



普通高等教育“十一五”国家级规划教材

商务英语立体化系列教材

*Business English Series*

总主编 陈准民 陈建平

International  
**Business**  
Negotiations  
**国际商务谈判**

主 编 宋格兰

副主编 David Hallett Peter King



高等教育出版社



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# International Business Negotiations 国际商务谈判



主 编 宋格兰

副主编 David Hallett Peter King

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## 内 容 提 要

《国际商务谈判》是普通高等教育“十一五”国家级规划教材——商务英语立体化系列教材之一。该系列教材为商务英语专业、英语专业商务方向和商科相关专业英语课程提供了比较完整的、成体系的教学资源。

全书分为四部分,共十五章,包括商务谈判阶段、商务谈判类型、谈判的其他方面和谈判中的文化因素。

本书特色:一、由中外作者合作,以中国学生为对象结合中国国情编写。二、角色扮演、模拟谈判、案例分析等让学生将学到的知识、技巧用于实践。

本书的练习答案、补充教学和学习资料等可以通过体验英语网查询。

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## 出版说明

改革开放30多年来,中国政治、经济、文化、社会等方面都发生了翻天覆地的变化。尤其是2001年中国加入WTO(世界贸易组织)之后,作为一个经济大国,中国在经济全球化的进程中正发挥着越来越重要的作用。“中国离不开世界,世界离不开中国”已成为广泛共识。在刚刚过去的2008年,中国在北京已经成功举办了第29届夏季奥运会,在即将到来的2010年,中国还将在上海举办第42届世界博览会。这两件国际大事成为时代背景下的两个亮点,也是中国在国际上扮演的角色的最好注解。中国社会、经济的飞速发展,对外语教学发展提出了更高的时代要求。

与这种时代背景相契合,商务英语教材的编写和出版也随着时代的脚步而发展。2000年前后,中国国际贸易学会国际商务英语研究会和高等教育出版社合作,联合对外经济贸易大学、广东外语外贸大学等高校,启动了“普通高等教育‘十五’国家级规划教材”——“商务英语系列教材”的编写工作。2002年至2006年间,陆续出版了《商务英语听说》(上、下)、《商务英语阅读》、《商务英语写作》、《商务英语翻译》(英译汉)、《商务英语口译》等商务英语技能类教材和《工商导论》、《国际经济导论》、《国际贸易实务》、《金融英语阅读》等商务英语专业类教材。该系列教材自出版以来在全国高等院校广泛使用,并且得到普遍认可。

自2007年开始,高等教育出版社组织专家、作者对该系列教材进行修订,并根据教学需求增补了部分教材,并成功申报了“普通高等教育‘十一五’国家级规划教材”——“商务英语立体化系列教材”。新的系列教材旨在为商务英语专业、英语专业商务方向以及商科相关专业英语课程提供更为完整的、成体系的教学资源。总主编陈准民教授对教材的修订和编写提出了“特、新、精、自、立”的五字要求,即具有中国特色、内容更新、成为精品、具有自主知识产权和立体化的特点。总主编陈建平教授积极提倡“大商务”的概念,认为商务英语教学应该立足英语,走向国际,培养综合素质高、应用能力强、善于商务交际的人才,并提出应该建立比较系统的课程体系,以适应中国经济发展的需要。此外,应该设定能力培养框架,该框架应具有复合知识结构和技能特征,可以采取模块式结构。

根据本系列教材编委会讨论的结果,并结合院校的使用反馈,该系列的选题范围有所扩展,教材体系结构有所调整。主要包括三个模块——商务英语综合课、听说/视听说课、阅读课教材以引进改编的《体验商务英语》系列为主;商务英语技能类教材以原有教材的修订版为主,增加了《大学商务英语口语》、《商务英语翻译》(汉译英)等;商务英语专业类教材以原有教材的修订版为主,增加了《国际商务谈判》、《国际市场营销》等。

21世纪是数字技术和网络技术广泛应用的时代,数字化学习、网络化学习已经成为一种趋势。为了满足相关需求,为师生提供快捷方便的服务,“商务英语立体化系列教材”将力求突出立体化的特色。高等教育出版社将针对该系列教材在教学网站(体验英语网www.englishxp.edu.net.cn)上提供与教材/课程相关的网页,方便读者查询教材/课程的介绍和相关教学资源。部分教材还将提供配套电子/数字教学资源,如录音、录像、电子教案、多媒体学习课件、网络课程等。

中国已经成为世界第三大贸易国,世界第四大经济体,经济和贸易的发展对我国的商务英语教学提出了更高的要求。培养高层次人才已经不仅是适应国际经济和规则的需要,更是我国积极参与国际竞争,走向世界的需要。希望这套教材能够为国际商务人才培养起到积极作用。

欢迎广大教师和学生提出宝贵的意见和建议,以便使这套教材能够更好地满足教学需求。

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## 前言

《国际商务谈判》是为商务英语专业、英语专业商务英语方向高年级学生而编写的专业教材,也可以作为国际贸易、国际金融、国际企业管理、英语专业等专业学生高年级的选修课教材,还可供研究生以及从事商务工作的人士使用。

全书分为四大部分,共十五章。第一部分:谈判的各个阶段,包括谈判准备、谈判团队、讨价还价、战略和策略、结束谈判。第二部分:具体谈判形式,包括贸易谈判、合资企业谈判、技术转让谈判、合同谈判、多方多阶段谈判。第三部分:谈判的其他方面,包括再谈判、因特网谈判。第四部分:谈判中的文化因素,包括谈判与文化、谈判礼仪、谈判道德。全书各部分衔接有序,各章既相互呼应又各自独立。每章由课文、注释和练习三个部分组成。

建议授课时数为一学期,教师可以按照不同学时要求自由取舍。

本书的编写特色体现在以下几个方面:

首先,它是由中外作者合作,以中国学生为对象,结合中国国情而编写的国际商务谈判教材。体系新,内容新,引入了原则谈判法、因特网谈判等内容。

其次,练习设计多样,案例丰富,实用性强,便于操作。练习由判断题、讨论题、角色扮演及案例分析组成。判断题旨在检查学生对课文的理解;讨论题的设计意图是提高学生的表达能力;角色扮演或模拟谈判,其目的是让学生进入模拟的谈判情景,将学到的知识、技巧用于实践;案例分析有助于提高学生分析问题、解决问题的能力。除了选编经典案例,书中大量自主设计的、取材于现实生活的案例给学生提供了很大的想象空间。

此外,与本书配套的相关教学资源为教学提供了便利。本书的练习答案、补充案例、教学要点ppt、教学录像、对中外商业人士的访谈资料等可以通过教学网站体验英语网查询。

在本书编写过程中,我们得到了很多专家教授的支持和帮助。首先,我们要感谢原对外经济贸易大学王学文教授自始至终对本书所给予的指导性建议,对外经济贸易大学王关富教授、史天陆教授给予的宝贵建议,北京工业大学外语学院马晓梅给予的建设性意见;我们要感谢北京工业大学的肖范和李志强联系采访专家的事宜,导演并组织拍摄教学光盘,感谢北京工业大学现代技术中心的台前幕后的工作人员们拍摄商务谈判英语教学光盘,我们还要感谢那些接受采访留下姓名和没有留下姓名的中外企业人士;北京工业大学外语学院邢涛参与了部分采访材料的整理和翻译工作,以及刘勇、本院的研究生谢沛、刘达以及本科生的一些同学所进行的采访工作,在此一并致谢。

我们还要特别感谢高等教育出版社的大力支持与热情帮助，特别是张毅达编辑为本书的出版付出了很大的努力。

《国际商务谈判》为北京市教委项目：00498。在此对北京市教委表示感谢！

本书由北京工业大学外国语学院副教授宋格兰、加拿大籍博士David Hallett、加拿大籍MBA、在读博士Peter King和湛江师范学院外国语学院副教授林海合作编写。由于作者业务水平有限，难免有不当之处，恳请专家、读者批评指正。

编者

2008年6月

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# Introduction to International Business Negotiations



## Background to International Business Negotiations

What are negotiations and what is this book all about? In their simplest form, negotiations are about two people, each of whom possesses something that the other wants, meeting to discuss an exchange so that both get what they want. Of course, the conditions under which the exchanges take place will vary from case to case, but the key is that both sides are satisfied at the time when the exchange takes place.

In the earliest times, negotiations were probably simple and brutal; one party wanted what the other had, and, if it was not forthcoming, a simple blow with a club ended the negotiations to the satisfaction of, at least, one party. With time, of course, people realized that it was much more efficient to talk rather than fight and the principles of negotiations became established.

Fairness in the exchange soon became a factor for discussion. One can well imagine that an exchange of, say, a tiger skin would be valued the same as the meat from two or three large deer, but once trades became more complex, discussions would not only deal with what and how to exchange, but also with the relative values of the items to be exchanged. Sometimes in historical situations, the negotiations seem by today's standards ridiculous, as, for example, the exchanges of lands for beads or blankets which characterized some negotiations between early American Indians and European settlers. At the time, however, the Indians were satisfied that a fair deal had been struck even if the Europeans danced with joy at the naiveté of the Indians who exchanged valuable land for almost worthless baubles.

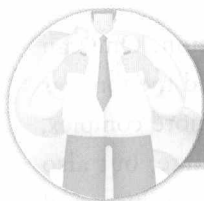
Negotiations since those days have advanced considerably. With many years of experience, negotiations have become intricate, demanding, and subject to principles and conventions that govern how negotiations are to be conducted. Negotiations now focus on value, clarity and reciprocal undertakings.

The exchange of goods for consideration is a legal phrase meaning that goods are exchanged for something of value, usually and simply, money. That having been said, it should become clear that there will be opinions on the value of the goods or, stated another way, for how much money or for what value should goods be exchanged. In some cases, it is easy to establish a value in others. If the value is to be in the form of cash, it is a straightforward discussion of how much, but if the value is for something intangible such as intellectual property or access to a market, the discussions may be quite complex.

### Example

*A person wants to buy a loaf of bread, so a simple trip to the next door bakery will be satisfactory. If the buyer thinks the baker is charging too much, he can argue about it or the buyer will go to the bakery a little farther down the road. After several arguments and visits to several different bakeries, the buyer will come to realize that the prices are all approximately equal and that either the demanded price must be paid or there will be no bread on the table. A value for the bread has been established.*

*If the bread is not made at the local bakery, but is imported from much farther away and maybe even from another country, the buyer will find that the prices are higher and possible arguments are fewer because the seller cannot control all the elements that make up the price at which the goods will be sold.*



## The Reasons for International Business Negotiations

The delivery of goods from far away may be subject to factors outside the control of the seller or buyer, but must be factored into the sales price. When European purchasers bought Chinese silk in the times before the discovery of the sea route from China to Europe, the price of silk in Europe was made up of several elements. These elements were the cost of buying the material in China, transporting it overland along the Silk Road to modern Pakistan, then overland

or by sea to modern Israel or Lebanon, then by sea to Italy and overland to the rest of Europe. The costs of transport were enormous and at each stage taxes had to be paid to the local governor before the goods could move on. In addition to all these factors, risks of loss by robbers or as a result of natural disasters made any trading venturesome. These risks were compounded by the fact that payment along the way had to be made in cash, so that the merchant was faced with risks of transporting the money for all stages of the trip out to the buying place and back, and, on the return journey, the risks of transporting the goods.

In Europe, the risks were reduced by banking houses which introduced the idea of depositing money with a bank in one city and collecting the money from a branch of the bank in another city. The Medici family in Italy was among the leaders in this field. Other risks could be reduced by making the transporter responsible if the goods were lost; and the notion of marine insurance started. In time, the notion of insurance spread to other elements of trade, and modern trade, as it is now known, became a complex web of sellers, transporters, insurance companies, money exchangers, and buyers. With time and the development of new ideas and techniques, manufacturers joined the web and sellers found marketers to help them sell the goods.

The foregoing short overview of trade over different countries should immediately raise questions such as how all the costs were paid (in what form of money or currency), how the merchants agreed on the costs of all the elements of buying, transporting and selling goods in, and through different countries. Obviously, discussions would take place at each stage of the process and would have been complex, but they would also have been successful. With time, merchants would have realized that the nature and substances of discussions in one country were really very similar to the discussions in another country and a pattern would have been established. As trade expanded, the pattern would have become applied in more and more instances until the pattern became a standard to be used in general. This pattern has become the basis on which merchants the world over discuss or negotiate the exchange of goods for consideration.

A negotiation will differ from a discussion in that the purpose of a negotiation is focused totally on an exchange between the parties, while a discussion may take the form of exchange of information and not have a specific purpose or end in mind. Given that negotiations have followed patterns established by experience, they have, with time, also followed rules or conventions which people of different cultures and even languages can recognize.

International negotiations are discussions about, and for the reasons of developing an exchange of goods for consideration in a manner, which is

generally recognized by most of, if not all those who carry on trade between different countries.



## The Features of International Business Negotiations

The background overview description of the development with time of international business negotiations touched on elements which would be subject to business negotiations in international trade. Briefly, a buyer having decided to purchase goods in another country will want to discuss the consideration, usually money, to be paid to acquire the goods.

Several issues arise that need settling before an exchange finally takes place. The first question is where the buyer and the seller will meet to have the discussions. Obviously, if they are in different countries, the buyer or the seller will have to travel and that may prove very expensive if negotiations are lengthy. An agreement on where the negotiations will take place may itself be a subject for negotiations.

The buyer and the seller having agreed that they will negotiate on an exchange of goods for consideration will negotiate the substance of the agreement. For instance, to effect the exchange, the buyer and the seller will discuss first the nature of the goods to be exchanged and second, the value to be paid. Once there is agreement on the goods and the value, they will then need to discuss how the exchange will take place, that is, where the seller will deliver the goods and where the buyer will deliver the money. The seller will want to have money (currency) that can be used in the seller's country, but the buyer will have currency that is used in the buyer's country, so an exchange of currencies may be necessary. Note the use of the words "may be" because the seller or the buyer may be quite happy to use the other's currency if more exchanges will take place in the future.

In all of these discussions or negotiations both the buyer and the seller will want to get information leading to a deal or arrangement which is to their own advantage or, stated in another way, to get the best deal. Each side will, therefore, try to persuade or even trick the other side to accept offers of benefit to the persuading side and will, or should, carefully plan how to get what they want. The planning and implementation of how they will get what they want are the strategies and tactics which will be used during the negotiations.



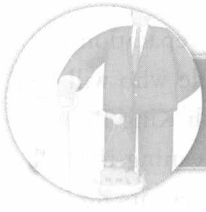
The preparation of strategies and tactics requires careful preparation not only on the substance of the negotiations but also on the people who will be negotiating. There is a Scottish saying (attributed to the Scottish King Robert the Bruce) that “the plans of mice and men gang aft agley” meaning that all the planning in the world does not guarantee success, because events do not always develop as expected. One important factor which can upset plans is the people who are involved, who may have their own plans, and who may not react as expected. It is important, therefore, to reduce the risks of plan failure by knowing as much as possible about the people involved, and how they may react in a given situation.

Negotiations follow generally accepted progressions. There will be negotiations about the price of the goods and the terms of the exchange of goods and considerations. There will be negotiations about the contract, which is the binding document committing each side to perform certain actions for the exchange to take place. There will also be a stage in the negotiations when a final agreement is close on a contract, but not certain, so that measures to get the final agreement must be introduced. Finally, after a contract is signed, renegotiations may be necessary if events develop differently from the stimulated conditions in the contract.

If the substance of the negotiations is complex, that is, if there is a large complicated deal, several parties may be involved and strategies for dealing with the individual parties severally and collectively may be necessary.

In sum, the features of international business negotiations can be itemized:

- Two parties from different countries meet to get agreement on an exchange of goods for consideration, usually money;
- The two parties will discuss the substance of the exchange, that is, the description of the goods and the consideration and how the exchanges will take place, that is, the terms of delivery;
- The two parties will seek to get the best deal for themselves and will develop strategies and tactics to get their own preferred deal. They will prepare for the negotiations by doing research on the substance of the exchange and the people involved; and
- The parties will negotiate the substance of, and the contract binding the exchange of goods. Other negotiations may cover how to close an agreement on the exchange or when a renegotiation is necessary after a contract has been signed.



## The Roles of International Business Negotiations

International negotiations may have several purposes or roles to play, some of which are explicit and some of which are implicit. In the section titled “The Features of International Business Negotiations”, some of the explicit roles were briefly described. Implicit roles will rarely, if ever, be identified, but are as important as the explicit roles.

International business negotiations are about people from different nations, with various backgrounds, languages, cultures, customs, and, maybe, races, religions and beliefs, meeting to get an agreement about an exchange between them. This exchange is seen to be of benefit to both sides. International business negotiations form a basis by which people from different backgrounds can establish relations for the future.

Trade relations usually do not stop after an agreement has been reached and executed. If the exchanges were satisfactory, both sides will want to repeat the experience. If an agreement is satisfactory to two parties, other parties may be expected to develop their own international agreements and soon countries develop relationships of benefit among them.

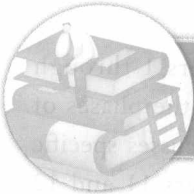
The people involved in negotiations build a relationship between them which, in turn will lead to understandings between them and can have future ramifications on a personal or wider basis. Any move that helps two people understand each other, removes fears about people of other backgrounds, helps reduce the possibilities of future disagreements, and helps strengthen the future cooperative undertakings.

International undertakings will not only be of benefit to the principals involved in the negotiations, but can indirectly benefit a myriad of others who will be employed in providing supplies or services to the principals. For instance, corporate entities and governments can also derive benefits through profits and regional development respectively.

In sum, the roles of international business negotiations are explicit and implicit.

- The explicit roles are those which deal with the substance of negotiations.
- The implicit roles include:
  - developing understandings between people of different backgrounds,

- languages, cultures, customs, and, maybe races, religions and beliefs;
- establishing a foundation on which future cooperative ventures can be initiated; and
- reducing possible misunderstandings and even fears between people of different nations.



### The Principles of International Business Negotiations

International business negotiations are all about getting agreements on deals of benefits to both sides in the negotiations. Experience over several centuries of negotiations has been joined by modern research into how people behave and as a result, several principles have been developed and shown to be useful in negotiations.

International negotiations should be approached with the recognition that not all negotiations need to end in one very satisfied and one rather dissatisfied negotiator; it is possible for both negotiators to be pleased even if for different reasons. Good negotiations will seek to ensure that all sides are happy with the results. Negotiations are between people and people behave in ways resulting from pressures and/or needs, which, when identified, can be satisfied. When negotiators identify the pressures and/or needs, they can use this knowledge in their negotiations to get agreement by moving in satisfying directions. The definition of the pressures and/or needs follows from work done in the fields of psychology and other social studies. Methods of satisfying those pressures and needs have used game theory concepts in analyzing how satisfaction can be obtained. As a result, notions of cooperation, fairness, and understanding have entered a field generally viewed as confrontational and combative. To reach win-win results, participants should adopt cooperative rather than competitive attitudes towards negotiations, realize their equal rights and obligations, treat each other sincerely, and conclude business fairly to the benefit of both parties. In a word, the principles of equality, mutual benefits, fairness, and cooperation should be followed throughout negotiations.



### The Purpose of This Book

This book is primarily intended for the use of undergraduate and postgraduate students majoring or minoring in Business English, majoring in

Business Management and/or Economics, and who are learning the rudiments of negotiations. It will provide a solid foundation to take the first step into, and become proficient in the art of negotiation. The book will also serve as a useful reference for people who may already be working in sales or purchasing and who may enter into negotiations with foreign enterprises. The best way to become an excellent negotiator is to listen to other negotiators, to learn from their experiences, and then to try negotiating simple exchanges. Experience is the best teacher of all.

The book is divided into four principal sections. Chapters 1 through 5 comprise Section 1 of this book, introducing and discussing the phases of negotiations. Section 2 contains Chapters 6 through 10 and discusses specific negotiations that commonly occur. Section 3 contains Chapters 11 and 12 and discusses some other aspects of negotiations, which may occur but are not normally a feature of negotiations in general. Chapters 13 to 15 comprise Section 4 and discuss cultural background to negotiating principles. Reading references and acknowledgements are provided at the back. (Teacher's Notes including keys to exercises from Chapter 1 to Chapter 15, a set of supplementary cases for tests, Negotiating in International Business DVD and its Script can be found from the website of [www.englishxp.edu/net.cn](http://www.englishxp.edu/net.cn))

Chapters are followed by exercises, which have been designed to meet different purposes. The True or False questions are designed to check the students' understanding of the material in the chapter. Discussions are designed for the purpose of the student's practice of oral English. The Role Plays are to help students practice what they have learned while Case Studies are designed to improve students' ability to solve problems.

## Exercises

### Case Studies

#### **Case one** : *The price of the rug*

A couple went for shopping, and the wife saw a rug she loved. The difference between the asking price and what the husband wanted to pay was very small, but the husband didn't