

第 四 版

Fourth Edition

# 谈判学精要

*Essentials of Negotiation*

Roy J. Lewicki Bruce Barry David M. Saunders

【美】

罗伊·J. 列维奇

布鲁斯·巴里

大卫·M. 桑德斯

著

高等院校双语  
教学适用教材

工商管理

FE 东北财经大学出版社  
Dongbei University of Finance & Economics Press

Mc  
Graw  
Hill

C912. 3/Y6

第 四 版

Fourth Edition

2008.

# 谈判学精要

*Essentials of Negotiation*

Roy J. Lewicki Bruce Barry David M. Saunders

〔美〕

罗伊·J. 列维奇

布鲁斯·巴里

大卫·M. 桑德斯

著

高等院校双语  
教学适用教材

工商管理



FE 东北财经大学出版社  
Dongbei University of Finance & Economics Press

大连

Mc  
Graw  
Hill

© 东北财经大学出版社 2008

图书在版编目 (CIP) 数据

谈判学精要 / (美) 列维奇 (Lewicki, B. J.) 著; 一大连: 东北财经大学出版社, 2008. 1

(高等院校双语教学适用教材·工商管理)

书名原文: Essential of Negotiation

ISBN 978 - 7 - 81122 - 240 - 1

I. 谈… II. ①列… III. 谈判学—双语教学—高等学校—教材—英文 IV. C912.3

中国版本图书馆 CIP 数据核字 (2007) 第 198644 号

辽宁省版权局著作权合同登记号: 图字 06 - 2007 - 71 号

Roy J. Lewicki, Bruce Barry, David M. Saunders: Essentials of Negotiation

Copyright © 2007 by The McGraw - Hill Companies, Inc., original ISBN 0 - 07 - 125427 - 7

DUFEP is authorized by McGraw - Hill/Irwin to publish and distribute exclusively this bilingual edition. This edition is authorized for sale in the People's Republic of China only (excluding Hong Kong, Macao SAR and Taiwan). Unauthorized export of this edition is a violation of the Copyright Act. No part of this publication may be reproduced or distributed by any means, or stored in a database of retrieval system, without the prior written permission of the publisher.

All rights reserved.

本书双语影印版由麦格劳—希尔出版公司授权东北财经大学出版社独家出版发行。此版本仅限在中华人民共和国境内 (不包括中国香港、澳门特别行政区及中国台湾) 销售。未经授权的本书出口将被视为违反版权法的行为。未经出版者预先书面许可, 不得以任何方式复制或发行本书的任何部分。

版权所有, 侵权必究。

本书封面贴有 McGraw - Hill 公司防伪标签, 无标签者不得销售。

东北财经大学出版社出版

(大连市黑石礁尖山街 217 号 邮政编码 116025)

总编室: (0411) 84710523

营销部: (0411) 84710711

网 址: <http://www.dufep.cn>

读者信箱: [dufep@dufe.edu.cn](mailto:dufep@dufe.edu.cn)

大连金华光彩色印刷有限公司印刷 东北财经大学出版社发行

幅面尺寸: 210mm × 270mm

印张: 19 1/2

插页: 1

2008 年 1 月第 1 版

2008 年 1 月第 1 次印刷

责任编辑: 李 季

封面设计: 冀贵收

ISBN 978 - 7 - 81122 - 240 - 1

定价: 32.00 元

## 教师反馈表

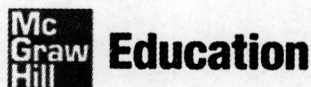
麦格劳—希尔教育 (McGraw-Hill Education) 是美国著名教育图书出版与教育服务机构, 以出版经典、高质量的理工科、经济管理、计算机、生命科学以及人文社科类高校教材享誉全球, 更以网络化、数字化的丰富的教学辅助资源深受高校教师的欢迎。

为了更好地服务中国教育界, 提升教学质量, 2003 年麦格劳—希尔教师服务中心在北京成立。在您确认将本书作为指定教材后, 请您填好以下表格并经系主任签字盖章后寄回, 麦格劳—希尔教师服务中心将免费向您提供相应教学课件, 或网络化课程管理资源。如果您需要订购或参阅本书的英文原版, 我们也会竭诚为您服务。

书名:			
所需要的教学资料:			
您的姓名:			
系:			
院/校:			
您所讲授的课程名称:			
每学期学生人数:	_____人	_____年级	学时: _____
您目前采用的教材:	作者: _____		出版社: _____
	书名: _____		
您准备何时用此书授课:			
您的联系地址:			
邮政编码:		联系电话	
E-mail: (必填)			
您对本书的建议:			系主任签字 盖章

东北财经大学出版社

大连市沙河口区尖山街 217 号  
 邮编: 116025  
 电话: 0411 - 84710715  
 传真: 0411 - 84710731  
 电子信箱: ts@dufe.edu.cn  
 网址: Http://www.dufep.cn



麦格劳—希尔教育出版公司教师服务中心  
 北京清华科技园创业大厦 A 座 907 室  
 邮编: 100084  
 电话: 010 - 62790299  
 传真: 010 - 62790292  
 教师服务热线: 800 - 810 - 1936  
 教师服务信箱: instructorchina@mcgraw-hill.com  
 网址: http://www.mcgraw-hill.com.cn

# 出版者的话

当前，在教育部的大力倡导下，财经和管理类专业的双语教学在我国各大高校已经逐步开展起来。一些双语教学开展较早的院校积累了丰富的经验，同时也发现了教学过程中存在的一些问题，尤其对教材提出了更高的要求；一些尚未进入这一领域的院校，也在不断探索适于自身的教学方式和方法以及适用的教材，以期时机成熟时加入双语教学的行列。总之，对各类院校而言，能否找到“适用”的教材都成为双语教学成功与否的关键因素之一。

然而，国外原版教材为国外教学量身定做的一些特点，如普遍篇幅较大、侧重于描述性讲解、辅助材料（如习题、案例、延伸阅读材料等）繁杂，尤其是许多内容针对性太强，与所在国的法律结构和经济、文化背景结合过于紧密等，却显然不适于国内教学采用，并成为制约国内双语教学开展的重要原因。因此，对国外原版教材进行本土化的精简改编，使之变成更加“适用”的双语教材，已然迫在眉睫。

东北财经大学出版社作为国内较早涉足引进版教材的一家专业出版社，秉承自己一贯服务于财经教学的宗旨，总结自身多年的出版经验，同培生教育出版集团和汤姆森学习出版集团等国外著名出版公司通力合作，在国内再次领先推出了会计、工商管理、经济学等专业的“高等院校双语教学适用教材”。这套丛书的出版经过了长时间的酝酿和筛选，编选人员本着“品质优先、首推名作”的选题原则，既考虑了目前我国财经教育的现状，也考虑了我国财经高等教育所具有的学科特点和需求指向，在教材的遴选、改编和出版上突出了以下一些特点：

- 优选权威的最新版本。入选改编的教材是在国际上多次再版的经典之作的最新版本，其中有些教材的以前版本已在国内部分高校中进行了试用，获得了一致的好评。
- 改编后的教材在保持英文原版教材特色的基础上，力求内容精要，逻辑严密，适合中国的双语教学。选择的改编人员既熟悉原版教材内容，又具有本书或本课程双语教学的经验。
- 改编后的教材配有丰富的辅助教学支持资源，教师可在网上免费获取。
- 改编后的教材篇幅合理，符合国内教学的课时要求，价格相对较低。

本套教材是在双语教学教材出版方面的一次新的尝试。我们在选书、改编及出版的过程中得到了国内许多高校的专家、教师的支持和指导，在此深表谢意，也期待广大读者提出宝贵的意见和建议。

尽管我们在改编的过程中已加以注意，但由于各教材的作者所处的政治、经济和文化背景不同，书中的内容仍可能有不妥之处，望读者在阅读中注意比较和甄别。

东北财经大学出版社

**Roy J. Lewicki** is the Dean's Distinguished Teaching Professor and Professor of Management and Human Resources at the Max M. Fisher College of Business, The Ohio State University. He has authored or edited 24 books, as well as numerous research articles. Professor Lewicki has served as the president of the International Association of Conflict Management, and received the first David Bradford Outstanding Educator award from the Organizational Behavior Teaching Society for his contributions to the field of teaching in negotiation and dispute resolution.

**Bruce Barry** is Professor of Management and Sociology at Vanderbilt University. His research on negotiation, influence, power, and justice has appeared in numerous scholarly journals and volumes. Professor Barry is a past president of the International Association for Conflict Management and a past chair of the Academy of Management Conflict Management Division.

**David M. Saunders** is Dean of the School of Business at Queen's University, Canada. He has coauthored several articles on negotiation, conflict resolution, employee voice, and organizational justice. He has taught at Duke University, People's University in Beijing, China, and at McGill University in Montreal and Tokyo. Professor Saunders is currently Chair of the Canadian Federation of Business School Deans, a member of the Board of Directors of AACSB International, and member of the Board of Trustees of the European Foundation for Management Development (efmd).

Welcome to the Fourth Edition of *Essentials of Negotiation*. Again, this book represents our response to many faculty who wanted a brief version of the longer text, *Negotiation* (Fifth Edition). The objective of this shorter volume is to provide the reader with the core concepts of negotiation in a more succinct version. Many faculty requested such a book for use in shorter academic courses, executive education programs, or as an accompaniment to other resource materials for courses in negotiation, labor relations, conflict management, human resource management, and the like.

## Overview of This Book

The organization of this volume generally follows the more complete Fifth Edition of *Negotiation*. The fundamental difference between this and the Fifth Edition text is that this book contains only 12 chapters, while the complete Fifth Edition contains 20 chapters. The first four chapters have only been minimally shortened for this volume, because we believe that the content is essential to any negotiation course. (The shortening process includes editing out some of the more research-oriented references and descriptions, deleting many of the boxes and sidebars, and occasionally some secondary sections.) Similarly, the last chapter is reproduced in full. The other seven chapters from *Negotiation* have been included, but shortened by 25–50 percent each.

For the instructor who was not familiar with *Essentials* (First, Second, and Third Editions) or *Negotiation* (Fifth or earlier Editions), a brief overview is in order. The first four chapters introduce the reader to “Negotiation Fundamentals.” The first chapter introduces the field of negotiation and conflict management, describes the basic problem of interdependence with other people, and briefly explores the challenges of managing that interdependence. Chapters 2 and 3 then present the two core strategic 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 describes the fundamental prework that negotiators must do to get ready for a negotiation: selecting the strategy, framing the issues, defining negotiation objectives, and planning the steps one will pursue to achieve those objectives.

The next four chapters describe the fundamental psychological subprocesses of negotiation: perception, cognition, emotion, communication, power, influence, and ethical judgment. In Chapter 5, we review the basic processes of perception, cognition, and emotion in negotiation; we specifically examine common cognitive and judgment biases made by negotiators, and how emotion can affect negotiations. In Chapter 6, we examine communication dynamics. We look at the ways that negotiators communicate their interests, positions, and goals, and how this information is communicated to the other. Chapter 7 focuses on power. We look at the capabilities negotiators can use to muster power to pressure the other side, so as to change his or her perspective or give in to our arguments. In Chapter 8, we examine the ethical standards and criteria that surround negotiation. The effective negotiator must recognize when ethical questions are relevant and what factors must be considered to address them effectively.

The next two chapters examine the social contexts in which these negotiations occur, and which also therefore influence how they evolve. In Chapter 9, we examine how the negotiation process changes when the parties have an established relationship with each other, and how the type of relationship affects the negotiation process. We also examine the key roles played by trust, justice, and negotiator reputation in shaping negotiations. In Chapter 10, we look at multiparty negotiations, when multiple individuals must work together as a group, team, or task force to solve a complex problem or make a decision.

In Chapter 11, we attempt to clarify how international and cross-cultural differences can shape the diverse ways that parties approach negotiations.

Finally in Chapter 12, we present a new concluding chapter, summarizing the book's content and offering ten "best practices" principles for all negotiators.

---

## Comparison of This Book to the Third Edition of Essentials

---

In addition to this major chapter organization, which required a more extensive treatment of subjects than in previous editions, there are several other changes worth noting:

- The physical layout of the book has been improved. We have tried to add more white space, a wider trim size with wider margins, and more readable charts and figures.
- The content of the book has been revised and updated. Every chapter was reviewed by the authors, based on extensive feedback from faculty who have used the book in previous editions. Many of the chapters have been rewritten to present the material more effectively.
- In our continued effort to enhance the book's readability, we have also updated and revised many of the boxes and cartoons that offer real-life perspectives on negotiation dynamics.
- As noted earlier, the structure of this book parallels that of a completely revised readings and classroom activities book, *Negotiation: Readings, Exercises and Cases* by Lewicki, Barry, and Saunders (Fifth Edition, 2007), also published by McGraw-Hill/Irwin. This text and reader can be used together, or separately. We encourage instructors to contact their local McGraw-Hill/Irwin representative for an examination copy (call 800-634-3963, or visit the Web site at [www.mhhe.com](http://www.mhhe.com)).

---

## Supplementary Materials

---

A test bank, chapter summaries, and PowerPoint transparencies have been prepared for the *Essentials of Negotiation*. Instructors should request these materials from a McGraw-Hill/Irwin representative. The CD-ROM also contains a number of instructional tools for the effective organization and instruction of a negotiation course.



## Appreciation

---

Once again, this book could not have been completed without the assistance of many other people. We would specifically like to thank

- Steve Stenner, for his excellent work in editing this volume, and revising and compiling the Instructors' Manual CD-ROM.
- 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 used earlier edition and told us what they liked and did not like.
- The staff of McGraw-Hill/Irwin: Publisher John Biernat and Editor Ryan Blankenship, for their ongoing confidence and patience as we completed the works; Allison Belda, Editorial Coordinator, for solving any problem and fixing any disaster; Kristin Bradley Project Manager, for turning a jumble of words into readable text and finding (almost) every spelling and copyediting mistake; Marketing Manager Jared Harless, for continuing to promote the volume; and Joyce Chappetto, for preparing our new supplements.
- Our families, who continue to provide us with the time and support that we require to finish this project.

Thank you one and all!

**Roy J. Lewicki**

**Bruce Barry**

**David M. Saunders**

第 1 章 谈判的特征 .....	1
第 2 章 对立型谈判的战略和技术 .....	27
第 3 章 合作型谈判的战略、战术 .....	58
第 4 章 谈判：战略和计划 .....	85
第 5 章 感知、认知和情感 .....	111
第 6 章 交流 .....	135
第 7 章 发现和利用谈判杠杆 .....	149
第 8 章 谈判中的道德规范 .....	167
第 9 章 谈判中的关系因素 .....	190
第 10 章 多方团体和组织 .....	208
第 11 章 全球性及跨文化的谈判 .....	229
第 12 章 谈判实践 .....	256
参考文献 .....	265
索引 .....	286

<i>about the author</i>	<i>iv</i>
<i>preface</i>	<i>v</i>
1. The Nature of Negotiation	1
2. Strategy and Tactics of Distributive Bargaining	27
3. Strategy and Tactics of Integrative Negotiation	58
4. Negotiation: Strategy and Planning	85
5. Perception, Cognition, and Emotion	111
6. Communication	135
7. Finding and Using Negotiation Power	149
8. Ethics in Negotiation	167
9. Relationships in Negotiation	190
10. Multiple Parties and Teams	208
11. International and Cross-Cultural Negotiation	229
12. Best Practices in Negotiations	256
<i>Bibliography</i>	<i>265</i>
<i>Index</i>	<i>286</i>

about the author iv  
 preface v

## Chapter 1

### The Nature of Negotiation 1

A Few Words about Our Style and Approach 3

Joe and Sue Carter 4

Characteristics of a Negotiation Situation 6

Interdependence 9

Types of Interdependence Affect Outcomes 9

Alternatives Shape Interdependence 10

Mutual Adjustment 11

Mutual Adjustment and Concession Making 12

Two Dilemmas in Mutual Adjustment 12

Value Claiming and Value Creation 14

Conflict 16

Definitions 17

Levels of Conflict 17

Functions and Dysfunctions of Conflict 17

Factors That Make Conflict Easy  
 or Difficult to Manage 19

Effective Conflict Management 21

Summary 23

Overview of the Chapters in This Book 25

Endnotes 26

## Chapter 2

### Strategy and Tactics of Distributive Bargaining 27

The Distributive Bargaining Situation 28

The Role of Alternatives to a Negotiated  
 Agreement 31

Settlement Point 32

Bargaining Mix 32

Fundamental Strategies 33

Discovering the Other Party's Resistance Point 33

Influencing the Other Party's Resistance Point 34

Tactical Tasks 36

Assessing the Other Party's Target, Resistance Point,  
 and Costs of Terminating Negotiations 36

Manage the Other Party's Impressions 37

Modify the Other Party's Perceptions 39

Manipulate the Actual Costs of Delay  
 or Termination 40

Positions Taken during Negotiation 41

Opening Offers 41

Opening Stance 42

Initial Concessions 42

Role of Concessions 43

Pattern of Concession Making 45

Final Offers 46

Closing the Deal 46

Hardball Tactics 47

Dealing with Typical Hardball Tactics 48

Typical Hardball Tactics 49

Chapter Summary 55

Endnotes 55

## Chapter 3

### Strategy and Tactics of Integrative Negotiation 58

Introduction 58

What Makes Integrative Negotiation

Different? 58

An Overview of the Integrative Negotiation  
 Process 59

Creating a Free Flow of Information 59

Attempting to Understand the Other Negotiator's  
 Real Needs and Objectives 60

- Emphasizing the Commonalities between the Parties and Minimizing the Differences* 60
- Searching for Solutions That Meet the Needs and Objectives of Both Sides* 61
- Key Steps in the Integrative Negotiation Process 61
- Identify and Define the Problem* 62
- Understand the Problem Fully—Identify Interests and Needs* 64
- Generate Alternative Solutions* 67
- Evaluate and Select Alternatives* 73
- Factors That Facilitate Successful Integrative Negotiation 76
- Some Common Objective or Goal* 77
- Faith in One's Problem-Solving Ability* 77
- A Belief in the Validity of One's Own Position and the Other's Perspective* 78
- The Motivation and Commitment to Work Together* 78
- Trust* 79
- Clear and Accurate Communication* 80
- An Understanding of the Dynamics of Integrative Negotiation* 81
- Summary* 81
- Chapter Summary 82
- Endnotes 83
- Chapter 4**
- Negotiation: Strategy and Planning 85**
- Goals—The Focus That Drives a Negotiation Strategy 86
- Direct Effects of Goals on Choice of Strategy* 86
- Indirect Effects of Goals on Choice of Strategy* 87
- Strategy—the Overall Plan to Achieve One's Goals 87
- Strategy versus Tactics* 88
- Unilateral versus Bilateral Approaches to Strategy* 88
- The Dual Concerns Model as a Vehicle for Describing Negotiation Strategies* 88
- Understanding the Flow of Negotiations: Stages and Phases 93
- Getting Ready to Implement the Strategy: The Planning Process 94
1. *Defining the Issues* 96
2. *Assembling the Issues and Defining the Bargain Mix* 97
3. *Defining Interests* 98
4. *Knowing Limits and Alternatives* 99
5. *Setting Targets and Openings* 99
6. *Assessing Constituents and the Social Context of the Negotiation* 101
7. *Analyzing the Other Party* 104
8. *Presenting Issues to the Other Party* 107
9. *What Protocol Needs to Be Followed in This Negotiation?* 108
- Chapter Summary 109
- Endnotes 110
- Chapter 5**
- Perception, Cognition, and Emotion 111**
- Perception 111
- Perception Defined* 111
- Perceptual Distortion* 112
- Framing 114
- Types of Frames* 115
- How Frames Work in Negotiation* 116
- Another Approach to Frames: Interests, Rights, and Power* 118
- The Frame of an Issue Changes as the Negotiation Evolves* 119
- Summary* 121
- Cognitive Biases in Negotiation 121
1. *Irrational Escalation of Commitment* 122

2. <i>Mythical Fixed-Pie Beliefs</i>	122
3. <i>Anchoring and Adjustment</i>	123
4. <i>Issue Framing and Risk</i>	123
5. <i>Availability of Information</i>	124
6. <i>The Winner's Curse</i>	124
7. <i>Overconfidence</i>	124
8. <i>The Law of Small Numbers</i>	125
9. <i>Self-Serving Biases</i>	125
10. <i>Endowment Effect</i>	126
11. <i>Ignoring Others' Cognitions</i>	126
12. <i>Reactive Devaluation</i>	126
Managing Misperceptions and Cognitive Biases in Negotiation	127
<i>Reframing</i>	128
Mood, Emotion, and Negotiation	128
Chapter Summary	132
Endnotes	132
<b>Chapter 6</b>	
<b>Communication</b>	<b>135</b>
What Is Communicated during Negotiation?	135
1. <i>Offers, Counteroffers, and Motives</i>	135
2. <i>Information about Alternatives</i>	136
3. <i>Information about Outcomes</i>	136
4. <i>Social Accounts</i>	137
5. <i>Communication about Process</i>	137
<i>Is More Information Always Better?</i>	137
How People Communicate in Negotiation	137
<i>Use of Language</i>	138
<i>Use of Nonverbal Communication</i>	138
<i>Selection of a Communication Channel</i>	140
How to Improve Communication in Negotiation	142
<i>The Use of Questions</i>	142
<i>Listening</i>	142
<i>Role Reversal</i>	145

Special Communication Considerations at the Close  
of Negotiations 146

*Avoiding Fatal Mistakes* 146

*Achieving Closure* 146

Chapter Summary 147

Endnotes 147

## Chapter 7

### Finding and Using Negotiation

#### Power 149

Why Is Power Important to Negotiators? 149

A Definition of Power 150

Sources of Power—How People Acquire  
Power 152

*Informational Sources of Power* 153

*Power Based on Personality and Individual  
Differences* 155

*Power Based on Position in  
an Organization* 157

*Power Based on Relationships* 160

*Contextual Sources of Power* 163

Dealing with Others Who Have More Power 164

Chapter Summary 165

Endnotes 166

## Chapter 8

### Ethics in Negotiation 167

A Sampling of Ethical Quandaries 167

What Do We Mean by "Ethics" and Why Do They  
Matter in Negotiation? 169

*Ethics Defined* 169

*Applying Ethical Reasoning to Negotiation* 172

*Ethics versus Prudence versus Practicality  
versus Legality* 172

What Questions of Ethical Conduct Arise  
in Negotiation? 173

*Ethically Ambiguous Tactics: It's (Mostly)*

*All about the Truth* 173

*Identifying Ethically Ambiguous Tactics and Attitudes toward Their Use* 175

*Deception by Omission versus Commission* 177

*The Decision to Use Ethically Ambiguous Tactics: A Model* 178

Why Use Deceptive Tactics? Motives and Consequences 178

*The Power Motive* 178

*Other Motives to Behave Unethically* 180

*The Consequences of Unethical Conduct* 181

*Explanations and Justifications* 183

How Can Negotiators Deal with the Other Party's Use of Deception? 185

Chapter Summary 188

Endnotes 189

**Chapter 9**

**Relationships in Negotiation 190**

The Adequacy of Established Theory and Research for Understanding Negotiation within Relationships 190

*Dimensions of Relationships* 194

*Negotiations in Communal Relationships* 195

Key Elements in Managing Negotiations within Relationships 196

*Reputation* 197

*Trust* 198

*Justice* 201

*Relationships among Reputation, Trust, and Justice* 204

*Repairing a Relationship* 204

Chapter Summary 205

Endnotes 205

**Chapter 10**

**Multiple Parties and Teams 208**

The Nature of Multiparty Negotiations 208

*Differences between Two-Party Negotiations and Multiparty Negotiations* 209

*What Is an Effective Group?* 213

Managing Multiparty Negotiations 216

*The Prenegotiation Stage* 216

*The Formal Negotiation Stage—Managing the Group Process and Outcome* 218

*The Agreement Phase* 225

Chapter Summary 227

Endnotes 228

**Chapter 11**

**International and Cross-Cultural Negotiation 229**

What Makes International Negotiation Different? 230

*Environmental Context* 231

*Immediate Context* 232

Conceptualizing Culture and Negotiation 234

*Culture as Shared Values* 235

*Culture as Dialectic* 238

The Influence of Culture on Negotiation: Managerial Perspectives 239

*Definition of Negotiation* 239

*Negotiation Opportunity* 239

*Selection of Negotiators* 239

*Protocol* 240

*Communication* 240

*Time Sensitivity* 241

*Risk Propensity* 241

*Groups versus Individuals* 241

*Nature of Agreements* 242

*Emotionalism* 242

The Influence of Culture on Negotiation: Research Perspectives 242

*Negotiation Outcomes* 243

*Negotiation Process* 244

*Effects of Culture on Negotiator Cognition* 246

*Effect of Culture on Negotiator Ethics and Tactics* 246

Culturally Responsive Negotiation Strategies	247
<i>Low Familiarity</i>	249
<i>Moderate Familiarity</i>	250
<i>High Familiarity</i>	251
Chapter Summary	251
Endnotes	252

## Chapter 12

### **Best Practices in Negotiations** 256

1. Be Prepared 256
2. Diagnose the Fundamental Structure of the Negotiation 257
3. Identify and Work the BATNA 258
4. Be Willing to Walk Away 258
5. Master the Key Paradoxes of Negotiation 259

<i>Claiming Value versus Creating Value</i>	259
<i>Sticking by Your Principles versus Being Resilient to the Flow</i>	259
<i>Sticking with the Strategy versus Opportunistic Pursuit of New Options</i>	259
<i>Honest and Open versus Closed and Opaque</i>	260
<i>Trust versus Distrust</i>	260
6. Remember the Intangibles	261
7. Actively Manage Coalitions	262
8. Savor and Protect Your Reputation	263
9. Remember That Rationality and Fairness Are Relative	263
10. Continue to Learn from Your Experience	264

### **Bibliography** 265

### **Index** 286



# The Nature of Negotiation

## 谈判的特征

“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