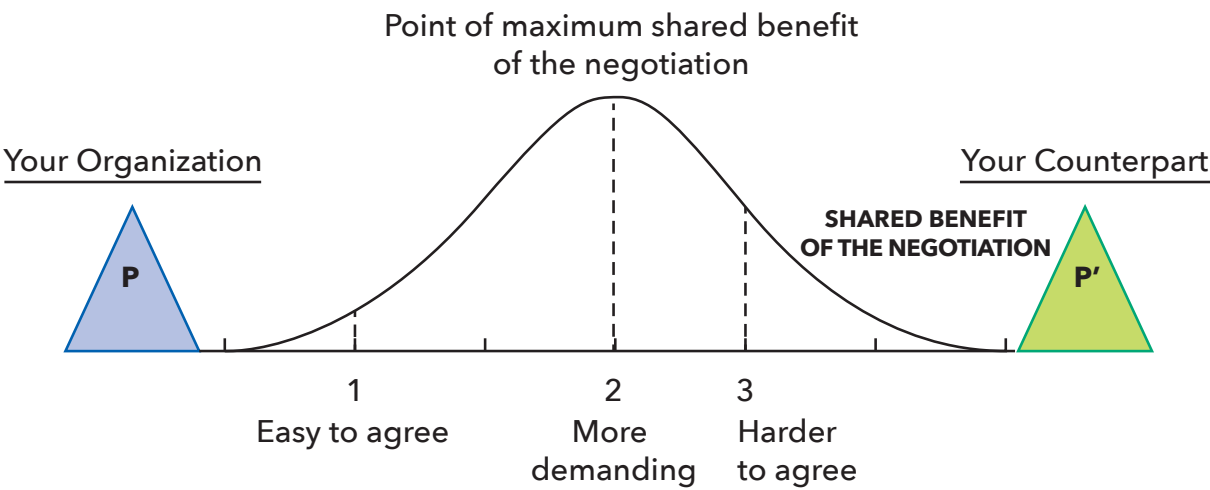
---

* In the CCHN Field Manual, this segment is divided into "Tool 13 : Identifying the Shared Benefit of the Negotiation" and "Tool 14 : Evaluating the Cost-Benefit of Options". For simplicity, the two tools have been merged in the CCHN Negotiator Handbook.

**Step 1: Setting the ideal outcomes on both sides of the negotiation**
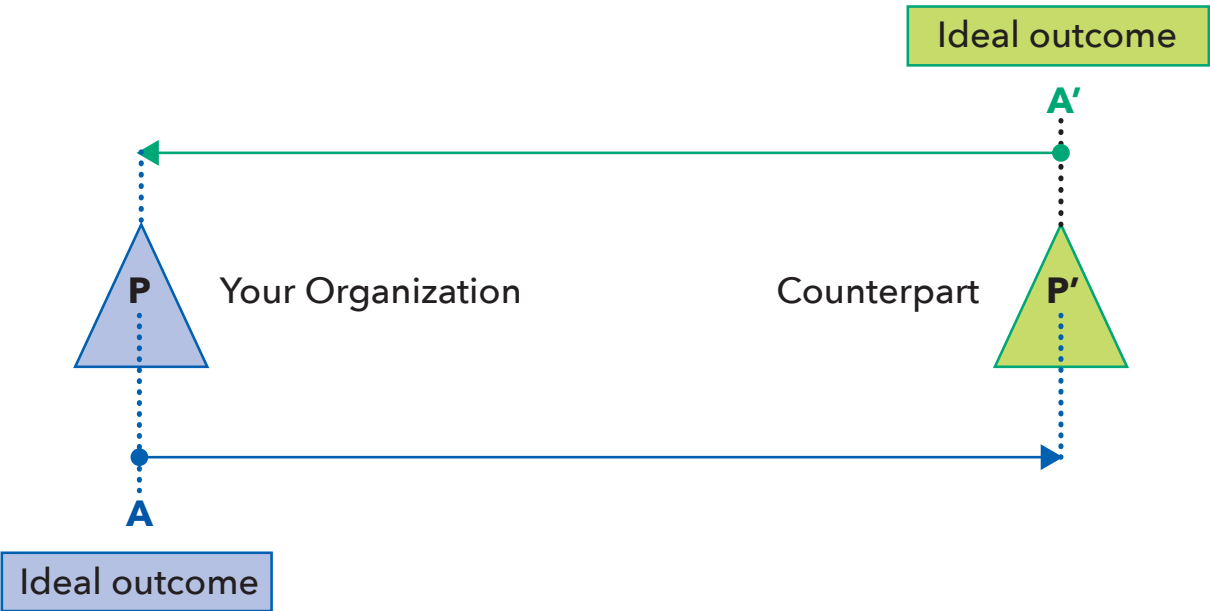
IDEAL OUTCOME OF YOUR ORGANIZATION (A)	IDEAL OUTCOME OF COUNTERPART (A')

Step 2 : Evaluate the shared benefit of potential compromises

Point of maximum shared benefit
of the negotiation

Your Organization

Your Counterpart

**SHARED BENEFIT
OF THE NEGOTIATION**

P

P'

1
Easy to agree

2
More
demanding
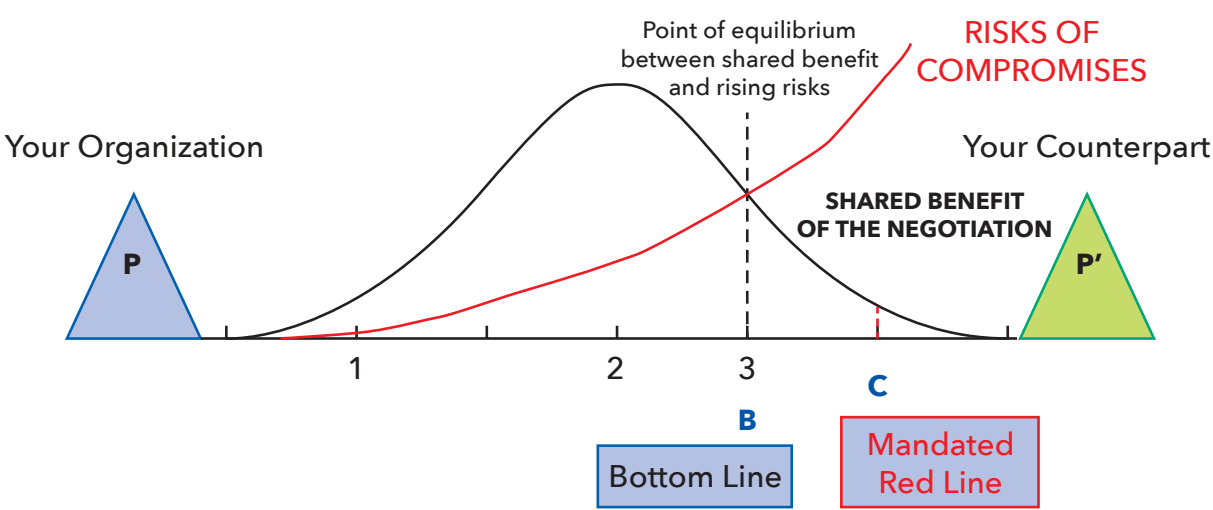
3
Harder
to agree

TIERS	DESCRIPTION OF THE COMPROMISE AND SHARED BENEFIT
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)	

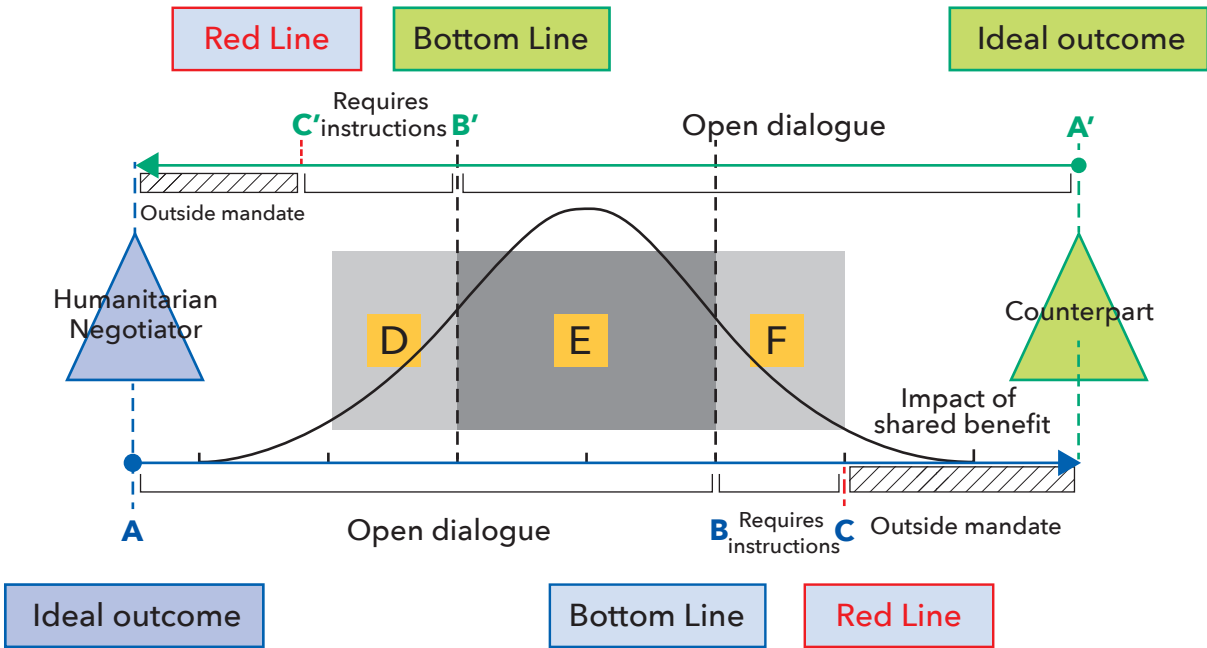## Step 3 : Measuring the compounded risks of each compromise

RISKS OF
COMPROMISES

Your Organization

Your Counterpart

P

P'

1   2   3
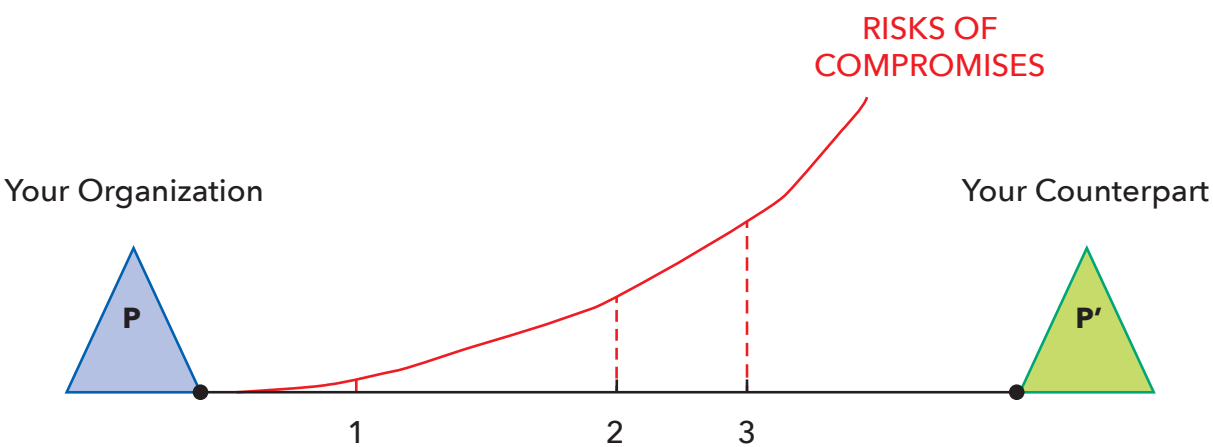
SOURCES OF RISKS	DESCRIPTION AND DEGREE OF RISKS FOR EACH POSITION (LOW, MEDIUM, HIGH)
Humanitarian principles	
Security risks	
Legal norms	
Professional standards	
Reputational risks	

Step 4 : Identification of own bottom line/ red line

Point of equilibrium between shared benefit and rising risks

RISKS OF COMPROMISES

Your Organization

Your Counterpart

SHARED BENEFIT OF THE NEGOTIATION

P

P'

1 2 3

B

C

Bottom Line

Mandated Red Line

TIERS	DESCRIPTION OF THE NEGOTIATION POSITION
1: Entry level of the negotiation	
2: Most promising outcome	
3: Bottom line (seeking the review of the mandator)	
Red Line : Limit of the mandate	

Step 5 : Identify the space for optimal outcome on both sides

Red Line   Bottom Line   Ideal outcome

Requires instructions

C' B'   Open dialogue   A'

Outside mandate

Humanitarian Negotiator

D   E   F

Counterpart

Impact of shared benefit

A   Open dialogue   B Requires instructions C Outside mandate

Ideal outcome   Bottom Line   Red Line

TYPES OF NEGOTIATION	WITHIN BOTTOM LINES (TO BUILD ON) AREA E	BELOW BOTTOM LINES (TO AVOID IF POSSIBLE) AREAS D AND F
Value-based/ Political		
Tactical/ Professional		
Technical		

Tool 15 : Design of the Mandate

Objective of the CCHN tools :
To assist the mandator in elaborating the mandate of the negotiator in terms of strategic objectives.

Instructions :

STEP 1

Stipulate the location, object, and time frame of the mandate of the negotiator as to frame the mandate in space and time. The mandate to negotiate is an important delegation of negotiation authority and needs to be properly designed in a dialogue with the negotiator.

STEP 2

Designate the person in charge of the negotiation, implying that the mandator is actually delegating his/her authority to negotiate to someone else.

STEP 3

Stipulate the general and specific terms of the mandate in the objectives of the negotiation understanding that the specific terms of the negotiation, including the redlines are likely to remain confidential between the mandator and the negotiator.

FOR MORE INFORMATION :

Please consult pages 319-331 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at : **www.frontline-negotiations.org**

Specifications of a Mandate to Negotiate
(To be developed in a dialogue between the mandator and the negotiator)

SPECIFICATIONS OF THE MANDATE	DESCRIPTION
Context	
Object	
Time period	
Counterparts	
Designation of the negotiator	
Reporting line	

General Terms of the Mandate
(To be developed in a dialogue between the mandator and the negotiator)

TERMS OF THE MISSION OF YOUR ORGANIZATION	STRATEGIC OBJECTIVES SPECIFIC TO THE OPERATIONAL CONTEXT	GENERAL TERMS OF THE MANDATE OF THE NEGOTIATOR
(Bottom of iceberg: WHO are you?) Vision:	**(Bottom of iceberg: WHY are you here)** About the needs of the population:	**General goals of the negotiation in line with the mission and strategic objectives.**
Key values:	About the role of your organization:	
Key professional and ethical standards:	About its methods of work:	

Specific Terms of the Mandate (Confidential)
(To be developed in a dialogue between the mandator and the negotiator)

FACTUAL AND NORMATIVE TRIGGERS OF THE MANDATE	SPECIFIC TERMS OF THE MANDATE OF THE NEGOTIATOR
– Relevant facts (contested/ uncontested):	
– Relevant norms (convergent/ divergent):	

Tool 16 : External Communication Around the Negotiation Process

Objective of the CCHN tools :

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

Instructions :

STEP 1

Drawing from 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 hope to operate** in the particular context ? What are our inner principles, motives and values ? What are the needs justifying this operation ?

- **HOW does your organization 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 is your position** 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) ?

2

Distribute responsibilities in terms 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 as to ensure a proper internal control over the messaging of the organization. As mentioned above, messages coming from any part of the organization are inherently part of the negotiation process.

3

Consider the varying degree of attention as well as sensitivity of information from the local level to national and international audiences (see attached template).

FOR MORE INFORMATION :

Please consult pages 332-339 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at : **www.frontline-negotiations.org**

Elaborate a Public Statement about the Situation, the Activities of your Organization and the Negotiation

ELEMENTS OF COMMUNICATION	DESCRIPTION
WHO are you ? What values define your organization as a humanitarian organization ? **WHY** does your organization want to operate in this context ?	CORE MISSION
HOW does your organization operate ? What are the specific methods ?	HOW YOU WORK
WHAT does your organization want out of this negotiation ? What is its starting position ? How does it want to communicate this position ?	ABOUT THE NEGOTIATION PROCESS

Distribute Responsibilities for Communication Around the Negotiation

EXPECTED DEMAND FOR INFORMATION	LOW	MID	HIGH	AGREED RESPONSE AND DISTRIBUTION OF RESPONSIBILITIES
Level of attention locally				
Level of attention nationally				
Level of attention internationally				
Level of attention from donors and other international actors				
Levels of attention of other stakeholders (including family of affected staff)				

Tool 17: Identification of Red Lines

Objective of the CCHN tools:
Provide a series of tools to assist in the discussion between the mandator, the negotiator and the negotiation team on the limits of their mandate based on the various sources of rules, norms and policies within the humanitarian organization and specific to the operational context.

Instructions:

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.

FOR MORE INFORMATION:

Please consult pages 342-378 of the **CCHN Field Manual on Frontline Humanitarian Negotiation**.

Copies of the template in PDF format can be found at: **www.frontline-negotiations.org**

Identify the Legal Red Lines of the Negotiation

SOURCES OF RED LINES	INSTITUTIONAL POLICY	RED LINES OF THE MANDATE
National laws		
International law		

Identify the Institutional Red Lines

SOURCES OF RED LINES	INSTITUTIONAL POLICY	RED LINES OF THE MANDATE
Humanitarian principles	**Humanity:** **Impartiality:** **Neutrality:** **Independence:**	
Duty of care		
"Do no harm"		
Security protocol		

Identify the Professional Red Lines

SOURCES OF RED LINES	INSTITUTIONAL POLICY	RED LINES OF THE MANDATE
Professional standards of the domain of intervention		
Professional aid standards		
Professional negotiation standards		

Identify Moral and Ethical Red Lines
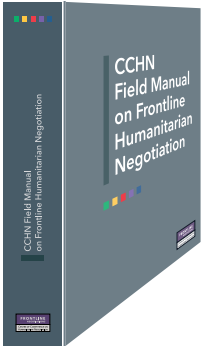
SOURCES OF RED LINES	INSTITUTIONAL POLICY	RED LINES OF THE MANDATE
Applicable ethical standard		
Reputational risk		

Apply the Red Lines to the Counterpart and other Stakeholders of the Negotiation

ISSUES BEING NEGOTIATED	COUNTERPARTS AND STAKEHOLDERS				
	1	2	3	4	5

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.

CCHN Connect is reserved for members of CCHN's global community of frontline negotiators. It can be accessed at **community.frontline-negotiations.org**

P. 6 :   MSF Response Measles Vaccination. (Am Timan District). (MSF/Juan Haro)

P. 7 :   ICRC staff member listening to group of women who flee violence and were a victim of sexual violence.
           (Courtesy of Shirin Sultana)

P. 40 :   Nazlat Isa, Tulkarem district. ICRC car passing the checkpoint. (ICRC/Virginie Louis)

P. 41 :   Aden besieged. (MSF/Guillaume Binet)

P. 70 :   World Food Programme distributes aid in Haiti in wake of Hurricane Matthew.
           (UN Photo/Alexis Masciarelli)

P. 71 :   Syria. UNHCR continues to provide assistance for the internally displaced people in rural south Aleppo.
           (UNHCR/Antwan Chnkdji)

P. 87 :   Access to HealthCare in Saada and Amran governorates. (MSF/Agnes Varraine-Leca)

FRONTLINE
NEGOTIATIONS

CENTRE OF COMPETENCE ON
HUMANITARIAN NEGOTIATION

www.frontline-negotiations.org