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高等院校双语教材 · 国际贸易系列

INTERNATIONAL (Fifth Edition)
BUSINESS NEGOTIATION

国际商务谈判

(第五版)

罗伊·J·列维奇 (Roy J. Lewicki)
戴维·M·桑德斯 (David M. Saunders) 著
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出 版 说 明

入世使中国真正融入到了经济全球化的浪潮中。中国政府“引进来，走出去”战略，使得中国经济的发展需要大量的“国际化”人才。这就对我国一般本科院校多年来所采取的单一语言（母语）教学提出严峻挑战，财经院校涉外经济类专业实行双语教学改革迫在眉睫。国家教育部2001年第4号文件明确规定：“本科教育要创造条件使用英语等外语进行公共课和专业课的教学，力争三年内，外语教学课程达到所开课程的5%~10%。”国际贸易专业的主要培养目标是培训能够从事国际商务实践操作以及从事关于国际商事研究的涉外实务人才和国际经济高级学者。国际贸易专业涉外性强，创新度高，客观上要求该专业的本科学生要有扎实、娴熟的英语功底，在此基础上透彻地，最好是原汁原味地吸取关于国际经济与贸易专业的前沿理论与实务知识，因此，国际贸易专业实行双语教学无论从理论上还是从实践上而言都具有重大的现实意义。为此，在国际贸易学科建设和教学改革时必须考虑在理论和方法上与国外接轨，只有这样，才能培养出标准统一的国际经济与贸易人才。这就有必要借鉴市场经济发达国家大学的国际贸易专业的课程体系和教学内容。在引进出版过程中，要把好质量关，要经学科领域的专家认真审核选题和内容，要把国外真正高水平的适合国内实际的优秀教材引进来。

适应这一需要，中国人民大学出版社携手国际著名的出版公司，推出适合国际贸易专业的双语系列教材。本系列教材具有以下特点：

第一，体系完整。本套教材精选了一批国外著名出版公司的优秀教材，涉及国际贸易、国际经济学、世界经济、国际商务、国际营销、国际商务谈判等课程，涵盖了国际贸易专业的核心课程。

第二，保持原貌。本套教材在广泛听取一线任课教师的意见基础上，删减了一些相互重复及不适合我国国情的内容，在体系和内容上保持了原教材的特色。

第三，紧扣前沿。本套教材在原著选择上紧扣国外教学前沿，基本上都选择国外最流行教材的最新版本，有利于老师和学生掌握国外教学研究的最新发展趋势。

第四，中文注解。我们邀请了国际贸易专业的一线优秀教师、学者对教材的重点内容、重要概念、主要原理添加了中文注解，并在每章前添加了中文导读，便于双语教学的开展。

本套教材适用于高等院校国际贸易专业的本科教学，同时也适用于国际贸易从业人员及对国际贸易感兴趣的人士。

本套教材在遴选、删减、编审、译校等方面得到中央财经大学国际经济与贸易系刘春生老师的大力协助，在此一并表示感谢。

本套教材是对国际贸易专业双语教学的积极探索，错误和疏漏之处在所难免，恳请广大读者指正。

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审 译 者 前 言

本书系统地介绍了谈判学中谈判的基本原理、形式和过程，跨文化谈判，以及如何在谈判中避免不同文化的冲突。本书主要讨论了两种基本类型的谈判，即对立型与合作型谈判，分别阐述了两者的基本定义、性质、特点，以及可以运用的各种战略。全书尽可能地反映了本学科发展的前沿动态，吸收了谈判学领域的最新成果。

本书是关于谈判相关问题的理性知识的总结。相对于其他的谈判学教材，本书每一章都配有相关的专栏，以强化读者对谈判理论和策略的掌握与具体运用，从而突出人才培养的特点，培养读者分析问题和解决问题的实际能力，具有覆盖面全、实用性强、内容新颖、难易适度等特点。

本书适合作为本科或大专院校的经济或国际管理类国际经济与贸易、国际金融等专业的教材，也可作为处理谈判、劳务关系、冲突管理问题的参考书，还可作为国际贸易、国际金融等相关领域从业人员的参考用书，并适合希望提高自身谈判能力的社会各界人士阅读。

Welcome to the fifth edition of *International Business Negotiation*!

Those familiar with the fourth edition will note significant change in the fundamental organization of this book. The primary change is that we have increased the number of chapters in the book from 13 in the fourth edition to 20 in this edition! This has been accomplished by breaking many of the larger chapters, some of which often covered two or three separate major topics, into smaller chapters that focus on a narrower domain. This reorganization was done for two major reasons: First, the research literature in many of these areas continues to increase, requiring a more extensive treatment of that work; second, feedback from instructors indicated that many would use only parts of chapters (e.g., using the section on teams but not on coalitions, or using them in separate weeks of a course).

Given this major change, we will review the new chapter organization (for a somewhat more in-depth treatment, see the end of Chapter 1) and note the changes for those of you familiar with the fourth edition. The first four chapters introduce the reader to negotiation fundamentals. Chapter 1 introduces the field of negotiation and conflict management, describes the basic elements of interdependence with other people, and briefly explores the challenges of managing that interdependence. Chapters 2 and 3 then present the two core approaches to negotiation: the basic dynamics of competitive (win-lose) bargaining (Chapter 2) and the basic dynamics of integrative (win-win) negotiation (Chapter 3). Chapter 4 (formerly Chapter 2 in the fourth edition) describes the fundamental work that negotiators must do to prepare for a negotiation: defining negotiation objectives and planning the steps one will pursue to achieve those objectives. That chapter was moved because we decided it was easier to discuss the different processes that might be needed for planning a distributive or integrative negotiation after we discussed the fundamentals of each of those strategies.

The next five chapters present fundamental psychological subprocesses of negotiation: perception, cognition, emotion, communication, power, influence, and ethics. In Chapter 5, we review the basic processes of perception and cognition and discuss how the framing of issues and dialogue is tied to these processes. Chapter 6 is devoted to communication in negotiation; we examine communication dynamics and processes that affect negotiation outcomes. Chapters 7 and 8 divide power and influence into separate topics; in Chapter 7, we examine the various ways that negotiators can use power to pressure the other side. Chapter 8 then describes “power-in-action,” or the tools of influence by which power is wielded, including persuasion tactics and other influence tactics. Finally, in Chapter 9, we examine the ethical issues and standards that surround negotiation and create unique challenges for negotiators making decisions about disclosure and honesty in bargaining.

Part 3 contains a single chapter—Chapter 10—focused on international and cross-cultural negotiation. It explores what we know about how national cultures and international contexts influence negotiation processes and outcomes.

Part 4—on difficult negotiation situations—has repositioned the material from old Chapters 12 and 13 into three chapters. Chapter 11 emphasizes strategies for managing negotiation impasses—what a negotiator can do when a potential impasse, stalemate, or

breakdown threatens to halt a negotiation. In Chapter 12, we turn to situations in which parties are using different models, strategies, or approaches to the negotiation, and we provide advice to negotiators who may wish to be integrative but find that they are dealing with others who are reluctant to do so. Chapter 13 explores the many ways that third parties can help negotiators resolve their differences.

Finally, in Part 5, we conclude with a new chapter, in which we reflect on negotiation processes and outcomes and provide our own list of “best practices” that can be taken away from an intensive study of negotiation and its dynamics.

While this reorganization is the most visible change, faculty familiar with previous editions will also note the following other changes:

1. Much of this book has been revised and updated. The authors reviewed every chapter, utilizing extensive feedback from faculty who have used the book in previous editions. Content in many of the chapters has been reorganized to present the material more effectively.
2. In our continued effort to enhance the book’s readability, we have also updated many of the features and cartoons that offer lively perspectives on negotiation dynamics.
3. We have significantly improved the graphics format and page layout of the book to make it visually more interesting and readable.
4. The new structure of this book will be paralleled by a major revision to our readings and classroom activities book, *Negotiation: Readings, Exercises and Cases*, fifth edition, edited by Roy Lewicki, Bruce Barry, and David Saunders, to appear in 2006. This text and reader can be used together or separately. A shorter version of this text, *Essentials of Negotiation* (fourth edition), by Roy Lewicki, Bruce Barry, and David Saunders, will be released in 2006 and can also be used in conjunction with the readings book. We encourage instructors to contact their local McGraw-Hill/Irwin representative for an examination copy (or call 800-634-3963, or visit the website at www.mhhe.com).
5. Instructional resources, including a test bank and PowerPoint slides, are available to accompany this volume. Instructors should contact their McGraw-Hill/Irwin representative.

Once again, this book could not have been completed without the assistance of numerous people. We especially thank

- Many of our colleagues in the negotiation and dispute resolution field, whose research efforts have made the growth of this field possible and who have given us helpful feedback about earlier editions to improve the content of this edition.
- The work of John Minton, who has left the author team but helped shape the second, third, and fourth editions of this book.
- The excellent editorial assistance of Steve Stenner, specifically for his help on copy-editing, permissions, and bibliography and for refining the test bank and PowerPoint slides.
- The staff of McGraw-Hill/Irwin, especially our current editor, Ryan Blankenship, and our previous editors, John Weimeister, John Biernat, Kurt Strand, and Karen Johnson; Allison Cleland and Trina Hauger, editorial assistants who can solve almost any problem; and Christine Vaughan, our tireless project manager who turns our con-

fusing instructions and tedious prose into eminently readable and usable volumes!

- Our families, who continue to provide us with the time, inspiration, and opportunities for continued learning about effective negotiation and the personal support required to sustain this project.

Roy J. Lewicki

David M. Saunders

Bruce Barry

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谈判策略

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The Nature of Negotiation

本章导读 ▶▶

本章我们对谈判的本质建立了一个基本框架。我们首先列举了生活中的一些例子，说明谈判在我们的生活中无处不在，无时不在发生。接着，我们用乔和休·卡特的例子，讨论谈判的定义及其基本特征，对谈判中相互依赖关系的理解，以及冲突与冲突管理过程的定义及探索。

从那些定义和例子中，我们得出了谈判过程的四要素，即：相互依赖关系，进行相互协调，创造或主张价值，以及管理冲突。这四个过程对于任何谈判都相当重要，它们是处理国际商务谈判过程的基点。

“That’s it! I’ve had it! This car is dead!” screamed Chang Yang, pounding on the steering wheel and kicking the door shut on his 10-year-old Toysun sedan. The car had refused to start again, and Chang was going to be late for class (again)! Chang wasn’t doing well in that management class, and he couldn’t afford to miss any more classes. Recognizing that it was finally time to do something about the car, which had been having numerous mechanical problems for the last three months, Chang decided he would trade the Toysun in for another used car, one that would hopefully get him through graduation. After classes that day, he got a ride to the nearby shopping area, where there were several repair garages and used car lots. He knew almost nothing about cars, and didn’t think he needed to—all he needed was reliable transportation to get him through the next 18 months.

A major international airline company is close to bankruptcy. The fear of terrorism, a number of new ‘budget-fare’ airlines, and rising costs for fuel have all put the airline under massive economic pressure. The company seeks \$800 million in wage and benefit cuts from the pilots’ union, the third round of cuts in two years, in order to head off the bankruptcy. Rebuffed by the chief union negotiator for the pilots, the company seeks to go directly to the officers of the Air Line Pilots Association to discuss the cuts. If the pilots do not agree to concessions, it is unlikely that other unions—flight attendants, mechanics, and so on—will agree, and bankruptcy will be inevitable.

Janet and Jocelyn are roommates. They share a one-bedroom apartment in a big city where they are both working. Janet, an accountant, has a solid job with a good company, but she has decided that it is time to go back to school to get her MBA. She has enrolled in Big City University’s evening MBA program and is now taking classes. Jocelyn works for an advertising company and is on the fast track. Her job not only requires a lot of travel, but also requires a lot of time socializing with clients. The problem is that when Janet is not in evening class, she needs the apartment to read and study and has to have quiet to get her work done. However, when Jocelyn is at the apartment, she talks a lot on the phone, brings friends home for dinner, and is either getting ready to go out for the evening or coming back in very late (and noisily!). Janet has had enough of this disruption and is about to confront Jocelyn.

Thousands of demonstrators opposed to the policies of a nation’s government seek to protest a national political convention that will nominate the government’s leader to run for reelection. City police forbid protesters from demonstrating near the convention site and authorize a protest location under a crumbling urban expressway, half a mile away from the convention. In response, demonstration organizers request permission to hold a rally in one of the city’s major metropolitan parks. The city attempts to ban the demonstration because that park was recently relandscaped at a major expense to the city, and it fears the mass of demonstrators will ruin the work. Each side attempts negotiation but also pursues complex legal maneuvers to get the courts on their side.

In pursuit of Middle East peace and the establishment of a permanent Palestinian state, the leader of the State of Israel declares his intention to withdraw from Gaza. Such withdrawal would mean abandoning Israeli housing settlements that the government has sponsored in the Gaza territory. To accommodate the Israeli settlers now living in these settlements, the government authorizes building new housing sites near Jerusalem, buildings that would encroach on land currently held by Palestinians. Each side accuses the other of bad faith negotiating: The Palestinians say the Israelis are violating a jointly developed, two-year-