Student Work

5-1989

Negotiation Pedagogy As Communication Methodology Focused On Conditionality and Recursivity In Third-Order Coupling

Eroca Gabriel
University of Nebraska at Omaha

Recommended Citation

Negotiation Pedagogy As Communication Methodology Focused On
Conditionality and Recursivity In Third-Order Coupling

A Thesis

Presented to the

Department of Communication

and the

Faculty of the Graduate College

University of Nebraska

In Partial Fulfillment

of the Requirements for the Degree

Master of Arts

University of Nebraska at Omaha

by

Eroca Gabriel

May 1989

UMI Number: EP72865

UMI

Dissertation Publishing

UMI EP72865

ProQuest

THESIS ACCEPTANCE

Acceptance for the faculty of the Graduate College, University of Nebraska, in partial fulfillment of the requirements for the degree, Master of Arts, University of Nebraska at Omaha.

Committee

Name	Department
Randall A. Rose	_Communication_
Richard Hlata	_County_

Elton S. Carter
Chairman

25 April 1989
Date

Acknowledgements

I would like to acknowledge my appreciation and gratitude to Professor Elton S. Carter, with whom this pedagogy is inextricably bound, for his insight, imagination and inspiration, and Emahmn, for initiating me into a process of lifelong learning and development.

A heartfelt thank you goes to Steve Gorelick for his support in helping me to finish this project. His encouragement and sense of humor proved invaluable.

Many thanks to Dr. Randy Rose and Dr. Rich Blake, members of my thesis committee, for their contributions, and especially for their enthusiasm and constructive criticism.

Finally, I dedicate this thesis to my friend, Haidakhan Wale Baba, who has been a subtle, yet motive force in my life, and who continues to lend a big hand in raising the consciousness of the world at large.

Table of Contents

List of Figures:

Chapter 1

INTRODUCTION AND DESIGN

Introduction

This study is *not* a prescribed method of communication techniques for learning how to negotiate. It is not designed to teach the reader various and sundry negotiation strategies or tactics. Neither is this a study in East Indian communication theory or cross-cultural communication. The result of this study is a negotiation pedagogy *as* communication methodology--a distinctly heuristic design intended to lead the student of negotiation to discover his/her own capacities for negotiating. In the broad realm of negotiation, this study serves to introduce a new approach--actually a *meta*-approach to negotiating-- that provides a systematic means whereby students can *direct themselves* in generating indefinitely many options for learning how to negotiate.

Genesis of Study

My interest in *educating* negotiators was initially spawned by my academic studies in counseling. I perceived the counseling process to be a "negotiation" between the client and counselor. What I found to be generally lacking in counseling principles and practices was an *emphasis* on the client becoming his/her own counselor, or in other words, the client becoming self-directed. My undergraduate academic background in interpersonal communication was instrumental in turning me toward studying negotiation from a communication perspective.

Exposure to diverse cultural systems both in the United States

and abroad, as well as extensive travel in Northern India, propelled me to orient myself toward working in cross-cultural, if not multi-cultural, environments. Hence, I designed a negotiation pedagogy exemplified through a case study report on Indian national development that can be used *trans*culturally.

My lifelong interest in education and development was stimulated by my background as a graduate student in communication which included studies in transactional communication with a general semantics orientation, general systems theory, human communication theory such as coordinated management of meaning (CMM), and persuasion. Perhaps a negotiation pedagogy that is developmental in nature and educationally-oriented could make a modest, but viable, contribution to the field of negotiation and, in particular, to negotiation educators.

Statement of Purpose

Negotiation pedagogy as communication methodology focused on conditionality and recursivity in third-order coupling.

The purpose of this thesis is to design a negotiation pedagogy in the form of a communication methodology. A methodology is "the philosophical study of the plurality of methods. . . . It always has to do with the activity of acquiring knowledge, not with a specific investigation in particular. It is therefore, a *meta*method" (Watzlawick, 1974, p. 8).

Negotiation pedagogy has to do with educating negotiators-in-the-making. This thesis is concerned with three levels of abstraction

regarding negotiation pedagogy: (1) learning how to negotiate, (2) learning *how to learn* to negotiate, and (3) learning how to learn *how* to negotiate. The emphasis of this thesis is not nearly so much on levels one and two as it is on level three, learning how to learn *how* to negotiate. Consequently, the prospective goal of this communication methodology is for the student to become his/her own teacher. It would be inappropriate to assume, however, that *any single method* for educating negotiators-in-the-making would be sufficient and effective; instead, a *methodology* is needed whereby students can generate and design their own options, not excluding strategies and tactics, for specific situations.

The prime focus of this thesis is on conditionality and recursivity in third-order coupling. Korzybski (1958) refers to *degrees of conditionality* and connects that to *human* "intelligence" and orders of abstraction. "A fully developed *human* 'mind' should be related with *fully conditional* reactions of higher order (p. 338). . . . Conditional meaning non-absolute or non-one-valued" (p. 333). In general terms, conditionality refers to focusing on the circumstances in which a particular event occurs. Bois (1983) links conditionality to the concept of multiordinality and illustrates the conditional (context-dependent) nature of the word "unit" as a multiordinal term.

> Unit can be applied to army units (platoon, company,
> battalion, brigade, division), to units of time (second,
> minute, hour, day), to units of money (cent, nickel,
> dime, quarter, dollar, "grand"), to units of discourse

in science (gene, chromosome, cell, organ, organ-
ism, or individual, group, culture). I say that the
term "unit" is multimeaning and multiordinal. By
"multimeaning," I want to describe the fact that this
term is used in many areas (army, time, distance),
and by "multiordinal" I want to describe the fact that
in each area the term may be used at any lower or
higher order of abstraction (p.107).

The concept of recursivity, on the other hand, has no generally
accepted meaning. Cutland (1980) considers recursion to be a meth-
od of defining a function "by specifying each of its values in terms of
previously defined values, and possibly using other already defined
functions" (p. 32). According to Cooper and Clancy (1982) a recursive
function or procedure is one that calls itself. The *Dictionary of Scien-
tific and Technical Terms* (1978) defines recursion as "a technique in
which an apparently circular process is used to perform an iterative
process." Hofstadter (1979) characterizes recursion as "nesting, and
variations on nesting" (p. 127). For Hofstadter, recursion is a meta-
phor for organizing the world. He gives an example of recursion from
daily life.

When you listen to a news report on the radio, often-
times it happens that they switch you to some for-
eign correspondent. "We now switch you to Sally
Swumpley in Peafog, England." Now Sally has got a
tape of some local reporter interviewing someone, so

after giving a bit of background, she plays it. "I'm

Nigel Cadwallader, here on scene just outside of

Peafog, where the great robbery took place, and I'm

talking with. . ." Now you are three levels down. It

may turn out that the interviewee also plays a tape of

some conversation. It is not too uncommon to go

down three levels in real news reports, and surpris-

ingly enough, we scarcely have any awareness of the

suspension. It is all kept track of quite easily by our

subconscious mind. Probably the reason it is so easy

is that each level is extremely different in flavor from

each other level. If they were all similar, we would

get confused in no time flat (p. 128).

Recursion can also be illustrated graphically. According to Hofs-

tadter, figures are either cursively drawable or recursively drawable.

"A cursively drawable figure is one whose ground is merely an acci-

dental by-product of the drawing act. A recursive figure is one whose

ground can be seen as a figure in its owns right" (p. 67). The Taoist

symbol T'ai-chi T'u or "Diagram of the Supreme Ultimate" is such a

drawing.
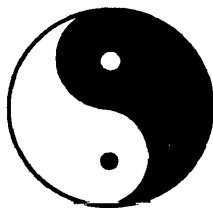
This drawing with its rotational symmetry suggests a continuous

cyclic movement and depicts what Hofstadter refers to as a "Strange

Loop, an interaction between levels in which the top level reaches back down towards the bottom level and influences it, while at the same time being itself determined by the bottom level" (p. 709). The structure of a strange loop is simultaneously self-reflexive and reiterative (repetition combined with variation with each stage built on the foundation of the preceding one), or in other words, recursive. Hofstadter believes that "emergent" phenomena--ideas, hopes, images, analogies and finally consciousness and free will--are based on a kind of strange loop. "The self comes into being at the moment it has the power to reflect itself" (p. 709). This self-referential aspect of recursion is, perhaps, its most intriguing feature; nevertheless, it is that aspect most germane to my study in which the making of negotiators is viewed as a self-directed process.

Maturana and Varela (1987) offer a radical view of social phenomena or third-order coupling by presenting a recursive hierarchy on the organization of living things involving first, second, and third-order unities. "A unity (entity, object) is brought forth by an act of distinction. . . . which distinguishes what has been indicated as separate from its background" (p. 40). First-order unities are *uni*cellular and by their very nature are what Maturana and Varela call autopoietic. Autopoiesis is the type of organization belonging to living beings. "Organization denotes those relations that must exist among the components of a system for it to be a member of a specific class" (p. 47). Maturana and Varela propose that "living beings are characterized in that, literally, they are continually self-producing," and they indicate this pro-

cess when they call the organization that defines living beings an auto-
poietic organization (p. 43).

Second-order unities or *meta*cellulars are brought forth by struc-
tural coupling of first-order unities. Structural coupling occurs "when-
ever there is a history of recurrent interactions leading to the struc-
tural congruence between two (or more) systems" (p. 75). In the fol-
lowing paragraph, Maturana and Varela describe structural coupling.

> In describing autopoietic unity as having a particular
> structure, it will become clear to us that the interac-
> tions (as long as they are recurrent) between unity
> and environment will consist of reciprocal perturba-
> tions. In the interactions, the structure of the envi-
> ronment only *triggers* structural changes in the au-
> topoietic unities (it does not specify or direct them),
> and vice versa for the environment. The result will
> be a history of mutual congruent structural changes
> as long as the autopoietic unity and its containing
> environment do not disintegrate: there will be
> *structural coupling* (p. 75).

Structural coupling between an autopoietic unity and its envi-
ronment is abbreviated as follows:
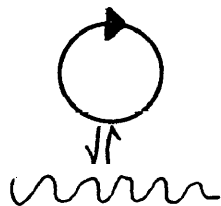
Maturana and Varela, 1987, p. 74

Metacellulars are unities "in whose structure we can distinguish cell aggregates in close coupling. Metacellularity is present in all the major kingdoms of living beings" (p. 87). The following diagram illustrates "the recurrent coupling in which the participating cells can preserve their individual limits, at the same time as they establish, by their coupling, a special new coherence which we distinguish as a metacellular unity and which we see as their form" (p. 88).
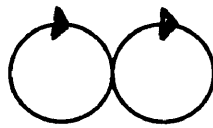
<div align="right">Maturana and Varela, 1987, p. 88</div>

What is common to all metacellular structures, according to Maturana and Varela, is that they include cells as components of their structure, and are, in fact, second-order autopoietic systems. These systems include unities with or without a nervous system.

Third-order coupling involves coupling of second-order unities exclusive to those with a nervous system. "Since third-order couplings are a relatively universal phenomenon, they occur in different animal groups under a variety of forms" (p. 181). Maturana and Varela provide a classic example of third-order coupling involving myrmicine ants.

We see there is a great variety of forms among the participating individuals. Their morphologies have a marked differentiation as to their activities in the colony. Thus, most of the individuals are barren females; their tasks are to store food, defend the colony, take care of the eggs, and maintain the

anthill. The males are secluded inside, where usu-
ally there is only one fertile female, the queen. Re-
markable among the barren females are those with
enormous mandibles, capable of exerting great pres-
sure. They are much bigger than the worker fe-
males. Most of the ants in an anthill like this have
no participation at all in reproduction. This is re-
served for the queen and the males; however, all in-
dividuals in the anthill are coupled in their structural
dynamics and do not survive (or survive for only a
short time) if permanently isolated (p. 185).

"The mechanism of structural coupling among most social in-
sects takes place through the interchange of substances. Therefore, it
is a chemical coupling" (p. 186). However, among baboons, a type of
social vertebrate, coupling is fundamentally gestural, postural (visual),
and tactile.

For many hours of the day, the baboons play and
groom each other in continuous interaction. Within
these groups, we note the expression of what we
could call individual temperaments: some baboons
are irritable, others seductive, still others are ex-
plorers, and so on. All this behavioral diversity gives
to each group of baboons its own stamp; each indi-
vidual is continually adjusting its position in the net-
work of interactions that forms the group according

to its own dynamics, owing to its history of structural
coupling in the group. Despite the differences,
there is a style of organization in the group of ba-
boons, a style that is generalized from group to
group; therefore, it reflects the phylogenic lineage
shared by them all (p. 191).

Third-order structural coupling in the human realm is essentially
the same as that of other unities of this class. Common to all third-order
couplings is that "they generate a particular internal phenomenology,
namely, one in which the individual ontogenies of all the participating
organisms occur fundamentally as part of the network of co-ontogenies
that they bring about in constituting third-order unities" (p. 193). Social
coupling for human beings, unlike that of insects which is based on
trophallaxis, the exchange of chemicals between organisms, is based on
language--or what Maturana and Varela call "linguallaxis." Languaging is a
domain peculiar to human beings (p. 209). "Human beings are human
beings only in language. Because we have language, there is no limit to
what we can describe, imagine, and relate. It thus permeates our whole
ontogeny as individuals: from walking to attitudes to politics" (p. 212).

Critical Survey of Pertinent Literature

My search for research literature pertinent to the topic of this
thesis consisted of reviewing articles and books related to commun-
ication, psychology, sociology, social psychology, education, business,
and counseling. Within these prescribed disciplines, I looked for
titles and abstracts which contained any one of the following topics:

learning how to negotiate, learning how to learn, self-regulated learning, learning styles, recursivity, counselor-client relationship. In an effort to determine the extent to which resources had a bearing on my subject, I subdivided the statement of purpose into four parts: (1) negotiation pedagogy, (2) negotiation pedagogy as communication methodology, (3) focused on conditionality and recursivity, (4) focused on conditionality and recursivity in third-order coupling, and then used the subdivisions as mutually exclusive "screens" with which to ascertain the relevancy, irrelevancy or pertinency of sources.

The uncommon concepts and unfamiliar labels in my thesis statement such as third-order coupling and recursivity made evaluating the pertinency of sources difficult inasmuch as I found very little directly related to these concepts as named. To overcome this difficulty, I evaluated a particular resource according to its structure, and then matched that structure to one of the four subdivisions of the statement of purpose. If I could not match structures I determined the resource irrelevant. Obviously, when there was a high degree of structure matching I considered the source pertinent and if it offered helpful background information I deemed it relevant.

Each subdivision is listed below with survey information following.

I.   Negotiation pedagogy

My thesis is concerned with three levels of abstraction regarding negotiation pedagogy: (1) learning how to negotiate, (2) learning *how to learn* to negotiate, and (3) learning how to learn *how* to negotiate. I

was able to find studies related to the first level in which various perspectives on negotiation were delineated, for example, Colosi (1987) designed a diplomatic model for negotiation and mediation. Neale and Bazerman (1985) authored an article on negotiation as a judgmental process and one on limitations to effective negotiation (Bazerman and Neale, 1983), Rubin (1983) highlighted some issues and themes of the negotiation process as a whole, Bartos (1977) developed a sociological model of negotiation, while Zartman (1977), Cross (1977), and Spector (1977) described negotiation as a joint decision making process, as a learning process, and as a psychological process, respectively. Even though learning how to negotiate was never specifically addressed in any of these studies, it appeared to be an underlying motif in all of them.

I found one study directly related to level one in which a single method for learning how to negotiate, simulation, was described (Hunsaker, 1983). I was surprised to discover so little research on learning how to negotiate has been done. Mainly, I found "how to negotiate" testimonials in which each author gave a step-by-step procedure for negotiating any situation deemed negotiable (Kennedy, 1982; Sparks, 1982; Schatzki, 1981; Cohen, 1980; Chastain, 1980; Greenberger & Kiernan, 1978; Ilich, 1973).

I was unable to find any information directly related to level two. Although I reviewed studies on learning how to learn, none dealt explicitly with learning *how to learn* to negotiate. Most consisted of descriptions of courses on learning strategies with little relevant data.

With regard to level three, learning how to learn *how* to nego-
tiate, I did not find any related material.

II.   Negotiation pedagogy as communication methodology

While I was able to find some relevant data on negotiation peda-
gogy, I found little on communication methodology, and, as expected,
none on negotiation pedagogy as communication methodology.

Akin, Goldberg, Myers and Stewart (1970) describe commun-
ication methodology as originated by Elwood Murray. This perspective
divides the phenomenon of communication into three realms: tech-
nological, human communication research and theory, and commun-
ication methodology. Communication methodology in this context is
"devoted to the discovery and testing of methodologies designed to fa-
cilitate human interaction. . . . Methodology is the link between our
knowing about communication and our putting this knowledge to bet-
ter use" (p. 17). This contrasts with the perspective on communica-
tion methodology as given in the statement of purpose of this thesis.

III.   Focused on conditionality and recursivity

I found explicit recognition of conditionality in literature on
learning styles. Discovery of the concept of learning styles provided a
useful means for designating a basic assumption of my study--individual
differences in learning. According to one author (Dunn, 1984, p. 17),
"learning style represents each person's biologically and experientially
induced characteristics that either foster or inhibit achievement. . . .
Regardless of how that process is described, it is dramatically differ-
ent for each person" (p. 12).

In studies on self-regulated learning theory, I found conditionality to be an implicit, invariant feature. Self-regulated learning, which is also known by a plethora of other terms such as self-directed learning, autonomous learning, self-teaching, self-instruction, and self-managed learning, has to do with "how students personally activate, alter, and sustain their learning practices in specific contexts" (Zimmerman, 1986, p. 307). This point of view not only implies conditionality but relates to the prospective goal of my thesis by specifying that the student at least to some extent becomes his/her own teacher.

I also discovered a pertinent article on reflection and recursion in which these concepts were metaphorically applied to understanding the processes of learning and teaching; in particular mathematics, but also learning and teaching in general. A theme that echoes through Kilpatrick's article is that of self-awareness. He claims for "learning and teaching to become more effective, students and teachers alike will need to become more conscious of what they are doing when they learn or teach" (Kilpatrick, 1985, p. 1). He borrows the concepts of reflection and recursion from the disciplines of mathematics and computer science to illustrate how students and teachers might benefit from turning their cognitive processes back on themselves. Kilpatrick states,

> Both reflection and recursion, when applied to cognition, are ways of becoming conscious of, and getting control over, one's conccpts and procedures.
> To turn a concept over in the mind and to operate

on a procedure with itself can enable the thinker to

think how to think, and may help the learner learn

how to learn (p. 6).

Kilpatrick subsumes the concepts of reflection and recursion under the concept of metacognition, which has to do with being aware of and controlling one's cognitive processes. Kilpatrick considers metacognitive processes to be "manifestations of self-awareness" that can at least in part improve the mind and make learning and teaching processes more successful.

IV.   Focused on conditionality and recursivity in third order coupling

I found two articles dealing with aspects of counseling related to conditionality and recursivity in third order coupling.

Caple (1985) authored an article on counseling and the "self-organization" paradigm. According to Caple, "What began as general systems theory is fast developing into a paradigm that is best called "self-organization". . . . It provides a disciplinary matrix within which a growing number of scholars seek to understand not only human behavior but the universe at large" (p. 173).

Caple claims that the breakthrough that caused the shift from general systems theory to "self-organization" paradigm occurred in 1967 when Prigogine empirically confirmed the theory of dissipative structures in chemical reactions and a new ordering principle underlying the theory, called order through fluctuation, was discovered. Dissipative structures are structures that break up and disorder a system so that it may become reordered. This theory explains irre-

versible processes in nature and the movement toward higher orders of life. It also provides a scientific model of change in which the critical role of stress in change is explained. Caple states,

> The concept of change inherent in the theory of dissipative structures contains essential elements of randomness and irreversibility. When fluctuations in a system create a state far from equilibrium and threaten the system's structure, a critical point of change or bifurcation point results. It is impossible to determine in advance of this point the next state of the system. Chance (randomness) directs the system down a new path of development (second order change). Once the new path is created (from among many possibilities), determinism and predictability take over again (first order change) until the next bifurcation point occurs (p. 175).

Change as seen from this point of view is conditional and recursive.

Caple suggests that the "self-organization" paradigm provides a better framework for explaining life and behavior and for understanding the processes of change that occur. He elaborates on direct implications for counseling, two of which imply conditionality and recursivity in the counseling relationship: that the therapist would be open to surprise in the therapist-client relationship and that the specific kind of client change could not be determined in advance.

As Caple relates counseling to the "self-organization" paradigm a superstructure emerges under which any counseling perspective might be contained. Caple notes that the therapist would not be limited to a particular method or technique or necessarily need to give up particular methods or techniques. His article is directed toward a comprehensive understanding of the principle of self-organization as a paradigm and the ways in which counselors and clients are affected and benefited from the paradigm shift.

I discovered a point of view on the counseling relationship that can be aligned to the concept of third-order coupling. According to Bozarth (1985), within the person-centered approach to counseling (PCA) "the therapist must be real (genuine), be non-judgmentally caring (unconditional positive regard), and enter the world of the client as if he or she is the client (empathy). Having these attitudinal qualities, the therapist (a) does not presuppose what a client might do, be, or become; and (b) has only one intention: to create the facilitative atmosphere that will promote the self-actualizing process of the client. An implication of these premises is that there is a unity of mutual surrender to a greater whole between therapist and client" (p. 181). Maturana and Varela (1987) point to third-order coupling as a phenomenon in which separateness gives way to unity.

> Let us imagine a herd of ungulates such as the antelopes, which live in the mountains. If we have ever had occasion to approach them, we noticed that as soon as we got within a hundred yards, the whole

herd fled. Usually they flee until they reach a some-
what higher peak. From there, they look out and
observe once again. To go from one peak to another,
however, they have to pass through a valley that
impedes their view of the onlooker. Here we see a
clear case of social coupling: the herd moves in a
formation led by the dominant male, followed by the
females and the young. Other males bring up the
rear, and one of them stays behind on the closest
peak, to keep an eye on the stranger while the oth-
ers descend. As soon as they have reached the new
height, he joins them (p. 188). . . . The behavior of
the antelope that stays behind has to do with
conservation of the group; it expresses charac-
teristics proper of antelopes in their group coupling
as long as the group exists as a unity. At the same
time, this altruistic behavior in the individual ante-
lope as regards group unity results from its struc-
tural coupling in an environment that includes the
group; it is an expression of conservation of its adap-
tation as an individual. There is no contradiction,
therefore, in the antelope's behavior insofar as it ex-
presses individuality as a member of the group: it is
"altruistically" selfish and "selfishly" altruistic, be-
cause its expression includes its structural coupling

in the group it belongs to. . . . All these remarks are

valid also in the human realm

(p. 197).

"Life in third-order couplings, or social life for short, permits individual vertebrates (a mammal in the above example) to participate in relations and activities that arise only as coordinations of behaviors between otherwise independent organisms (p. 189). This interaction enables them to generate a new realm of phenomena that isolated individuals cannot generate" (p. 190).

The emphasis on holism--on an integrative tendency toward wholeness--evident in third order coupling is also at the crux of the PCA. Spahn (as cited in Bozarth, 1985) connects the separateness into unity phenomenon to the highest expression of the "empathic state" in person-centered therapy. Similar to third-order coupling in which living things are "reciprocally involved in attaining their respective poieses" (Maturana and Varela, 1987, p. 206), this empathic union brings forth the capability and potential of both therapist and client (Bozarth, 1985).

Obviously in my search of literature, I did not expect to, nor did I find, a negotiation pedagogy as communication methodology focused on conditionality and recursivity in third-order coupling; however, my search yielded ample background information and a supply of pertinent data that provided substance with which to build my methodology.

Research Design

Communication methodology as given in the statement of purpose of this thesis is not unprecedented. Two methodologies proved to be valuable in constructing my methodology and provided a basis for its design: *A communication methodology for managing demand-time conflicts in physician marriages* (Apke, 1982) and *A Communication methodology for negotiating a wheat contract with China* (Ferdig, 1985).

Although the topics of Apke's and Ferdig's theses are diverse, their methodologies were similarly structured. Each study used a model for designing a methodology. A model developed by Leonard C. Silvern (as cited in Lippitt, 1973) called anasynthesis and consisting of a process of analysis, synthesis, modeling, and simulation was adopted by both authors and modified by each to provide a framework for her respective study.

The structure of Apke's methodology can be seen in "Figure 1: Methodology for Managing Demand-Time Conflicts in Physician Marriages." Initially, Apke constructed *prototypical* scenarios describing demand-time conflicts in "physician marriages." She studied available research reports and other pertinent literature on physicians and their spouses "in order to understand typical problems in such marriages" (p. 25) related to demand-time conflicts.

After constructing the scenarios, each of which represented a type of demand-time conflict, Apke interpreted them and reached generalizations and conclusions about each scenario by finding pattern

2.0 DESIGN APPROACHES

| 2.1 INTERPRET SCENARIO | 2.2 DIAGNOSE SCENARIO | 2.3 CHOOSE COMMUNICATION STRATEGIES AND RULES |

F

3.0 SIMULATE TO TEST METHODOLOGY

| 3.1 APPLY RULES | 3.2 EVALUATE RESULTS | 3.3 DEBUG STRATEGY |

F

1.0 SURVEY SPOUSE SYSTEM

| 1.1 SURVEY PARTI-CULAR SPOUSE SYSTEM | 1.1(A) RECOGNIZE EXPOSURE TO POTENTIAL DEMAND-TIME CONFLICT | 1.3 MAP ONGOING SCENARIO |

| 1.2 EXAMINE GOALS |

FF
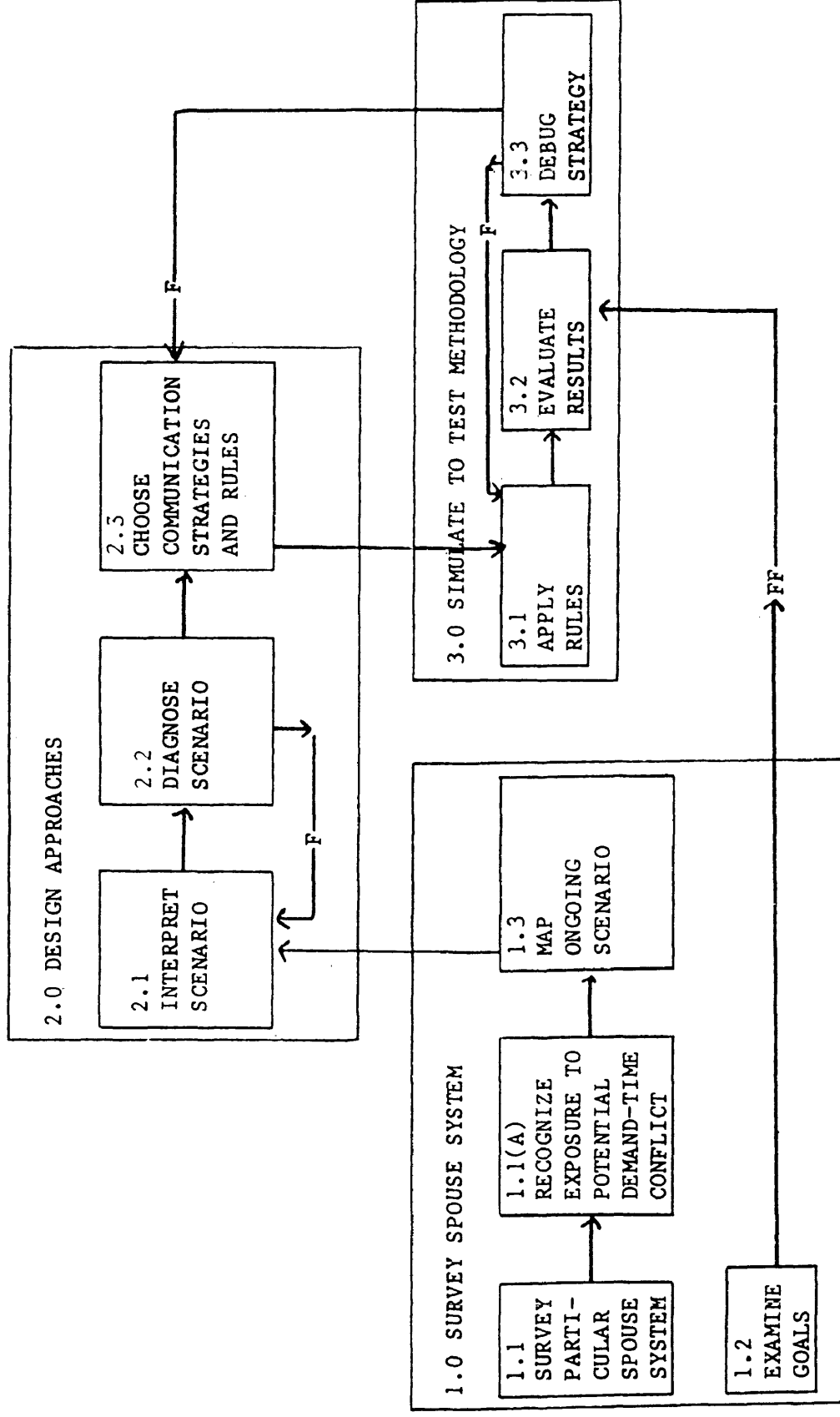
Figure 1: Methodology for Managing Demand-Time Conflicts in Physician Marriages

(In Apke's thesis this was Figure VII.)

properties peculiar to each type of conflict. She then created a methodology for managing demand-time conflicts that consisted of "a step-by-step explanation for choosing and applying communication rules" (p. 29). "Figure 2" illustrates the rules Apke devised in relation to four communication strategies for managing conflict.

In order to demonstrate the utility of her methodology, Apke chose appropriate rules and applied them to the original prototypical scenarios. Afterwards, she debugged the methodology by reviewing it against previously designated design specifications.

Although Ferdig's methodology was decidedly different than Apke's, they were parallel in construction. The stages of Ferdig's methodology are shown in "Figure 3: Methodology for Generating Communicating Strategies in the Context of a Wheat Negotiation Between Representatives of the U. S. and China."

Ferdig constructed a *realistic* negotiation situation based upon data gathered from "pertinent research material dealing with agricultural negotiations between the U. S. and China" (p. 15). The outcome was contrasting formulations exemplifying choice-sharing and choice-restricting communication approaches between U. S. and Chinese negotiators. The components of her methodology were derived from an analysis of the formulations in which she compared the structure of one communication approach to the other. "Figure 4: The Rhetorical Schematic" illustrates the three-part process Ferdig devised for generating communication strategies.

Plan Suitable
Communication
Strategies

Decide on Communication Rules

Avoid
→ Postponement
→ Controlling the Process
→ Resorting to Formal Rules
→ Changing the Physical Environment
→ Tacit Coordination
→ Precueing
→ Linguistic Manipulation

Escalate
→ Labeling
→ Issue Expansion
→ Coalition Formation
→ Threats
→ Breaking Relational Rules

Maintain
→ Quid Pro Quo
→ Agreement on Relational Rules
→ Combining Escalation and
  Reduction Tactics

Reduction
→ Fractionation
→ Negative Inquiry
→ Metacommunication
→ Response to All Levels of Conflict
→ Establishment of Outside Criteria

Figure 2

(In Apke's thesis this was Figure IX.)

Figure 3: Methodology for Generating Communication Strategies in the Context of a Wheat Negotiation Between Representatives of the U. S. and China.
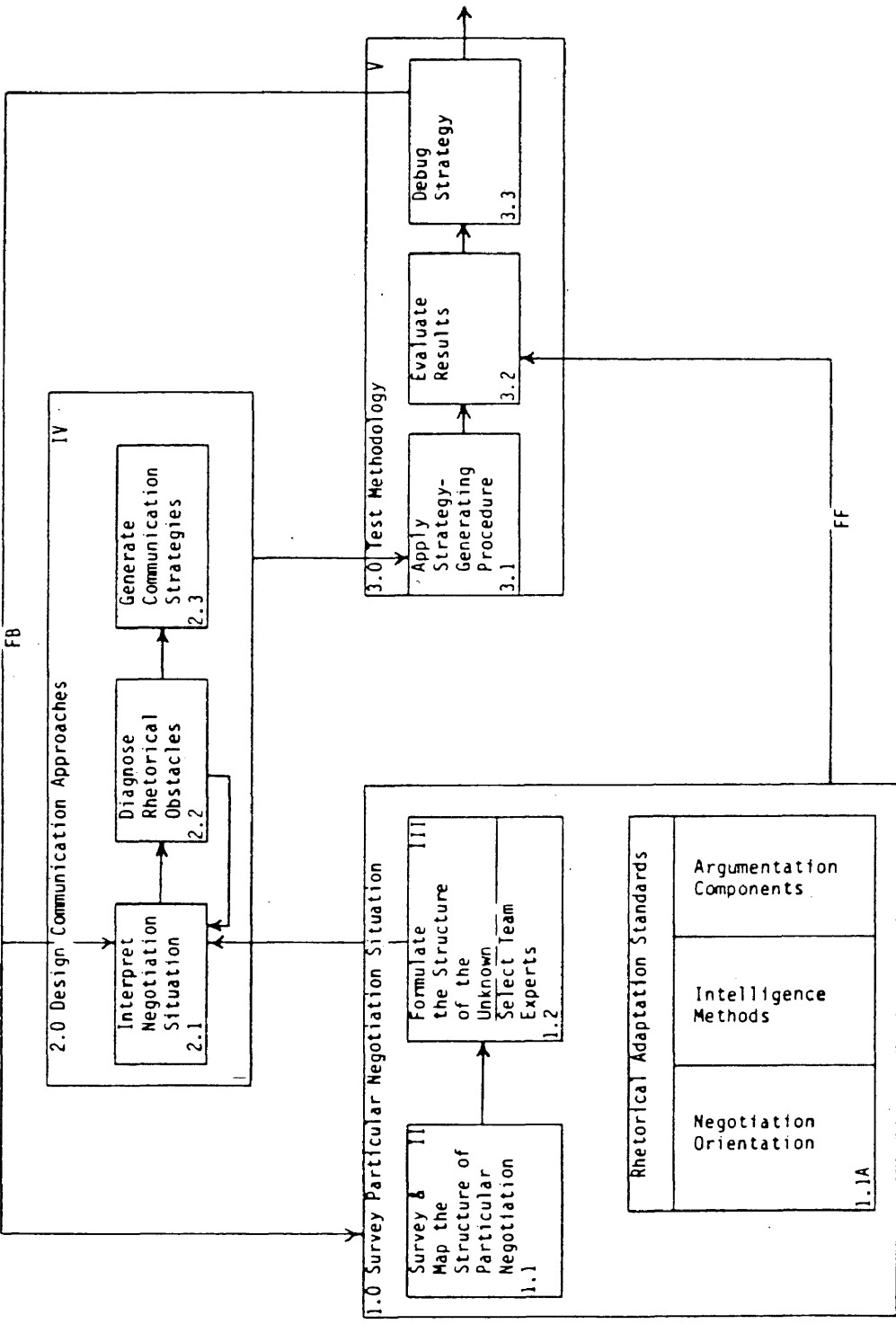
(Each chapter number [Roman numerals] appears in the upper right-hand corner of the particular diagram box that represents that chapter's phase of negotiation preparation.)

(In Ferdig's thesis this was Figure 3.)

RHETORICAL SCHEMATIC

STAGE ONE	STAGE TWO	STAGE THREE
Which trends seem most credible based upon factors relating to a given negotiation topic?	Which rhetorical obstacles are likely to exist in relation to a given negotiation topic?	Which communication strategies (or tactics) are likely to be most appropriate for a given negotiation topic?

(A) Chinese Negotiators (Ch. Neg.)

(1) Perception
- (a) Attitude
- (b) Belief
- (c) Message decoding

(2) Motivation
- (a) Needs
- (b) Values

(B) Subject or Purpose (Sub/Pur)

(1) Subject
- (a) Complexity
- (b) Cultural history

(2) Purpose
- (a) Cost
- (b) Control

(C) U.S. Negotiators' Credibility (U.S. Cred.)

(1) Prior credibility
- (a) Reputation
- (b) Appearance
- (c) Introduction
- (d) Context

(2) Current credibility
- (a) Identification
- (b) Social power
- (c) Participation

Inquiry ?

Enter Selected Negotiation Topic

Figure 4: Rhetorical Schematic

(In Ferdig's thesis this was Figure 4.)

Ferdig illustrated the usefulness of her methodology by generating communication strategies via the Rhetorical Schematic as if she were a "representative of a U. S. wheat trading company negotiating a wheat contract with representatives of China" (p. 22). In order to debug her methodology, she evaluated the strategies according to previously prescribed rhetorical communication standards.

My thesis is strongly connected to Ferdig's as her study provided a solid foundation and a springboard for developing my methodology. Where Ferdig's thesis is a communication methodology dealing with a specific negotiation situation, mine is a negotiation pedagogy as communication methodology. Negotiation pedagogy as communication methodology is directed toward teaching negotiators to teach themselves to negotiate anything negotiable.

Inasmuch as the end product of this communication methodology is a negotiation pedagogy focused on conditionality and recursivity in third-order coupling, I needed an exemplifying case in order to proceed. The exemplifying case served to focus my study as a whole and provided a means to explicate the concepts of conditionality, recursivity and third-order coupling. The case study data I used were taken from *Development as communication: A perspective on India* (Narula and Pearce, 1986) which consists of a report on national development planning in India since its independence in 1947 as seen from the "communication perspective." According to this perspective, "any form of social action can be shown to be communication" (p. 58) such as "sleeping through a class or having dinner (with the new per-

son at the office). Etcetera" (p. 59). "Development. . . . is a special case of communication processes" (p. 6).*

Specifically, I focused on "Chapter 8: The Interaction Among Development Agents," and in particular, a section in that chapter called "Creating Development Awareness: The First Plan." I chose Narula and Pearce's study because of (1) my interest in India and Indian culture and (2) my interest in education and development in general. Specifying a particular section or topic within their study served to limit the boundaries of the context and made exemplifying my pedagogy feasible. The *structure* of the exemplification process is shown in "Figure 5: Stages of Exemplification."

The research design of this thesis incorporated an "inquiry generator" as a way to create options, not excluding strategies and tactics, for learning how to learn *how* to negotiate. I call the mechanism in my methodology by which I generated inquiries the "Change-Choice-Control Triangle" (CCC Triangle). It is diagrammed below.
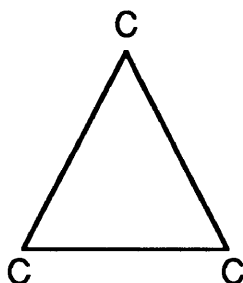
*Narula and Pearce's "communication perspective" views "development as the construction of a particular set of relationships, roles, and patterns of actions, and communication as the process by which these are created" (p. 15).

A. Select Development.

A.1 Map the structure of the development according to negotiation pedagogy as communication methodology focused on conditionality and recursivity in third-order coupling.

A.2 Select **Item(s)** from structure as mapped.

B. Apply CCC Triangle to selected item(s). .

Figure 6

B.1 . . in the **historical** mode.

B.2 . . in the **negotiation** mode.

C. Apply Heuristic Schematic. Use **Interrogational Functions.**

Figure 7, Column D

C.1 Generate **Questions** by interpreting Interrogational Functions.

C.2 Generate **Examples Of Answers.**

Figure 5: Stages of Exemplification

The triangle can be rotated. That aspect at the apex is considered to be at the forefront or featured; yet it must be noted that the three aspects are interrelated and one cannot be primarily considered without secondarily considering the others.

The *structure* for creating options via the CCC Triangle is shown in Figure 6.

With reference to the column headed "**Historical** Mode--**Actual** (Past)" in Figure 6--using my statement of purpose as an abstractor--I selected items from the First Five Year Plan related to conditionality, recursivity and third-order coupling. I generated inquiries about those items regarding change, choice and control. For example, with regard to the first plan, Narula and Pearce reported that it "initiated development projects on a national scale" (p. 183). I asked three *sets* of inquiries: (1) What *changes* were made? (2) Who made what *choices?* (3) How were the changes to be *controlled?* Illustrative answers to the inquiries about actual situations were either directly stated or implied by Narula and Pearce; answers such as (1) A nationwide extension education program was established; (2) Government planners used an American agricultural extension program as a model for their program and adapted it to India; (3) Unilateral control was assumed by the government bureaucracy including extension agents sent to the villages to demonstrate new techniques to local leaders and villagers.

With reference to "**Negotiation** Mode--**Options** for Negotiation" in Figure 6, I viewed the selected items *as if* they were negotiable and

TWO **KINDS** OF INQUIRIES FOR CREATING
OPTIONS VIA THE CCC TRIANGLE

SETS of Inquiries For Creating Options:	**Historical** Mode-- **Actual** (Past):	**Negotiation** Mode-- **Options** for Negotiation:
Change	(1)	(1)
Choice	(2)	(2)
Control	(3)	(3)

Figure 6: Structure for Creating Options

asked change, choice and control inquiries *as if* decisions had not yet been made and actions had not yet been taken, but were to be negotiated. I asked, (1) What changes *might* be made? (2) Who *might* make what choices? (3) How *might* the changes be controlled? This process of asking these inquiries from an as if point of view yielded options to be considered for negotiation; options such as (1) Instead of beginning with a solution in the form of a nationwide extension education program, the answer to the inquiry about what changes *might* be made would be determined by negotiation between government officials and representatives of the constituents who would be affected;* (2) An open-ended list of alternative programs would be presented by government officials to representatives of the constituents for ranking or rating of their preferences with subsequent choices of programs decided upon by negotiation; (3) Instead of the government assuming unilateral control, collaboration between government officials and representatives of the constituents would determine how changes would be controlled.

Inasmuch as this pedagogy is heuristically oriented, I devised four sets of question forms called interrogational functions derived from Polya's (1957) stages of modern heuristic problem-solving. Interrogational functions are counterparts of propositional functions, or

*When persons who are not experienced in negotiation are given the opportunity, provisions should be made to insure they are not disadvantaged by lack of negotiation capabilities. In this case, the Prime Minister of India or his designated representative could request the good offices of the United Nations to recommend a third party expert in negotiation to make certain that the inexperienced party is as advantaged as the other. This is analogous to the practice in the United States judicial system when an attorney is appointed by the court in cases where the defendant's rights need protection.

declarative forms. "The significant difference between interrogational functions and propositional functions, as the terms are used here, is the difference between declaring and asking" (Carter and Richey, 1961, p. 30). Because of the inquisitive nature of negotiation, I used interrogational, rather than propositional, functions.*

Polya's Stages of Heuristic Problem-Solving	Interrogational Functions
1. Understanding the problem.	What is the structure of the *unknown*, (i.e., of the negotition problem)? Who was involved? What happened? Where did it happen? When did it happen?
2. Devising a plan. "Find the connection between the data & the unknown. You may be obliged to consider auxiliary problems if an immediate connection cannot be found. You should obtain eventually a *plan* of the solution" (Polya, 1957).	(a) What are the connections between the data & the *unknown?* (b) What are the similarities & differences between this problem as mapped & comparable problems? (c) In what ways should the *planning* reflect conditionality and recursivity in third-order coupling?
3. Carrying out the plan.	To what extent does the planning as carried out match the structure of negotiation pedagogy as communication methodology focused on conditionality and recursivity in third-order coupling?

*These are examples of interrogational functions; others may be needed.

| 4. | Looking back. | What did you learn. . |

4.   Looking back.   What did you learn. .
                                          . . about learning *how to learn*
                                             to negotiate?
                                          . . about learning how to learn
                                             how to negotiate?
                                          . . about planning & replanning?

In order to understand the *nature* of negotiation dialogue as presented in this thesis, watch in the following quotations taken from *The Structure of Magic* (Bandler and Grinder, 1975, p. 161) for the *nature* of the dialogue between client (S) and therapist (T) in which the lead is taken by the therapist.

(1)   S: Paul just doesn't   The client's Surface Structure
            care about   claims that the client has knowl-
            cleaning up the   edge about the inner state of ano-
            house.   ther without stating how she gained
                                     this knowledge--mind-reading--thus
                                     violating the semantic well-formed
                                     in therapy conditions.*

(2)   T: How do you know   The therapist chooses to challenge
            he doesn't care   this semantic violation by asking the
            it?   client to specify the process more fully.

(3)   S: He told me.   The client supplies the information
                                     requested. Her Surface Structure,
                                     however, contains a deletion associ-
                                     ated with the predicate *tell*--tell what?

(4)   T: He told you what,   The therapist asks for the missing
            specifically?   material.

(5)   S: He said, "I don't care   The client supplies the material.
            about whether the
            house is clean or not."

(6)   T: How do you feel   The therapist, using his knowledge
            about his telling   that the client's reference structure
            you he doesn't care   must include her feelings about Paul's

*According to Bandler and Grinder, (1975), verbal communication must meet certain conditions to be well-formed in therapy. For further information on well-formedness, see *The Structure of Magic.*

		about whether the house is clean or not?	behavior as a necessary condition for being a well-formed-in-therapy reference structure, asks for that component.
(7)	S:	I feel angry--in fact, damn mad . . . that's what we fight about all the time.	The client supplies her feelings about Paul's behavior. Her new Surface Structure includes a universal quantifier (all) which identifies a generalization which the therapist may challenge.

For the purposes of illumination, an analogy can be drawn between the Interrogational Functions and the meta-model for therapy develop by Bandler and Grinder. Such an analogy is represented in "Figure 7: Heuristic Schematic."

Figure 7 is organized around Polya's four stages of heuristic problem-solving. Columns A and B are as given earlier in this thesis (see page 32). Columns C and D expose differences between clients before they have engaged in Bandler and Grinder therapy and after they have successfully completed therapy. Column E reveals similarities between the two perspectives formulated in Columns B and D.

Taking a meta-perspective (an illumination of the illumination) on the analogy reveals some otherwise unnoticed differences as well as additional similarities: (1) Ordinary pedagogy consists of method(s) of teaching. Negotiation pedagogy as communication methodology calls for indefinitely many methods remaining on any occasion to be designed according to the conditions; (2) No matter what method may be designed for a particular negotiation, negotiation pedagogy as communication methodology is a heuristic enterprise; (3) There are

A. Polya's Heuristic Problem-Solving Stages	B. Interrogational Functions	C. Bandler & Grinder's Meta-model: Client Before Therapy	D. Bandler & Grinder's Meta-model: Client After Therapy	E. Remarks Regarding The Analogy Between B & D-- The Analogy Is That
1. Understanding the problem.	What is the structure of the *unknown*, (i.e., of the negotiation problem)? Who was involved? What happened? Where did it happen? When did it happen?	Client exhibits superficial Surface Structure responses. Client has improverished model of the world.	Client demonstrates Deep Structure awareness together with comprehensive Surface Structure responses.	*Both the negotiator in B1 & the client in D1 are undergoing a process similar to A1: *Understanding* the problem.
2. Devising a plan. "Find the connection between the data & the unknown. You may be obliged to consider auxiliary problems if an immediate connection cannot be found. You should obtain eventually a *plan* of the solution" (Polya, 1957).	(a) What are the connections between the data & the *unknown?* (b) What are the similarities & differences between this problem as mapped & comparable problems? (c) In what ways should the *planning* reflect conditionality & recursivity in third-order coupling?	Client: Is not aware of deletions. Limits self by distortion. Overgeneralizes.	Client: Is aware of deletions. Is less limited by distortion. More typically discriminates. Deep Structure of the client is recovered & enriched.	**The negotiator in B2 manages the three universals (generalization, deletion, & distortion) in a similar manner to the client in D2. The negotiator makes choices about deletions, is alert to distortions, & consciously controls generalizations.
3. Carrying out the plan.	To what extent does the planning as carried out match the structure of negotiation pedagogy as communication methodology focused on conditionality & recursivity in third-order coupling?	Client is dependent. Client has restricted choices & fewer options.	Client is autonomous. Client has expanded choices & more options.	***Similar to the client in D3, the negotiator in B3 is autonomous. He/she negotiates within the framework of negotiation pedagogy as communication methodology focused on conditionality & recursivity in third-order coupling. The negotiator demonstrates "transcendent optimal competence."
4. Looking back.	What did you learn. . . about learning *how to learn* to negotiate? . . about learning how to learn *how* to negotiate? . . about planning & replanning?	Minimal learning takes place.	Optimal learning takes place. up to & including self-directed learning.	Similar to the client in D4, who has become his/her own therapist, the negotiator in B4 has learned how to learn *how* to negotiate.
****Transactive Goals		Client is unaccepting of change.	Client shows a conditional orientation toward change.	The negotiator in B4 shows a conditional orientation toward change with an ability to deal with recursive structures in third-order coupling.

*All asterisks refer to additional remarks on the following page.

Figure 7: Heuristic Schematic (A Comparison of Bandler and Grinder's Meta-model to the Interrogational Functions.)

*Understanding the problem requires Deep Structure awareness together with *comprehensive* Surface Structure responses.

**For the negotiator, devising a plan is only a beginning. His/her plan includes provisions for re-planning. The structure of planning is conditional and recursive, and planning is viewed as a dynamic rather than static process. If the negotiator is able to competently manage the three universals of human modeling, generalization, deletion and distortion, he/she can be alert to whatever changes might be necessary in his/her planning depending upon the circumstances and then modify or change his/her plans accordingly.

***Pearce and Kang (1987) cite L. M. Harris' conception of communication competence as "the ability to control the extent to which one is enmeshed in the logic of a particular system" (p.239). "A transcendent optimally competent person identifies himself/herself with the fact that he/she is variably enmeshed in multiple systems and is not fully identified by the meanings in any of them; the self is located *simultaneously* and *unproblematically* both inside and outside each of the cultural systems of which he/she is a part" (p. 243). Optimally competent persons can be contrasted to two other modes of competence: minimal and satisfactory. Minimally competent persons "do not know how to act, cannot judge whether particular acts are right or wrong, and are often surprised by the sequence of events" (p. 239). They are considered "outside" the logic of the system. "Satisfactory competence describes persons who have gotten 'inside' the new system and have accepted its boundaries as their own" (p. 239). Transcendent optimal competence would be an unreasonable expectation for anyone with an impoverished model of the world, but not an unreasonable aspiration for clients after successful therapy, nor for negotiators who have learned how to learn *how to* negotiate.

****According to Hocker and Wilmot (1978), "transactive goal development takes place *during* conflict episodes, rather than before or after (p. 95, emphasis mine). . . . transactive goal development occurs in response to the *specific* issues of the conflict" (p. 96, emphasis mine). Their concept of transactive goals can be applied to negotiation during the planning and replanning phases in which goals may be changed. New goals are advanced depending upon the conditions of the negotiation.

Figure 7: Supplement

differences between therapy and negotiation; for example, the participants in negotiation are not assumed to be handicapped by impoverished models of the world which Bandler and Grinder attribute to their clients; (4) Agenda setting in therapy is presumably related to the client's problem(s) whereas agenda setting in negotiation is presumably determined by problems in the public domain; (5) Notice that Polya's heuristic problem-solving procedure is both analytic and synthetic.* Bandler and Grinder's meta-model is also both analytic and synthetic. It takes analysis to discover Deep Structure and synthesis to represent that Deep Structure together with the comprehensive Surface Structure (Column D). Until we know the structure of the negotiation problem, there is no way to determine the preconditions for negotiating. For instance, with regard to "Who is involved?" there must be at least two parties interested in negotiating; (6) Much, if not most, of the decisions made in both therapy and negotiation must be made with insufficient evidence and a paucity of quantitative data; (7) When the accomplishments of the client in Column D are understood as the result of extensionalizing (enrichment of the client's impoverished model of the world by developing his/her comprehensive Surface Structure through awareness of Deep Structure), then it becomes apparent that the same kind of extensionalizing is required for "transcendent optimal competence" in negotiation.**

*The best single source for understanding Polya's Modern Heuristic problem-solving is *Mathematics and plausible reasoning: Induction and analogy in mathematics (VoL 1) and Patterns of plausible inference (VoL 2)*, Princeton, N.J: Princeton University Press (1954).

**See Appendix A

Apke and Ferdig debugged their methodologies by evaluating
them according to pre-established specifications or standards given in
their theses. The research design of my thesis did not call for using
pre-established specifications or standards as evaluation criteria. The
viability of my methodology remains to be determined in practice--a
stage in the research development process that might very well be
field testing. Meanwhile, the distinctive nature of this heuristic ap-
proach was *illuminated* by formulating a comparison structure. I com-
pared (1) recommendations for India's development born out of the
negotiable options I generated to (2) recommendations for future de-
velopment efforts given by Narula and Pearce. By comparing these two
sets of recommendations, some of the implications of using this peda-
gogical methodology were revealed.

Limitations

(1)   Although there is nothing in this thesis that demonstrates
validity of its pedagogy beyond the boundaries of the exemplification of
the Narula and Pearce study, there is no reason to believe that the
pedagogy could not be extended to other national development cases.

(2)   With appropriate design changes, the pedagogy could be useful
in learning how to learn *how* to negotiate even more diverse situations
such as arms reduction negotiations between the United States and
Soviet Union, a water rights negotiation between neighboring states,
or a marital divorce settlement.

Chapter 2

EXEMPLIFICATION OF THE PEDAGOGY

As indicated in Figure 5* (see page 28), the first stage in exemplifying this pedagogy was to select a particular development within the designated case study, *Development as communication: A perspective on India* (Narula and Pearce, 1986). I chose Narula and Pearce's study for reasons already given (see page 26). **(A)** The data in this case study suitable for use in exemplification consisted of reports on six five year plans for national development that have been implemented by the Indian government since India's independence. I chose the First Five Year Plan as my development after comparing all six plans to my statement of purpose with its focus on conditionality and recursivity in third-order coupling. Inasmuch as each of the six plans as implemented involved conditionality, recursivity and third-order coupling, then having found no significant difference among the plans in relation to my statement of purpose, I selected the First Five Year Plan.

(A.1) My second step consisted of decomposing the plan to determine what items were related to conditionality, recursivity and third-order coupling. I asked myself, "In what way does this plan involve conditionality, recursivity and third-order coupling?" From there I enumerated nineteen items pertaining to the selectors, although they did not all pertain to each selector. **(A.2)** Since it was

*I have placed letters in the text corresponding to those in Figure 5, **(A)**, **(A.1)**, etc., to designate where each stage is described.

not feasible to proceed through the exemplification using nineteen

items, I selected five as possibilities for exemplifying my pedagogy

because they clearly represented the basic structure of the First Five

Year Plan as given by Narula and Pearce (Figure 8.1, p. 184): (1)

"Community development programs were visualized as physical and

social reconstruction of the community by developing relationships

between groups and individuals that enabled them to create and

maintain facilities and agencies for the common welfare" (p. 76); (2)

The First Five Year Plan "was understood by the planners as a means to

create development awareness" (p. 183); (3) "The people themselves

were identified as a primary resource to be developed, comprising of

vast unutilized energy lying dormant in the countryside that should be

harnassed (sic) for constructive work" (p. 77); (4) "Feedback from the

people was seen as important not in setting development goals but in

successfully adapting the government's message to the local

requirements and achieving popular support" (p. 78); (5) The planners

"are committed to achieve 'democratic socialism'" (p. 100). The fifth

item, **The planners "are committed to achieve 'democratic socialism'"***

(hereafter **Item N**), was the one chosen for exemplification because it

is about the objective of the planners, a logical place to begin.

*As given in Narula and Pearce, "Articles 38 and 39 in India's Constitution clarify the
meaning of 'democratic socialism,' and were cited when the government created the
Planning Commission in March 1950. Article 38 says: The State shall strive to
promote the welfare of the people by securing and protecting, as efficiently as it may, a
social order in which justice, social, economic and political, shall inform all the
institutions of national life. Article 39 makes this commitment: The State shall, in
particular, direct its policy towards securing--(a) that the citizens, men and women
equally, have the right to an adequate means of livelihood; (b) that the ownership and
control of the material resources of the community are so distributed as best to subserve
the common good; (c) that the operation of the economic system does not result in the
concentration of wealth and means of production to the common detriment" (p. 100).

(B) (Before taking the next step, I reminded myself that the change, choice and control inquiries were to be asked twice--once in the **historical** mode and once in the **negotiation** mode.)

Change, Choice, Control Inquiries
Historical Mode (B.1)
Actual (Past)

With regard to **Item N**:

(1) What *changes* were made?

> "The effort to achieve democratic socialism necessarily took two aspects: policies directed at the national economy as a whole and policies directed at community development (p. 100). . . . The improvement of individuals' lifestyles was thought impossible unless there was a strong national economy, and a strong national economy depended on the adoption of modern innovations by the people" (p. 102).

(2) Who made what *choices?*

> "During the first development decade, the planners seemed to think of national economic issues and local development problems as interdependent, each a prerequisite of the other, and gave them roughly equal priority" (p. 102).

(3) How were the changes to be *controlled?*

> "Democratic planning was attempted by involving the people as well as various levels of government personnel (p. 103) . . . . In practice, however, planning has been done primarily by state or national government officials who are part of the urban elite" (p. 100).

(Exemplifying the pedagogy thoroughly required that I generate more than one set of "**Options** for Negotiation" for **Item N**. In the following pages are **three** sets of "**Options** for Negotiation.")

Change, Choice, Control Inquiries
Negotiation Mode (B.2)
First Set of "**Options** for Negotiation"

With regard to **Item N**:

(1) What changes *might* be made?

> Rather than viewing democratic socialism
> as an *achievable* goal throughout *all* of
> India, it could be viewed as an *ideal* toward
> which India could strive. With this change
> in perspective, the planners* and
> representatives of the constituents who
> would be affected would then negotiate
> goals intended to lead to democratic
> socialism that are pragmatic, achievable and
> tailored to specific communities or sections
> of India.

(2) Who *might* make what choices?

> Choices as to what goal a community or sec-
> tion is ready to achieve would be deter-
> mined by negotiation between the planners
> and representatives of the constituents who
> would be affected.

(3) How *might* the changes be controlled?

> Changes would be controlled by the plan-
> ners *and* representatives of the constitu-
> ents who would be affected depending
> upon the nature of the change.**

*Suffice it to say that the planners may not be the only government officials involved in negotiating problems regarding national development. Other cognizant government officials would, of course, participate in negotiations as warranted.

**According to Frost and Wilmot (1978), people exhibit three different styles of relation-ships in regard to controlling interpersonal conflict: (1) complementary, (2) symmetri-

Second Set of "**Options** for Negotiation" regarding **Item N:**

(1) What changes *might* be made?

Instead of viewing policy making from a bipolar perspective (national economy and community development), areas of policy making would be perceived holistically whereby diverse and multiple aspects would be considered; for example, policies directed at the development of states or regions as well as communities and the nation as a whole; policies concerning special interest groups such as those affiliated with certain religions.

(2) Who *might* make what choices?

Any choices made would be negotiated between the planners and representatives of the constituents who would be affected.

(3) How *might* the changes be controlled?

Any controls would be stipulated through collaboration between the planners and representatives of the constituents who would be affected with future changes determined by negotiation.

Third Set of "**Options** for Negotiation" regarding **Item N:**

(1) What changes *might* be made?

cal and (3) parallel. In complementary relationships, people choose styles which complement one another. When people openly strive for the same kind of control in their relationship, they have a symmetrical relationship. Parallel relationships are flexible in that the participants vary between symmetrical and complementary styles. The concept of parallel relationships could be applied to controlling changes by negotiation depending upon the nature of the changes, e.g., *where* a change is to take place--on the national or local level--would dictate who would have direct control of the change. Suzanne K. Langer (1967) differentiates between fine (direct) and gross (indirect) control "Environment is, in fact, a relative concept. . . . All vital action, whether of the organism as a whole in its surrounding or of an organ internal to it, is interaction, transaction, in which the functioning unit has the fine control, and the medium in which it maintains itself has the gross control; that is, the latter determines what is given, the former what is taken" (p. 26).

The extent to which the people are ready for modern innovations would be determined by the planners and representatives of the constituents who would be affected.

(2) Who *might* make what choices?

Demonstrations of modern innovations appropriate to particular communities or sections of India would be presented for negotiation by the planners to the representatives of the constituents who would be affected.

(3) How *might* the changes be controlled?

Choices about control would be negotiated by the planners and representatives of the constituents who would be affected.

(C) (Next, I used the Interrogational Functions **(IF)** to apply the Heuristic Schematic.* **(C.1)** Then I interpreted each IF to generate specific Questions with regard to **Item N** and, in turn, **(C.2)** generated Examples Of Answers to these questions.)

For the benefit of negotiation students and educators, I have further delineated the structure of the exemplification process by designating Stages C, C.1 and C. 2 in Figure 5 as a *phase*. There are four phases corresponding to the number of Interrogational Functions. The *structure* of each phase is shown in Figure 8.

All four phases comprise a *cycle*. There are three sets of cycles corresponding to the three sets of change, choice and control inquiries in the negotiation mode. Figure 9 shows the *structure* of

*The Interrogational Functions were first introduced on page 32. The Heuristic Schematic (Figure 7) is on page 35.

The *structure* of **Phase 1**:

(C)   I.   1st IF.

         I.A.   Who, what, where & when IFs.

(C.1)   II.   Question.

         II.A.   Who, what, where & when Questions.

(C.2)   III.   Example Of Answer.

         III.A.   Who, what, where & when Examples Of Answers.

The *structure* of **Phase 2**:

(C)   IV.   2nd IF consisting of (a), (b) and (c).

(C.1)   V.   Question consisting of (a), (b) and (c).

(C.2)   VI.   Example Of Answer consisting of (a), (b) and (c).

The *structure* of **Phase 3**:

(C)   VII.   3rd IF.

(C.1)   VIII.   Question.

(C.2)   IX.   Example Of Answer.

The *structure* of **Phase 4**:

(C)   X.   4th IF.

(C.1)   XI.   Question.

(C.2)   XII.   Example Of Answer.

Figure 8: Structure of Four Phases

Phase 1:

I. Interpret **1st IF** with regard to **Item N**.

    I.A. Interpret **Who, What, Where & When IFs** with regard to **Item N**.

    These subset IFs are used to discover the structure of the *unknown.*

II. Generate a specific **Question** by interpreting 1st IF.

    II.A. Generate specific **Who, What, Where & When Questions** with regard to **Item N**.

    In the exemplification process in this thesis, the Who, What, Where & When IFs are regenerated as Questions. I supply a structure from Narula and Pearce to answer them. Every negotiation problem has a history that precipitates the negotiation process. The Structure For Answering Who, What,When & Where Questions (example page 47) provides the means for understanding how the negotiation problem arose.

    Although the Where and When Questions are asked in the Change Cycle in the exemplification process in this thesis, they are dropped from the Choice and Control Cycles as the Examples Of Answers are the same as in the Change Cycle, i.e., the where is in India and the when is shortly after India's independence.

III. Generate **Example Of Answer** to the Question.

    III.A. Generate **Examples Of Answers** to Who, What, Where and When Questions.

Phase 2:

IV. Interpret **2nd IF** with regard to **Item N**.

    There are three parts to this IF, (a), (b) and (c); interpret each.

V. Generate a specific **Question** by interpreting 2nd IF.

    Generate specific Questions for each part of the IF.

VI. Generate an **Example Of Answer** to the Question.

    Generate Examples Of Answers for each part of the Question.

Phase 3:

VII. Interpret **3rd IF** with regard to **Item N**.

VIII. Generate a specific **Question** by interpreting 3rd IF.

IX. Generate an **Example Of Answer** to the Question.

Phase 4:

X. Interpret **4th IF** with regard to **Item N**.

XI. Generate a specific **Question** by interpreting 4th IF.

XII. Generate an **Example Of Answer** to the Question.

Figure 9: Structure of A Change, Choice or Control Cycle

a change, choice or control cycle and gives further explanation of

stages C, C.1 and C.2.

Change Cycle
First Set of Options for Negotiation
Phases 1 - 4
Stages C, C.1 & C.2

With regard to **Item N**:

1st I. F.
What is the structure of the *unknown*,
(i.e., of the negotiation problem)?

Who was involved?
What happened?
Where did it happen?
When did it happen?

Question
With regard to the planners being committed
to achieve democratic socialism, what is to be
negotiated about what changes *might* be made?

Who was involved?
What happened?
Where did it happen?
When did it happen?

Example
Of
Answer
What is to be negotiated about what changes
might be made is whether democratic social-
lism is an *achievable* goal throughout *all* of India
or whether it should be viewed as an *ideal.*

The structure for answering the who, what,
where and when questions is apparent in this
paragraph from Narula and Pearce.

Structure
For Answering
Who, What,
Where & When
Questions--
1st I. F.
"The planners have an explicit commit-
ment to the larger goals of the nation-
al government and take a perspective
that encompasses the broad range of
of government activities. They see In-
dia as suffering from problems result-
ing from the colonial occupation by a
foreign power. The British experience,
they feel, produced a self-perpetuating
poverty, a social system full of exploita-

tion and inequity, and an economic infrastructure poorly designed to enable India to function well as an economic entity. In addition, they feel that the international political and economic environment impedes their independence and prosperity. Within these unfavorable contexts, however, they are committed to achieve 'democratic socialism'" (p. 100).

Examples Of Answers To Who, What Where, & When Questions-- 1st L F.	Who was involved?	The planners.
	What happened?	The planners "see India as suffering from problems resulting from the colonial occupation by a foreign power" (p. 100).
	Where did it happen?	India.
	When did it happen?	Shortly after India's independence.

2nd I. F.   (a)   What are the connections between the data & the *unknown?*

Question   What are the connections between (1) the planners "are committed to achieve 'democratic socialism'" (p. 100) and (2) what is to be negotiated about what changes *might* be made?

Example Of Answer   Given that India is "suffering from problems resulting from the colonial occupation by a foreign power" (p. 100) and Indians as a whole are greatly inexperienced in creating and maintaining democratic socialism, negotiating whether democratic socialism is an *achievable* goal throughout *all* of India or whether it should be viewed as an *ideal* **expands the repertoire of choices and creates more options for the planners in designing and carrying out their plans for development.* ***

*See Figure 7, Heuristic Schematic, Column D, No. 3, for comparability between this example of an answer to the 2nd I. F.(a) and Bandler and Grinder's therapy.

**The most notable outcome of this exemplification process is the data in bold-face, italic type contained in the 2nd IF (a) sections of all three cycles. See page 56, last paragraph, for further explanation.

2nd I. F.	**(b)**	What are the similarities & differences between this problem as mapped & comparable problems?
Question		Have you seen a similar negotiation problem?
Example Of Answer		Compare the structure of this negotiation problem to the structure of a comparable problem to discover similarities and differences between the two. In this case, a comparison between India and another nation that has been in a similar position as India may prove to be valuable in devising the *planning* stage.
2nd I. F.	**(c)**	In what ways should the *planning* reflect conditionality and recursivity in third-order coupling?
Question		In what ways should the *planning* for negotiating whether democratic socialism is an *achievable* goal throughout *all* of India or whether it should be viewed as an *ideal* reflect conditionality and recursivity in third-order coupling?
Example Of Answer		The *planning* for negotiating should include a conditional and recursive structure which could include, for example, generating multiple perspectives on how to view democratic socialism depending upon the conditions. Conditions depend upon who is to be involved, what is to happen, where is it to happen and when is it to happen. For instance, democratic socialism might be achievable on the local level in some cases, while in others it might be unattainable.
3rd I. F.*		To what extent does the planning as carried out match the structure of negotiation pedagogy as communication methodology focused on conditionality & recursivity in third-order coupling?
Question		What would be the result of asking the 3rd I. F.

*See Chapter 4, Summary, Conclusions and Recommendations For Future Research.

in connection with the current negotiation problem?

Example Of Answer

To the extent the planning as carried out matches the structure of negotiation pedagogy as communication methodology focused on conditionality and recursivity in third-order coupling, then to that extent the negotiators will have been autonomous and will have demonstrated "transcendent optimal competence" in negotiation.

4th I. F.*

What did you learn. .
. . about learning *how to learn* to negotiate?
. . about learning how to learn *how* to negotiate?
. . about planning & replanning?

Question

What would be the result of asking the 4th I. F. in connection with the current negotiation problem?

Example Of Answer

The negotiators will have learned *how to learn* to negotiate, and will have learned how to learn *how* to negotiate as well as how to deal with transactive goals and planning and replanning.

Choice Cycle
First Set of Options for Negotiation
Phases 1 - 4
Stages C, C.1 & C.2

With regard to **Item N:**

1st I. F.

What is the structure of the *unknown,* (i.e., of the negotiation problem)?

Who was involved?
What happened?

Question

With regard to the planners being committed to achieve democratic socialism, what is to be negotiated about who *might* make what choices?

*See Chapter 4, Summary, Conclusions and Recommendations For Future Research.

Who was involved?
What happened?

**Example
Of
Answer**
What is to be negotiated about who *might* make what choices is whether or not choices as to what goal a community or section is ready to achieve would be determined by negotiation between the planners and representatives of the constituents who would be affected.

The structure for answering the who and what questions is apparent in this paragraph from Narula and Pearce.

**Structure
For Answering
Who & What
Questions--
1st I. F.**
"The planners have a definite notion of how the various groups should interact in order to bring about development. . . . They envision all agents as actively participating in a fully circular process. In this process, their own role is that of providing expertise that guides the action of others" (p. 108). The planners envision "a sequence leading to decentralization, in which there would be a 'withering away' of the bureaucracy, or at least a change in the pattern of action so that the people themselves would take the initiative for identifying development needs, devising solutions for those needs, and implementing remedial programs" (p. 111).

Examples Of Answers To Who and What Questions-- 1st I. F.		
	Who was involved?	The planners.
	What happened?	"The planners have a definite notion of how the various groups should interact in order to bring about development" (p.108). They envision "a sequence leading to decentralization" (p. 111).

2nd I. F.   (a)
What are the connections between the data & the *unknown?*

Question
What are the connections between (1) the planners are "committed to achieve 'demo-

cratic socialism'"(p. 100) and (2) what is to be negotiated about who *might* make what choices?

Example Of Answer

Given that the planners envision "a sequence leading to decentralization" (p. 111), negotiating whether or not choices as to what goal a community or section is ready to achieve would be determined by negotiation between the planners and representatives of the constituents who would be affected **promotes optimal self-directed learning in negotiation**, the type of process needed to bring about decentralization.*

2nd I. F.   (b)   What are the similarities & differences between this problem as mapped & comparable problems?

Question   Have you seen a similar negotiation problem?

Example Of Answer

Compare the structure of this negotiation problem to the structure of comparable problems to discover similarities and differences between them. Comparable problems might be found in the area of urban housing development, school administration, or politics.

2nd I. F.   (c)   In what ways should the *planning* reflect conditionality and recursivity in third-order coupling?

Question   In what ways should the *planning* for negotiating whether or not choices as to what goal a community or section is ready to achieve would be determined by negotiation between the planners and representatives of the constituents who would be affected reflect conditionality and recursivity in third-order coupling?

Example Of Answer

The *planning* for negotiating should include a conditional and recursive structure which could include, for example, the planners and

*See Figure 7, Heuristic Schematic, Column D, No. 4, for comparability between this example of an answer to the 2nd I. F.(a) and Bandler and Grinder's therapy.

representatives of the constituents who would be affected generating alternative goals and plans for achieving these goals.

3rd I. F.   To what extent does the planning as carried out match the structure of negotiation pedagogy as communication methodology focused on conditionality and recursivity in third-order coupling?

Question   What would be the result of asking the 3rd I. F. in connection with the current negotiation problem?

Example Of Answer   This remains to be seen.

4th I. F.   What did you learn. .
. . about learning *how to learn* to negotiate?
. . about learning how to learn *how* to negotiate?
. . about planning & replanning?

Question   What would be the result of asking the 4th I. F. in connection with the current negotiation problem?

Example Of Answer   This remains to be seen.

Control Cycle
First Set of Options for Negotiation
Phases 1 - 4
Stages C, C.1 & C.2

With regard to **Item N:**

1st I. F.   What is the structure of the *unknown*, (i.e., of the negotiation problem)?

Who was involved?
What happened?

Question   With regard to the planners being committed to achieve democratic socialism, what is to be

negotiated about how *might* the changes be controlled?

Who was involved?
What happened?

**Example
Of
Answer**

What is to be negotiated about how *might* the changes be controlled is whether or not changes would be controlled by the planners *and* representatives of the constituents who would be affected depending upon the nature of the change.

The structure for answering the who and what questions is apparent in this paragraph from Narula and Pearce.

**Structure
For Answering
Who & What
Questions--
1st I. F.**

The masses "see development as something initiated by the government. . . . The masses felt themselves strongly 'communicated with,' and interpreted the government as nominating itself for the role of perpetual provider of the benefits and resources of modernity" (p. 173) . . . . Programs of direct action seem most directly to show the government as the willing and voluntary provider of goods and services. This combined with three other aspects of the interaction between the masses and the government to complete a perception of the government as a surrogate parent--at least as far as development goes" (p. 174).

**Examples Of
Answers To
Who & What
Questions--
1st I. F.**

	Who was involved?	The masses and the government.
	What happened?	"The masses perceive "the government as a surrogate parent--at least as far as development goes" (p. 174).

2nd I. F.   **(a)**   What are the connections between the data & the *unknown?*

Question		What are the connections between (1) the planners are "committed to achieve 'democratic socialism'" (p. 100) and (2) what is to be negotiated about how *might* the changes be controlled?
Example Of Answer		Given that the masses perceive "the government as a surrogate parent--at least as far as development goes" (p. 174), negotiating whether or not changes would be controlled by the planners *and* representatives of the constituents who would be affected depending upon the nature of the change **allows the negotiators to demonstrate a conditional orientation toward change with an ability to deal with recursive structures.***
2nd I. F.	**(b)**	What are the similarities & differences between this problem as mapped & comparable problems?
Question		Have you seen a similar negotiation problem?
Example Of Answer		Compare the structure of this negotiation problem to the structure of a comparable problem to discover similarities and differences between the two. A comparable problem may be found in sports, for example, in basketball, where game plan depends upon control of the ball, which changes frequently according to the conditions of the game.
2nd I. F.	**(c)**	In what ways should the *planning* reflect conditionality & recursivity in third-order coupling?
Question		In what ways should the *planning* for negotiating whether or not changes would be controlled by the planners *and* representatives of the constituents who would be affected depending upon the nature of the change reflect conditionality and recursivity in third-order coupling?

*See Figure 4, Heuristic Schematic, Column E, No. 4, for comparability between this example of an answer and Bandler and Grinder's therapy.

Example Of Answer	The *planning* for negotiating should include a conditional and recursive structure which could include, for example, a neutral third-party to negotiate with the negotiators at times when they are at an impasse with regard to who should be in control of what.
3rd I. F.	To what extent does the planning as carried out match the structure of negotiation pedagogy as communication methodology focused on conditionality & recursivity in third-order coupling?
Question	What would be the result of asking the 3rd I. F. in connection with the current negotiation problem?
Example Of Answer	This remains to be seen.
4th I. F.	What did you learn. . . . about learning *how to learn* to negotiate? . . about learning how to learn *how* to negotiate? . . about planning & replanning?
Question	What would be the result of asking the 4th I. F. in connection with the current negotiation problem?
Example Of Answer	This remains to be seen.

(Although I generated three sets of "**Options** for Negotiation" that could be used in exemplification, the pedagogy has been thoroughly exemplified by completing one change, choice and control cycle for the **First Set** of "**Options** for Negotiation.")

The most notable outcome of this exemplification process is the comparability between the Examples Of Answers in the 2nd IF (a) of the change, choice and control cycles and Column D, Nos. 3

and 4, and Column E, No. 4, of the Heuristic Schematic. The goal of this pedagogy is for the student at least to some extent to become his/her own negotiation teacher. Column D by analogy, and Column E directly, characterize the negotiator who is learning how to learn *how* to negotiate.

Chapter 3

COMPARISON OF RECOMMENDATIONS

In order to *illuminate* the distinctive nature of negotiation peda-
gogy as communication methodology I formulated a comparison struc-
ture. I compared two sets of recommendations: (1) recommendations
for India's development born out of the exemplification process in the
second chapter to (2) recommendations for future development ef-
forts given by Narula and Pearce.

Figure 10 lists nine examples of answers that were transformed
into a set of recommendations.* "Figure 11: Recommendations De-
rived From Examples Of Answers" shows the transformations. Figure
12 gives the ten recommendations in Narula and Pearce's study.

The comparison procedure was structured as follows. First I
compared each of Narula and Pearce's recommendations to all of my
recommendations. I looked for recommendations that were *compara-
ble* on a one-to-one-basis. My second step was to compare each of my
recommendations to those of Narula and Pearce and search for simi-
larities and differences in type (X, Y and Z) and key terms (such as
democratic socialism). Then allowing for differences in orders of ab-
straction including plausible interpretations of the recommendations,
I compared the *structures* of both sets of recommendations with
regard to conditionality, recursivity and third-order coupling.

*The exemplification process revealed some implications of using this pedagogy in its
examples of answers. These implications became the foundation for my recommenda-
tions. There are eighteen examples of answers in Chapter 2 (not including the examples
of answers to the who, what, where and when questions); however, only nine are suit-
able for comparison purposes. The other nine examples of answers remain to be seen
and, hence, do not yet have implications.

D (1st IF--Example Of Answer)

What is to be negotiated about what changes *might* be made is whether democratic socialism is an *achievable* goal throughout *all* of India or whether it should be viewed as an *ideal.*

E (2nd IF (a)--Example Of Answer)

Given that India is "suffering from problems resulting from the colonial occupation by a foreign power" (p. 100) and Indians as a whole are greatly inexperienced in creating and maintaining democratic socialism, negotiating whether democratic socialism is an *achievable* goal throughout *all* of India or whether it should be viewed as an *ideal* **expands the repertoire of choices and creates more options for the planners in designing and carrying out their plans for development.**

F (2nd IF (c)--Example Of Answer)

The *planning* for negotiating should include a conditional and recursive structure which could include, for example, generating multiple perspectives on how to view democratic socialism depending upon the conditions. Conditions depend upon who is to be involved, what is to happen, where is it to happen and when is it to happen. For instance, democratic socialism might be achievable on the local level in some cases, while in others it might be unattainable.

CHOICE CYCLE

G (1st IF--Example Of Answer)

What is to be negotiated about who *might* make what choices is whether or not choices as to what goal a community or section is ready to achieve would be determined by negotiation between the planners and representatives of the constituents who would be affected.

H (2nd IF (a)--Example Of Answer)

Given that the planners envision "a sequence leading to decentralization" (p. 111), negotiating whether or not choices as to what goal a community or section is ready to achieve would be determined by negotiation between the planners and representatives of the constituents who would be affected **promotes optimal self-directed learning in negotiation,** the type of process needed to bring about decentralization.

J (2nd IF (c)--Example Of Answer)

The *planning* for negotiating should include a conditional and recursive structure which could include, for example, the planners and representatives of the constituents who would be affected generating alternative goals and plans for achieving these goals.

CONTROL CYCLE

K (1st IF--Example Of Answer)

What is to be negotiated about how *might* the changes be controlled is whether or not changes would be controlled by the planners *and* representatives of the constituents who would be affected depending upon the nature of the change.

L (2nd IF (a)--Example Of Answer)

Given that the masses perceive "the government as a surrogate parent--at least as far as development goes" (p. 174), negotiating whether or not changes would be controlled by the planners *and* representatives of the constituents who would be affected depending upon the nature of the change **allows the negotiators to demonstrate a conditional orientation toward change with an ability to deal with recursive structures.**

M (2nd IF (c)--Example Of Answer)

The *planning* for negotiating should include a conditional and recursive structure which could include, for example, a neutral third-party to negotiate with the negotiators at times when they are at an impasse with regard to who should be in control of what.

Figure 10: Examples Of Answers

(1) **Type X:** *Structure* consists of: *Either __ or else __.*

(2) **Type Y:** *Structure* consists of: Given that __, the recommendation is *to negotiate __* in order to __.

(3) **Type Z:** *Structure* consists of: The *planning* should include a conditional and recursive structure which could include, for example, ___.

Recommendation   D: *Type   X*

Either democratic socialism should be viewed as an *achievable* goal throughout *all* of India *or else* it should be viewed as an *ideal*.

Recommendation   E: *Type   Y*

Given that India is "suffering from problems resulting from the colonial occupation by a foreign power" (p. 100), the recommendation is *to negotiate* whether: (1) democratic socialism should be viewed as an *achievable* goal throughout *all* of India, or (2) whether it should be viewed as an *ideal* in order to expand the repertoire of choices and create more options for the planners in designing and carrying out their plans for development.

Recommendation   F: *Type   Z*

The *planning* for negotiating should include a conditional and recursive structure which could include, for example, generating multiple perspectives on how to view democratic socialism depending upon the conditions.

Recommendation   G: *Type   X*

Either choices as to what goal a community or section is ready to achieve should be determined by the planners *or* the representatives of the constituents who would be affected *or else* they should be determined by negotiation between the planners *and* representatives of the constituents who would be affected.

Recommendation   H: *Type   Y*

Given that the planners envision "a sequence leading to decentralization" (p. 111), the recommendation is *to negotiate* whether or not choices as to what goal a community or section is ready to achieve would be determined by negotiation between the planners and representatives of the constituents who would be affected in order to promote optimal self-directed learning in negotiation, the type of process needed to bring about decentralization.

Recommendation J: *Type Z*

The *planning* for negotiating should include a conditional and recursive structure which could include, for example, the planners and representatives of the constituents who would be affected generating alternative goals and plans for achieving these goals.

Recommendation K: *Type X*

Either changes should be controlled by the planners *or* the representatives of the constituents who would be affected *or else* they should be controlled by the planners *and* representatives of the constituents who would be affected depending upon the nature of the change.

Recommendation L: *Type Y*

Given that the masses perceived "the government as a surrogate parents--at least as far as development goes" (p. 174), the recommendation is *to negotiate* whether or not changes would be controlled by the planners *and* representatives of the constituents who would be affected depending upon the nature of the change.

Recommendation M: *Type Z*

The *planning* for negotiating should include a conditional and recursive structure which could include, for example, a neutral third-party to negotiate with the negotiators at times when they are at an impasse with regard to who should be in control of what.

Figure 11: Recommendations Derived From Examples Of Answers

Recommendation P:

We recommend that *discontent be treated as an inevitable, valuable aspect of democratic development, not as a problem about which some solution should be sought.*

Recommendation Q:

We recommend that *development communication include explicit statements about the relationship between government and people* as well as information and exhortation about particular development projects.

Recommendation R:

We recommend that *development planning explicitly include two categories of programs, one for local communities ready for active participation, the other for those that are not.*

Recommendation S:

We recommend that *plans for development be accompanied by a counterpart plan of administrative development and evaluation, making the structure of the development bureaucracy commensurate with the rationale and materials of current programs.*

Recommendation T:

We recommend that *development personnel be evaluated in terms of the way they are perceived by the masses with whom they work* as well as by objective criteria and normal institutional performance standards.

Recommendation U:

We recommend that *personnel evaluation focus on the specific knowledge and training required by particular development projects.*

Recommendation V:

We recommend that *the organizational arrangements of the development infrastructure be periodically evaluated.*

Recommendation W:

We recommend that a *special administrative development cadre be set up specifically to train administrators for handling development projects.*

Recommendation X:

We recommend that *dialogue be created by Dialogue Action Strategies* (DAS).

Recommendation Y:

We recommend that *ways be found to bring women fully into the development process.*

Figure 12: Narula and Pearce Recommendations

Figure 13 shows the outcome of this comparison procedure.

With regard to the first step in the comparison procedure, I did not find any one-to-one comparability of Narula and Pearce's recommendations to mine. I found that their recommendations covered areas mine did not cover: for example, Narula and Pearce dealt with the masses' discontent regarding national development efforts, bringing women more fully into the development process, and training administrators for handling development projects. My recommendations, on the other hand, are concerned with such matters as generating perspectives on democratic socialism, negotiating choices about community goals, and controlling changes to be made in development projects.

The second step of the comparison procedure revealed, as expected, that few of my recommendations were similar to theirs with regard to type. Two of Narula and Pearce's recommendations (P & R) were of the either/or type (Type X) while none were of Type Y or Z. I found only two similar key terms for both sets of recommendations, i.e., both sets of recommendations have at least one recommendation with regard to each of these terms: development planning and community development. Recommendations R (Narula and Pearce), F, J, and M are concerned with development planning, while Recommendations R (Narula and Pearce) and G are concerned with community development.

With regard to both sets of recommendations, some were conditional, some were recursive and all had to do with third-order coup-

First Step: (Each of Narula and Pearce's recommendations to **all** of mine.)

I found **no** one-to-one **comparability.**
Narula and Pearce's recommendations covered areas mine did not (see page 63).

Second Step: (My recommendations compared to Narula and Pearce's in three ways: **type, key terms** and **structure.**)

(1) Type

	Type X	Type Y	Type Z
	D, G, K	none	none
	P, R,		

(2) Key Terms

Development planning:

F, J, M,

R

Community development:

G,

R

(3) Structure

	Conditionality	Recursivity	Third-Order Coupling
	F, J, L, M,	F, J, M,	all
	Q, U, V	Q, S, T (implied)	all

Negotiation Pedagogy Recommendations: D - M
Narula and Pearce's Recommendations: P - Y

Figure 13: Comparison of Two Sets of Recommendations

ling. Obviously, Type Z recommendations (F, J and M) are conditional and recursive as well as concerned with third-order coupling. Recommendation L (mine) is also obviously conditional. Three of Narula and Pearce's recommendations (Q, U and V) have a conditional structure in that they deal with particular projects or people for implementation. Although I found no explicit reference to recursivity in Narula and Pearce's recomendations, Q, S and T, at the very least, have an implied recursive structure.

In comparing the two sets of recommendations, I found that none were comparable and or even closely related. A few similarities were evident that were mainly concerned with structure in regard to conditionality, recursivity and third-order coupling

Chapter 4

SUMMARY, CONCLUSIONS AND
RECOMMENDATIONS FOR FUTURE RESEARCH

The purpose of this thesis was to design a negotiation pedagogy *as* communication methodology--or a *meta*method for learning how to learn *how* to negotiate. This negotiation pedagogy as communication methodology provides a systematic means whereby learning to negotiate becomes *self*-directed. Negotiation naturally takes place in the human realm and is inherently concerned with change, hence, the focus of this pedagogy is on conditionality and recursivity in third-order coupling. Conditionality and recursivity are, in this case, mental processes for dealing with change.

Before this methodology was designed, there was no known negotiation pedagogy as communication methodology. Research literature in the fields of communication, psychology, sociology, social psychology, education, business and counseling, however, provided ample background material for constructing the pedagogy.

The research design of this thesis incorporated the Change, Choice and Control Triangle as an inquiry generator and a set of four Interrogational Functions derived from Polya's Stages of Heuristic Problem-Solving as structures for learning how to learn *how* to negotiate. Figures 5, 8 and 9 illuminated by Figure 7 show the *structure* of the pedagogy.*

*See Figure 5, page 28; Figure 8, page 45; Figure 9, page 46; and Figure 7, page 35.

The comparison structure in Chapter 3 *illuminated* to some extent the distinctive nature of this pedagogy. Using a case study other than *Development as communication: A perspective on India* (Narula and Pearce, 1986) would, of course, highlight different aspects of the pedagogy, particularly if the case study is an ongoing negotiation rather than a historical report; however, negotiation pedagogy as communication methodology will always be a *heuristic* enterprise that calls for indefinitely many methods remaining on any occasion to be designed according to the conditions.

Narula and Pearce's recommendations could be said to be more practicable; however, the purpose of their study was not to generate options for learning how to learn *how* to negotiate, but to report on national development efforts in India from the "communication perspective"* and provide a number of recommendations for improving those efforts. The negotiation pedagogy recommendations

*There is a salient congruency between Narula and Pearce's "communication perspective" and negotiation pedagogy as communication methodology focused on conditionality and recursivity in third-order coupling. Narula and Pearce state, "From the communication perspective, human actions are seen--whatever else they may mean--as the process by which persons collectively maintain and create 'social reality'(p. 59). . . . many social actions that otherwise would not be defined as instances of communication are shown to be powerful means of creating and managing social reality" (p. 61). Remember that "life in third-order couplings, or social life for short, permits individual vertebrates to participate in relations and activities that arise only as coordinations of behaviors between otherwise independent organisms (Maturana and Varela, 1987, p. 189). This interaction enables them to generate a new realm of phenomena that isolated individuals cannot generate" (p. 190). Since negotiation pedagogy as communication methodology takes place in third-order couplings, it is a process whereby social life is created or generated from the coordination of behaviors (or communication) between and among the negotiators. There is an emphasis on holism in both the "communication perspective" and negotiation pedagogy.

in some cases are mutually exclusive among themselves (for instance, Recommendation D and Recommendation E) and are provided to negotiation students and educators as a means for learning self-directed negotiation.

Although negotiation pedagogy as communication methodology focused on conditionality and recursivity in third-order coupling can be said to be a plausible approach for educating negotiators, future research should concern itself with feasibility testing in various situations. Particularly, the impact of using the 3rd and 4th Interrogational Functions of the Heuristic Schematic cannot be determined until they are applied in a practical manner. Neither should future research be limited to cases of national development. With appropriate design changes, the pedagogy could be useful in learning how to learn *how* to negotiate other types of developments (see examples under Limitations, page 38). Furthermore, it is suggested that future research also take into account pre-conditions for learning how to learn *how* to negotiate (i.e., for using this pedagogy) and guidelines for determining that which is considered negotiable.

Appendix A

To Negotiation Students and Educators:

In order for students to achieve "transcendent optimal compe-
tence" in negotiating, the educator needs to realize that there is no
established limit to the number or variety of theoretical approaches or
perspectives on communication that can be used; however, it may be
useful to make use of Krippendorff's (1987) perspective on communi-
cation and development, which he believes are "inseparable, concep-
tual twins" (p. 189), and their relationship to autopoiesis as a com-
munication paradigm.

Krippendorff describes "four paradigms of communication rel-
evant to social, economic, and political development of large social
systems: the control paradigm, the network-convergence paradigm,
the information seeking paradigm, and the autopoiesis paradigm"
(p. 189). Krippendorff highlights the autopoiesis paradigm as the
only paradigm of the four that "accounts for processes of commu-
nication that make a society see itself as distinct and that make it re-
tain its indigenous form of organization, culture, or mind" (p. 208).
Krippendorff's "Figure 1, The circular relationship between the eco-
sphere and the noosphere through realization and description"
(p. 204), shown on the following page, depicts the process of self-ref-
erence through which autopoiesis* becomes manifest in social sys-
tems.

*Although Krippendorff suggests that "autopoiesis in social systems becomes manifest
in the process of self-reference within the realization-description cycle" (p. 204), he
states that "most consequences of the realization-description cycle are allopoietic in
the sense that the components resulting from the process (allopoiesis) do not partici-
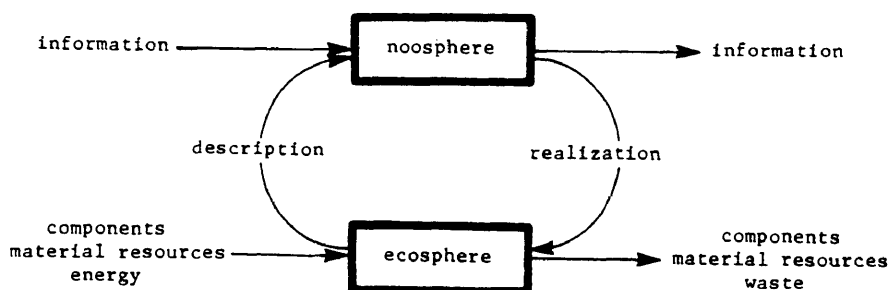
Fig. 1. The circular relationship between the ecosphere and the noosphere through realization and description.**

Krippendorff distinguishes "changes in the *ecosphere* from changes in the *noosphere* of a social system. . . . the former consists of the totality of actually observable behaviors (products, material changes, energy sources), and the latter is constituted by the information (pattern, differences, and knowledge) which underlies the observable phenomena" (p. 199). He suggests that "the ecosphere and the noosphere of a social organization (system or group) are connected by two processes constituting a cycle. These are (1) *Realization*, i.e., the process by which information is selectively implemented in the process of production, *organizes* a portion of the ecosphere or *controls* its material construction. Examples range from building a

pate in it" (p. 204, parentheses mine). Allopoietic organization complements auto-poietic organization. An allopoietic organization "produces something materially different from itself. . . . The defining feature of autopoiesis is a *process* or *organization* of components that is *indigenous*, i.e., explainable only in and of itself, and involves the continuous *production* (and decay) *of components* that engage in the process of organization of the same components" (p. 197). An autopoietic organization includes characteristics such as autonomy. . . . "Autopoietic organizations are explainable entirely, or at least in their essential features, from within and are hence operationally closed or as we say *closed to organization*" (p. 198); self-maintenance of boundaries. . . .

**"The boxes represent processes, respectively operating on information within the noosphere and on the behavior resulting from interaction among components within the ecosphere, and the arrows represent inputs to and outputs from either spheres. The two spheres are thus connected and form a system representing social processes, especially in its informational and morphogenetic aspects" (p. 204).

house by a plan or by social conventions to engaging in a crime according to a script surreptitiously provided by television. However, not all patterns in the noosphere are realizable in the ecosphere.

(2) *Description*, i.e., the process by which (organizational or procedural) phenomena in the ecosphere are described or enter the noosphere (regardless of the medium or language involved). Examples range from studying a foreign piece of equipment to make plans for its reproduction to codifying an organizational practice so that future members of the organization may be instructed more efficiently" (p. 203).

Krippendorff is "suggesting that autopoiesis in social systems becomes manifest in the process of self-reference within the realization-description cycle, exhibiting an organization whose form is independent of outside processes, to some extent is resistant to external disturbances, and thus serves as its own explanation. Numerous examples exist such as the notorious car complex, most of which has no 'natural' explanation. It consists of a system of car manufacturers, with their markets of consumers, gasoline and service stations as the outlets of a vast oil industry, road networks maintained by public administrations, driving schools, licensing agencies, individual motivations to own and drive an automobile, etc. The car

"Autopoietic organizations define their own boundaries" (p. 198); individuality. . . . "Autopoietic organizations keep their organization invariant and identify themselves or mark themselves in contrast to environmental features or phenomena with respect to which they are open" (p. 198); and self-reference. . . ."Autopoietic organizations are constitutionally self-referential not hierarchical, which is to say that the forms of these organizations are not subordinate to anything other than themselves and are in this sense radically indigenous" (p. 198).

complex arose in the course of interaction among various social components and has by now become self-defining in the sense that ideas about cars are constantly turned into the practice of production, driving, demonstrative consumption, etc., which in turn explains the ideas people have about cars. Despite the obvious phenotypical changes in the car population, improvements in the network of roads, etc., the self-referential realization-description cycle has produced a rather invariant form of technical and folk literature, social organization, and production which can reasonably be called autopoietic" (p. 204).

Figure 1 may be applied to negotiation pedagogy as communication methodology by referring to the analogy in the Heuristic Schematic (page 35) between Bandler and Grinder's Therapeutic Meta-model and the Interrogational Functions. From a client's point of view, the therapist is in his/her ecosphere. The therapist works through the client's ecosphere to bring about changes in the noosphere. The client's noosphere is, of course, under his/her own control. The therapist's objective is to influence the client as an autopoietic system to change his/her mind, behavior, or organization.

According to Krippendorff, the self-referential process depicted in Figure 1 is the process through which autopoiesis (or autonomous structure) becomes manifest. To the degree the client is autonomous (or realizes his/her autopoiesis) to that extent he/she will demonstrate "transcendent optimal competence" ("TOC").

All that has been said above with regard to "TOC" and Bandler and Grinder therapy can be said with regard to students of negotiation pedagogy. "TOC" has to do with the degree of enmeshment* between therapist and client, or negotiator and negotiator. In the therapist-client relationship as shown in the Bandler and Grinder dialogue on page 33, the therapist is helping the client manage his/her enmeshments through a process of self-reference in order to achieve "TOC." In negotiation pedagogy, "TOC" can be developed in much the same manner.**

*According to Narula and Pearce (1986), "a person is enmeshed in a system to the extent that its boundaries comprise the horizons of the person's vision. Those who are comfortably enmeshed within a particular social reality see *its* limits as the limits of the *world*, not as a more or less arbitrary boundary between what they known and what they do not" (p. 62).

**I have listed below examples of other research that might be useful in developing "transcendent optimal competence" in negotiating.

Kilmann, R. H. (1983). A dialectical approach to formulating and testing social science theories: Assumptional Analysis. Human Relations, 36(1), 1-22.

Morgan, G., & Ramirez, R. (1983). Action learning: A holographic metaphor for guiding social change. Human Relations, 37(1), 1-28.

Mitroff, I. I., & Emshoff, J. R. (1979). On strategic assumption-making: A dialectical approach to policy and planning. Academy of Management Review, 4(1), 1-12.

Bibliography

Akin, J., Goldberg, A., Myers, G., & Stewart, J. (1970). Language behavior: A book of readings in communication. The Hague: Monton.

Apke, B. (1982). A communication methodology for managing demand-time conflicts in physician marriages. Unpublished masters thesis, University of Nebraska at Omaha.

Bandler, R., & Grinder, J. (1975). The structure of magic: Volume 1. Palo Alto, CA: Science and Behavior Books, Inc.

Bartos, O. J. (1977). Simple model of negotiation: A sociological point of view. Journal of Conflict Resolution, 21(4), 581-606.

Bazerman, M. H., & Neale, M. A. (1983). Heuristics in negotiations: Limitations to effective dispute resolution. Negotiating in organizations. Beverly Hills: Sage Publications.

Bois, J. S. (1983). The art of awareness. Dubuque, IA: William C. Brown.

Bozarth, J. D. (1985). Quantum theory and the person-centered approach. Journal of Counseling and Development, 64(3), 179-182.

Caple, R. B. (1985). Counseling and the self-organization parardigm. Journal of Counseling and Development, 64(3), 173-178.

Carter, E. S., & Richey, R. L. (1961/62). Modern heuristic in historical perspective with implications for research pedagogy. General Semantics Bulletin: Nos. 28 & 29. Lakeville, CN: Institute of General Semantics.

Chastain, J. (1980). Winning the salary game: Salary negotiation for women. New York: John Wiley.

Cohen, H. (1980). You can negotiate anything. New York: Bantam.

Colosi, T. (1987). A model for negotiation and mediation. In D. J. D. Sandole & I. Sandole-Staroste, (Eds.), Conflict management and problem-solving. Washington Square, NY: New York University.

Cooper, D., & Clancy, M. (1982). Oh! Pascal! New York: Norton.

Cross, J. G. (1977). Negotiation as a learning process. Journal of Conflict Resolution, 21(4), 581-606.

Cutland, N. (1980). Computability: An introduction to recursive function theory. Cambridge: Cambridge University Press.

Dictionary of Scientific and Technical Terms. (1978). New York: McGraw-Hill.

Dunn, R. (1984). Learning style: State of the science. Theory Into Practice, 23(1), 10-19.

Ferdig, M. A. S. (1985). A communication methodology for negotiating a wheat contract with China. Unpublished masters thesis. University of Nebraska at Omaha.

Greenberger, F., & Kiernan, T. (1978). How to ask for more and get it: The art of creative negotiation. New York: Doubleday.

Frost, J. H., & Wilmot, W. W. (1978). Interpersonal conflict. Dubuque, IA: Wm. C. Brown.

Hofstadter, D. (1979). Godel, Escher, Bach: An eternal golden braid. New York: Vintage Books.

Hunsaker, J. S. (1983). Learning negotiation skills through simulation. Simulation & Games, 14(4), 391-399.

Ilich, J. (1973). The art and skill of successful negotiation. Englewood Cliffs, NJ: Prentice-Hall, Inc.

Kennedy, G. (1982). Everything is negotiable. London: Business Books Ltd.

Kilpatrick, J. (1985). Reflection and recursion. Educational Studies in Mathematics, 16(1), 1-26.

Korzybski, A. (1958). Science and sanity: An introduction to non-Aristotelian systems and general semantics. Lakeville, CN: International Non-Aristotelian Library Publishing Co.

Krippendorf, K. (1987). Paradigms for communication and development with emphasis on autopoiesis. In D. L. Kincaid (Ed.), Communication theory: Eastern and western perspectives. San Diego, CA: Academic Press, Inc.

Lippitt, G. L. (1973). Visualizing change: Model building and the change process. La Jolla, CA: University Associates, Inc.

Maturana, H. R., & Varela, F. J. (1987). The tree of knowledge. Boston: New Science Library Shambala.

Narula, U., & Pearce, W. B. (1986). Development as communication: A perspective on India. Carbondale, IL: Southern Illinois University Press.

Neale, M. A., & Bazerman, M. H. (1985). Perspectives for understanding negotiation: Viewing negotiation as a judgmental process. Journal of Conflict Resolution, 29, 33-55.

Pearce, W. B., & Kang, K. (1987). Acculturaltion and communi-
cation competence. In D. L. Kincaid (Ed.), Communication
theory: Eastern and western perspectives. San Diego, CA:
Academic Press, Inc.

Polya, G. (1957). How to solve it. Garden City, NY: Doubleday.

Rubin, J. Z. (1983). Negotiation: An introduction to some issues
and themes. American Behavioral Scientist, 27(2), 135-147.

Schatzki, M. (1981). Negotiation: The art of getting what you want.
New York: Signet.

Sparks, D. B. (1982). The dynamics of effective negotiation.
Houston, TX: Gulf Publishing Co.