



## Leadership, Negotiations and Management (PPHA 58050)

### Syllabus v1 for Autumn 2023

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#### Course Overview and Objectives

More than ever before, the central role of a leader is to formulate an organization's objectives, organize to achieve those objectives, and convey such in a form attractive to employees and other stakeholders, whether investors, donors, citizens, customers, partners, or politicians. The leader and leadership team have point responsibility, but middle managers too are expected to play a role, and most certainly expected to shape their personal business responsibilities to broad organizational strategy.

Leaders are less often trained to perform these responsibilities than they are simply expected to meet them. This course is about bringing people together to create and deliver value. It is about identifying opportunities, mobilizing resources around opportunities, and organizing to deliver. In short: this course is about getting things done.

In any situation, there is a social organization comprised of players with divergent but not infrequently complimentary interests. In the first weeks of this course, we introduce key principles and their application, with a particular emphasis on using social network analysis to better understand how to coordinate personal contacts across diverse groups in an organization, coordinate employees within and between functional groups, and coordinate activities across markets and society more broadly. A strategic leader knows alternative principles of organizing and when to optimize for one or another. Using social capital and social network analysis as our central frameworks, we'll address the key questions: "*How do I work with other people to identify valuable opportunities and how do we mobilize to make it happen?*"

In the later class sessions, via simulated negotiation exercises we will start to develop your 'interpersonal toolkit,' exploring how to execute strategy through persuading other humans to work with you towards your objectives. You will learn from an extensive set of negotiation experiences in class, practice your skills, and benefit from feedback. We will focus on specific aspects of the negotiation process such as obstacles to effective communication at the bargaining table, the maximization of multiple interests, and tactics for coalition building.

#### Missing Class

This is a highly interactive, hands-on class. If you cannot commit to being in class each week, and engaging in earnest with the case discussions, simulations, and negotiation exercises, this is not the class for you. Seriously.

If you are unable to attend class in a given week, give us as much warning as possible (email the TAs). Missing one class without reason is acceptable (you are all adults and life sometimes gets in the way of things). Beyond that you risk your final grade being reduced. Each class/negotiation/exercise missed (beyond that first freebie) will result in a reduction in final letter grade of one step, e.g., an B+ grade would be reduced to an B grade.

It is especially important that you plan to attend Week 8 when you will complete a complex, multiparty, capstone negotiation called Deepport, and Week 9 when you will complete the Change Pro Simulation® in small groups. If you anticipate an absence either of those weeks, we need to know early in the quarter and arrange a make-up assignment.

### **Pedagogical Approach**

We use a blend of theory, cases, negotiation exercise, and discussion of practice. The theory is important – it puts structure on an area of management that is often poorly understood and often managed by intuition. Not only does theory allow you to think in a more structured and rigorous manner, but it also helps you to uncover general principles that can be applied in your business or new settings that you will face later in your career. The theory is complementary but distinctly different from more traditional approaches from economics and psychology. The cases are important because they give us a common set of examples to discuss, add complexity, and help you understand implementation of the ideas.

### **Questions and Office Hours**

This class is logistically complicated. Please direct all initial questions about negotiation roles, responsibilities, access to Canvas, etc., to the TAs. Academic questions should also start with the TAs, but I certainly don't want you to think of my TAs as gatekeepers. I will make myself available throughout the quarter (and beyond) and hope to talk to all of you one-on-one at some point.

My TAs and I will be available to meet either one-on-one or in small groups with students. We feel that this is a better approach than having fixed office hours. Please email one or other of us and we will collectively determine a good time to meet via Zoom or talk on the phone.

## Class Readings

You do not need to read large quantities of academic literature to be informed for our class discussions. The idea is to introduce you to a set of ideas without bogging you down in the academic literature. You do, however, need to come prepared for the case discussions and/or negotiation simulations (depending on the week), and being well versed on the case or the negotiation simulation will often require you to familiarize yourself with supporting readings. Supporting readings consist of additional case studies and/or portions of academic journal articles and book chapters. For journal articles, concentrate your reading on the introduction and conclusion sections, and skim the data and methods sections if interested.

All readings are available online via the course website on Canvas except for the two required texts:

Rob Cross and Robert J. Thomas, *Driving Results Through Social Networks* (San Francisco: Jossey-Bass, 2009)

Max Bazerman and Margaret Neale, *Negotiating Rationally* (New York: Free Press, 1994)

Copies of the lecture slides will be available on the course website following each class week. I will not provide hard copies of these slides for you.

## Negotiation Exercises

In certain weeks, you will take part in a negotiation exercises. For each exercise, you will be assigned a particular role for which you will be given background materials, instructions, and (often) confidential information to aid you in your preparation. You will be paired with one or more negotiating partners. Sometimes these negotiations will be conducted during class hours, other times between class sessions. We will conduct detailed debriefs of every negotiation undertaken.

Our discussion will often focus on how different strategic choices (and interpersonal skills) drive relative success at the bargaining table. The cases do not involve real payoffs to the participants, of course, but past students have relished the opportunity to test their effectiveness and to try new techniques they learn in the course. It is far less costly to try a new strategy that fails in the classroom than it is to try a new strategy that fails in the boardroom. Because everyone will be negotiating the same case, which will then be extensively discussed, you will get a chance to see something that is seldom visible when you negotiate – how well you might have done had you negotiated differently.

We will track everyone's results so you can compare the outcome that you negotiated with the results obtained by other people in your same role. These tracked results are only *minimally* factored in course grades; they are meant only to give you a sense of your effectiveness in a variety of negotiation settings and to learn from your experience. You will find that you are more skillful in some situations than in others.

Whether you negotiate the “best” outcome or the “worst” will not *substantially* affect your grade in the course, but your faithful and creative preparation and participation are essential, as is the quality of the insights that you draw from the negotiating experience and the course readings. Failure to prepare for and carry out an exercise would not only adversely affect your own learning, but would deny valuable experience for fellow students with whom you're paired. Thus, your conscientious preparation and actual presence in the section for which you are registered is a primary requirement of this course.

**By basing some of your course grade on the negotiation exercises, I am simply trying to incentivize good behavior. In other words: take the exercises seriously, and prepare for them, so you don't waste your time or that of your assigned partners and opponents.**

## Grades and Grading Policy

Negotiation Preparation (5%): Beginning in Week 3, you will be asked to complete a negotiation preparation sheet. Grading of these will be largely completion based, demonstrating a 'good faith' effort. For full points, please ensure to fill out both 'sides' of the prep sheet. Blank spaces will result in an 'incomplete' and therefore, partial marks. Comments will be minimal unless you are clearly on the wrong track. No news is good news on these!

**Due Date: Mondays at 11:59pm Central, Beginning October 9**

Scored Negotiations (10%): Beginning in Week 3, you will participate in negotiation simulations to turn theory into practice. You will find that at times, there will be clear winners and losers (as we see in the real world!), and it is best that we learn how to deal with this reality in the classroom setting. Of the five negotiations, two negotiations will be scored. You will not know ahead of time, or during a simulation, if the negotiation is to be scored. Therefore, it is absolutely necessary that you are well prepared each week. Showing up unprepared for a negotiation will not only be a missed opportunity for you, but also for your partnered colleagues who have diligently prepared. If it is known in advance that you will be unable to attend a given session, please notify the TA team as soon as possible.

Midterm Essay on Social Capital (15%): In Week 4, you will submit an essay that demonstrates your mastery of social capital course material. Details on this essay will be shared early in the quarter.

**Due Date: Monday, October 16 at 11:59pm Central**

Negotiation Reflection Report (15%): In Week 6 you will submit an essay that relates to your experience in one of the negotiations conducted earlier in the quarter. Additional details will be forthcoming before the assignment is due.

**Due Date: Monday, October 30 at 11:59pm Central**

Deeport Capstone Negotiation (10%): In Week 8, you will conduct a complex, multi-party negotiation. Your engagement with that final capstone negotiation and preparation will be scored.

The Change Pro Simulation® (10%): In Week 9 you will engage in class with the Change Pro Simulation®, an interactive and realistic computer-based learning tool. You will be assigned to groups and will complete this simulation as a team tasked with convincing as many of 24 top decision-makers as possible to "adopt" an enterprise-wide initiative and agree to support its implementation within the division. Upon completion of the simulation your group will be assigned a score. We will use that score to determine your grade on this assignment.

Final Paper (25%): In lieu of a final exam, you will complete a final paper. The final paper is a vehicle for you to synthesize the lessons and analytical insights you want to retain from your experience in this class. Additional details will be forthcoming before the assignment is due.

**Due Date: Monday, December 4 at 11:59pm Central**

Class Participation (10%): Your class participation grade will be based on how *conscientiously* and *insightfully* you discuss the cases and exercises in class *and* carry out the assigned negotiation exercises in your assigned groups. Missing a negotiation or failing to contribute to the discussion of the readings and exercises will have an adverse effect on your class participation grade.

**All assignments will be submitted electronically via the Gradescope course website. Assignments time-stamped after the deadline will be penalized a letter grade for every 24 hour period they are late. Obviously serious, extenuating circumstances will be considered.**

Regrade requests must be submitted via Gradescope within 7 days of receipt of graded assignment. Regrade requests will necessitate a full regrade of the assignment and might result in your grade going up but also down. Be mindful of this before making requests. It is also at my discretion whether to regrade immediately or wait until letter grades have been assigned at the end of the quarter. This allows me to determine if a regrade would materially impact the assigned class grade.

The approximate schedule week-by-week follows on the next pages, listing all readings including case assignments. Please read it carefully and plan ahead for the quarter.

## Week 1 of 9 - The Competitive Advantages of Social Capital

**Overview:** Leaders, at whatever level, and across all industries and functions face a world in turmoil yet nonetheless are required to actionable strategies for themselves as individuals and for the complex organizations they are part of. The concept of social capital provides a critical framework for making sense of a world with greater uncertainty and fewer rigid lines of authority. In this introductory session we will ground the concept of social capital in a way that makes it actionable. We begin by distinguishing social capital from other more tangible forms of capital. Then we explore what is lost and gained when social capital is either eroded or formed. We will then look at examples of how the framework and toolset that underwrites social capital—social network analysis or SNA—is used to think about career trajectories, diagnose organizational deficiencies, gauge the likely success of strategy execution, etc.

**Reading:** Wayne Baker “What Is Social Capital, and Why Should You Care About It?” from *Achieving Success Through Social Capital (2000)*

Optional: start reading *Driving Results Through Social Networks*

**Hand in:** **Nothing**

## Week 2 of 9 - Leveraging Organizational Structure to Drive Strategy Execution

*Overview:* Although it may be intuitive that successful management of social networks is critical for successful execution, intuition alone is often insufficient when it comes to delivering a successful outcome. An incomplete or misinformed understanding of how networks channel resources often results in missed opportunities and misplaced attention. Participants in this session will learn how having social capital is linked to innovation, ideation, and efficiency gains. In this session we also explore how organizational structure and culture—topics often dismissed as mundane and vague respectively—are critical tools for a leader to wield in order to drive positive outcomes. We will discuss formal and informal organizational forms, quickly moving to a focus on the latter, and how both are inextricably tied up with organizational culture. While we will discuss the many ways a strong organizational culture can drive competitive advantage, we'll also confront head-on the various pathologies that we risk encountering as we push for a stronger organizational culture.

*Reading:* “Palantir has secretly been using New Orleans to test its predictive policing technology” by Ali Winston in *The Verge*

Optional: finish reading *Driving Results Through Social Networks*

*Get a head-start on Readings for Week 3!*

*Hand in:* **Nothing**



### Week 3 of 9 – Introduction to Negotiations: Value Claiming

**Overview:** This week we begin learning how to be better negotiators in order to persuade other flesh-and-blood humans to work with us towards our objectives. This initial session on negotiations will focus on situations in which each party attempts to enlarge his or her share of what is taken to be a fixed pie. We introduce basic concepts and tactics, with a special emphasis on the cognitive aspects of negotiation.

**Reading:** James Sebenius *Essentials of Negotiation* (1993)

The Sebenius note introduces the framework we will be developing in the next couple of weeks. Some people see negotiation primarily as a joint problem-solving process that can lead to win-win solutions. Others view bargaining mostly as a power game in which threats and preemptive moves often prevail. Try to take an objective look at your own negotiation tendencies. Do you regard yourself mostly as a “value creator” or a “value claimer” – and would people with whom you negotiate share that view of yourself?

*Negotiating Rationally* (Chapters 1-4)

**Negotiation:** *Bradford Development: Negotiating a Linkage Agreement*

Bradford, an old New England industrial city, is experiencing an economic boom. The city has recently adopted a ‘linkage agreement’ policy, requiring developers to make once-off payments to the city to offset infrastructure and housing costs. Curry Corporation (‘Curry’) is the first developer to propose a major project under the new administration. After meeting with all the appropriate municipal agencies and citizen groups, the only major issue left unresolved in the proposed project is the appropriate size of the linkage payment that Curry should make to the city.

**Roles:** *Municipal Negotiation Specialists* or *Curry Corporation Representatives*

Your role assignments (Municipal or Curry) and confidential information will be accessible via Canvas. You are expected to read the role before class.

In this negotiation exercise, as with the others, it is important to keep your instructions confidential. Your purpose is to try very hard, through your negotiating approach, to maximize your surplus over the value of your best unilateral alternative to a negotiated agreement; you will be scored according to the extent to which you do so.

**Hand in:** **Preparation worksheet for this week’s negotiation.**

## Week 4 of 9 – Value Creation

**Overview:** In the classes that follow, we explore negotiations that contain elements of both cooperation (creating joint value by “enlarging the pie”) and competition (claiming individual value according to each party’s interests). We identify the potential sources of gains – and why they are often not fully captured. We also analyze the tension between cooperative moves to create value and competitive moves to claim it. This tension is a common feature of negotiation and affects virtually all tactical and strategic choices.

**Reading:** *Negotiating Rationally* (Chapters 5-10)

*Strategies of Influence* (Chapter 7 in *Negotiation Genius*; Malhotra & Bazerman)

*How to Get Them to Show You the Money*; Webber

**Negotiation:** *New Recruit 2018* (Neale)

**Roles:** Candidate or Recruiter

In this case you will be taking the role of either a recruiter or a potential candidate in a job offer negotiation. As usual, the material you receive describing your role is to be treated as strictly confidential. During the negotiations, you may wish to reveal some of this material to the other side, but the rules of the game do not permit you to show your actual written confidential instructions to your counterpart. It is up to you to decide how to represent your positions.

**Hand in:** **Mid-Quarter Essay on Social Capital**

**Preparation worksheet for this week’s negotiation.**

## Week 5 of 9 – Cross Border Negotiations, Ethics, and Negotiation Styles

**Overview:** This session we focus on a more complicated integrative negotiation. This one is conducted across international borders and serves as a vehicle for us to explore the additional challenges of such negotiations. These include but are not limited to cultural differences around topics such as ethics and negotiation styles.

*Reading:* TBD

*Hand in:* Preparation worksheet for this week's negotiation.

*Exercise:* The Negotiation Style Questionnaire

- Complete the questionnaire (which will be made available via Canvas) and calculate your score before class. This is ungraded and there is nothing to submit, we just ask that you complete the questionnaire before class.

*Negotiation:* *Tipal Dam* (Wheelan & Brett)

*Roles:* *Tipalese Government* or *International Dams*

You will assume the role of the Tipalese Government or International Dams for the negotiation. As you approach this negotiation, try and imagine how the two parties might approach this negotiation with different assumptions/backgrounds.

## Week 6 of 9 – Complex Integrative Negotiations

*Overview:* We continue our exploration of negotiations that contain elements of both cooperation (creating joint value by “enlarging the pie”) and competition (claiming individual value according to each party’s interests). This week we increase the complexity dramatically and start to introduce advanced negotiation strategies.

*Reading:* *Credible Commitments* (Dixit & Nalebuff)

*Betting on the Future: The Virtues of Contingent Contracts* (Bazerman & Gillespie)

*Negotiation:* *Moms.com* (Tensbrunsel & Bazerman)

*Roles:* *Terry Schiller* or *Kim Taylor*

You will assume the role of Schiller or Taylor in the negotiation for a television program, *Moms.com*.

Prepare the case from the perspective of your role and carefully answer the preparatory questions at the end of your case before you come to class.

*Hand in:* **Mid-Quarter Negotiation Reflection Report**

**Preparation worksheet for this week’s negotiation.**

## **Week 7 of 9 – Introduction to Coalitional Negotiations, Fairness, and Honesty**

**Overview:** We introduce a simple coalitional negotiation and explore how the dynamics of these negotiations differ from two-party settings. In particular, we examine the strategic and tactical issues that are essential to any sophisticated building (or destroying) of coalitions.

**Reading:** *Negotiating Rationally* (Chapters 12-18)

*Sources of Power in Coalition Building* (Watkins and Rosegrant)

*Cooperative Networks: Altruism, Group Solidarity, Reciprocity, and Sanctioning in Ugandan Producer Organizations* (Baldassarri)

**Negotiation:** *Social Services: A Three-Party Exercise*

Allied, Benevolent, and Caring Services are three nonprofit social service providers competing for state social service funding. Each provider must decide whether to cooperate with the other providers in order to pursue state funds, and if so, how these funds should be divided among the cooperating providers.

**Roles:** *Allied or Benevolent or Caring Services*

**Hand in:** **Preparation worksheet for this week's negotiation.**

## Week 8 of 9 – Complex Multi-party Negotiations

**\*\*\*\* THIS WEEK CLASS WILL MEET VIA ZOOM – DETAILS SHARED LATER \*\*\*\***

*Overview:* We build on the simple coalitional negotiation introduced previously with a detailed, six-party negotiation with private, public, NGO, and union actors focused around the potential building of a new deep-water port facility.

*Reading:* *None beyond the negotiation exercise, so no excuses for being unprepared!*

*Negotiation:* *Deeport (Sebenius)*

*Hand in:* **Preparation worksheet for this week's negotiation.**

*Roles:* *Six different roles per group*

One person from each group will assume the role of each of Deeport, Unions, Other Ports, Environmental League, Governor, and the Federal Department of Coastal Resources. Your group will have 90-120 minutes to negotiate. Given the limited span for negotiation, time planning is critical.

## Week 9 of 9 – The Change Pro Simulation®

**Overview:** The Change Pro Simulation® is an interactive and realistic computer-based learning tool designed to help team leaders increase their ability to implement change in a complex organization, utilizing not formal but informal influence. Working in small teams (e.g., 5-6 individuals per team), participants will be tasked to convince as many of 24 top decision-makers as possible to "adopt" an enterprise-wide initiative and agree to support its implementation within the division. Accomplishing this task is particularly challenging as participants will have no hierarchical power over the division's top leadership team and will have to rely on their own social capital to succeed. You will be assigned to a group and will complete this simulation in that pre-assigned group.

**Reading:** Review the *Change Pro Simulation - Participant Manual*

**Hand in:** Nothing – just ensure you find time to review the Change Pro manual and form strategy

## Student Accommodations

If you require any accommodations for this course, as soon as possible please provide your instructor with a copy of your Accommodation Determination Letter (provided to you by the Student Disability Services office) so that you may discuss with him/her how your accommodations may be implemented in this course. The University of Chicago is committed to ensuring the full participation of all students in its programs. If you have a documented disability (or think you may have a disability) and, as a result, need a reasonable accommodation to participate in class, complete course requirements, or benefit from the University's programs or services, you are encouraged to contact Student Disability Services as soon as possible. To receive reasonable accommodation, you must be appropriately registered with Student Disability Services. Please contact the office at 773-702- 6000/TTY 773-795-1186 or [disabilities@uchicago.edu](mailto:disabilities@uchicago.edu), or visit the website at [disabilities.uchicago.edu](http://disabilities.uchicago.edu). Student Disability Services is located at 5501 S. Ellis Avenue.

## Academic dishonesty

All University of Chicago students are expected to uphold the highest standards of academic integrity and honesty. Among other things, this means that students shall not represent another's work as their own, use unhallowed materials during exams, or otherwise gain unfair academic advantage. All students suspected of academic dishonesty will be reported to the Harris Dean of Students for investigation and adjudication. The disciplinary process can result in sanctions up to and including suspension or expulsion from the University. In addition to disciplinary sanctions, students who commit academic dishonesty will receive, at minimum, the following grade penalties:

- If the academic dishonesty occurred on a problem set, the student will receive a score of zero on that problem set, and the student's highest possible letter grade for the course will be a C+.
- If the academic dishonesty occurred on a writing assignment or the final exam, the student will receive a grade of F in the course.

The University's policy and procedures related to academic integrity can be found at <https://student-manual.uchicago.edu/academic-policies/academic-honesty-plagiarism/>.

## UC student resources

If you or someone you know is feeling overwhelmed, depressed, and/or in need of support, counseling services are available. Student Counseling Service (SCS) urges you to attend to your mental well-being and to reach out to them for support during these challenging times. All SCS services are covered by the Student Life Fee, and there is no additional cost for students to access their services. See <https://wellness.uchicago.edu/mental-health/student-counseling-service-spring-quarter-faq/>. Students seeking new services/resources can call 773.702.9800 during business hours (Monday–Friday 8:30 a.m.–5 p.m.) and ask to speak with a clinician. Students needing urgent mental health care can speak with clinicians over the phone 24/7 by calling the SCS at 773.702.3625.

## Diversity and Inclusion

I am committed to creating a learning environment that welcomes diverse viewpoints and where each of you feels seen, heard, and respected no matter your race, ethnicity, national origin, gender identity, sexual orientation, disability, religion, socio-economic background, or social and political beliefs. More broadly, the Harris School and I believe that rigorous inquiry and effective public policy problem-solving requires the expression and understanding of diverse viewpoints, experiences, and traditions. The Harris School's commitments to lively, principled, and respectful engagement are available [here](#).



